

EMERGENCY OPERATION EVALUATION

(EOE) of

ETHIOPIA DROUGHT OPERATION



ERCS Drought Operation Photo IFRC

EVALUATION REPORT

25 May 2013

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ACRONYMS and TERMINOLOGY

ARCS	Austrian Red Cross Society
APDA	Afar Pastoral Development Association
ARI	Acute Respiratory Infection
ARRA	Administration for Refugee and Returnee Affairs
AWD	Acute Water Diarrhea
AZ	Africa Zone
BRCS	British Red Cross Society
CBE	Commercial Bank of Ethiopia
CBHFA	Community Based Health and First Aid
CHV	Community Health Volunteer
CMAM	Community Management of Acute Malnutrition
CSA	Central Statistics Authority
DRMFSS	Disaster Risk Management and Food Security Sector
DRR	Disaster Risk Reduction
DSG	Deputy Secretary General
EARO	East Africa Regional Office
EDP	Essential Drug Program
ENCU	Emergency Nutrition Coordination Unit
EOA	Expanded Outreach Activity
EOE	Ethiopia Operation Evaluation
EPI	Expanded Program on Immunization
ERCS	Ethiopian Red Cross Society
ERU	Emergency Response Unit
ETB	Ethiopian Birr (currency)
FSL	Food Security and Livelihoods
GAM	Global Acute Malnutrition
GFD	General Food Distribution
GOE	Government of Ethiopia
GRCS	German Red Cross Society
HC	Health Center
HEW	Health Extension Worker
HLC	High Level Coordinator
HP	Health Post
HW	Health Worker
IEHK	Interagency Emergency Health Kit
IFRC	International Federation of Red Cross and Red Crescent Societies
LLITN	Long Lasting Insecticide Treated Net
MOARD	Ministry of Agriculture and Rural Development
MOH	Ministry of Health
MUAC	Mid-Upper Arm Circumference
NGO	Non Governmental Organization
NHQ	National Headquarters
OD	Organizational Development
OSU	Operational Support Unit
OTP	Outpatient Treatment Program
PHAST	Participatory Hygiene and Sanitation Transformation
PLWHA	People Living with HIV/AIDS
PMER	Planning, Monitoring, Evaluation, and Reporting
PNS	Partner National Society
PSNP	Productive Safety Net Program
RRA	Rapid Rural Appraisal
SAM	Severe Acute Malnutrition

SC	Stabilization Center
SFP	Supplemental Feeding Program
SG	Secretary General
SRCS	Spanish Red Cross Society
TBA	Traditional Birth Attendant
UN	United Nations
UNHCR	United Nations High Commissioner for Refugees
UNICEF	United Nations Children's Fund
WASH	Water, Sanitation, and Hygiene
WatSan	Water and Sanitation
WB	Water Bureau
WFP	World Food Programme

Additional Terminology:

Kebele : Village cluster, lowest level of government administration; geographic unit of livelihood zone boundaries

Woreda : Composed of multiple kebeles, middle level of government administration; akin to district

Zone : Composed of multiple woredas, higher level of government administration

Regional State : Composed of several zones, penultimate level of government administration under the Federal State.

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Special thank goes to IFRC Ethiopia Country Representation office and the ERCS for facilitating the evaluation process and providing their insights to the emergency drought operations. Thanks in particular go to the Secretary General, Deputies Secretary General for Programs and Support Services, key members of the Health, WatSan and Logistics teams in the ERCS headquarters and field offices for their time and engagement.

Special thanks are also due to the other consulted field level Red Cross staff, kebele and woreda stakeholders and representatives, community members and volunteers involved in the operation, for their patience, openness, and willingness to participate in numerous meetings, focus group discussions and interviews.

The evaluation team would also like to thank and acknowledge the Government of Ethiopia representatives met at all levels for participating in interviews and meetings to provide their feedback and perspectives on the ERCS emergency response.

The findings of this evaluation would not have been possible without the hospitality and contributions of the people in the affected communities visited.

This report has been shared with representatives of the IFRC EARO Regional Office in Nairobi, as well as the IFRC Ethiopia Country Representation Office and the ERCS for review and comments.

EXECUTIVE SUMMARY

In July 2011, following two consecutive seasons of severe drought in the Horn of Africa and a result of the deteriorating humanitarian situation in the country, the Government of Ethiopia launched a Humanitarian Requirements Document indicating that 4.5 million people were in need of emergency assistance. The International Federation of the Red Cross and Red Crescent Societies (IFRC) launched an emergency drought appeal (MDRET010) on 5 August 2011 in support of the Ethiopian Red Cross Society (ERCS) to address and respond to the most urgent humanitarian needs in the sectors of food relief and cash grants, water and sanitation, health and institutional capacity building. The preliminary appeal requested CHF 10,978,250 for six months to assist 165,000 beneficiaries.

A revised emergency appeal was published on 26 September 2011 which included expansion of the operation to scale up activities in the water and sanitation and health sectors based on the findings from an in-depth assessment undertaken in Moyale (Borena and Liben zones), Guji and Bale zones of Oromiya Region. The revised operation was designed with a budget of CHF 28,408,085 to assist approximately 570,000 beneficiaries for 12 months in Oromia, Afar and Somali regions. At the time of the revision, the expansion of the appeal was recommended due to increased humanitarian needs and intentions to support early recovery initiatives which would address underlying vulnerabilities of the affected population for longer term impact. The revised Appeal also provided opportunity for support to key capacity-building aspects of the Ethiopia Red Cross Society (ERCS), particularly in disaster management, operations and program support functions.

