Inter-Agency Humanitarian Evaluation Steering Group

INTER-AGENCY HUMANITARIAN EVALUATION OF THE DROUGHT RESPONSE IN ETHIOPIA

Inception Report

1 May 2019

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Overview of the Evaluation

Commissioning agency	This is an Inter-Agency Humanitarian Evaluation (IAHE). The IAHE Steering Group decided on its focus and timing. The Emergency Relief Coordinator announced the evaluation in October 2018. The evaluation is managed by an IAHE Management Group consisting of the United Nations Food and Agriculture Organisation (FAO), the United Nations Population Fund (UNFPA), and the Office for the Coordination of Humanitarian Affairs (OCHA). OCHA chairs the IAHE Management Group and acts as evaluation manager.
Team	The evaluation is implemented by a team from the Global Public Policy Institute (GPPi), an independent, non-profit think tank. Team members are: Dr. Julia Steets (Team Leader) Claudia Meier (Deputy Team Leader) Amleset Haile Abreha (Evaluator) Doe-e Berhanu (Evaluator) Dr. Solomon Tsehay (Quantitative Expert)
Objective	The evaluation aims to strengthen accountability for a large-scale response extending over several years and to support learning improve preparedness and response to similar disasters in the future, both in Ethiopia and elsewhere.
Scope	The evaluation covers the Humanitarian Country Team's collective humanitarian response to the recurring droughts in Ethiopia between 2015 and 2018. It does not cover the response to the internal conflict, nor does it aim to evaluate the national or local authorities' response to the drought. Geographically, the evaluation will focus on Eastern Tigray, Central and Southern Oromia, the northern and southern areas of the Somali region, and Afar.
Evaluation questions	Relevance: Do the planning documents reflect the needs and priorities of people affected by the droughts? Effectiveness: Did the response reach its intended results? Sustainability: Did the response help build resilience? Partnerships & Localization: Did the response adequately build partnerships and involve local capacities? Coordination: Was the response well coordinated?
Stakeholders	People affected by the droughts in Ethiopia UN agencies, international and local NGOs and civil society representatives, Red Cross/Red Crescent Government representatives Donors at the global and country levels

Methods

Stakeholder interviews

Government representatives at federal and regional levels

Aid workers (UN, NGO, Red Cross/Red Crescent)

Donors

Affected people survey and focus group discussions

Face-to-face survey conducted in local languages with affected people in Tigray, Somali region, Afar, and Oromia

Survey sample of at least 420 individuals

Purposive sampling to cover different potentially vulnerable groups, based on interviews with local authorities and snowballing

Focus group discussions in Afar and Oromia to help interpret survey results

Document review

Needs assessments, context analyses, strategies, policy & planning documents, meeting minutes, monitoring & evaluation reports

Quantitative analysis

Descriptive statistical analysis to map needs, priorities, and assistance provided; to analyze trends; and to explore the plausibility of data

(Subject to data availability) Linear and dynamic regression analysis of factors affecting the impact of droughts and the effects of humanitarian assistance

In-country aid worker and donor survey

Short, online survey among aid workers and donors, distributed through Ethiopia's coordination structures to current and former staff members working in Ethiopia

Timeline

February	Remote HQ inception interviews
	Inception Mission to Ethiopia
March	Inception report
April	Affected people survey
	Document and data analysis
	Remote interviews with HQ and former staff
May	Aid worker and donor survey
	Evaluation mission to Ethiopia
	Debriefing workshop in Ethiopia
June - August	Data interpretation
	Draft evaluation report
September	Results workshop at federal and regional levels in Ethiopia
	Comments on the draft report
October	HQ results workshop
	Final report
	Further dissemination (incl. to affected people)
November onwards	Management Response
	Follow-up to recommendations

Contents

Acronyms

ALNAP	Active Learning Network for Accountability and Performance
AWD	Acute Watery Diarrhea
CERF	Central Emergency Response Fund
EHF	Ethiopia Humanitarian Fund
EPRDF	Ethiopian People's Revolutionary Democratic Front
EQ	Evaluation Question
FEWS Net	Famine Early Warning Systems Network
FAO	Food and Agriculture Organization
GDP	Gross Domestic Product
GPPi	Global Public Policy Institute
HEIG	Humanitarian Evaluation Interest Group
HRD	Humanitarian Requirements Document
IAHE	Inter-Agency Humanitarian Evaluation
IASC	Inter-Agency Standing Committee
ICRC	International Committee of the Red Cross
IPC	International Phase Classification
NDRMC	National Disaster Risk Management Commission
NGO	Non-Governmental Organization
OCHA	Office for the Coordination of Humanitarian Affairs
OECD/DAC	Organization for Economic Co-operation and Development / Development Assistance Committee
SNNPR	South Nations, Nationalities and Peoples' Region
UN	United Nations
UNEG	United Nations Evaluation Group
UNFPA	United Nations Population Fund
USD	United States Dollars
UNHCR	United Nations High Commissioner for Refugees
WASH	Water, Sanitation, and Hygiene
WFP	World Food Programme

1 Introduction

1   This inception report explains the background to the Inter-Agency Humanitarian Evaluation of the drought responses in Ethiopia; describes the context; details the evaluation's scope, questions, and methods; and summarizes the organization and management of the evaluation.

2   The inception report builds on a review of documents and a 10-day mission to Ethiopia, covering the federal capital Addis Ababa and the regional capitals of Tigray and the Somali region (Mekelle and Jigjiga). In total, the evaluation team conducted 84 interviews involving 119 individuals during the inception period (see

3   Figure 1 for a breakdown of interviews, Annex A for the list of interviewees, and Annex B for a list of documents consulted).

Figure 1: Inception interviews, n=119
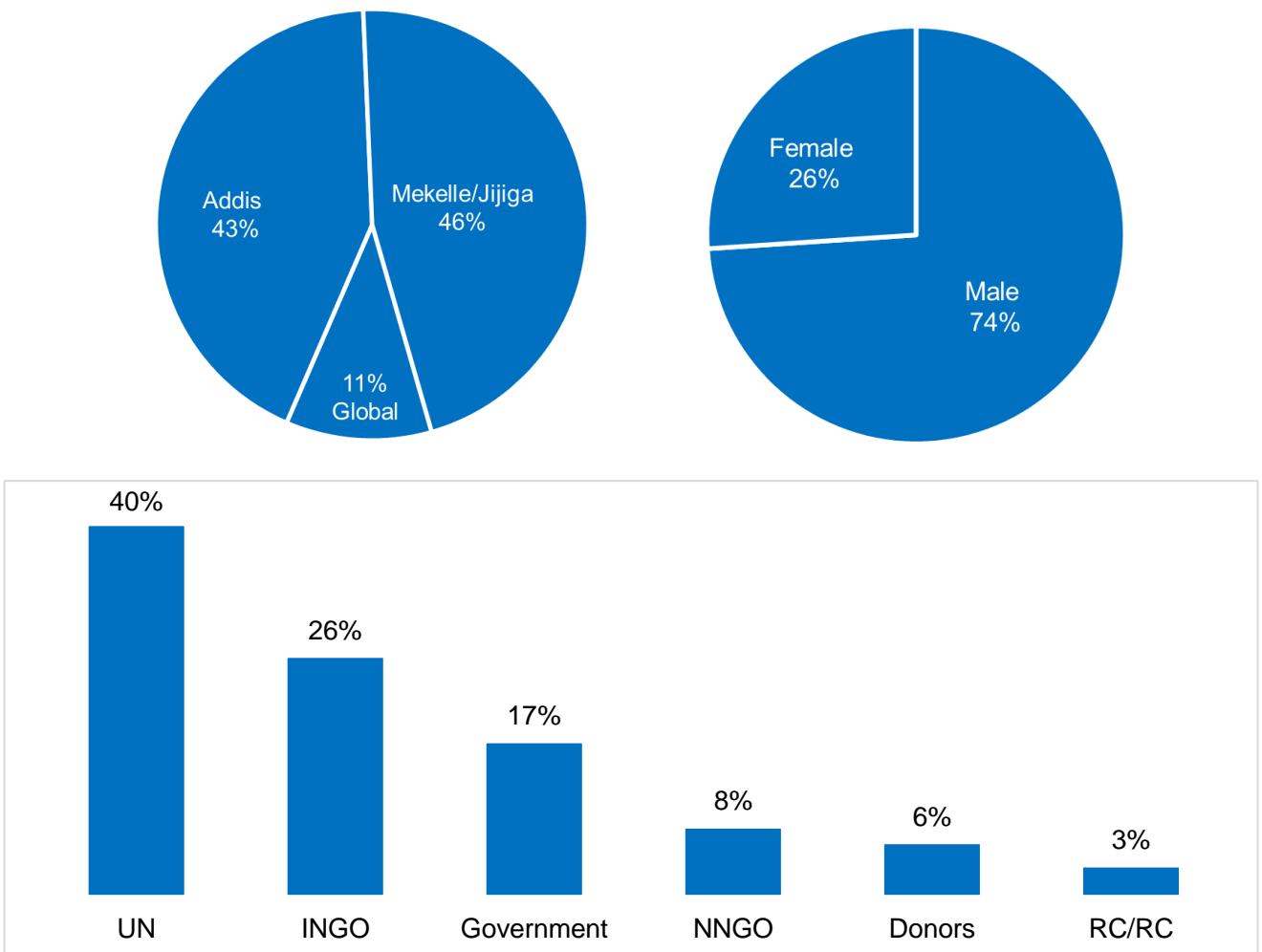
Source: Evaluation team

4   Members of the in-country Advisory Group for the evaluation, the Ethiopia Humanitarian Country Team, and the global Inter-Agency Humanitarian Evaluation Steering Group are invited to comment on the draft inception report. The Management Group for the evaluation provides guidance and quality control, and the global Steering Group will approve the final version of the inception report.

1.1 Inter-Agency Humanitarian Evaluation

5 The present evaluation is an Inter-Agency Humanitarian Evaluation (IAHE).[1] An IAHE is an independent assessment of the results of the collective humanitarian response by Inter-Agency Standing Committee (IASC) member organizations to a specific crisis or theme. IAHEs evaluate the extent to which planned collective results have been achieved and how humanitarian reform efforts have contributed to that achievement. They are not in-depth evaluations of any one sector or agency, and thus do not replace agency-specific humanitarian evaluations.

6 **Objectives and users.** IAHEs were introduced to strengthen learning and promote accountability to affected people, national governments, donors, and the public. They aim to improve the effectiveness of the humanitarian system and to ensure that coordinated and accountable humanitarian action helps address the most urgent needs of people affected by crises. The intended users of IAHEs include:

- Humanitarian Coordinators and Humanitarian Country Teams, informing decisions on course corrections, additional areas that need to be addressed, longer-term recovery plans, and preparedness efforts;
- IASC Principals, working groups, and the Emergency Directors Group, informing decisions on future humanitarian action, policy development, and reform;
- National governments and disaster management institutions, informing their policies and protocols for crisis responses involving international actors;
- Affected people, informing them about the outcomes of the response;
- Member states of international organizations, donors, and learning and evaluation networks, providing them with evidence on the collective response efforts in support of accountability and learning.

7 **Management response.** IAHE reports are public and provide country-level as well as global and systemic recommendations. Formal management response plans, monitored on an annual basis, help ensure that recommendations are appropriately used and followed up on. At the country level, the Humanitarian Coordinator leads the development of the response plan and is supported by the Humanitarian Country Team, the evaluation's Advisory Group, and the OCHA country office. The response plan is endorsed by the Emergency Relief Coordinator and becomes part of the compact between the Emergency Relief Coordinator and the Humanitarian Coordinator. At the global level, the IASC Principals are responsible for ensuring that global and systemic recommendations are addressed and that follow-up is monitored.

8 **Choice of Ethiopia.** Since 2017, the IAHE Steering Group determines priorities for IAHEs in a rolling four-year workplan. The Emergency Relief Coordinator formally launches the evaluations. While Ethiopia was not declared a system-wide level 3 emergency,[2] there has been a large-scale contribution of the humanitarian system to the government-led response to successive droughts and other emergencies since 2015. With its focus on the drought response, this evaluation will be the first IAHE to assess the response to a slow-onset, recurrent natural disaster. This will provide an opportunity to improve preparedness and future responses to droughts in Ethiopia, as well as to similar crises elsewhere.

1.2 Country Context: Ethiopia

9 **Economic development.** Historically, Ethiopia has periodically suffered from droughts and other natural disasters. Between 1983 and 1985, drought – combined with civil war and government policies – led to widespread famine, which is estimated to have killed between 400,000 and 500,000 people.[3] More recently, the country has experienced significant economic growth of over 10% per year. According to World Bank data, this

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[1] This section draws on IAHE Steering Group. 2018. Inter-Agency Humanitarian Evaluations: Process Guidelines.
[2] See IASC. 2017. L3 IASC System-wide response activations and deactivations. Since late 2018, level 3 activations have been replaced by Humanitarian System-Wide Scale Up activations, see https://interagencystandingcommittee.org/iasc-transformative-agenda/content/iasc-humanitarian-system-wide-scale-protocols-released.
[3] Tehila Sasson. 2015. 'Ethiopia, 1983–1985: Famine and the Paradoxes of Humanitarian Aid', in Online Atlas on the History of Humanitarianism and Human Rights, edited by Fabian Klose, Marc Palen, Johannes Paulmann, and Andrew Thompson.

has led to per capita GDP growing on average by over 7 percent per year over the last 10 years.[4] The share of people living under the national poverty line declined from 38.7 percent in 2004 to 23.5 percent in 2015.[5] However, economic development policies have led to a high debt burden, driving inflation.[6] At the same time, Ethiopia is still one of the poorest countries in Africa, with a purchasing parity adjusted per capita income of $1,890 and two-thirds of the population (three-quarters of the male population) engaged in agriculture and pastoralism. Malnutrition continues to be a critical issue, with 2.9 percent of children under five severely wasted, 9.9 percent wasted, and 38.4 percent stunted according to World Bank figures.

10   **Political situation.** Ethiopia has a system of ethnic federalism, which divides the country into nine regional states along ethnic lines. Since 1991, the country has been governed by the Ethiopian People's Revolutionary Democratic Front (EPRDF) coalition. Led for over two decades by Meles Zenawi, the party has been promoting state-led development, but has been criticized for imposing limitations on civil and political rights.[7] After Meles' death in 2012, the relative stability of the government was challenged when protests broke out in Oromia in 2014 and in Amhara in mid-2016. In response, the government imposed a state of emergency in October 2016 and, by its own count, detained 11,607 people within the first month.[8] Amnesty International reported mass arrests, mistreatment in detention, unfair trials, and further limitations on freedom of expression.[9] In April 2018, the EPRDF elected Abiy Ahmed Ali as the new prime minister. As a result of his promises of free and fair elections, economic reform, and expanded political space, protests initially subsided. However, conflict between ethnic groups has been escalating since 2017 – first along the border between the Somali region and Oromia, displacing around 700,000 people;[10] then along the border between Oromia and Southern Nations, Nationalities, and Peoples' Region (SNNPR), primarily in Gedeo and West Guji, displacing nearly one million people;[11] and later in Benishangul Gumuz,[12] near Addis Ababa, in the Dawa zone in the Somali region and in some areas in Tigray and Amhara.[13]

11   **Gender.** The Ethiopian constitution and the National Policy on Women provide guarantees on gender equality and the protection of women's human rights. The Ministry of Women, Children, and Youth Affairs pursues this agenda, and the country's main development plan – Growth and Transformation Plan II – includes a pillar on women's empowerment and mainstreams gender across its other pillars.[14] Under the new government of Prime Minister Abiy, 50 percent of all ministers are women, as are Ethiopia's President and the President of the Federal Supreme Court. Despite these efforts, analyses find that women still do not equally participate in or benefit from the country's growth and development. In rural areas, for example, their access to resources and community participation are usually mediated through men, and their contributions are rarely recognized.[15] A study finds that the gender gap has a significant negative effect on agricultural productivity.[16] The Global Gender Inequality Index currently ranks Ethiopia 121st out of 189 countries.[17] Studies also find that drought disproportionately affects women, as they are primarily responsible for securing food, so that in the event of drought their workload increases, girls are more likely to drop out of school, and women have fewer chances than men to engage in income-generating activities. Moreover, the disempowerment of women in Ethiopia's conservative and patriarchal society limits women's capacity to reduce the negative consequences of droughts.[18]

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[4] World Bank. No date. GDP per capita growth (annual %).
[5] Data source for this and subsequent figures: World Bank. No date. Ethiopia.
[6] International Crisis Group. 2019. Managing Ethiopia's Unsettled Transition.
[7] See e.g. DFID Ethiopia. 2012. Operational Plan 2011-2015.
[8] International Crisis Group. 2019. Managing Ethiopia's Unsettled Transition, p. 6.
[9] Amnesty International. No date. Ethiopia 2017/2018.
[10] Swedish International Development Cooperation Agency (Sida). 2017. Ethiopia: Humanitarian Crises Analysis 2018.
[11] Yarnell, Mark. 2018. The Crisis Below the Headlines: Conflict Displacement in Ethiopia.
[12] Famine Early Warning Systems Network. 2018. Ethiopia Food Security Outlook, October 2018 to May 2019.
[13] USAID. 2019. Ethiopia – Complex Emergency: Fact Sheet #1, Fiscal Year (FY) 2019.
[14] UN Women. 2014. Preliminary Gender Profile of Ethiopia.
[15] USAID. 2017. Gender Equality and Women's Empowerment.
[16] Ministry of Agriculture and Natural Resources, UN Women, UNDP and UN Environment. 2018. The Cost of the Gender Gap in Agricultural Productivity in Ethiopia.
[17] UNDP. No date. Human Development Report Table 5: Gender Inequality Index.
[18] UNECA. 2009. Gender and Climate Change: Women Matter; Carmi, Diletta. 2016. The Gender Dimensions of Drought in Fedis Woreda District, Ethiopia; Oxfam International. 2016. Consolidated Gender Analysis for the Ethiopian Drought Response.

12 **Droughts.** Ethiopia experiences periodic droughts and is vulnerable to their effects, as 80 percent of its population rely on agriculture and livestock for their livelihoods and more than 80 percent of production is rain-fed.[19] In 2015, central and eastern Ethiopia experienced the "worst drought in more than 50 years,"[20] linked to a strong, global El Niño weather phenomenon. At the end of 2015, the Famine Early Warning Systems Network (FEWS Net) predicted emergency conditions (IPC phase 4) in Gabi, Sitti, and Hararge and crisis conditions (IPC phase 3) throughout Afar, the eastern parts of Tigray and Amhara, as well as parts of Oromia and SNNPR. For the southern parts of Ethiopia, by contrast, it diagnosed better vegetation coverage than usual.[21] While the situation improved in the northern and western parts of Ethiopia with a successful rainy season in late 2016 and 2017, the southern and southeastern areas suffered drought induced by another weather system – the Indian Ocean Dipole.[22] This drought particularly affected livestock-herding communities in lowland areas, especially in the eastern and northern Somali regions.[23] In the future, climate change is expected to result in further desiccation of Ethiopia, primarily affecting its arid lowland areas.[24]

13 **Other emergencies.** In addition, Ethiopia has faced other disasters and emergency situations in recent years:

- During the drought period, several outbreaks of infectious diseases were recorded, including scabies, measles, and acute watery diarrhea (AWD). The first outbreaks of AWD – often thought to be cholera – were recorded in Oromia and the Somali region in late 2015. Infections became widespread throughout the Somali region in 2016 and 2017, and also affected other regions. For 2017, the Periodic Monitoring Report indicates almost 49,000 people receiving treatment for AWD.[25] The World Health Organization declared the AWD/cholera outbreak a grade 3 emergency in April 2017.[26]
- In 2017, the flooding of several rivers as well as Lake Tana affected an estimated 300,000 people in Afar, Amhara, Gambella, Oromia, and the Somali regions, of whom at least 100,000 were displaced.[27]
- Ethiopia is the second-largest host of refugees in Africa, after Uganda. According to UNHCR, it had over 905,000 registered refugees and asylum seekers in 2018, originating predominantly from South Sudan, Somalia, Eritrea and Sudan.[28]

1.3 Global Humanitarian Reform

14 The humanitarian response in Ethiopia takes place against the backdrop of a series of reform efforts at the global level. One of the objectives of Inter-Agency Humanitarian Evaluations is to inform these reform efforts.

15 **Agenda for Humanity.** The most recent reform effort is the Agenda for Humanity, adopted at the 2016 World Humanitarian Summit. It focuses on the responsibilities of governments and the international system to provide political leadership to prevent and end conflicts, to uphold the norms that safeguard humanity, to leave no one behind, to change people's lives (from delivering aid to ending need), and to invest in humanity.[29]

16 **Grand Bargain.** One of the initiatives to help achieve the Agenda for Humanity is the Grand Bargain, in which more than 50 of the largest donors and aid providers committed to a series of measures aimed at improving the effectiveness and efficiency of humanitarian responses. Commitments include, among others: greater transparency, more support for local and national responders, increased use of cash programs, stronger participation of affected people, better joint needs assessments, multi-year planning and funding, reduction of

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[19] Government of Ethiopia and Humanitarian Partners. 2017. Ethiopia Humanitarian Requirements Document.
[20] FEWS Net. 2015. Ethiopia Special Report, December 17, 2015.
[21] Ibid.
[22] Government of Ethiopia and Humanitarian Partners. 2017. Ethiopia Humanitarian Requirements Document.
[23] FEWS Net. 2017. Ethiopia Food Security Outlook February to September 2017.
[24] Jury et al. 2013. Climatic Trends Over Ethiopia: Regional Signals and Drivers. International Journal of Climatology 33: 1924-1935.
[25] DRM Technical Working Group. 2018. Periodic Monitoring Report 2017.
[26] World Health Organization. 2017. Weekly Bulletin on Outbreaks and Other Emergencies. Week16: 15 – 21 April 2017.
[27] Ethiopia Humanitarian Fund. 2017. Annual Report.
[28] UNHCR. 2018. Infographics Ethiopia as of 31 August 2018.
[29] World Humanitarian Summit Secretariat. No date. Agenda for Humanity.

earmarking, streamlining of reporting requirements, and enhanced engagement between humanitarian and development actors.[30]

17 **Transformative Agenda.** Previous efforts to reform the humanitarian system include the Transformative Agenda, which the IASC introduced in 2011. The Transformative Agenda focuses on leadership, coordination, and accountability and defines protocols intended to guide the collective humanitarian response in each of these areas. The Transformative Agenda initially targeted responses to large-scale disasters, though it has since been reformulated to cover all types of humanitarian contexts.[31] One of the tools of the Transformative Agenda is the Humanitarian Programme Cycle, which provides guidance on emergency response preparedness, needs assessment and analysis, strategic response planning, implementation and monitoring, resource mobilization, and operational review and evaluation (including IHAEs).[32] The Transformative Agenda and the Humanitarian Programme Cycle build on the earlier Humanitarian Reform Agenda (2005), which introduced, among others, the cluster approach for coordinating humanitarian assistance.

1.4 The Humanitarian Response in Ethiopia

18 With the 2015/16 drought, the humanitarian response in Ethiopia expanded significantly. This section provides a brief overview of the actors involved in the response, the coordination structures, the planning tools, funding, and the issues that were identified as particularly relevant to the response based on inception interviews and document review.

19 **Actors.** At federal, regional, and sub-regional levels, the government of Ethiopia plays a very active role in the humanitarian response. It leads the seasonal assessments that underpin much of the response planning, issues humanitarian response plans jointly with the international community, implements important parts of the response directly, and provides part of the funding for the response. A broad range of humanitarian organizations support the response, including most major UN agencies, international NGOs, members of the Red Cross/Red Crescent Movement, and some national NGOs.[33] The participation of national and local NGOs has - until recently - been limited by regulations restricting their ability to raise funds from international sources.[34]

20 As Figure 2 shows, humanitarian coordination is led by the government's National Disaster Risk Management Commission (NDRMC), with the support of OCHA. The Commission leads federal- and regional-level Disaster Risk Management Technical Working Groups and hosts a series of specialized task forces that work in tandem with the clusters, including nutrition and health; water, sanitation, and hygiene (WASH); food security; shelter and non-food items; protection; education; and agriculture. The NDRMC and the Humanitarian Coordinator co-chair a Strategic Multi-Agency Coordination forum at the ambassador/ministerial level to ensure a strategic approach to response efforts, including resource mobilization and strengthening linkages between government bodies and the wider humanitarian community. In addition, OCHA manages the Inter-Cluster Coordination Group to ensure the coherence and complementarity of response efforts. The group identifies and recommends strategic action for the Ethiopia Humanitarian Country Team – the principal policy- and decision-making body of the international humanitarian system, chaired by the Humanitarian Coordinator. Within the Humanitarian Resilience Donor Group, humanitarian donors and partners explore more sustainable approaches. International NGOs coordinate among themselves within the Humanitarian INGO Forum.

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[30] World Humanitarian Summit Secretariat. No date. Grand Bargain.
[31] Inter-Agency Standing Committee. No date. IASC Transformative Agenda.
[32] Inter-Agency Standing Committee. 2015. The Implementation of the Humanitarian Programme Cycle.
[33] The Humanitarian Requirements Document 2016 refers to "over 66 humanitarian organizations," including at least 13 national NGOs; and the Humanitarian Requirements Document 2017 lists over 90 humanitarian organizations and at least 11 national NGOs.
[34] Sida. 2017. Ethiopia: Humanitarian Crises Analysis 2018.

Figure 2: Humanitarian Coordination Structure in Ethiopia in 2017
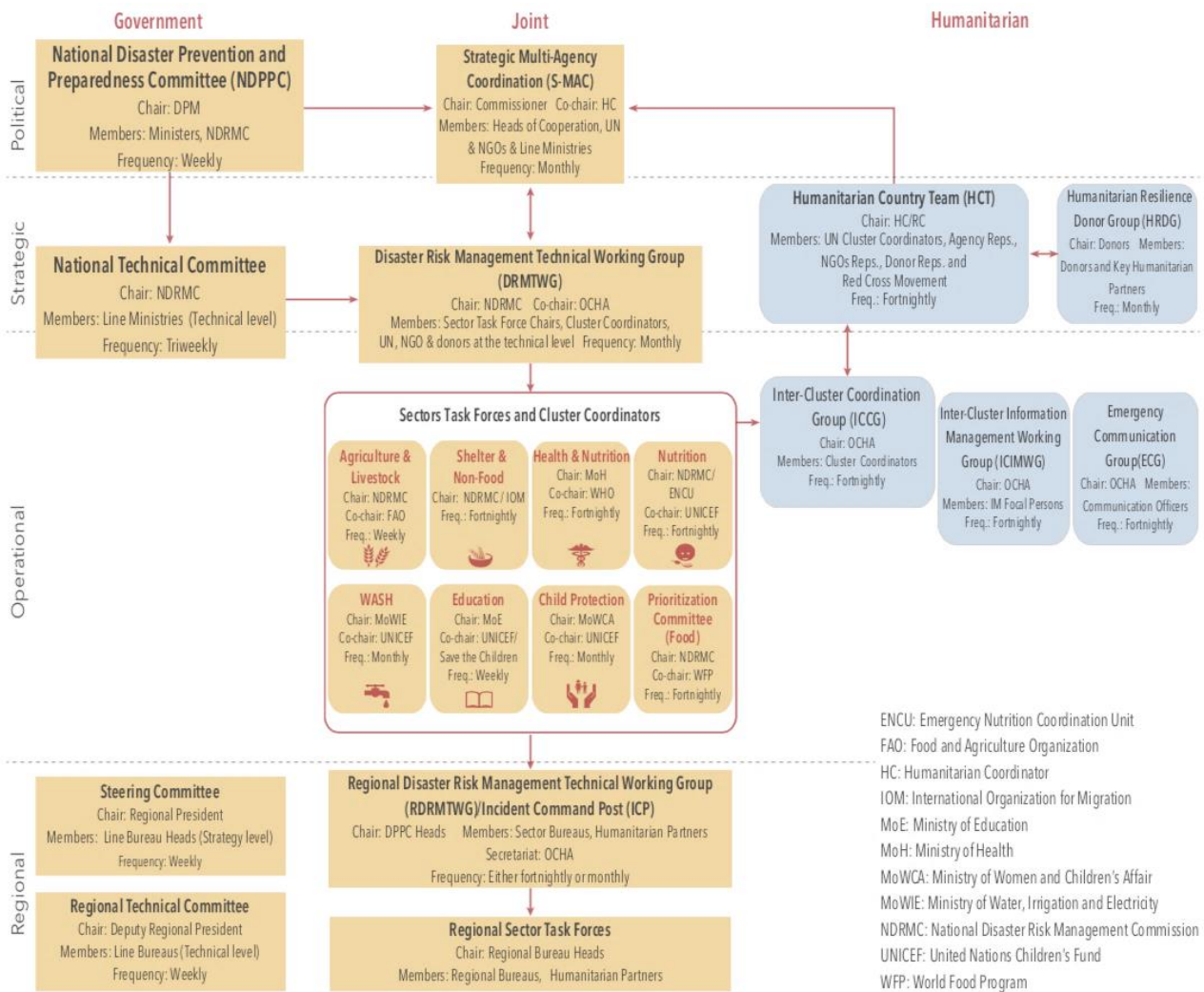
Source: Ethiopia Humanitarian Requirements Document, 2017

21 **Planning.** Rather than a standard humanitarian response plan, Ethiopia's key humanitarian planning document is the Humanitarian Requirements Document (HRD), which has been issued on a yearly basis since at least 2000 as a joint effort of the Ethiopian government and the humanitarian community. Since 2016, the HRD has consistently followed three strategic objectives: 1) save lives and reduce morbidity, 2) protect and restore livelihoods, and 3) prepare for and respond to other humanitarian shocks. For 2018, the humanitarian system shifted to a Humanitarian and Disaster Resilience Plan, with three pillars (prevention and mitigation measures, preparedness and response, and national system strengthening and recovery) intended to lead to multi-year planning. For 2019, however, a Humanitarian Response Plan has been published and the development of a multi-year resilience plan is expected.

22 The Humanitarian Requirements Documents build on seasonal assessments conducted twice a year throughout the country. The government takes the lead and humanitarian organizations support the implementation of seasonal assessments. The assessments generate an estimate of how many people are in need of humanitarian assistance per region. Within regions, the documents prioritize between districts (*woredas*). Priorities are

determined by "expert judgment using six multi-sector indicators that are agreed upon at zonal, regional, federal levels."[35]

23 Table 1 provides an overview of the number of priority *woredas* and their rough geographic distribution, as well as the number of people in need per sector.

Table 1: Key Humanitarian Planning Figures 2016–2018

	2016	2017	2018
Number of priority *woredas*	Priority 1: 186 (rev. 206) Priority 2: 154	Priority 1: 192 (rev. 228) Priority 2: 174	216 priority 1 161 priority 2
Geographic concentration	Afar, Eastern Tigray, Eastern Amhara, North-Eastern Oromia, Northern Somali region	Afar, Somali region, Southern Oromia, Southern SNNPR, parts of Amhara, Tigray, and Gambela	Afar, Somali region, Southern and Central Oromia, Southern SNNPR, Eastern Amhara, Eastern Tigray, Gambela
Number of people in need:			
Food assistance	10.2 M (revised 9.7 M)	5.6 M (revised 8.5 M)	7.9 M (revised 7.9 M)
Health	3.6 M (revised 2.7 M)	4.37 M (revised 6.26 M)	6.5 M (revised 7.5 M)
Nutrition	2.1 M (revised 2.78 M)	3 M (revised 3.9 M)	3.8 M (revised 4.5 M)
WASH	5.8 M (revised 3.9 M)	9.2 M (revised 10.5 M)	6.9 M (revised 8.2 M)
Agriculture	2 M HH (revised 2.9 M)	1.9 M HH (revised 2.25 M)	3.4 M HH (revised 2.2 M)
Education	1.3 M (revised 4 M)	2 M (revised 1.9 M)	2.2 M (revised 2.6 M)
Protection	2.5 M (revised 2.5 M)	0.56 M (revised 0.7 M)	0.3 M (revised 0.9 M)
Shelter/NFI	0.8 M (revised 0.82 M)	0.6 M (revised 1.02 M)	1.5 M (revised 2.8 M)

Data source: Humanitarian Requirements Documents 2016, 2017; Humanitarian and Disaster Resilience Plan 2018 and mid-year reviews

24 Information about the funding situation of the humanitarian response in Ethiopia is not consistent across different sources. Table 2 seeks to provide an approximate overview of relevant figures. They indicate that there has been a significant and persistent scale-up of funding from 2016 onwards; that the United States of America, the United Kingdom, and the European Commission are consistently the top three donors to the response; that the government of Ethiopia made a significant financial contribution to the response; and that an important contribution was allocated through the Ethiopia Humanitarian Fund and, to a lesser degree, through the Central Emergency Response Fund. According to the Financial Tracking Service, Ethiopia became the fifth most-funded emergency in 2016 (up from eleventh in 2015).