At the time of the launch of the Appeal for the drought operation, the ERCS was undergoing a significant Change Management Process, including the appointment of a new Secretary General, and a review of staffing, structural and internal systems in order to enhance its capacities and improve operational efficiency and effectiveness. In order to support the expansion of the Appeal and assist the ERCS with its implementation, an Operation Support Unit (OSU) was established by the IFRC which comprised an Operations Manager, Watsan, Health and Logistics delegates. The OSU reporting capacities were strengthened by assigning a Reporting Delegate from the IFRC Country Representation Office existing structure.

Numerous challenges faced the initial roll out of proposed activities, including delays in procurement processes, logistical obstacles and recruitment delays for the appointment of ERCS technical personnel. Additional assessments were carried out in November 2011 in Afar, in order to feed into the development of a comprehensive Plan of Action for implementation of activities. However, the ERCS, IFRC and Partner National Societies noted concerns over the slow rate of implementation for planned activities. In March 2012, the IFRC Ethiopia Country Representation Office posted a Special Information Bulletin, addressing issues affecting the Ethiopian Drought Emergency Appeal that warranted further revisions. In July 2012 the Appeal was revised once again to include a budget of CHF 12 million targeting 270,000 beneficiaries to reflect the changed conditions and situations in terms of needs of affected communities in the original drought-affected areas. The reduction in the appeal corresponded to more accurately reflect the existing coverage, the adjusted needs and the delivery capacity of the ERCS, as well as adopt a transition to recovery, resilience and Disaster Risk Reduction programs and projects that addressed livelihoods, and underlying vulnerabilities.

At the time of this evaluation, the relief interventions, particularly in the sectors of WatSan and emergency Health, had not been completed or reached the targeted number of beneficiaries as planned. In December 2012, the appeal was extended to 31 August 2013 in order to allow more time for the ERCS to complete the remaining activities and allow for the roll out of interventions aimed at longer term recovery and rehabilitation.

Feedback from the IFRC, ERCS, Partner National Societies, government authorities and community representatives was solicited during the course of this evaluation, as well as inspections of

documentation, implementation sites, and operational records. It was recognized that the ERCS change management process being undertaken at the time of implementation, as well as an unclear mandate for the OSU resulting in confusion over roles, responsibility and decision making authority, had a substantial impact on the efficiency and effectiveness of the operation. Challenges were highlighted regarding coordination difficulties within the Movement, as well as a lack of clear understanding regarding who was ultimately leading the operation. While the Operation was intended to be led by the ERCS with the OSU in position to support and fill capacity gaps until new Senior and mid-management of the National Society was formed by the new Secretary General, this apparently was not clear to all stakeholders. Confusion was created due to a misunderstanding of some of the partners that the OSU would run the operations, including aspects of planning, logistics, admin, etc.

Several areas for future focus were identified throughout the evaluation, most notably the importance of preparedness and planning measures, and the need for disaster risk reduction and early recovery interventions to be factored into plans from the onset of an operation. Strengthening of needs assessment methodologies and project design to include more participatory inclusion of local authorities and communities are an area for attention in future, in order to ensure longer term sustainability of interventions, allow for the transfer of skills and knowledge, and promote a sense of local ownership and responsibility of programs. Additionally, concerted efforts to improve coordination (internal and external), information and communication systems are an area identified for attention going forward. Lastly, institutional strengthening of the national society was identified as a priority requirement, with particular concentration on building capacity in the areas of operations, financial, logistical and monitoring, evaluation and reporting.

Overall, it was concluded that despite the many challenges and delays experienced throughout the course of its implementation, the ERCS was able to realise notable achievements as a result of the drought operation, particularly the provision of much needed assistance in the sectors of emergency health, WatSan, and food aid distribution. The best practices and lessons learnt from this particular drought response operation are highly relevant and come at an opportune time, as the ERCS proceeds into the remaining stages of the operation. With the on-going review and establishment of clear Disaster Management policies, systems and SOPs, there is opportunity for the ERCS to build on this evaluation and incorporate the learnings into future operations.

I. INTRODUCTION

The Horn of Africa has increasingly experienced severe climactic conditions over recent years, manifested in 2011 by alarming cycles of drought (closely associated with La Nina phenomenon¹). After two consecutive seasons of significantly below average rainfall, drought conditions resulted in one of the driest years in Ethiopia since 1995. In July 2011 the Government of Ethiopia (GOE) launched a Humanitarian Requirements Document (HRD) indicating that approximately 4.5 million people would be in need of emergency food interventions from July - December 2011. The document was based on a multi-agency assessment and was in response to increased concerns about the deteriorating food security situation caused by the severe drought conditions. The Ethiopian Red Cross (ERCS), supported by its partners, conducted a rapid assessment of the situation in southern Ethiopia, concentrating on pastoralist and agro-pastoralist areas. The assessment affirmed that urgent action was required, and thus a preliminary emergency appeal was launched on 5 August 2011 for CHF 11 million² with a focus on providing relief assistance to 165,000 affected people for six months. Proposed interventions included provision of food relief and cash grants, water and sanitation, health and institutional capacity building. The appeal also proposed support for the planning and early implementation of long term recovery and rehabilitation assistance to vulnerable pastoralist communities.