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[35] Government of Ethiopia and Humanitarian Partners. 2018. Humanitarian and Disaster Resilience Plan, p. 10.

Table 2: Indicative Funding Overview (for data sources see footnotes)

	2015	2016	2017	2018
Original requirement Revised requirement	386 million USD 596 million USD	1,400 million USD 1,600 million USD	948 million USD 1,420 million USD	1,658 million USD 1,494 million USD
% funded	75%	67.5%	81%	77%
Largest contributors[36]	United States United Kingdom European Commission CERF	United States European Commission United Kingdom Germany Canada	United States European Commission United Kingdom Germany World Bank	United States European Commission United Kingdom Germany CERF
Government of Ethiopia allocation	119 (272) million USD[37]	109 million USD[38]	147 million USD[39]	342 million USD[40]
Ethiopia Humanitarian Fund[41]	28.3 million USD[42]	74.7 million USD	92 million USD	71.3 million USD[43]
Central Emergency Response Fund[44]	27.5 million USD	9 million USD[45]	31.7 million USD[46]	30.3 million USD[47]

25 **Particularly relevant issues.** Interviews and document review conducted during the inception phase of the evaluation suggest that the following issues and themes were particularly relevant in the drought responses:

- **Funding:** The ability of the humanitarian system to engage in collective fundraising, including from private donors; the overall level of funding achieved; the financial contribution of the Government; the timeliness of funding and the time-span covered; the ability to use development funding for the humanitarian response; and the role played by pooled funds.

- **Assessment, planning and prioritization:** The reliability of needs assessment data; targeting practices; collective planning processes and their changes over time; the level of priority given to different humanitarian issues in Ethiopia.

- **Coordination and leadership:** The effectiveness of overall, inter-cluster and sectoral coordination arrangements at federal and regional level; surge deployments; staff turnover.

- **Localization:** The context conditions for local and national NGOs; funding and partnership arrangements.

- **Relevance and adequacy:** The balance between short-term interventions and efforts to find longer-term solutions / strengthen resilience; priorities between sectors and coverage of all relevant sectors and cross-cutting issues, adequacy of the chosen response modalities.

- **Coverage and impartiality:** The geographic balance of interventions (depending on need); the adaptation of the response to different contexts and livelihood zones.

- **Timeliness:** The availability and quality of early warning information; links between early warning and early action.

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[36] Financial Tracking Service, accessed from: https://fts.unocha.org/.
[37] 119 million USD according to the HRD 2016; 272 million according to the HRD 2017.
[38] Government of Ethiopia and Humanitarian Partners. 2017. Humanitarian and Disaster Resilience Plan 2017.
[39] OCHA. 2018. Situation report No. 17 (January 2018).
[40] OCHA. 2019. Situation report No. 20 (January 2019).
[41] Ethiopia Humanitarian Fund Annual Reports.
[42] The Financial Tracking Service only records an EHF contribution of 13.3 million USD.
[43] Financial Tracking Service.
[44] Financial Tracking Service.
[45] The Financial Tracking Service records CERF allocations of 20.5 million USD.
[46] Financial Tracking Service.
[47] Financial Tracking Service.

2 Evaluation Approach

2.1 Objectives and Scope

26 **Objectives.** As mentioned above, IAHEs generally aim at both promoting learning and strengthening accountability. The IAHE of the drought response in Ethiopia is the first to assess a slow-onset, recurrent disaster. Its specific goals are first, to provide an independent assessment of the extent to which the planned collective objectives set out in the planning documents for 2016, 2017 and 2018 - to save lives and reduce morbidity; to protect and restore livelihoods; and to prepare for and respond to other humanitarian shocks – were met, including over time. Second, the evaluation aims to assess the quality of the response, including the extent to which response mechanisms have successfully supported the response. To support learning to improve preparedness and response to similar disasters in the future, both in Ethiopia and elsewhere, the evaluation will identify good practices and assess what has been learned from the El Niño response for later emergencies and generate recommendations for future drought responses.

27 **Thematic and temporal scope.** This evaluation covers the Ethiopia Humanitarian Country Team's collective humanitarian response to the recurring droughts in Ethiopia since 2015 – the 2015/16 El Niño drought and the 2017 Indian Ocean Dipole drought – including related outbreaks of infectious diseases, such as AWD/cholera, and continued food insecurity in 2018. The response to humanitarian needs resulting from conflict is excluded from the scope of this evaluation, although the conflict sensitivity of the drought-response will be considered.

28 **Geographic scope.** The evaluation considers all drought-affected areas of Ethiopia. Four regions are assessed in greater depth and covered via interviews with stakeholders and affected people. The criteria for selecting the regions were:

- All regions included in the sample should be strongly affected by the 2015/16 and/or the 2017 droughts;
- The sample should include different livelihood zones, i.e., agricultural and pastoralist areas;
- The sample should include areas that – according to stakeholders interviewed during the inception phase – received different levels of humanitarian assistance coverage;
- The sample should include areas with different governance structures.

29 Based on these criteria, the following regions were chosen:

- **Eastern Tigray:** strongly affected by the 2015/16 drought; predominantly agricultural livelihoods; interviewed stakeholders see it as having received a relatively high level of coverage and as politically well-connected to the then-federal government.
- **Central and Southern Oromia:** Central Oromia was affected by the 2015/16 drought, while Southern Oromia was affected by the 2017 drought; mixed livelihood zones, including agricultural and pastoralist zones; interviewed stakeholders see humanitarian assistance coverage as uneven; the region was at the heart of anti-government protests.
- **Northern and Southern Somali regions:** the Northern Somali region (the Sitti zone) was strongly affected by the 2015/16 drought, while the Southern Somali region was affected by the 2017 drought; pastoralist livelihood zone; interviewed stakeholders see humanitarian assistance coverage as high, particularly in 2015/16 in the unaffected Southern Somali region; governance in the region was seen as problematic during the drought response; there were access issues.
- **Afar:** strongly affected by the 2015/16 drought and partly affected by the 2017 drought; pastoralist zone; interviewed stakeholders see coverage as comparatively low and governance and access as complicated.
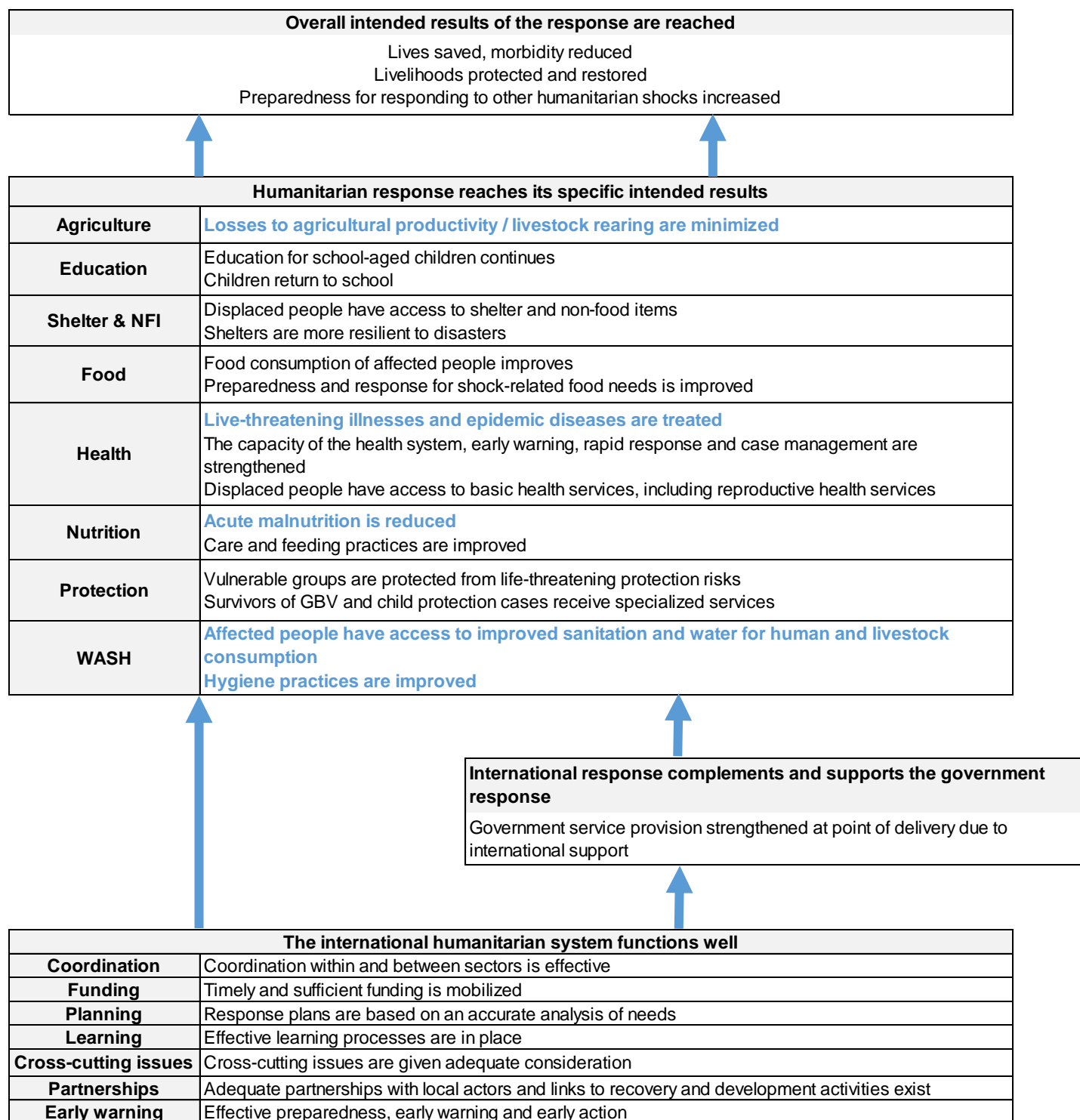
2.2 Intervention Logic

30 **Process.** IAHEs build on a standard "impact pathway" for coordinated humanitarian action.[48] The evaluation team built on this model to develop a reconstructed intervention logic for the drought response in Ethiopia (Figure 3). To do so, it reviewed the key planning documents for the humanitarian response in 2016, 2017 and 2018, taking the Humanitarian Requirements Document 2016 as the main reference point as suggested in the terms of reference for this evaluation. In inception interviews with key stakeholders at regional, federal and global level, the evaluation team explored which issues stakeholders considered most pertinent for the context in Ethiopia. Suggested priority areas were discussed with the in-country Advisory Group for the evaluation and amended based on the feedback received. The model was subsequently significantly revised based on feedback by the Management Group.

31 **Purpose.** The reconstructed intervention logic presents the evaluation team's understanding of what the international humanitarian system sought to achieve when supporting the Ethiopian government during the response to successive droughts in Ethiopia and what key ingredients were deemed necessary to enable a successful response. The intervention logic serves as the model against which the international humanitarian system's contribution to the response in Ethiopia will be assessed. The evaluation questions refer to the different components of the intervention logic. By exploring the questions, the evaluation aims to assess the system's performance at the different results levels and to test the validity of the underlying assumptions.

32 **Key features.** A special characteristic of the humanitarian response in Ethiopia is that the government plays a strong role in coordinating, funding and implementing the response. Moreover, strengthening the government's service provision at the point of delivery is consistently referred to a as a key cross-cutting issue. The intervention logic therefore includes improved government service provision as an intended result. However, the evaluation will focus on the performance of the international humanitarian system and will not assess the government itself. The intervention logic therefore includes no other details about the government's response to the droughts.

33 The intervention logic reflects the objectives of the response as defined jointly by the government and humanitarian partners in the planning documents for 2016, 2017 and 2018. All three documents share the same, overarching objectives: (1) Save lives and reduce morbidity; (2) Protect and restore livelihoods; (3) Prepare for and respond to other humanitarian shocks. These objectives are included as the overall intended results of the intervention.

34 There are differences in the strategies the planning documents suggest for how to reach these three, common objectives. These differences are particularly pronounced when comparing the HRDs for 2016 and 2017 to the HDRP for 2018. This disaster response and resilience plan was envisaged as a first step for shifting to a multi-year plan. It distinguishes three pillars of activities: prevention and mitigation, preparedness and response, and national systems strengthening and recovery. While most of the response-related, more detailed objectives of the different clusters active in Ethiopia remain similar across the three response plans, the HDRP for 2018 includes more prevention, mitigation and rehabilitation objectives, such as the rehabilitation of non-functional WASH infrastructure, irrigation and the production of crops, vegetables and fodder, as well as the strengthening of incident command mechanisms as disaster mitigation measures. Objectives of the HDRP for 2018 also include integrated primary health services, including reproductive health. The intervention logic reflects core, outcome-related cluster objectives as its specific intended results. Where results are included in black script in the model below, their formulation corresponds closely to the formulation of cluster objectives in the planning documents. Where they are included in blue, the evaluation team reformulated cluster objectives to focus them more on desired outcomes. The model does not reflect objectives included in the 2018 HDRP only, since the 2016 HRD forms the primary basis for this evaluation and since links to recovery and development activities, as well as preparedness are included separately in the intervention logic.

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[48] UN OCHA. 2018. Inter-Agency Humanitarian Evaluations Process Guidelines, p. 16.

Figure 3: Intervention Logic

Overall intended results of the response are reached	
Lives saved, morbidity reduced Livelihoods protected and restored Preparedness for responding to other humanitarian shocks increased	

Humanitarian response reaches its specific intended results	
Agriculture	**Losses to agricultural productivity / livestock rearing are minimized**
Education	Education for school-aged children continues Children return to school
Shelter & NFI	Displaced people have access to shelter and non-food items Shelters are more resilient to disasters
Food	Food consumption of affected people improves Preparedness and response for shock-related food needs is improved
Health	**Live-threatening illnesses and epidemic diseases are treated** The capacity of the health system, early warning, rapid response and case management are strengthened Displaced people have access to basic health services, including reproductive health services
Nutrition	**Acute malnutrition is reduced** Care and feeding practices are improved
Protection	Vulnerable groups are protected from life-threatening protection risks Survivors of GBV and child protection cases receive specialized services
WASH	**Affected people have access to improved sanitation and water for human and livestock consumption** **Hygiene practices are improved**

International response complements and supports the government response
Government service provision strengthened at point of delivery due to international support

The international humanitarian system functions well	
Coordination	Coordination within and between sectors is effective
Funding	Timely and sufficient funding is mobilized
Planning	Response plans are based on an accurate analysis of needs
Learning	Effective learning processes are in place
Cross-cutting issues	Cross-cutting issues are given adequate consideration
Partnerships	Adequate partnerships with local actors and links to recovery and development activities exist
Early warning	Effective preparedness, early warning and early action

Source: Evaluation Team

2.3. Evaluation Questions

35 Based on the evaluation criteria included in the terms of reference for this evaluation and following the elements highlighted in the Intervention Logic, the evaluation will explore the following questions and sub-questions:

1. **Relevance:** Do the planning documents reflect the needs and priorities of people affected by the droughts?
   1.1. What is the quality of the needs assessment information used for response planning?
   1.2. To what extent do the planning documents reflect identified needs and priorities of affected people, including those of vulnerable groups?
   1.3. To what extent were lessons from the El Niño response incorporated in later response plans?

2. **Effectiveness:** Did the response reach its intended results?
   2.1. To what extent has the response contributed to the objective of saving lives and reducing morbidity?
   2.2. To what extent has the response contributed to the objective of protecting and restoring livelihoods?
   2.3. To what extent was assistance provided according to need and reached the most vulnerable, according to the principles of humanity and impartiality?
   2.4. To what extent were cross-cutting issues such as gender, age, disability, and the environment given adequate consideration in the response?
   2.5. Did the response have any unintended, positive or negative effects on drought-affected people, local conflict dynamics, or national systems?

3. **Sustainability:** Did the response help to build resilience?
   3.1. To what extent did the response help to strengthen government service provision at the point of delivery?
   3.2. Is there any evidence that the response helped affected people cope better with subsequent or future droughts?
   3.3. To what extent were adequate links to recovery and development actors and interventions created?

4. **Partnerships and Localization:** Did the response adequately build partnerships and involve local capacities?
   4.1. To what extent did international humanitarian actors appropriately manage the partnership with the government of Ethiopia at federal, regional and local level?
   4.2. To what extent have national and local non-governmental and civil society organizations been involved in the response planning and implementation?
   4.3. Is there any evidence that the response capacities of national and local non-governmental and civil society organizations were strengthened through the response?

5. **Coordination:** Was the response well coordinated?
   5.1. How effective were coordination mechanisms at the strategic, inter-cluster, and cluster/sector levels?
   5.2. Is there any evidence that coordination helped to avoid duplications and to fill gaps?
   5.3. How effective was the collective resource mobilization effort in raising sufficient, timely and sufficiently long-term funding?

36 Table 3 indicates the information sources for answering the evaluation questions, as well as examples of indicators that will be used to assess them.

Table 3: Evaluation Matrix

Evaluation questions	Data collection and analysis methods	Examples for indicators
1. Relevance: Do the planning documents reflect the needs and priorities of people affected by the droughts?		
1.1. What is the quality of the needs assessment information used for response planning?	Document analysis Aid worker and donor survey	# Score reached when applying the methodology to assess coordinated needs assessments # Share of aid workers and donors who see needs assessment information as reliable
1.2. To what extent do the planning documents reflect identified needs and priorities of affected people, including those of vulnerable groups?	Document analysis Affected people survey Affected people focus groups	# Degree of coherence between needs assessment information and planning documents # Share of affected people stating that the response met their most urgent needs # Share of vulnerable groups stating that the response met their most urgent needs
1.3. To what extent were lessons from the El Niño response incorporated in later response plans?	Document analysis Key stakeholder interviews Affected people survey Aid worker survey	# Number of issues identified as lessons during the El Niño response that are reflected in subsequent planning documents # Share of respondents stating that lessons have been learned
2. Effectiveness: Did the response reach its intended results?		
2.1 To what extent has the response contributed to the objective of saving lives and reducing morbidity?	Affected people survey Document analysis Quantitative analysis	Caveat: While the evaluation team deems the following indicators relevant, preliminary inquiries suggest that no or insufficient data will be available/accessible for many of the indicators. In those cases, the team will rely on proxy indicators as far as possible. # Timeliness of the assistance delivered # Share of affected people reporting that assistance had an effect on their lives # Food consumption scores # Malnutrition rates # Share of people using adequate care and feeding practices # Mortality / morbidity rates # Share of displaced people with access to primary health services, including reproductive health services # Maternal mortality rates # Incident trend and treatment rates for key diseases # Share of survivors of GBV, neglect, abuse and exploitation with access to a multisectoral response # Share of affected people without adequate shelter and NFIs # Share of people using improved hygiene practices # Liters of safe drinking water available per person per day
2.2 To what extent has the response contributed to the objective of protecting and restoring livelihoods?	Affected people survey Document analysis Quantitative analysis	# Share of affected people reporting that assistance had an effect on their livelihoods # Crop performance / agricultural productivity # Average number of livestock held by pastoralist households # Average income levels # School enrolment, dropout and completion rates

2.3	To what extent was assistance provided according to need and reached the most vulnerable, according to the principles of humanity and impartiality?	Key stakeholder interviews Aid worker survey Affected people survey Focus group discussions Document analysis Quantitative analysis	# Level of variation in the geographic coverage of needs # Share of affected people who believe assistance reached those most in need # Share of surveyed members of vulnerable groups who did not receive assistance # Level of reflection of the needs of vulnerable groups in planning documents
2.4	To what extent were cross-cutting issues such as gender, age, disability, and the environment given adequate consideration in the response?	Document analysis Key informant interviews Focus group discussions	# Number of planning documents demonstrating consideration for cross-cutting issues # Number of indicators reflecting cross-cutting issues covered in monitoring reports # Share of interviewees who believe cross-cutting issues were adequately integrated in the response
2.5	Did the response have any unintended, positive or negative effects on drought-affected people, local conflict dynamics, or national systems?	Key stakeholder interviews Affected people survey Focus group discussions Document analysis	# Number of affected people and aid workers who report unintended effects # Existence and effectiveness of mechanisms to prevent sexual exploitation and abuse
3.	**Sustainability: Did the response help to build resilience?**		
3.1	To what extent did the response help to strengthen government service provision at the point of delivery?	Document analysis Affected people survey Key informant interviews	# Share of humanitarian budget invested in government capacity strengthening # Extent and relevance of capacity strengthening measures provided # Number of monitoring reports providing evidence for improved service provision
3.2	Is there any evidence that the response helped affected people cope better with subsequent or future droughts?	Affected people survey and focus group discussions Quantitative analysis	# Share of affected people who believe their resilience was strengthened # Strength of correlation between assistance provided and future number of people in need
3.3	To what extent were adequate links to recovery and development actors and interventions created?	Key informant interviews Document analysis	# Participation of recovery and development actors in coordination fora # Level of funding for and implementation of recovery components included in response plans # Level of reflection of recovery and development considerations in planning documents
4.	**Partnerships and Localization: Did the response adequately build partnerships and involve local capacities?**		
4.1.	To what extent did international humanitarian actors appropriately manage the partnership with the government of Ethiopia at federal, regional and local level?	Key stakeholder interviews Document analysis	# Government representative and aid worker perceptions # Positive and negative aspects of government relationships identified
4.2.	To what extent have national and local non-governmental and civil society organizations been involved in the response planning and implementation?	Key stakeholder interviews Document analysis	# Number of local organizations who felt involved in response design # Degree of reflection of national and local civil society organization issues in planning documents # Share of total funding and pooled fund resources channeled to local organizations

		# Number of local organizations participating in strategic and operational coordination fora
4.3. Is there any evidence that the response capacities of national and local non-governmental and civil society organizations were strengthened through the response?	Key stakeholder interviews Document analysis	# Trends in the total number, budget and staffing of local organizations involved in the response # Share of local organizations reporting that their capacity has increased
5. Coordination: Was the response well coordinated?		
5.1. How effective were coordination mechanisms at the strategic, inter-cluster, and cluster/sector levels?	Key stakeholder interviews Aid worker survey Document analysis	# Attendance patterns of coordination meetings # Aid worker perceptions on effectiveness of coordination # Quality of coordination documents
5.2. Is there any evidence that coordination helped to avoid duplications and to fill gaps?	Key stakeholder interviews Aid worker survey Document analysis	# Number of examples of avoided duplications provided # Number of examples of remaining gaps provided
5.3. How effective was the collective resource mobilization effort in raising sufficient, timely and sufficiently long-term funding?	Key stakeholder interviews Aid worker survey Document analysis	# Share of required resources received per sector # Share of main funding sources providing longer-term funding (> 11 months) # Perceived timeliness of funding by aid organizations

2.4 Stakeholders

37   The evaluation will seek input from and encourage the uptake of findings and recommendations by a broad range of stakeholders. Table 4 provides an overview of relevant stakeholders and their involvement in the evaluation process.

Table 4: Stakeholder Overview

Country-level stakeholders	Involvement in the evaluation
Federal government stakeholders ➢ National Disaster Risk Management Commission (NDRMC): Main counterpart for the humanitarian system ➢ Ministry of Peace: Newly created ministry that oversees NDRMC ➢ National Disaster Prevention and Preparedness Committee (NDPPC): High-level decision-making body, chaired by the Deputy Prime Minister and involving ministers and the NDRMC ➢ National Technical Working Group: Technical and operational decision-making body, chaired by NDRMC, involving line ministries ➢ Ministry of Finance: Oversees government funding for humanitarian response and the Productive Safety Net Program	• Participates in Advisory Group for the evaluation. Offer bilateral debriefing to Commissioner and Senior Adviser • Invite to interview. Offer bilateral debriefing to Minister of Peace • Offer bilateral debriefing to Deputy Prime Minister • Participate in final results workshop in Addis • Invite to interview
Regional and sub-regional government stakeholders ➢ Regional Steering Committees: High-level decision-making body, chaired by Regional Presidents, involving line bureau heads	• Offer debriefing to Office of Regional President

➢ Regional Technical Working Groups: Technical decision-making body, chaired by Deputy Regional President, involving line bureaus ➢ Regional Disaster Risk Management Commission: Regional counterpart of NDRMC ➢ Zonal Disaster Risk Management Offices ➢ Woreda Disaster Risk Management Desks	• Invite to regional results workshops • Invite line bureaus and presidency to interviews • Invite to interview • Invite to regional results workshops • Invite to regional results workshops • Invite to regional results workshops
Joint government - humanitarian fora ➢ Strategic Multi-Agency Coordination (S-MAC), co-chaired by the NDRMC Commissioner and the Humanitarian Coordinator, involving heads of UN agencies, NGOs and line ministries ➢ Disaster Risk Management Technical Working Group (DRMTWG), co-chaired by Senior Advisor to the NDRMC Commissioner and OCHA Head of Office, involving sector task force chairs, cluster coordinators, UN agencies, NGOs and donors ➢ Regional Disaster Risk Management Technical Working Group (DRMTWG at regional level) ➢ Clusters, co-chaired by relevant line ministries and UN agencies at federal and regional level	• Offer debriefing • Invite to results workshop
Ethiopia Humanitarian Country Team ➢ Strategic decision/making and coordination forum for the international humanitarian system in Ethiopia	• Humanitarian Country Team members participate in the Advisory Group for the evaluation • Invite to interviews • Inception debriefing • Invite to results workshop • Formulates the country-level management response and ensures follow-up to recommendations
UN Resident and Humanitarian Coordinator ➢ Most senior UN representative in Ethiopia, representing both humanitarian and development agencies ➢ Chairs Humanitarian Country Team ➢ Key interlocutor for the government	• Combined inception debriefing and interview • Offer debriefing after evaluation mission • Invite to results workshop and/or offer individual debriefing • Responsible for the country-level management response and follow-up
Donors ➢ Provide financial resources for the response ➢ Participate in strategic discussions and decisions as members of the Humanitarian Country Team	• Humanitarian donors are members of the Humanitarian Country Team • Offer debriefing to Humanitarian-Resilience Donor Group
International NGOs ➢ Deliver the humanitarian assistance in Ethiopia ➢ Participate in strategic discussions and decisions as members of the Humanitarian Country Team ➢ Coordinate among themselves in the INGO Forum	• Invite to interviews • Offer briefing / discussion at Humanitarian INGO Forum
National and local NGOs ➢ Deliver some humanitarian assistance in Ethiopia ➢ Could play a more important role in the future due to positive changes in the national regulatory environment for civil society organizations	• Invite to interviews • Invite to results workshop
Drought-affected people ➢ Cope with natural disasters and other emergencies ➢ Should be involved in the definition of priorities, design, implementation, and accountability for humanitarian assistance	• Consult through face-to-face survey and focus group discussions • Consult about preferred channels for receiving information about evaluation results (e.g. posters in *kebelle* or *woreda* offices) and communicate evaluation results back to them
Global stakeholders	**Involvement in the evaluation**
United Nations Emergency Relief Coordinator ➢ Oversees reforms of the humanitarian system	• Launches the evaluation • Receives briefing on evaluation results

➢ Launches IAHEs	• Oversees the formulation of the management response • Responsible for ensuring follow-up to systemic and country-specific recommendations
Member organizations of the Inter-Agency Standing Committee ➢ Participate in global strategic discussions and decisions ➢ Adopt reforms of the humanitarian system	• Oversee the design and implementation of the evaluation through their involvement in the IAHE Steering Group and Management Group • Formulate the global management response and ensure follow-up to recommendations • Participate in the global results workshop
Donors ➢ Influence humanitarian processes by providing funding and defining priorities	• Receive briefing on evaluation results
Learning and accountability initiatives ➢ Support learning in the humanitarian system ➢ Support coordination among evaluation efforts	• Receive all reports related to the evaluation

2.5 Ethical Considerations

38 **Conflict sensitivity.** As discussed in the context section above, there are currently several ongoing internal conflicts in Ethiopia – including in regions where this evaluation will be carried out. To conduct the evaluation in a conflict-sensitive way, the team will take the following steps:

- The evaluation will study the extent to which the response to the droughts was conflict-sensitive, exploring whether the drought response has had any effects on local conflict dynamics.
- To avoid any misinterpretations of the evaluation objective, the team will seek to obtain a letter from NDRMC explaining the evaluation and share it with *woreda* and *kebelle* leaders when contacting them about the affected people survey.
- The team will clearly explain how data will be used and stored, and ensure that interviewees understand that their participation is voluntary and that there are no consequences for refusing to take part in the evaluation or to answer specific questions. This will be particularly important for conversations with affected people.
- When conducting the survey with affected people, the evaluation team will work with enumerators who speak the local language, are from the same ethnic groups as the people surveyed, and understand the culture, community structures, and power dynamics. Their training will cover how to be attentive to political and power dynamics within communities and how to adapt their interview approach accordingly (e.g., to prevent those in a position of power from trying to influence which individuals are interviewed and/or influence responses). The team will not interview drought-affected people unless it is safe to do so.
- The Ethiopian evaluation team members will not be involved in conducting interviews or meetings in regions or areas where they could be at risk due to their ethnic background.

39 **Confidentiality and data protection.** In line with the UN Evaluation Group's Ethical Guidelines to Evaluations and ALNAP's Evaluation of Humanitarian Action Guide, the evaluation takes care to protect individuals participating in the evaluation from potential adverse consequences and to create an enabling environment for them to express their opinions freely. The evaluation team adopts the following measures to strengthen the confidentiality of the process and data protection:

- Most data collection instruments (e.g. interviews and surveys) collect information from individuals, rather than groups. The exception are focus group discussions with affected people (see below for more details).
- Primary data collected, e.g. interview notes and survey forms, will not be shared with anybody outside the evaluation team.

- Files containing primary data will be protected by encrypting them and storing them on operating systems that are not linked to the internet while in Ethiopia. Files containing primary data will not be shared via Email. Completed survey forms for affected people will be destroyed immediately following data entry.

- Reports, presentations and briefings related to evaluation findings will never attribute specific findings or opinions to an individual or a specific organization. Rather, they will present an aggregated analysis of the collected information – where relevant distinguishing between different sub-groups of respondents.

- The evaluation team will collect personal data, such as the name of the respondent, only for interviews with aid actors. Surveys with affected people and aid workers and focus groups discussions will not ask respondents/participants for their names.

- Due to the nature of focus group discussions, in which a number of individuals participate, it is impossible to fully ensure the confidentiality of information shared. The evaluation team will therefore not cover issues that are considered sensitive in focus group discussions.

- Individuals participating in the evaluation will be informed about these measures and will always be asked whether they consent to participating in the process.

2.6 Gender

40 Recognizing existing gender inequality in Ethiopia as well as the impact of the drought on gender-specific vulnerabilities, the evaluation team will analyze data by gender and other relevant drivers of inequality, in line with the UN Evaluation Group Guidance on Integrating Human Rights and Gender Equality in Evaluation.[49] The evaluation will address questions related to gender at several levels:

- The document analysis will assess the quality of the needs assessments and response plans regarding their identification of gender and age-specific needs (including to what extent they provide gender and age disaggregated data);

- Interviews will explore to what extent gender (as well as other cross-cutting issues) were adequately integrated into the response and why this was / was not the case;

- The analysis of the effects of the humanitarian system's assistance for people affected by the drought will explore whether there are any gender-related differences in affected people's priorities for and perceptions of humanitarian assistance and whether there is any evidence on the effects of the humanitarian assistance on gender, including gender-related protection issues;

- The aid worker survey will record the respondents' sex so that potential differences in the perceptions of male and female respondents can be identified;

- As much as possible, the team will strive to ensure a gender balance in the survey conducted with affected people and to conduct separate focus group discussions with women. Interviews with crisis-affected women will be conducted by female members where this is culturally appropriate.