In September 2011, due to the deteriorating drought situation and high profile coverage of the drought situation in the international media, the IFRC Secretary General (SG) appointed a High-Level Coordinator (HLC) for The Horn of Africa to increase its technical support to the operation. A revised emergency appeal³ was published on 26 September 2011 for CHF 28,408,085 (CHF 25,408,085 plus CHF 3,000,000 for bilateral emergency response support) to assist approximately 570,000 affected persons for 12 months in Oromia, Afar and Somali regions. The Revised Appeal included scaling up of activities in the water, sanitation and health sectors based on the findings from in-depth assessments undertaken in July and August 2011 to Moyale (Borena and Liben zones), Guji and Bale zones of Oromiya Region⁴. The HLC visited Ethiopia together with the Head of Operations for Africa and Under Secretary General, Programme Service Division, in August 2011. From meetings held with ERCS, Partner National Societies, United Nations (UN) and Government agencies, it was agreed with the ERCS to revise the appeal to include new operational areas and related activities.

At the time, the expansion of the appeal was deemed necessary due to increased humanitarian needs and intentions to support early recovery, address vulnerabilities through implementation of early recovery activities through cash transfers that would have a longer term impact on the affected and vulnerable populations. The expanded appeal was also designed to provide resources for supporting key capacity-building aspects of the ERCS in disaster management, operations and program support functions.

In order to support the expanded response, an Operation Support Unit (OSU) was established by the IFRC to support the capacity of the ERCS to carry out the additional proposed activities⁵. The OSU

¹ La Niña is a natural part of climate variability, and refers to a colder than average period in the equatorial Pacific (the opposite of warm El Niño events). In the last 20 years, the Horn of Africa has experienced three moderate to strong La Niña events (1995-96, 1998-2000, 2007-08). While La Niña can go unnoticed or even have beneficial impacts in many parts of the world, it can also be disruptive or cause extensive problems when some areas receive too much or too little rainfall.

² IFRC Ethiopia Drought Emergency Appeal n° MDRET010: GLIDE n° DR-2011-000101-ETH 5 August 2011

³ IFRC Ethiopia Drought Emergency Appeal (REVISED) n° MDRET010 GLIDE n° DR-2011-000101-ETH 26 September 2011

⁴ The team was composed of members from Ethiopian Red Cross Society (ERCS), IFRC and Partner National Societies of Austria, Britain, Canada, Germany and Spain

⁵ See Annex VI Proposed Structure of the Operation Support Unit (OSU)

was comprised of an Operations Manager, Watsan, Health and Logistics delegates and was activated at the onset of the drought operation in September 2011.

From the launch of the preliminary Appeal to the end of November 2011, it was acknowledged⁶ that the rate of service delivery and project implementation for the operation had not been as timely as the ERCS and IFRC expected, particularly in the sectors of food distribution and water and sanitation activities. A series of challenges were faced, including lack of technical support capacity, problematic procurement processes, and weak logistical capacity. The overall organizational and operational capacity of the ERCS, its structures and performance was the subject of a management review and change process prior to the emergency being declared. The appointment of a new Secretary General (SG) was made in July 2011, linked to commitment from the governance of the National Societies, in order to improve the effectiveness and efficiency of the national society, which resulted in the appointment of a new senior management team supported by three new Deputy SG positions and the restructuring and staffing of second level departmental managers.

By November 2011, rains arrived and actually induced floods in parts of Somali region as well as parts of Borena and Guji zones in Oromia region delaying humanitarian operations. Conditions within the regions covered by the Drought Appeal generally improved with the exception of a number of hotspots, and food supplies and distributions though initially delayed were able to proceed⁷.

In November 2011, a second ERCS, IFRC and Partner National Societies multi-disciplinary assessment team completed a "Follow up Drought Assessment for Afar"⁸ and circulated to partners in order to feed into the finalized Plan of Action (PoA). The PoA was developed by the ERCS with technical support from the IFRC to serve as a flexible and living document designed to provide a navigational tool and a check and balance control for the operational implementation of the appeal objectives.

Following the issuing of the updated GoE HRD in March 2012 the IFRC posted a Special Information Bulletin⁹ addressing issues affecting the Emergency Appeal that warranted further revision. A decision by the ERCS and IFRC was made to revise the Drought Appeal once again, reducing the amount to CHF 12,258,425 to assist approximately 270,000 beneficiaries. The revision was made to reflect the altered conditions and situations in terms of needs of affected communities in the original drought-affected areas. As such, the Appeal activities were adjusted to reflect:

- a. An adjustment to reflect the changed conditions and situations in the original drought-affected areas.
- b. A reduction in the appeal amount to reflect the existing coverage, the adjusted needs and the current delivery capacity of the ERCS.
- c. The transition towards recovery, resilience and disaster risk reduction programmes and projects that address livelihoods, and underlying vulnerabilities.
- d. The systemic and cyclical state of low-level emergency in food, Wat/San and health in the areas of Oromia and most of the Somali and Afar regions.