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[49] UNEG. 2014. Integrating Human Rights and Gender Equality in Evaluation - Towards UNEG Guidance.
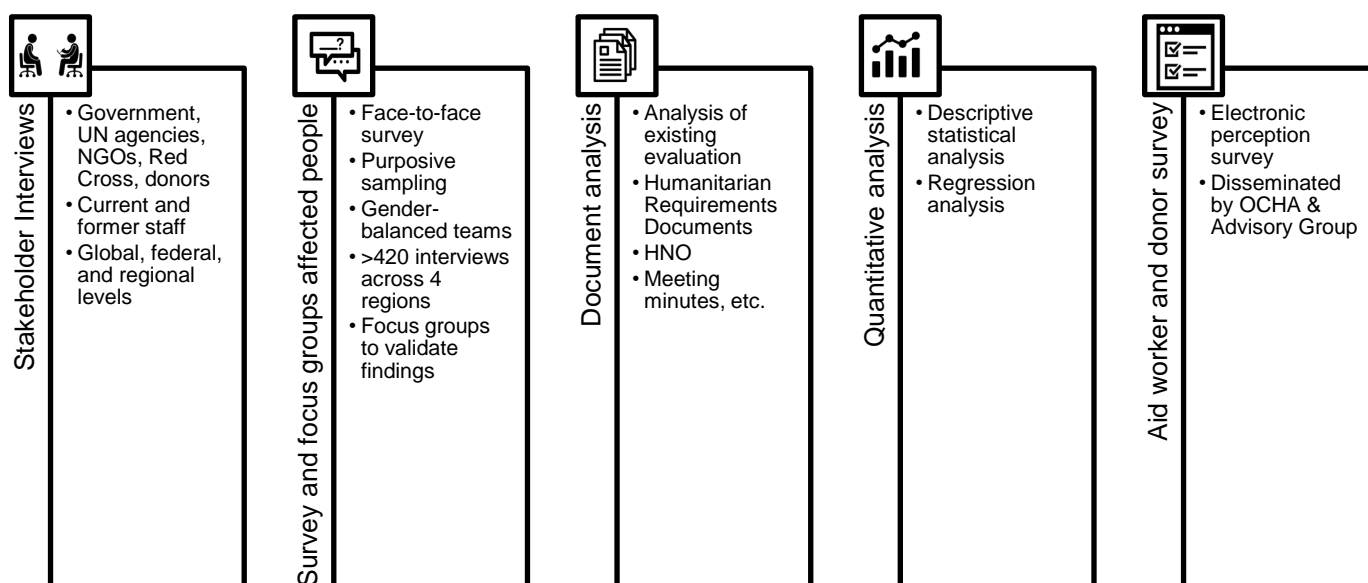
3 Methodology

3.1 Method Mix

41 To answer the evaluation questions, the team will rely on the following mix of quantitative and qualitative methods (see Figure 4). The combination of sources, data collection methods, and data analysis methods will allow for method and source triangulation.

Figure 4: Method Overview

Stakeholder Interviews	Survey and focus groups affected people	Document analysis	Quantitative analysis	Aid worker and donor survey
• Government, UN agencies, NGOs, Red Cross, donors • Current and former staff • Global, federal, and regional levels	• Face-to-face survey • Purposive sampling • Gender-balanced teams • >420 interviews across 4 regions • Focus groups to validate findings	• Analysis of existing evaluation • Humanitarian Requirements Documents • HNO • Meeting minutes, etc.	• Descriptive statistical analysis • Regression analysis	• Electronic perception survey • Disseminated by OCHA & Advisory Group

Source: Evaluation team

3.2 Stakeholder Interviews

42 During the inception phase, the evaluation team conducted exploratory interviews with 119 key stakeholders at the global level, in Addis Ababa, and in the regional capitals of the Somali region (Jigjiga) and Tigray (Mekkele) to validate the evaluation's focus and approach. As part of these interviews, stakeholders provided their analysis of what worked well and what did not work well in the drought responses; what factors affected the humanitarian system's performance; and what adaptations the response had undergone from one drought response to the next. By doing so, they provided a lot of valuable information relating to the evaluation questions. The evaluation team was able to conduct interviews with the most relevant stakeholders in Jigjiga and Mekelle (see Annex A for the list of people consulted during the inception phase).

43 During the implementation phase, the evaluation team will conduct additional, more closely structured key informant interviews to explore the evaluation questions in greater detail. The interview guide for the implementation phase can be found in Annex D. Some key humanitarian personnel with longer involvement in and oversight of the drought responses will be interviewed for a second time during the implementation phase. Since most of these individuals are located in Addis Ababa (or have shifted to other operations in the meantime), the evaluation team will not interview stakeholders based in the regions for a second time. Rather, it will focus on conducting interviews in Addis Ababa, in two additional regions (Oromia and Afar), as well as with stakeholders no longer based in Ethiopia.

44   In line with the United Nations Evaluation Group's norms and standards for evaluation[50], the evaluation team will take great care to engage appropriately and respectfully with participants in evaluation processes and implement measures to avoid harm to them. Interviewees will be asked to comment on the performance of their own, as well as other organizations. Critical comments from identifiable individuals or organizations create risks for that person's or organization's reputation, job security / funding, and in extreme cases even personal freedom. To mitigate these risks, all interviews are conducted on a not-for-attribution basis. Only evaluation team members will be present during evaluation interviews. Since it is very difficult and in some cases impossible to anonymize interview data, interview notes will not be shared outside the evaluation team.

45   The team has put special data protection measures in place in order to safeguard the information and the identity of interviewees. Interviewees' names and personal information will be stored separately from interview notes, and electronic devices on which interview notes are stored will be kept offline during visits to Ethiopia. Most interviews at the country and local levels will be conducted face-to-face. Interviews with global stakeholders and individuals no longer based in Ethiopia will be conducted via phone or Skype.

46   Interviews conducted during the inception or the implementation phase will cover the following stakeholder groups, purposely selecting interviewees who have also experienced the responses to the 2015/16 and 2017 droughts:

- Current and former staff working with UN agencies, international NGOs, and the Red Cross/Red Crescent Movement (including Emergency Directors and country desk staff at the global and/or regional levels); country and regional managers in Ethiopia (including current and past UN Resident/Humanitarian Coordinators, members of the Humanitarian Country Team, cluster coordinators, and pooled fund managers); as well as teams responsible for monitoring and evaluation and communicating with communities;
- Government representatives and relevant line ministries responsible for humanitarian and development planning at the national and regional levels in the four regions studied in this evaluation;
- Ethiopian NGOs and civil society representatives;
- Donors at the country level;
- Representatives of selected development organizations engaged in resilience programming.

3.3 In-Person Survey & Focus Groups with Affected People

47   The evaluation will gather data on the perceptions of drought-affected people through an in-person survey of individuals affected by the drought[51] and focus group discussions. The draft affected people survey questionnaire can be found in Annex C. Survey results will be disaggregated according to all relevant categories, including sex, region, whether or not people have received assistance, and whether people have disabilities or chronic illnesses.

48   **Target locations.** The in-person survey will be implemented by an evaluation team member and enumerators in the four regions studied for the evaluation. At least 420 individuals will be surveyed. To account for the different sizes of the regions, at least 70 individuals will be interviewed in each of the six sub-regions (Eastern Tigray, Central Oromia, Southern Oromia, Northern Somali Region, Southern Somali Region, and Afar). The team will administer the survey in three districts (*woredas*) per sub-region. The survey will target priority 1 or 2 *woredas* that have received international assistance, selecting two villages (*kebelles*) per *woreda*.[52] In consultation with

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[50] United Nations Evaluation Group (2016). Norms and Standards for Evaluation. New York: UNEG.
[51] The steering group and the evaluation team decided against the initially proposed phone-based surveys, because they are biased towards male and urban populations in Ethiopia, and because people feel uncomfortable talking about sensitive issues over the phone. See also: Leo, Ben et al. 2015. Do Mobile Phone Surveys Work in Poor Countries? Working Paper 398, p. 41-42.
[52] Using either 2015/16 or 2017 prioritization and response data, depending on when the area was most hit by the drought.

woreda officials, the survey team will select one *kebelle* which is perceived as having received a comparatively high level of assistance and one with a comparatively low level of assistance.

49 **Selection of respondents.** Approximately 24 adult respondents will be surveyed in each *woreda* (12 per *kebelle*). The evaluation aims to collect the views of drought-affected people of different genders, ages, backgrounds, and abilities. Children under 15 years of age will not be surveyed, as this would require the involvement of enumerators specifically trained for interviewing children. Providing this kind of training is not feasible within the time constraints of this evaluation. The team will use purposive sampling to select survey respondents. *Woreda* and/or *kebelle* officials will be asked to provide lists of the people residing in the area, from which the evaluation team can select individuals fitting the selection criteria at random. This information will be complemented using the snowball technique. The team aims for the sample to include the following types of individuals per *woreda*:

- At least 20 individuals whose households have received humanitarian assistance in 2015–2018 and 4 who have not received assistance but were considered as needing assistance;
- At least 7 male heads of household and 7 female heads of household;
- At least 3 individuals over 65 years of age;
- At least 3 individuals belonging to the youth age bracket as defined in Ethiopia (15-29 years);
- At least 3 individuals with disabilities or chronic mental or physical illnesses (including at least 1 woman);
- At least 3 individuals living in households with a family size greater than 5 (of which at least 1 has not received assistance).

50 **Language.** The survey will be administered in the regional languages (Tigrinya, Somali, Afaan-Oromo, and Afaraf).

51 **Enumerator selection.** Three teams of two enumerators will be recruited from each region, to ensure that the appropriate languages are covered and to keep inter-community tensions from interfering with the survey process. The team will aim to recruit as many male as female enumerators to make people from potentially marginalized groups feel more at ease. The evaluation team will draw on a network of Addis Ababa, Jigjiga, and Afar university students and contacts at the Central Statistics Authority to identify suitable enumerators. It is expected that recruiting female enumerators for the Afar and Somali regions will be challenging. If female enumerators are unable to travel without a male relative, the evaluation team will arrange for a male relative to accompany the enumerator. To avoid conflicts of interest, the evaluation team will aim to select enumerators who have not worked for a humanitarian organization in the area targeted by the survey.

52 **Protection of people surveyed and enumerator training.** The team will use the following set of measures to protect survey respondents from harm:

- Surveys will be anonymous and confidential, and respondents' names will not be noted.
- An evaluation team member will train enumerators in all regions in protection-sensitive survey techniques and their responsibilities toward the people surveyed. To do so, the team will adapt existing enumerator training materials from the IAHE Advisory Group members.
- To avoid retaliation of community representatives against vulnerable groups due to suspicions surrounding the survey, enumerators will explain to woreda and kebelle leaders in detail the objectives, method, and questions asked. In addition, they will conduct a short evaluation interview with kebelle and woreda leaders.
- Every survey respondent will be given a leaflet in the local language explaining the background to the evaluation and including the responsible evaluation team member's phone number to call in case of complaints about the behavior of an enumerator.

53 **Method of data collection and data entry.** Enumerators will visit respondents at their homes and conduct the surveys one-on-one and face-to-face. Answers will be recorded on paper and no identifying information will be

noted on the same sheets. Data will be entered into an electronic database, stored in an encrypted, password-protected file, immediately upon completion of the relevant round of interviews. Paper copies of the interviews will be destroyed.

54 **Focus group discussions on survey results.** Following a preliminary analysis of the survey data, the evaluation team will conduct focus group discussions with drought-affected people to validate survey results and to involve them in the interpretation of results. Focus group discussions with drought-affected people will be held in the areas covering different livelihood zones (agricultural and pastoralist livelihoods) and affected primarily by the 2015/16 drought, and / or the 2017 drought. The team will select areas in Afar and Oromia meeting these conditions. In each region, the team will hold at least two focus group discussions – one mixed, and one held only with women. The evaluation team will endeavor to hold some focus group discussions without the presence of community leaders to ensure that community members can express themselves more freely. Since it is not possible to ensure confidentiality in a group discussion setting, the evaluation team will not address issues considered sensitive and will stress in the introduction that participants should only comments on issues they feel comfortable addressing.

3.4 Document Review

55 In addition to the literature studied during the inception phase (see Annex B), the team will systematically review documents covering the 2015–2018 period, including:

- Existing inter-agency and agency-specific monitoring and evaluation reports, with a particular emphasis on reports reflecting the opinions of affected people;
- Needs assessment reports and analyses relating to context, gender, and conflict sensitivity, using the forthcoming methodology for coordinated needs assessments, issued by the Grand Bargain workstream on needs assessments, to assess the quality of joint needs assessments (such as the seasonal assessments);
- International, national, and regional policy and planning documents informing the humanitarian response;
- Meeting minutes of the Humanitarian Country Team and other relevant coordination bodies;
- Donor strategies and reports (including those of the Ethiopia Humanitarian Fund);
- Feedback and complaints reports

3.5 Quantitative Analysis

56 **Objectives.** The quantitative data analysis pursues two aims. First, it seeks to map and analyze trends in key data. Second, the analysis hopes to establish whether plausible correlations between the level of assistance provided and people's well-being and livelihoods can be established. Based on an initial, partial overview of available data obtained during the inception phase, the quantitative analysis will employ the following methods:

57 **Descriptive statistics.** The evaluation team will use descriptive statistical methods to analyze data drawn from the seasonal assessments; other early warning and needs assessments; agency, cluster, OCHA, and government data on assistance delivered; and available government and World Bank statistics on key economic indicators. The analysis will aim to:

- Map identified needs, defined priorities, and available data on assistance provided;
- Analyze trends, e.g., in poverty, economic growth, and foreign direct investment during the periods of the droughts;
- Explore the plausibility of different datasets, particularly needs assessment data.

58   **Analytical statistics.** If data is available in sufficient detail (e.g., geographic breakdowns at *woreda* or zone levels), analytical statistical methods will be used to analyze the effects of assistance on the lives and resilience of drought-affected people. The first approach used will be a linear regression model analyzing which factors influence key indicators for the impact of the droughts, namely the number of children suffering from severe acute malnutrition (SAM) admitted to treatment centers and the number of children who drop out of school. Covariates used in this analysis will include the type and level of humanitarian assistance provided, national health expenditures in the area, national education expenditures in the area, access to road infrastructure, and the number of beneficiaries enrolled in the productive safety net program.

59   The second approach will be a dynamic panel regression model. This will analyze the extent to which the type and level of humanitarian assistance provided in drought-affected areas in one year influences the number of people in need identified in subsequent years.

60   **Access to data.** To get access to data, the evaluation team has already started reaching out to UN agencies, clusters/sectors, the National Disaster Risk Management Commission at the central and regional levels, line ministries (education, health, agriculture, and finance), and the Ethiopian Central Statistical Agency. Support from the Advisory Group will be necessary to access all the available data.

3.6 Aid Worker and Donor Survey

61   The evaluation team will conduct a perception survey among aid workers, donors, and government officials involved in disaster response in Ethiopia. Both individuals currently working in Ethiopia and former staff members who were involved in the emergency response since 2015 will be invited to participate in the survey. This short, English-language survey will be administered online through Survey Monkey. The draft survey questionnaire is provided in Annex E. The survey will be distributed through Ethiopia's coordination structures, including the Humanitarian Country Team, the Humanitarian Resilience Donor Group, the Strategic Multi-Agency Coordination Forum, and the Disaster Risk Management Technical Working Group (at the national and regional levels), as well as the various clusters and sector task forces at the national and regional levels. Survey results will be analyzed using descriptive statistical methods. Results will be disaggregated according to organization type, sex, and region.

3.7 Sequencing and Triangulation

62   The evaluation sequences different phases of data collection and analysis to enable different data collection and analysis tools to build on emerging insights and findings:

- During the inception phase, the team collected the analysis of key stakeholders on what worked well during the drought responses and what did not; what factors affected the performance of the humanitarian system; and what changed between one drought response and the next. This helped the evaluation team to narrow the focus of the evaluation, while already providing valuable information relating to some evaluation questions. The data collection tools presented in this inception report are designed to explore the evaluation questions in greater detail.
- In the period between the inception phase and the evaluation mission planned for May 2019, the affected people survey, the aid worker and donor survey, the quantitative data analysis, and the evaluation analysis will be conducted. This will enable the evaluation team to explore the evaluation questions in greater detail during the evaluation mission and to follow up key issues identified in the affected people survey in focus group discussions with affected people.
- During the evaluation mission, the evaluation team will explore specific topics in greater depth through additional document review and targeted interviews. It will also explore the findings of the affected people survey in focus group discussions.

63 The variety of data collection and analysis tools used will allow for triangulation. Triangulating between different sources, the evaluation team will, for example, compare information provided by aid workers to information provided by affected people and information provided by government officials, as well as comparing information provided by female and male respondents. Triangulating between methods, the evaluation team will compare, for example, the results of the aid worker and donor surveys to interviews with aid workers, and the results of the affected people survey to focus group discussions with affected people. Triangulating across both sources and methods, the evaluation team will compare for example the analysis of response monitoring data to reports on the type, frequency and quantity of assistance received provided through the affected people survey.

64 The variety of data collection and analysis tool used will also allow the team to collect complementary information. For example, the evaluation team will complement data on the perceived quality of the assistance provided from the affected people survey with quantitative data on the effects of the assistance (within the constraints of available data).

3.8 Limitations and Mitigation Measures

65 The evaluation team proposes the methodology outlined above as the best option to address the questions outlined in the terms of reference for this evaluation within given time and budget constraints. However, the proposed methodology includes limitations. First and foremost, it only foresees the collection of a limited amount of primary data. Particularly regarding questions on the effects and effectiveness of the response, the analysis relies strongly on existing data, which can be limited in terms of availability, accessibility, and quality. Second, the evaluation covers the humanitarian response in a single country and does not include comparisons to other emergency contexts. The evaluation team's ability to extrapolate findings and transfer conclusions to other contexts will therefore be limited. Finally, the evaluation covers a relatively long period of time with several emergency responses. While this enables comparisons over time, there are trade-offs regarding the depth at which each response can be assessed. The evaluation team also expects limitations regarding the institutional memory about the early phases of the response. Table 4 provides an overview of specific limitations and proposed mitigation measures.

Table 5: Limitations and Mitigation Measures

Limitations	Mitigation Measure
Data reliability. Aid workers interviewed during the inception phase questioned the reliability of needs data.	The team will conduct a comparative analysis of different early warning and needs assessment data to judge the validity of available data, and use the datasets judged as most accurate for analyses.
Data accessibility and availability. Data required for the analysis may not exist and/or the evaluation team may not be given access to relevant data.	Members of the Advisory Group are committed to supporting the team's efforts to get access to data. Where relevant data is not available, the evaluation team will, as far as possible, use proxy indicators.
No sex- or age-disaggregated data. An initial overview of needs and response data suggests that sex- and age-disaggregated data is not generally available, except for targeted interventions (i.e., nutrition data separating children over/under 5 years of age.)	None possible. Any primary survey data collected by the team will be disaggregated by sex.
Limited willingness to raise critical issues. Due to the political context in Ethiopia, aid workers, affected people, and potentially government and local authority representatives may not dare to voice critical opinions.	The team will communicate its strict confidentiality rules and data protection mechanisms to all interviewees. The affected people survey and the aid worker survey are both anonymous. Former aid workers who no longer work in Ethiopia will be consulted.
Limited institutional memory. Inception phase interviewees identified high staff turnover as an issue in	The team seeks to identify key stakeholders with a long track record of working in Ethiopia, including national staff

Ethiopia. The evaluation team therefore expects limited institutional memory of the period under review, as well as limits to people's access to historical response data.	and aid workers, and will conduct interviews with aid workers who no longer work in Ethiopia.
Bias linked to non-attribution of findings to individual interviewees or organizations. Interview data will be analyzed by the evaluation team only and results will be presented without attributing findings to individual interviewees or organizations. Findings derived from interviews could therefore be affected by any biases held by the evaluation team.	Interview data will be triangulated with information derived from other sources and through other measures. The evaluation team will conduct data interpretation and analysis jointly to compensate the potential bias of any individual team member. The team is composed of individuals with different backgrounds (national and international team members, team members with different academic backgrounds). When selecting team members, great weight was given to them not having any conflicts of interests and to having a high level of personal and professional integrity.

4 Evaluation Organization and Conduct

4.1 Evaluation Management

66   The management of the Ethiopia IAHE involves the following entities:[53]

67   The IAHE Steering Group consists of representatives of evaluation offices of IASC members. It provides strategic guidance; approves the terms of reference, the inception report, and the final evaluation report; and plays an important role in ensuring the dissemination of results.

68   The IAHE Management Group is comprised of OCHA (chair, represented through Djoeke van Beest, evaluation manager), UNFPA (represented by Hicham Daoudi), and FAO (represented by Maame Duah). It is responsible for quality control; providing input throughout the evaluation and guidance to the evaluation team; and ensuring the evaluation's independence.

69   The Evaluation Manager, has contracted the evaluation team; facilitates the process of commenting on the report; helps set up the country missions; and supports the dissemination of results. The Evaluation Manager accompanied the inception mission and participated in a range of inception interviews. The Evaluation Manager and/or other members of the IAHE Management Group might accompany the team during the main evaluation mission, as well as missions for dissemination or workshops. Members of the IAHE Management Group will not participate in evaluation interviews, focus group discussions or internal data interpretation workshops, but will receive regular, informal briefings.

70   The in-country Advisory Group represents country-level stakeholders engaged in the drought response. Members include UN agencies, international NGOs, local NGOs, donors, and the government. The Advisory Group is responsible for advising and supporting the evaluation team – for example, by facilitating access to relevant documents and data and supporting the dissemination of the survey. It also provides comments on the draft reports and supports the HCT in preparing the management response (see below).

71   The Ethiopia Humanitarian Country Team and the Humanitarian Coordinator are responsible for developing a management response plan to define what follow-up actions will be taken in response to the evaluation's

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[53] Mainly drawn from OCHA, 2019, Brochure Inter-Agency Humanitarian Evaluations (IAHEs) and OCHA, 2018, Terms of Reference: In-Country Advisory Group. Version: OCHA, 16 November 2018

recommendations. The Emergency Relief Coordinator, who will also endorse the management response plan, is ultimately responsible for ensuring follow-up.

4.2 Evaluation Team

72 The evaluation team consists of five members: Dr. Julia Steets, Claudia Meier, Amleset Haile Abreha, Dr. Solomon Tsehay, and Doe-e Berhanu. Table 6 provides an overview of the team members' roles and workplans. GPPi's communications team will support the evaluation team by providing visualization and layout support, as well as professional, English native-speaker editing of all the key products of the evaluation.

Table 6: Evaluation Team Roles and Workplans

Team member and role	Workplan
Dr. Julia Steets, team leader Responsible for the overall design and quality of the evaluation Main counterpart for the Evaluation Management Group Involved in all stages of evaluation implementation Lead author of the inception and evaluation reports	Document review and global interviews (Jan–April 2019) Inception mission to Addis Ababa and Jigjiga (17–26 Feb 2019) Evaluation mission to Addis Ababa and Afar (12–25 May 2019) Analysis and report drafting (June–Aug 2019) Workshops in Somali region, Afar, and Addis Ababa (Sept 2019) Global stakeholder workshop (Sept 2019) Finalization of report (Sept/Oct 2019) Additional dissemination (Oct 2019)
Claudia Meier, deputy team leader Alternate counterpart for the Evaluation Management Group Lead for methodology design Involved in all stages of evaluation implementation Lead for aid worker survey development and implementation	Document review and global interviews (Jan–April 2019) Inception mission to Addis Ababa and Mekelle (17–26 Feb 2019) Aid worker survey (April 2019) Evaluation mission to Addis Ababa and Oromia (12–25 May 2019) Analysis and report drafting (June–Aug 2019) Workshops in Tigray, Oromia, and Addis Ababa (Sept 2019) Global stakeholder workshop (Sept 2019) Finalization of report (Sept/Oct 2019) Additional dissemination (Oct 2019)
Amleset Haile, evaluator Lead for design and implementation of affected people survey	Document review and preparation (Jan–Feb 2019) Inception mission to Mekele (21–23 Feb 2019) Affected people survey (March–May 2019) Contribution to analysis and report drafting (June–Aug 2019) Contribution to workshops in Tigray, Afar, and Addis Ababa (Sept 2019) Contribution to finalization of report (Sept/Oct 2019) Dissemination to affected people (Sept/Oct 2019)
Dr. Solomon Tsehay, quantitative expert Lead for design and implementation of quantitative analyses	Collection of available datasets and design of analytical approach for quantitative analysis (Jan–March 2019) Dataset cleaning and implementation of the analysis (April–May 2019) Contribution to analysis and report drafting (June–Aug 2019) Contribution to workshops in Addis Ababa (Sept 2019) Contribution to finalization of report (Sept/Oct 2019)
Doe-e Berhanu, evaluator Lead for interviews with national NGOs Lead for stakeholder analysis Lead for context analysis	Document review and preparation (Jan–Feb 2019) Inception mission to Jigjiga (20–23 Feb 2019) Stakeholder analysis and conflict sensitivity analysis (Feb 2019) Evaluation analysis (April 2019)

Lead for evaluation analysis	Context analysis (April 2019)
	Evaluation mission to Oromia (May 2019)
	Contribution to analysis and report drafting (June–Aug 2019)
	Contribution to workshops in Somali region, Oromia, and Addis Ababa (Sept 2019)
	Contribution to report finalization (Sept/Oct 2019)

4.3 Evaluation Workplan

73 The evaluation team will use the following workplan. Please see Annex F for the field workplan.

Table 7: Evaluation Workplan

	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov
Inception phase											
Document analysis and HQ inception interviews	▓	▓									
Inception mission to Addis Ababa, Somali region, Tigray (17-26 Feb)		▓									
Draft inception report (10 March)			▓								
Final inception report				▓							
Data collection and analysis											
Affected population survey				▓	▓	▓					
Data cleaning and analysis				▓	▓						
Humanitarian aid worker survey					▓						
Evaluation analysis				▓	▓						
Context analysis				▓	▓						
Remote interviews with former staff and HQ				▓	▓						
Document analysis				▓	▓	▓	▓	▓			
Evaluation mission to Addis Ababa, Oromia and Afar (12-24 May)					▓						
Report writing and dissemination											
Draft evaluation report (23 Aug)						▓	▓	▓			
Comments by IAHE management group (6 Sept)									▓		
Revised draft evaluation report (13 Sept)									▓		
Circulation to Advisory Group and Steering Group (17 Sept)									▓		
Workshops and briefings in Somali region, Tigray, Afar, Oromia, and Addis Ababa (24 Sept-1 Oct)									▓		
Workshop and individual briefings with key stakeholders at global level (Oct)									▓	▓	
Final evaluation report and information materials											▓
Communication of results to affected people									▓	▓	
Additional dissemination											▓

4.4 Evaluation Deliverables and Dissemination Plan

74 The evaluation will produce the following key deliverables, which will be disseminated to key evaluation stakeholders to ensure buy-in for the evaluation approach, and support implementation of evaluation results:

75 **Advisory Group inception workshop (completed).** The evaluation team held a 1.5 hour workshop with the in-country Advisory Group and the IAHE Management Group to validate the evaluation approach and methods, and discuss emerging themes.

76 **Draft inception report.** The IAHE Management Group, the Ethiopia Humanitarian Country Team, the in-country Advisory Group and the IAHE Steering Group will be invited to comment on the draft inception report. The evaluation team will respond to each comment in a comment matrix.

77 **Final inception report.** Following the IAHE Steering Group's approval of the final inception report, the evaluation team will share the report via email with all stakeholders interviewed during the inception mission, to thank them for their input, feed back the results of the inception mission, and keep them engaged in the process.

78 **Updates to the IAHE Steering Group.** The evaluation manager will keep the IAHE Steering Group updated throughout the evaluation process. The evaluation team will provide short presentations to update the Steering Group when and as agreed with the evaluation manager.

79 **Advisory Group main evaluation mission workshop.** The evaluation team will hold a 2.5 to 3 hour workshop with the in-country Advisory Group and the IAHE Management Group at the end of the main evaluation mission to discuss emerging findings. The Humanitarian Coordinator will be invited to participate in this workshop and will be offered a bilateral debriefing as an alternative.

80 **Draft evaluation report.** The IAHE Management Group, the Ethiopia Humanitarian Country Team, the in-country Advisory Group and the IAHE Steering Group will be invited to comment on the draft evaluation report.

81 **Results workshops.** The draft evaluation results and recommendations will first be discussed with key stakeholders in the four regions visited (Afar, Oromia, Somali, Tigray) and in Addis Ababa. The objective of the workshops is to get additional feedback on and validate the draft findings, and refine draft recommendations to ensure that they are actionable. Following the country-level workshops, the team will hold a results workshop with global-level stakeholders in Geneva. The workshops will last approximately half to three quarters of a day.

82 **Individual briefings.** In addition to group workshops, the evaluation team will also offer individual briefing to high-level officials in the Ethiopia Humanitarian Country Team and the Ethiopian Government (see Stakeholder analysis above for more details).

83 **Final evaluation report and dissemination.** The evaluation team will respond to all comments received through the comment matrix, and include the results from in-country and global workshops in a final evaluation report. The final evaluation report will be approved by the IAHE Steering Group. The report will also include an executive summary and an infographic to facilitate the uptake of findings and recommendations. Following the Steering Group's approval, the evaluation team will:

- Share the evaluation report with all global, national and regional stakeholders interviewed and surveyed for the evaluation;
- Disseminate evaluation results to drought-affected people surveyed for the evaluation in four regions. The team will use the method suggested by affected people themselves in the survey. This could include for example a poster displaying the evaluation results and recommendations, which *woreda* and *kebelle* officials can post on the administration's blackboard;
- Present evaluation results and recommendations to selected relevant fora, as agreed with the evaluation manager.

5 Quality Assurance

84 GPPi conforms to the United Nations Evaluation Group (UNEG) standards, the OECD/DAC quality standards, and the Evaluation Quality Proforma of the Active Learning Network for Accountability and Performance (ALNAP), of which GPPi is a member. We are committed to the principles of quality, integrity, and learning, and we comply with the UN Ethical Guidelines as well as the Inter-Agency Standing Committee's Guidance for Inter-Agency Humanitarian Evaluations.

85 To ensure the high quality of the Ethiopia Inter-Agency Humanitarian Evaluation, GPPi will use the following quality assurance process, based on our long experience and track record in conducting evaluations:

- **Close teamwork.** The five members of the evaluation team are committed to a workplan that includes frequent, dedicated opportunities for the team to reflect jointly on the process and the findings. The two GPPi team members have several years of experience in working with external partners to implement evaluations and research assignments. The three Ethiopian team members were selected based on strong recommendations from trusted members of GPPi's network and very positive reference checks with former employers. They bring complementary skills to the team and have guaranteed their availability for the duration of the assignment.

- **Early planning.** The evaluation team plans all the steps of the evaluation early and assures quality through timely feedback and guidance from the team leader on early drafts of the outputs prepared by team members. The timeline includes buffers in case one of the deliverables requires additional, initially unforeseen work to live up to our high quality standards. The team is prepared to invest additional effort in such cases.

- **Close communication with evaluation management.** The evaluation team maintains close communication with the evaluation management group, including with regard to project and mission planning. This ensures that the priorities we have set reflect the interests of the evaluation management, advisory, and steering groups, and that potential limitations are well understood. In so doing, the team guarantees that the evaluation findings are independent and reflect only the evidence collected.

- **Peer review.** All key deliverables will undergo a rigorous peer review process. The dedicated, internal peer reviewer for this evaluation is the GPPi non-resident fellow and former ICRC delegate Urban Reichhold. The statistical impact analysis will be subject to peer review by the GPPi quantitative expert Janika Spannagel. The needs assessment analysis will be reviewed by the assessment expert Patrice Chataigner.

- **Copyediting.** All products and public outputs will be copyedited by a professional, native English-speaking editor.