While projections for improved conditions were reported, the ERCS and the IFRC in close consultation with governmental and UN agencies agreed there was sufficient concern to indicate a need to be prepared to surge back to an emergency mode if needed, whilst at the same time maintaining and expanding the revised objectives to address underlying vulnerability issues, DRR opportunities and livelihoods in all sectors. The operational timeframe was extended for 12 months; therefore the proposed end of the operation was set for 31 August 2013.

⁶ IFRC Ethiopia Drought Operational Updates, Nos 1-3

⁷ IFRC Ethiopia Drought Operational Six month Update, April 2012

⁸ IFRC, Afar Region (Zones 1&2) Assessment Report for the Ethiopia Revised Drought Appeal Plan of Action, 23 November – 2 December 2011, Updated: January 2012

⁹ IFRC, Ethiopia Drought: Special Operations Situation Report (Early Warning Update), March 2012

While 43 percent of the initially revised Appeal budget (CHF 25,408,085) was reported to be raised, a total of CHF 10.875 million or 88 percent of the final revised appeal amount of CHF 12,258,425, was secured in cash contributions, in kind goods and services, and in kind personnel seconded to the operation¹⁰.

This evaluation has been commissioned by the Secretary General of the ERCS and the IFRC Ethiopia Country Representative in Addis Ababa, Ethiopia. This evaluation uses the established evaluation criteria set out in the IFRC Evaluation Framework, with a focus on the efficiency, effectiveness and timeliness of the Drought Operation.

II.BACKGROUND and COUNTRY CONTEXT

The severe drought conditions in the Horn of Africa affected large areas of Somalia, Kenya, Ethiopia and Djibouti. It manifested in loss of lives, deteriorated health conditions, outbreak of communicable diseases, loss of livelihoods, destitution and resource based conflicts¹¹. In Ethiopia, the poor performance of the 2010 deyr/hagaya rains (October to December) led to critical water and pasture shortages in the south and south eastern parts of Ethiopia. The La Niña episode continued through June 2011 and resulted in below normal rains in the March - April main rainy season. This deteriorated the food security situation in the drought-affected areas as well as in the belg-producing and sugum receiving parts of the country. Despite belated rains starting from the first week of May, the overall performance of the belg (mid-February to May) and gu/ganna/sugum (March to May) rains was largely poor and characterized by delayed onset, erratic distribution and long dry spells. The most affected regions in Ethiopia, per the HRD and initial IFRC/ERCS assessments, were Somali, Afar, southern Oromia and SNNP regions, with 4,567,256 persons identified in need of humanitarian assistance.

According to the ERCS Plan of Action (PoA)¹², poor and very poor households experienced chronic food deficits and climate conditions causing widespread disruptions in pastoral and agro pastoral livelihoods in Southern Ethiopia. Malnutrition was reported due to inadequate food intake, a result of food insecurity created by negative changes in access and utilization. Drought conditions also contributed to cereal price increases and livestock price decreases, resulting in reduced terms of trade and reduced access to food for pastoralist households in the assessed pastoral and agro-pastoral areas in the Southern Oromia zones of Borena, Guji, Bale, Somali and Afar.

Migration of pastoral communities with livestock (particularly with goats, cattle and camels) had been significant to areas with better pasture and water as there was reduced quantity and quality of human and livestock water. Most ponds had dried, while water levels in traditional and shallow wells decreased in assessed locations. Personal hygiene deteriorated because of water shortages, and there was reported to be increased mixing of human and livestock water sources resulting in greater potential for disease transmission.

The drought impacted on human assets (causing increased malnutrition), financial assets (depleted livestock assets), social assets (intra-communal food/income exchange relationships disrupted) and physical assets (dry ponds and a number of dysfunctional water sources were identified in assessed locations). Critical income and food assets deteriorated, and income opportunities declined leaving

¹⁰ IFRC Emergency appeal n° MDRET010 GLIDE n° DR-2011-000101-ETH report, 28 December 2012

¹¹ IFRC's Horn of Africa Drought Response Factsheet, 22 September 2011

¹² IFRC, Ethiopia Drought Operation Plan of Action, 2011

most households dependent on negative coping strategies such as increased migration for labor, production of charcoal, firewood sales, etc.

Target beneficiaries for the initially proposed interventions of the Emergency Appeal¹³ were selected based on the estimations provided by the Disaster Risk Management and Food Security Sector (DRMFSS) of the Ministry of Agriculture. The initially proposed target number of beneficiaries to be supported by the ERCS was 165,000 in Guji and Borena zones of Oromiya region and Moyale of Somali region. Targeting of the beneficiaries was carried out in coordination with the DRMFSS local offices and local authorities with direct participation of communities and local committees for household targeting, based on agreed vulnerability criteria.

Immediate needs to be addressed by the ERCS Drought Appeal included food insecurity, which was widely prevalent in the pastoralist, agro-pastoralist and *Belg* crop producing areas of Oromiya region. The most urgent needs identified for these affected communities related to access to cash and food, availability and access to safe water, animal health and feeding, health awareness and where appropriate restocking to pastoralist families who lost key livestock.