Annex A: List of People Consulted

Last Name	First Name	Position	Organization	Type	M/F
Addis Ababa					
Alvarez-Sala	Jorge	WASH Specialist	UNICEF	UN	M
Amsalu	Habtamu		Dan Church Aid (DCA)	INGO	M
Asfaw	Dinkneh	Country Director	GOAL Ethiopia	INGO	M
Atrafi	Helene	Durable Solutions Coordinator	Resident Coordinator's Office	UN	F
Atsbha	Gebreselassie	Deputy Department Head	Ethiopian Orthodox Church Inter Church Aid Commission (EOC-DICAC)	NNGO	M
Bekele	Tadesse	Senior DRM Advisor	NDRMC	Gov	M
Benalfew	Yemisrach	Programme Officer, Migration & Protection	Embassy of Switzerland	Donor	F
Brown	Edward G.	Country Director	World Vision	INGO	M
Chuma	Aeneas	UN Resident Coordinator, UNDP Resident Representative and UN Humanitarian Coordinator		UN	M
De Beko	Segolene	Head of Office	DG for European Civil Protection and Humanitarian Aid Operations (ECHO)	Donor	F
De Sousa	Alexandra	Deputy Head of Office	UNOCHA	UN	F
Devereux	Lesley Ann	Grants Coordinator	GOAL Ethiopia	INGO	F
Elamin	Rasha	EVAW / Humanitarian Specialist	UNWOMEN	UN	F
Gabramaskar	Hagos		Action Aid	INGO	M
Gebrehana	Gezahegn	Country Director	Oxfam - GB	INGO	M
Gebru	Gebreegziabher	UN Agencies Cooperation Team Leader	Ministry of Finance & Economic Development	Gov	M
Getachew	Rahel	Information Management Officer	OCHA	UN	F
Hailemariam	Kidist	Business Development & Communication Manager	SOS - Sahel	INGO	F
Halake	Roba	Humanitarian Response Manager	Save the Children	INGO	M
Kebede	Biruk	Humanitarian Affairs Officer	OCHA	UN	M
Kibur	Martha	Evaluation Specialist	UNICEF	UN	F
Kurbis	Biran	Senior Humanitarian Advisor (Acting)	USAID/OFDA	Donor	M
Lawson-Marriott	Sibi	Head of Programme	WFP	UN	F
Lemma	Gebregziabher	Emergency Officer	UNICEF	UN	M
Lench	Tsegaw		Action Aid	INGO	M
Mander	Timothy	EHF Program Manager	OCHA/ EHF	UN	M

Last Name	First Name	Position	Organization	Type	M/F
McManus	Patrick	Head of Development	Embassy of Ireland	Donor	M
Mezgebu	Fiseha	Program Director	Mothers & Children Multisectoral Development Organization (MCMDO)	NNGO	M
Minetti	Andrea	EcoSec Coordinator	ICRC	RC/RC	M
Moges	Bekele	Executive Director	Ethiopian Catholic Church Social & Development Commission	NNGO	M
Muhren	Dr. Willem	Head, Information Management Unit	OCHA	UN	M
Negessa	Yoseph	Executive Director	Action for Development (AfD)	NNGO	M
Nkweta-Salami	Clementine	Representative	UNHCR	UN	F
Ntanko Espico	Iga Denis	Agriculture Sector Information Manager	IMMAP	UN	M
O'Donovan	Aileen	Deputy Head of Development	Irish Aid	Donor	F
O'Neill	Orla	Nutrition Cluster Coordinator	UNICEF	UN	F
Priebe	Alexandra	Evaluation Officer	WFP	UN	F
Rodriguez	Juan Carlos	Deputy Chief, Office of Assets and Livelihoods in Transition	USAID	Donor	M
Rufael	Kendie	Development Department Head	Ethiopian Orthodox Church Inter Church Aid Commission (EOC-DICAC)	NNGO	M
Seid	Fatouma	Representative	FAO	UN	F
Seifeselassie	Tewaney	Program Officer	Ethiopian Orthodox Church Inter Church Aid Commission (EOC-DICAC)	INGO	M
Shewareged	Dr. Meshesha	Secretary General	Ethiopian Red Cross Society	RC/RC	M
Shumlansky	John	Country Representative	CRS	INGO	M
Silke	Ciara	Climate and Environment Advisor	DFID	Donor	F
Simeneh	Girmaw		Action Aid	NGO	M
Sortino	Salvatore	Emergency Post-Crisis Unit	IOM	UN	M
Tami	Farshad	Agriculture Sector Coordinator		UN	M
Ullmann	Michal	Humanitarian Affairs Officer, Inter-cluster coordination	OCHA	UN	F
Watts	Esther	Country Director	CARE	INGO	F
Wood	Samuel	Humanitarian Director	Save the Children	INGO	M
Woyessa	Alemu	Emergency Project Coordinator	SOS - Sahel	INGO	M
Jigjiga					
Abdi	Ali		Regional Health Bureau	Gov	M
Abdi	Dr. Abdurahman	Health Cluster Coordinator		UN	M
Abdi Abas	Ahmed	Branch Secretary	Ethiopian Red Cross Society - Somali Branch	RC/RC	M
Abdi Ali	Mohamed		Save the Children	INGO	M
Abdi Doud	Ahmed	Regional PSNP Coordinator	Somali Regional Agriculture Bureau	Gov	M
Abdille	Zeynab	Chair	Mother & Child Development Organization (MCDO)	NNGO	F

Last Name	First Name	Position	Organization	Type	M/F
Abdulahi	Dr. Abdiaziz	Animal Health Directorate	Regional Livestock Bureau	Gov	M
Abdullahi	Hassan	Pastoral Development Director, Chair Disaster Risk Management Agricultural Task Force	Regional Livestock Bureau	Gov	M
Aden	Towfik	Program Operations Manager	Save the Children	INGO	M
Aden Ismail	Abdirahman		Save the Children	INGO	M
Balata	Solomon	Planning and Budgeting Coordinator	Regional Livestock Bureau	Gov	M
Bihi	Abdulahi	Regional Manager Somali Region	Concern Worldwide	INGO	M
Dradri	Simon	Head of Area Office	WFP	UN	M
Farah Abdi	Faysal	USAID - PRIME Project Coordinator	Mercy Corps	INGO	M
Garat	Abdirahim	Field Coordinator	VSF-Suisse	INGO	M
Haaji	Dr. Jowhar Yusuf	Vice Bureau Head	Regional Health Bureau	Gov	M
Hassan	Mustafa	Monitoring and Evaluation	Regional Livestock Bureau	Gov	M
Hassan	Abdinasir	Area Manager Jigjiga	Danish Refugee Council	INGO	M
Ibrahim	Mohamed	RPLRP Coordinator	Regional Livestock Bureau	Gov	M
Kamwaga	Stanislaus	WASH Cluster Coordinator	UNICEF	UN	M
Kunwar	Kamal	WASH Coordinator	UNICEF	UN	M
Kutschenreuter	Drew		IOM	UN	M
Machokolo	Richard	Nutrition Cluster Coordinator	UNICEF	UN	M
Mahad	Abdikadir	Program Associate	WFP	UN	M
Moehin	Omer	Health Coordinator	International Rescue Committee	INGO	M
Mohamed	Mohamed Fatah	Head of DPPB	Disaster Prevention and Preparedness Bureau	Gov	M
Mohamed	Muktar	Korahci, Jarar, Erer, Nogob zones	Disaster Prevention and Preparedness Bureau	Gov	M
Mohamed	Abdurahman	Education Specialist	UNICEF	UN	M
Mohamed Nour	Abdirizak	Livestock Production Directorate	Regional Livestock Bureau	Gov	M
Mohammed	Abdiduh	Emergency Coordinator	International Rescue Committee	INGO	M
Mohammed	Abdurahman	Education Specialist (former Regional Ed Cluster Coordinator)	UNICEF	UN	M
Mohamoud	Ahmed	Regional Manager	Organization for Welfare & Development in Action (OWDA)	NNGO	M
Mohamud Mohamed	Kader	Food Security Coordination Directorate Director	Somali Regional Agrculture Bureau	Gov	M
Muhumed	Mohammed	WASH Coordinator	International Rescue Committee	INGO	M
Njau	Joseph	Nutritionist	WFP	UN	M

Last Name	First Name	Position	Organization	Type	M/F
Ojota	Moses	Program Policy Officer	WFP	UN	M
Sheriff	Teyib	Natural Resource Management Officer	FAO	UN	M
Shumila	Stephen	Drought Response Manager	Oxfam	INGO	M
Tilahun	Sintayehu	Emergency Response Manager	CARE	INGO	M
Yussuf	Mohamed	Health	Save the Children	INGO	M
Yusuf	Abdirahman	UN & NGO Director	Disaster Prevention and Preparedness Bureau	Gov	M
Ziad	Mohammed	Area Manager	HAVOYOCO	NNGO	M
Mekelle					
Abadi	Hagos	Mekelle Field Office Manager	Save the Children	INGO	M
Asfeha	Tesfaye	North region office technical program coordinator	World Vision International	INGO	M
Atsbaha	Atsbaha	Team Leader	Bureau of Education	Gov	M
Atsbaha	Redae	Head of field office	OCHA	UN	M
Aynalem	Nigusse	Officer in Charge	RDPPB/DRM/EWA	Gov	M
Dube	Clara	Head of Office	UNICEF	UN	F
Gezae	Solomon	Officer in Charge	WFP	UN	M
Haile	Nigist	Head of Field Office	FAO	UN	F
Kalayu	Getachew	Head, Planning and Coordination Department	REST - Relief Society of Tigray	NNGO	M
Merlib	Erpib	SURE coordinator	Bureau of Nutrition	Gov	F
Rufael Zewdie	Nigisti	Deputy Head, Head of Protection Sector	Labour and Social Affairs Bureau	Gov	F
Teklit	Girmay	WASH coordinator	Bureau of Water	Gov	M
Tesfu Alemu	Alemu	Head of Office	UNFPA	UN	M
Global Level					
Burgeon	Dominique	Director, Emergency and Rehabilitation Division	FAO	UN	M
Dakkak	Henia	Chief, Humanitarian and Fragile Contexts Branch a.i.	UNFPA	UN	F
Fay	Áine	President	Concern Worldwide / Interaction	INGO	F
Hilding	Sarah	Operations and Advocacy Division OAD	OCHA	UN	F
Karp	David	Regional Bureau for Africa	UNHCR	UN	M
Kiernan	Deirdre	Emergency Specialist for Eastern and Southern Africa Desk	UNICEF	UN	F

Last Name	First Name	Position	Organization	Type	M/F
Leaity	Grant	Deputy Director, Office of Emergency Programmes	UNICEF	UN	M
Maina	Juliet	Global Focal Point for Anglophone Africa	WHO	UN	F
Mokaya Orina	Bruce	Deputy Regional Director for Africa	ICRC	RC/RC	M
Olesambu	Emmanuella		FAO	UN	F
Saeed	Wafaa	Chief Africa 1 Section	OCHA	UN	F
Shirato	Jun	Senior Emergency Coordinator, Division of Emergency, Security and Supply	UNHCR	UN	F
Shukri	Ahmed	Deputy for the FAO resilience programme	FAO	UN	M

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Annex C: Draft Affected People Survey

Notes for the enumerator:

- Always be respectful to the people you speak to (even if they are not respectful to you).

- Give people the leaflet and explain the objectives of the research.

- Remember that participation is voluntary; no one will be forced to participate in the survey.

- Ensure confidentiality and anonymity. Always keep the forms with you, and do not note down any names.

Introduction and Consent

Hello, my name is _____, and I am part of an independent team of researchers. We evaluate whether international aid during the recent droughts in Ethiopia was managed well. We are interested in speaking to people in different parts of the country, both those who have and those who have not received aid. The aim is to get your perspective on whether or not the aid provided was useful and fair, and to learn what can be improved next time.

The survey takes about 30 minutes. It is anonymous: We will not write down your name, and we will not share the details of what you told us with anyone here. In the report we write, we will only state what people together – not as individuals – have told us. Please feel free to talk to us openly.

Your answers will not influence whether or not you will receive aid in the future. As a sign of gratitude for the time you spend on this survey, we brought you two bars of soap/other item. If you find anything wrong with my behavior, you can call the number on the leaflet.

Your participation is voluntary. If there is any question you do not want to answer, you do not have to.

Would you like to participate? ☐ Yes   ☐ No

Do you have any questions before we start?

Code No: _____
Date: _____

Name of Woreda: _____
Name of Kebelle: _____
Name of Enumerator: _____

Demographic Characteristics

Age of the person interviewed: _____

Sex of the person interviewed: ☐ Male ☐ Female ☐ Other

Is the Interviewee the head of the household? ☐ Yes ☐ No

Does the Interviewee have a disability? ☐ Yes ☐ No

If so, which kind of disability? _____

Household size ☐ < 3 ☐ 3–5 ☐ > 5

Are there people with difficulty hearing, walking, or speaking in the household? ☐ Yes ☐ No

Are there people who are chronically ill (physically or mentally) in the household? ☐ Yes ☐ No

Main source of income or subsistence:

☐ Farming ☐ Cattle raising ☐ Trading ☐ Other, please specify: _____

Questionnaire

Assistance received	
* = Questions only for people who have received assistance one or more times	
1. When did this area experience drought in the past years?	☐ *2015* ☐ *2016* ☐ *2017* ☐ *2018*
2. What kind of assistance did your family receive during the droughts?	☐ None ☐ Food ☐ Fodder for animals ☐ Vaccination for animals ☐ Animal slaughter ☐ Seeds ☐ Fertilizer ☐ Water ☐ Sanitation ☐ Hygiene training ☐ Household items ☐ Shelter materials ☐ Health services ☐ Malnutrition treatment ☐ School feeding ☐ Education support ☐ Cash ☐ Information ☐ Protection services to support against abuse, exploitation ☐ Other: _____
3. * When did you receive assistance for the first time?	☐ *2015* ☐ *2016* ☐ *2017* ☐ *2018* *Month:_____*
4. Who provided the assistance?	☐ The government ☐ A local NGO/charity ☐ An international NGO ☐ The United Nations ☐ The Red Cross ☐ Our neighbors/friends ☐ Family members living abroad ☐ I don't know
Consultation and process	
5. Were you asked about your needs and priorities before people brought the assistance?	☐ Yes ☐ No
6. Did someone explain the criteria for receiving assistance?	☐ Yes ☐ No
7. Was it clear to you what you would receive, when, and how often?	☐ Yes ☐ Somewhat ☐ No
8. What do you think are the criteria for selecting people for assistance?	(Open question - please note what type of assistance respondents are referring to)
9. * Did those providing assistance treat you with respect?	☐ Yes ☐ Somewhat ☐ No
10. Was it clear how you could complain, in case this was necessary?	☐ Yes ☐ No
11. * How easy was it for you to access the assistance?	☐ Easy ☐ Somewhat difficult ☐ Very difficult
12. (If somewhat difficult or very difficult) Why?	(Open question)
Relevance	
13. * Did the assistance include what you needed most?	☐ Yes ☐ No
14. * (If not) What would you have needed instead?	(Ask question openly, note down answers by sector): ☐ Agriculture: _____

	☐ Education: _____ ☐ Shelter, non-food items: _____ ☐ Food: _____ ☐ Health: _____ ☐ Nutrition: _____ ☐ Water and sanitation: _____ ☐ Protection from threats: _____ ☐ Other: _____
15. * How long after the drought started did you get the assistance?	☐ <1 month ☐ 1–2 months ☐ 2–5 months ☐ > 5 months
16. * Are you satisfied with the quality of the assistance provided?	☐ Yes ☐ Somewhat ☐ No (Please note if answers are different for different types of assistance): _____
17. * (If not) Why not?	(Open question)
18. * Are you satisfied with the quantity of the assistance provided?	☐ Yes ☐ Somewhat ☐ No (Please note if answers are different for different types of assistance): _____
19. How useful was the assistance to help you immediately?	☐ Not useful ☐ Somewhat useful ☐ Very useful
20. How useful was the assistance to improve your situation in the longer term?	☐ Not useful ☐ Somewhat useful ☐ Very useful
21. (Only for respondents who experienced several droughts since 2015) Was the assistance you received during the last drought better than during the previous drought? Why?	☐ Yes ☐ No Explanation:_____
Effectiveness	
22. How did the drought affect your family?	☐ At least one adult died (male or female?) ☐ At least one child died (male or female?) ☐ At least one person got sick (male or female?) ☐ Crops or animals died ☐ We moved somewhere else ☐ We sold land or cattle ☐ Other: _____
23. How does your living standard now compare to before the drought?	☐ Improved ☐ Stayed the same ☐ Worsened
24. * What effects did the assistance have on you and your family?	(Ask the question openly, note down answers per sector and ask follow-up questions relating to the type of assistance received): ☐ Agriculture: _____ ☐ Education: _____ ☐ Shelter, non-food items: _____ ☐ Food: _____ ☐ Health: _____ ☐ Nutrition: _____ ☐ Water and sanitation: _____ ☐ Protection from threats: _____
25. * What would have happened if assistance was not provided?	☐ Displacement

	☐ Had to sell assets (land, livestock, etc.) ☐ Had to borrow money ☐ (More) people would have died in my family ☐ Other: _____
26. Did the assistance have any negative effects on you or your community?	☐ Yes ☐ No
27. (If yes) What were these effects?	(Open question)
28. Did the assistance create or reinforce any tensions or conflicts within your community or with other communities?	☐ Yes ☐ No
29. * Compared to the last drought, how well do you think your household would be able to cope with a similar drought today?	☐ Less well ☐ Same ☐ Better
Impartiality	
30. In your opinion, was the assistance distributed in a fair way?	☐ Yes ☐ No
31. Did the assistance reach the persons who needed it most in your community?	☐ Yes ☐ No
32. Was there anybody who was left out?	☐ Yes ☐ No
33. (If yes) Who?	☐ Poor people ☐ Those who lost livestock ☐ People with disabilities ☐ Children ☐ Elderly people ☐ Women ☐ Displaced people ☐ People who live far away from the road ☐ Other: _____
34. We would like to speak to people in the community who might not have received assistance although they needed it. Who should we speak to? (Also enquire about other groups still missing from the sample.)	(Open question)
Recommendations	
35. If there will be another drought, what three things should humanitarian actors do differently?	1. _____ 2. _____ 3. _____
Dissemination	
36. How would you like to be informed of the evaluation results?	(Open question)

Annex D: Draft Evaluation Interview Guide

The interview guide presented here is modular, i.e. it has different sets of questions for stakeholders engaged in different response sectors, as well as certain questions that apply only to a specific type of stakeholder. This will enable the interviewer to adapt the questionnaire to the specific background of each interviewee. In addition, some interviews will not follow this guide, but will explore specific themes instead.

Introduction

Objectives and focus of the evaluation

Confidentiality and data protection measures

Background

- Role and response sector
- Involvement in which drought response(s)
- Focusing on which geographic area in Ethiopia

Relevance

1) How reliable was the **needs assessment** data used for planning?
2) To what extent do the planning documents and priorities reflect the needs and priorities of affected people and of vulnerable groups?
3) What were the **most significant adaptations** of the response between 2015 and 2018? Were there any lessons that were not learned?

Effectiveness

4) To what extent did the response achieve its declared objectives? What data or monitoring reports exist that demonstrate that?

[For interviewees involved in a specific response sector]

5) Were activities in your sector of operation implemented according to plan? Were they the right activities to reach the stated objectives?

Agriculture
Emergency livestock interventions (fodder, water, vaccination, destocking)
Emergency seed and fertilizer
Disaster mitigation measures (irrigation, crop and vegetable production, fodder production)

Education
School feeding
Activities to create a protective environment for school-age children and adolescents

Shelter / NFI
Provision of emergency shelter & NFI materials
Population movement tracking, registration, profiling
Shelter resilience & disaster risk mitigation

Food
Food distribution
Preparedness measures

Health

Provision of life-saving health services
Detection and response to epidemic disease outbreaks; coordination and incident command processes
Capacity strengthening of health services
Integrated primary health; reproductive health

Nutrition
SAM identification and treatment
MAM identification and treatment
Caring and feeding practices for children and pregnant and lactating women
Continuum of case
Integrated response with WASH, Health, Food / Cash

Protection
Coordination, analysis and monitoring of protection
Protection systems for GBV, neglect, abuse, exploitation

WASH
Emergency water supply for human and livestock consumption
Sanitation services
Hygiene promotion
Rehabilitation of non-functional WASH infrastructure

[All]

6) Were any **geographical areas** under- or over-served during the response? Why?
7) Based on your own and collective monitoring, did aid **reach those most in need**? If not, who was (likely) left out?
8) How were cross-cutting issues (gender, age, disability, environment) integrated in the response? Was this adequate? What else could have been done?
9) What measures did your organization put in place to ensure that the response was **conflict-sensitive**? Were those issues discussed in coordination fora?
10) In your view, did the balance between different **sectors and types of interventions** adequately reflect needs? If not, which sectors were over- or under-served? Why?
11) Do you know of any **unintended effects** the response has had on drought-affected people and communities?

Sustainability

[For international aid actors]

12) What kind of capacity strengthening measures for the government did your response include?
13) Do you have any evidence on whether government service delivery improved?

[For government]

14) Did the response strengthen government service provision? How? Do you have any evidence on this?

[All humanitarian]

15) What role did development actors play during the response? Was this appropriate / sufficient? If not, what other opportunities would there have been to link to development actors?

[Development actors]

16) Did you participate in any way in the drought response?
17) Were you approached by any humanitarian actors and did you participate in relevant coordination fora?

18) Would there have been other opportunities for involving or linking with development actors during the response?

19) Do your regular programs include disaster risk reduction, mitigation or preparedness activities?

20) Do you have any crisis modifiers or similar ways to adapt your response in your organization?

Partnership and Localization

21) Do you believe that the relationship between the humanitarian system and the Government of Ethiopia was handled in an appropriate way? Why / why not?

22) Did you work with national or local NGOs during the response? Why / why not?
   If yes: Did you include any capacity strengthening measures in your activities?

[For local NGOs]

23) What was your role in the response?

24) Did the response strengthen your capacities? Why / why not? How?

25) Would there have been any other opportunities for involving national and local NGOs and strengthening their capacities?

Coordination

[For organizations with a sectoral focus]

26) How effective was coordination in your sector / cluster? Why?

27) Which other sectors / clusters did you (and your cluster) coordinate with?

[All]

28) How well did overall strategic coordination and inter-cluster coordination work? Why? Do you know of any examples where duplications were avoided through coordination?

29) Do you know of any gaps that could not be filled despite coordination?

30) Did your organization have **funding** available in time to start the response? If not, when did funding arrive for your biggest program, and when did you begin implementation? Were there any delays? Why?

31) Did donor priorities reflect the priorities set by the humanitarian system in Ethiopia?

32) Was there a strong collective effort to mobilize resources? If so, how successful was it? Did donor policies foster cooperation or engender competition among humanitarian agencies?

33) In your view, did the **pooled fund** and CERF allocations prioritize the right interventions and were they effective as funding instruments? Why or why not?

Factors / Recommendations

34) Were there any other factors that either enabled or hindered an effective response?
   Are there any **global reform or support mechanisms** that were helpful for the drought responses in Ethiopia? Were there any that were not working or were missing?
      What are your top three **recommendations** for improving the way the humanitarian system in Ethiopia functions, in order of priority?

35) What specific steps could be taken to achieve this?

Closing

36) Are there any documents we should read or any relevant data you could share?

[Explain process going forward]

Annex E: Draft Aid Worker and Donor Survey

About this survey

Thank you for participating in this survey. The results will feed into the inter-agency humanitarian evaluation of the drought responses in Ethiopia from 2015 to 2018. The evaluation has been commissioned by the Inter-Agency Standing Committee (IASC) and is implemented by the Global Public Policy Institute (GPPi). It aims to provide an independent assessment of the collective effects of the humanitarian system's support of Ethiopia's government-led drought responses and also make recommendations for future disasters. The evaluation does not assess the performance of individual humanitarian agencies or the Ethiopian government.

Your submission is anonymous. We invite you to share your own frank assessment, not official agency positions. The GPPi team collects and analyzes survey responses in aggregate – individual answers will not be shared. Questions related to your current location, your organization and other identifiers are necessary for the GPPi team's analysis. Results will not be presented in a way that would compromise any respondent's anonymity or attribute opinions to their organization.

The team greatly appreciates your participation. The deadline is 26 April 2019. Completing the survey will take about 15 minutes. If you have any questions or comments, please write to GPPi at: iahesurvey@gppi.net.

About the respondent

1. What organization do you work with? (Your responses will **not** be attributed to your organization in the analysis. The information will only be used to analyze the balance of the respondent sample).
    - ☐ Ethiopian government, please specify: _____
    - ☐ United Nations Organization, please specify: _____
    - ☐ Cluster, please specify:
    - ☐ International non-governmental organization, please specify: _____
    - ☐ National non-governmental organization, please specify: _____
    - ☐ Red Cross/Red Crescent movement, please specify: _____
    - ☐ Donor government, please specify: _____
    - ☐ Other

2. In which drought responses have you been involved?
    - ☐ 2015/2016 (El Niño)
    - ☐ 2017/2018 (Indian Ocean Dipole)
    - ☐ None of the above (→ *exit the survey*)

3. What kind of position did you have at that time?
    - ☐ Technical staff (e.g. nutrition officer, field officer, information management officer)
    - ☐ Management (e.g. head of sub-office; emergency coordinator)
    - ☐ Administrative staff (e.g. finance assistant)
    - ☐ National / resident staff
    - ☐ International / mobile staff

4. Where did you work at that time?
    - ☐ Global level
    - ☐ Regional level (e.g. Nairobi)
    - ☐ Addis Ababa
    - ☐ Afar region
    - ☐ Tigray region
    - ☐ Oromia region

☐ Somali region
☐ SNNP region
☐ Amhara region
☐ Other region, please specify: _____

5. What is your organisation's <u>primary</u> focus of work?
☐ Agriculture
☐ Education
☐ Shelter / Non-Food Items
☐ Food
☐ Health
☐ Nutrition
☐ Protection
☐ Water, Sanitation and Hygiene (WASH)
☐ Coordination
☐ Multisectoral
☐ None of the above

6. Please state your sex.
☐ Female
☐ Male
☐ Other

Relevance & coordination

7. What was the duration of the main funding contracts your organization used to respond to the droughts?
(Check all that apply)
☐ Less than 6 months
☐ 6 months
☐ 7–11 months
☐ 12 months
☐ Multi-year funding
☐ I do not know

8. Which funding mechanisms were most important in enabling a timely response? *(Check all that apply)*
☐ Internal emergency funds of my organization
☐ Funds provided by bilateral donors
☐ Development resources made available for quick response through crisis modifiers
☐ Ethiopia Humanitarian Fund
☐ Central Emergency Response Fund
☐ Resources provided by the government of Ethiopia
☐ Other, please specify: _____

9. Based on your experience with drought response in Ethiopia, to what extent do you agree or disagree with the following statements? *(Slider scales: "Fully agree" to "Fully disagree")*

☐ My organization's views and priorities were well represented in the coordination system.
☐ The Humanitarian Country Team followed a clear engagement strategy with the government.
☐ The needs assessment data used for collective response planning was accurate.
☐ Priorities expressed by drought-affected people were taken up during humanitarian planning.

Comments (optional):

10. Compared to the last drought, how would you assess the humanitarian community's preparedness for the next potential drought?
    - ☐ Better prepared than last time
    - ☐ Same level of preparedness
    - ☐ Not as well prepared as last time

11. To what extent were lessons from earlier drought responses in Ethiopia implemented in recent drought responses? *(Please only answer if you were involved in the response to more than one recent drought in Ethiopia)*
    - ☐ Very strongly
    - ☐ A little
    - ☐ Not at all

    Comments (optional):

Effectiveness & sustainability

12. Did any geographic areas in Ethiopia receive too much or too little assistance, relative to the severity of drought needs?
    - ☐ Yes
    - ☐ Probably
    - ☐ No
    - ☐ I do not know

13. (If yes/probably): Which areas received too much assistance relative to need, and why? (Open)

14. (If yes/probably): Which areas got too little assistance relative to need, and why? (Open)

15. How do you judge the overall prioritization of sectors in the drought responses? [Two separate questions for the two main responses]

Sector			
Agriculture and livestock	☐ Too little	☐ Adequate	☐ Too much
Education	☐ Too little	☐ Adequate	☐ Too much
Emergency shelter / non-food items	☐ Too little	☐ Adequate	☐ Too much
Food	☐ Too little	☐ Adequate	☐ Too much
Health	☐ Too little	☐ Adequate	☐ Too much
Logistics	☐ Too little	☐ Adequate	☐ Too much
Nutrition	☐ Too little	☐ Adequate	☐ Too much
Protection	☐ Too little	☐ Adequate	☐ Too much
Water, sanitation, and hygiene	☐ Too little	☐ Adequate	☐ Too much

16. Based on your experience with the drought response in Ethiopia, to what extent do you agree or disagree with the following statements? *(Slider scales:"Fully agree" to "Fully disagree")* [Two separate questions for the two main responses]

    - ☐ Drought assistance reached those most in need.
    - ☐ The drought response contributed to making people more resilient in the event of a future drought.

☐ Aid dependency was avoided.
☐ The drought response did not fuel inter-community conflict.

17. Comments (optional):

Explanatory factors & recommendations

18. What are the three main factors that enabled an effective response to the 2015/16 and 2017 droughts in Ethiopia?

_____   _____   _____

19. What are the three main factors that hindered an effective response to the 2015/16 and 2017 droughts in Ethiopia?

_____   _____   _____

20. If you could change <u>one</u> thing to improve the humanitarian community's collective response during a future drought, what would it be?

_____

Annex F: Field Work Plan

May evaluation mission

Day	Team 1	Team 2
11.5. SAT	Travel to Addis Ababa	
12.5. SUN	<u>Addis Ababa</u> Team analysis	
13.5. MON	<u>Addis Ababa</u> Planning meeting with OCHA Ethiopia Short mission briefing to the Ethiopia Humanitarian Country Team (optional) Travel to Afar/Oromia	
14.5. TUE	<u>Afar (Semera TBC)</u> Briefing with OCHA field office Interviews with government, UN agencies, NGOs, Red cross	<u>Oromia (hub, TBC)</u> Briefing with OCHA field office Interviews with government, UN agencies, NGOs, Red cross, donors
15.5. WED	<u>Afar</u> Interviews with government, UN agencies, NGOs, Red cross	<u>Oromia</u> Interviews with government, UN agencies, NGOs, Red cross
16.5. THU	<u>Afar</u> Focus groups with affected people location 1 and 2	<u>Oromia</u> Focus groups with affected people location 1 and 2
17.5. FRI	<u>Afar</u> Interviews with government, UN agencies, NGOs, Red cross Travel to Addis	<u>Oromia</u> Interviews with government, UN agencies, NGOs, Red cross Travel to Addis
18.5. SAT	<u>Addis Ababa</u> Team analysis	
19.5. SUN	<u>Addis Ababa</u> Team analysis Debriefing Evaluation Manager	
20.5. MON	<u>Addis Ababa</u> Interviews with government, UN agencies, NGOs, Red cross, donors	
21.5. TUE	<u>Addis Ababa</u> Interviews with government, UN agencies, NGOs, Red cross, donors	
22.5. WED	<u>Addis Ababa</u> Interviews with government, UN agencies, NGOs, Red cross, donors Debriefing IAHE Management Group	
23.5. THU	<u>Addis Ababa</u> Workshop/debriefing preparation Workshop with the in-country Advisory Group / HCT members	
24.5. FRI	Interviews with government, UN agencies, NGOs, Red cross, donors Departure	

September workshop mission (dates TBC)

Day	Team 1	Team 2
MON/TUE 23/24.9.	Travel to Addis Ababa and Regions	
WED 25.9.	<u>Somali</u> Results workshop with government, UN agencies, NGOs, Red cross	<u>Oromia</u> Results workshop with government, UN agencies, NGOs, Red cross
THU 26.9.	(optional: bilateral briefings) Travel to Afar	(optional: bilateral briefings) Travel to Tigray
FRI 27.9.	<u>Afar</u> Results workshop with government, UN agencies, NGOs, Red cross	<u>Tigray</u> Results workshop with government, UN agencies, NGOs, Red cross
SAT 28.9.	<u>Addis Ababa</u> Travel to Addis Ababa Team preparation	
SUN 29.9.	<u>Addis Ababa</u> Team preparation	
MON 30.9.	<u>Addis Ababa</u> Briefings with individuals or specific groups (e.g. HINGO, Humanitarian Resilience Donor Group) Results workshop with representatives of the IASC members in Ethiopia (UN, NGOs, NNGOs)	
TUE 1.10.	<u>Addis Ababa</u> Working level workshop with government, UN agencies, NGOs, Red cross, donor stakeholders Departure	