The ERCS has a long history of emergency response to major disasters in Ethiopia, particularly in the areas of food assistance interventions. The ERCS is a member of the Food Management Task Force of the GoE's Ministry of Agriculture and Rural Development (MoARD), the main coordinating body for food security responses in Ethiopia. ERCS is also a member of and participates in coordination platforms related to food interventions and relief in Ethiopia, and therefore coordinates with other actors, including World Food Programme (WFP), the NGO consortium Joint Emergency Operation (JEOP), and the Ethiopia Humanitarian Country Team (EHCT) which serves as the coordinating forum for UN, international agencies and donors.

The ERCS structure includes National Headquarters (HQ) in Addis Ababa, and Regional, Zonal and Woreda (district) branches. At the National HQ level, the ERCS has Disaster Management and Health and Care departments dealing with operations countrywide. ERCS branches, their staff and volunteers, are the main implementing units on the ground. The ERCS, at the Regional, Zonal and Woreda levels, have staff and volunteers trained in disaster management, health, WatSan and community based health and first aid (CBHFA). Over 73,000 volunteers support the network, which places the ERCS in a strongly unique position to reach affected communities at the grass roots level. Notably, ERCS branch and coordination offices in Oromia and Afar Region had experience in a range of WASH activities based on cascaded community training, especially PHAST and CBHFA, water committee training; water point rehabilitation, maintenance, expansion, and development; traditional birth attendant (TBA) training; hygiene promotion; san-plat production and distribution for latrine promotion; and water treatment chemical distribution.¹⁴

The IFRC has three offices in the East Africa region: the Africa Zone (AZ) and East Africa Regional Office (EARO) located in Nairobi, Kenya, and an IFRC Ethiopia Country Representation office which provides support to the ERCS in capacity building, monitoring of multilateral and/or emergency operations and in the coordination of the Red Cross and Red Crescent Movement. The IFRC Ethiopia country office consists of one Country Representative, a reporting delegate, a Watsan Coordinator, a Health Delegate and a program support team including finance, administration and logistics officers.

¹³ IFRC, Preliminary Emergency Appeal Ethiopia Drought, MDRET010, 5 August 2011

¹⁴ IFRC, Ethiopia Drought Operation Plan of Action, 2011

Additionally, there are five Partner National Societies present in Ethiopia, including the Swedish, Austrian, German, Italian and Spanish Red Cross Societies. To support the ERCS to commence the drought operation, surge capacities were mobilised by the IFRC and Partner National Societies, with the deployment of a senior officer from the Disaster Service Department (IFRC), the Head of Communications, Africa Zone (IFRC) and Communication Delegate (IFRC), and representatives from the British Red Cross (Livelihoods/Cash Transfer Programming), Canadian Red Cross (Disaster Management and Organisation Development), and Austrian Red Cross (WatSan).

An Operational Support Unit (OSU) was also established, chaired by the ERCS senior manager (Deputy Secretary General for Operations) and reporting to the SG and IFRC Country Representation Office. The OSU was proposed to include an Operations Coordinator, Logistics Coordinator, WatSan Coordinator and Health Coordinator and provide technical guidance and support on operational matters such as logistics, procurement, finances and administrative matters, and serve as an advisory body to the ERCS. Three ERCS counterparts were eventually recruited in order to work closely and get trained in sectoral activities with the OSU Logistics, Health and WatSan coordinators to support the operation and by getting on job training to build additional technical capacities for the national society in these sectors.

It is important to reiterate that at the time this appeal was launched the ERCS was undergoing a major Change Management Process, starting with the appointment of a new Secretary General (SG) who took up the position less than a month before the start of this operation, and resulting in significant changes in personnel, financial, systems and management interventions which had considerable influence on the operational delivery capacity and performance of the ERCS. The IFRC country office at the time of the drought operation consisted of a Country Representative, a Reporting Delegate, and a small team of finance, administration and logistics officers tasked to support both the change process and meet the demands of the very ambitious emergency operation. A Watsan Coordinator and a Health Delegate joined the IFRC Country Representation Office just at the start of the operation and later became part of the OSU.

III. EVALUATION OBJECTIVES

The purpose of the emergency operation evaluation (EOE) was to assess the effectiveness and efficiency of the implementation of the Ethiopia Drought Emergency Appeal response operation including coordination and management systems of the ERCS and the support to them from the Federation Country Representation Office (IFRC Ethiopia), East Africa Regional Office (EARO) and Africa Zone (AZ). The evaluation focused on both relief and early recovery elements and aimed to identify risks, challenges and opportunities for scaling up in future¹⁵.

The evaluation focused on the operation management of both IFRC and ERCS HQ and field levels, progress of operations activities in selected drought affected areas, and the combined Federation response (ERCS, IFRC secretariat, and Partner National Societies) from the onset of the response in August 2011.

The evaluation was conducted from mid November-December 2012, after the initial emergency relief phase and as the operation started the transition to post-emergency activities and recovery, disaster risk reduction (DRR) and longer term resilience programming addressing underlying vulnerability issues. The evaluation included the following objectives:

1. To examine the efficiency and effectiveness of the management and coordination systems used by the ERCS and the Federation at all levels and highlight any gaps or bottlenecks. The

¹⁵ See Annex I, Emergency Operation Evaluation Terms of Reference

EOE will feed back both historical and real time information to managers at field and headquarters levels to help them improve management and coordination and it will make recommendations to assist decision-making at all levels of operations management in the ERCS, EA Regional Office, Africa Zone and Secretariat in Geneva.

2. As the proposed revision and extension of the Ethiopia Drought Appeal, once approved, is likely to continue for up to twelve months it is important that this review feeds into the ongoing relief and recovery operation to improve delivery.
3. To analyse the current operational context and situation in Ethiopia, in order to identify relevant ongoing opportunities, challenges and risks and to assist the ERCS and the IFRC Secretariat management in Geneva, Zone , Region and country level as well as Partner National Societies to plan for future programming, especially the early and longer-term recovery, livelihoods and rehabilitation of the affected population.
4. To use this review of the operation to identify the main lessons to be learned from activities to date for the teams on the ground, for the ERCS/Secretariat's management at each level and for the wider organisation, and to inform and support the ERCS change management in the areas of emergency, relief and recovery

More specifically, the evaluation focused on :

- a) the effectiveness, efficiency, timeliness and appropriateness of the **assessment, planning and management processes and systems** put into place, from the outset and as the context / needs evolved, including identification of critical gaps and bottlenecks. And how this supported the timeliness and adequacy of the overall response;
- b) the adequacy of **coordination**, both with internal and external actors;
- c) an analysis of the **risks and challenges** facing the operation; and
- d) Identify opportunities to scale up support in relief, emergency and recovery.

Certain challenges and constraints were experienced during the course of this evaluation which affected the quality of the findings, most notably:

- Limited time was allocated for the evaluation, particularly the time available to conduct field visits, considering the magnitude of the operation, its geographic scope, and the numerous revisions to the Appeal and operations
- Limited accessibility of certain operational areas prevented the team from visiting all of the operational areas targeted in the Emergency Appeal¹⁶. The evaluation team, however, tried to cover as many areas/locations in the Oromia region as possible during its time on site, and conducted telephone interviews with ERCS field staff about specific activities in locations not visited to gather additional information.
- Use of a single translator dedicated for the team during the focus group discussions and interviews proved challenging to allow for comprehensive needs of the evaluation unit.
- The scope of the evaluation included all aspects of the combined response, including efforts of the IFRC, ERCS, Secretariat and Partner National Societies, therefore was an ambitious undertaking considering the limited time available.
- There were difficulties experienced interviewing key personnel and stakeholders due to competing priorities. For example, in Dabaloku, the departure of the Kebele leaders to a meeting in Derme affected the evaluation team's ability to interview community members in the absence of their leaders, as some community members felt wary openly commenting on operations without their presence.

Lastly, the originally proposed consultancy team envisaged to undertake this evaluation consisted of a four person unit, including an external consultant, the IFRC EARO Senior Monitoring and Evaluation Officer, a Senior Monitoring and Evaluation Officer from the Planning and Evaluation Department

¹⁶ IFRC, Preliminary Emergency Appeal Ethiopia Drought, MDRET010, 5 August 2011

(PED) from the IFRC Secretariat in Geneva, and a Swedish Red Cross Delegate based at the IFRC EARO. While this four person unit undertook the field work for the evaluation and contributed notes, documentation and initial draft reports, the final report was drafted by an independent consultant not originally involved with the data collection and analysis.

IV. METHODOLOGY

Based on the ToR (see Annex I), the Evaluation Team undertook a variety of data collection and review methods in the course of this evaluation. The evaluation was conducted from 22 November to 17 December 2012 and included the following activities:

Desk review: Key documents¹⁷ such as the initial Emergency Appeal, revised versions of the Appeal, operational situational updates, internal and external reports, assessment reports, field trip reports and Plan of Action (PoA) were reviewed. The team prepared an inception report¹⁸ based on this documentation review, which included interview and focus group discussion guides for the different informants groups from the ERCS HQ, regional and branch levels, local authorities, affected communities, and other stakeholders involved in the response. This evaluation framework was shared for review and agreement amongst the evaluation team. The evaluation team also developed an evaluation workplan / timeframe with designated dates for target deadlines¹⁹.

Field visit: The evaluation team conducted a country visit to Ethiopia from 23 November – 15 December 2012 in order to interview ERCS HQ staff in Addis Ababa and conduct field visits to operational areas²⁰ in Sababuro and Bule Hora Woredas. First hand observations were made on the progress of Appeal activities, with inspections of facilities such as water points, construction of latrine slabs, and provision of and trainings on use of water filters.

Key Informant Interviews and FGDs²¹: Stakeholders and representatives involved in the operation were interviewed prior to and during the evaluation team's deployment to the field. Key informant interviews and participants of focus group discussions (FGDs) in Ethiopia were selected by ERCS staff. Ethical considerations during field visits were factored into interviews and FGDs, with particular regard for the welfare of those involved in and affected by the evaluation, including:

- IFRC EARO and Ethiopia Country offices
- Partner National Society delegates
- ERCS at the secretariat (HQ) and field/branch offices
- Local Authorities at the field level
- FGDs with targeted communities in the drought-affected areas.

Triangulation of information: Triangulation was undertaken by the evaluation team in order to validate information obtained and analysis of findings.

V. MAIN FINDINGS

The evaluation criteria of relevance, appropriateness, effectiveness, efficiency, and coordination were used whilst examining the objectives of the ERCS emergency drought operation in Ethiopia.

¹⁷ See Annex II Documentation Reviewed

¹⁸ See Annex III Inception Report

¹⁹ See Annex IV Evaluation Workplan

²⁰ Guji zone: Adola, Serebuke, Derme, Dawa and Dabaluko. Bule Hora : Matakoma and Murtutelisa

²¹ Annex V, List of Stakeholders Interviewed

Additionally, the evaluation also sought to address cross cutting issues of institutional capacity and the extent to which risk analysis were considered in the design, implementation and monitoring of the response.

SUMMARY OF INTERVENTIONS:

Target beneficiaries for initially proposed interventions were selected based on the estimations provided by the Disaster Risk Management and Food Security Sector (DRMFSS) of the Ministry of Agriculture. The cumulative target number of beneficiaries in Guji and Borena Zones of Oromiya regional state and in Moyale, Somali region to be supported by the ERCS was initially proposed at 165,000 in the original Emergency Appeal issued on 5 August 2011. Following the deployment of a multi sectoral assessment team to Oromiya and Somali from 12- 26 August 2011, the number of proposed beneficiaries was increased in September 2011 to 570,000 and included expanded interventions in Watsan, food interventions, health, relief and early recovery through cash transfers, and capacity building of ERCS national society.

Water, Sanitation and Hygiene Promotion:

Water, sanitation, and hygiene (WASH) promotion interventions were proposed in order to benefit 120,000 people with increased access to water through new and repaired water points in Oromiya and Afar, as well as to increase knowledge and ability of communities to maintain and repair water points²². Specifically:

Outputs (expected results)	Activities planned
Availability and access to water for both households and livestock increased.	ERCS/PNS/IFRC leading the operation, six ²³ PNS water packages developed with a total value of CHF 12,8 million, with the following estimated outputs during 12 months: -48 new deep well boreholes -72 refurbished water points -12 refurbished water ponds -60 shallow wells refurbished, with water reservoirs -Water trucking at a limited scale to cover absolute emergency phase needs.
The health status of the population is improved through behaviour change and hygiene promotion activities.	100 community volunteers trained in PHAST to act as hygiene and behaviour change agents by facilitating community dialogues with their respective communities. Produce PHAST tool kits. Establish PHASTER groups in targeted communities and cascade the training. Procure 486,000 water treatment chemicals and distribute to 27,000 households. Communities and volunteers trained on appropriate use of water treatment chemicals. Develop information, education and communication (IEC) materials focusing on prevention of AWD and other water born diseases.

²² IFRC, Ethiopia Drought Operation Plan of Action, 2011

²³ The original IFRC Ethiopia Drought Appeal proposed an initial six water packages, however the revised appeal reduced this number to four.

Appropriate sanitation is provided to 15,000 beneficiaries in Guji and Borena zones of Oromia region.	Produce a total of 3,000 san-plats and build model latrines as a precursor for large-scale latrine construction as part of longer-term recovery following PHAST methodology.
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Results Achieved:

According to IFRC Operational Updates²⁴, ERCS with support from Spanish Red Cross Society deployed water trucks to Moyale Region and 4,135 households were provided with 78,000 litres of water.

Additionally, ERCS HQ sent eight water tanks of 10,000 litre capacity and four tanks of 5,000 litre capacity to five kebeles in Moyale, specifically: Chamuk, Tile Mado, Meleb, Bokola and Mado-Mormora (olla Liben Huka). The tanks had yet to be installed at the time of the evaluation as some fittings including taps and sockets had not been included in the package. The remaining tanks remained in storage in the Moyale Somali office, however it was intended that the new WatSan delegate would support ERCS to ensure delivery and installation of the tanks.

A consortium of Swedish, Danish and Austrian Red Cross Societies carried out a Watsan project with the field WatSan delegate from the Swedish Red Cross in charge of implementing the project in Oromia Region in Moyale, Somali, Dire, and Saba-Boru woredas, with a third team located in Afar Region. This project planned to reach a total of 27,000 households affected by drought.

The German Red Cross undertook a separate Watsan package to rehabilitate and construct community-based water infrastructures in drought affected areas of Southern Oromia Region, carried out bilaterally with the ERCS for a period of 10 months (15 November 2011 to September 2012).

Selection of project areas and assessments had been undertaken and hydro geological surveys were completed for six boreholes in Sababoru. Tendering for the borehole drilling was performed to identify suitable contractors to undertake the activities, and by the end of 2012 six boreholes had been drilled.

Procurement for rain water harvesting materials for schools and clinics had commenced, and 12 roof catchment systems for rain water harvesting had been set up in Moyale. Meanwhile, preparation for procurement of school latrine and family latrines materials had started and by end December 2012 latrines had been constructed in six schools in Sababoru.

At the time of evaluation 500 out of 3,000 water purification filters (Tulips filters²⁵) had been distributed to 500 households in Serebuke and Moyale areas with recipients trained on the use of the filters. The remaining filters had been purchased, according to the IFRC 12 month summary of 28 December 2012, however had not yet been delivered to project sites.

²⁴ IFRC, Emergency appeal Ethiopia Drought, MDRET010, 12 Month Operational Update, 28 December 2012

²⁵ The Tulip water filter is a candle-type water filter which uses gravity siphon pressure to force water through a high-quality ceramic filter element. The innovative usage of the siphon results in a high flow rate of 4-5 liters per hour. The filter is impregnated with silver in order to increase the bacterial removal efficiency of the filter and to reduce the recontamination risk of stored filtered water.



Tulip water purification filter and demonstration of how the tulip filter is used in the Dawa community/IFRC

The proposed water packages adopted include the following activities which remain on-going:

Operational Zones	Water Package 1	Water package 3
Swedish, Danish and Austrian RC		
Boren and Guji Zones	12 new boreholes 4 refurbished water points 18 rain water harvesting systems in schools and Health centers 100 community volunteers training in PHAST 6000 Water purification filter distribution 3 springs protection activities 6000 Latrine san-plats (slabs) production	
Afar region		2 ponds constructions 11 water points constructed and rehabilitated 12 rain water haevesting systems 12000 Water purification filters Introduction of PHAST to 60000 people Training of 20 hygiene promotors

Table: Watsan packages being implemented by Operational Zone

The two remaining IFRC managed water packages proposed for Moyale and Afar have since established PoAs and budgets and per the IFRC Operational Update²⁶ were planned to commence in early 2013. Each of the packages have designated Watsan teams whereby a Partner National Society is or can be involved (lead role), can take on full technical and financial responsibility, and will involve the deployment of four water teams focused on maintenance, repair and refurbishment of water points and shallow wells and surge water capacity.

The evaluation team was able to visit and inspect rain water harvesting facilities being constructed at two schools in Derme and Dawa with the support of by the Austrian, Danish and Swedish Red Cross Societies, with a capacity of 10,000 liters each. Although work on the rain harvesting facilities was in progress at the time of the evaluation in Dawa, Burkaro, Wachudima and Reji, there were some problems with implementation reported, notably the rain water diversion system in Dawa was missing,

²⁶ IFRC, Emergency appeal Ethiopia Drought, MDRET010, 12 Month Operational Update, 28 December 2012



Photo: 10,000 litre water tank provided by Austrian, Danish and Swedish Partner National Societies

gutter straps were not protected from rust, and some faucets/taps were not strong enough and had already broken²⁷.

The evaluation team was also able to observe three drilled boreholes at a river side in Derme. The boreholes were drilled very close to the river, which led to the boreholes becoming flooded with rainwater and therefore affecting installation of one of the pumps²⁸. Four of the six boreholes drilled in Derme, Hydema, Tepoloko, and Loko Urbuquesa were reported to produce water according to pump tests, while the remaining two boreholes in Sinebuke and Cheribaka had failed²⁹.

Local government officials from the water bureau reportedly collaborated with the ERCS Watsan Coordinator during the implementation of various activities, such as mobilizing communities and water points site selections during the hydro geological surveys for borehole site selection. However, interviews with some stakeholders indicated the sites were selected without consultation of the local communities (end users) and without involvement of the ERCS field Watsan engineers as they had not yet been recruited. Additionally, according to the IFRC WatSan Coordinator, the team surveyed only one site for each planned borehole instead of surveying four-to-six sites as recommended practice suggests, in order to analyse and determine most suitable operational borehole location³⁰.

Challenges:

IFRC operational updates as well as key informants interviewed acknowledged that the Watsan component of the operation faced significant challenges from the launch of the appeal to the present time. According to the IFRC Operational Update of April 2012, the ERCS water and sanitation department was overstretched managing the WatSan bilateral projects with the Partner National Societies, which was exacerbated by the difficulties in recruiting the WatSan counterparts for the operation. According to interviews, FGDs and observations of the evaluation team, the challenges related to delayed recruitment of field staff as well as procurement delays at ERCS HQ had a notable impact on the effective, efficient and timely implementation of Watsan activities. There were also reportedly differences of opinion with regards to the technical aspects of the Watsan activities between IFRC personnel at country level and the ERCS Watsan Coordinator once recruited, which further affected the quality and timeliness of the Watsan activities.

One concern noted during interviews, field mission reports, FGDs and the IFRC EARO-facilitated “Way Forward” workshop³¹ was that most of the hardware Watsan activities, such as borehole drilling and construction of latrines, were contracted to external contractors. Therefore, there was little involvement of ERCS staff, volunteers or trained community local technicians in the operation areas. This reliance on the use of external contractors by ERCS contributed to the delays in starting up the

²⁷ IFRC Ethiopia Country Office Field Mission Report, Oromia, Harun, J. November 2012

²⁸ IFRC Ethiopia Country Office Field Mission Report, Oromia, Harun, J. November 2012

²⁹ Evaluation team field notes, Myrgard, L., December 2012

³⁰ IFRC Ethiopia Country Office Field Mission Report, Oromia, Harun, J. November 2012

³¹ IFRC East Africa Regional Response Disaster Management Unit, Report: Review and Way Forward: MDRET010 Ethiopia Drought, Feb2013

implementation of activities and resulted in a lack of transfer of technical skills due to the limited participation of affected communities in the Watsan activities of the operation. Additionally, proper usage and maintenance of the tulip filters by the communities was raised as a concern during household visits. Recipients informed the evaluation team that though there had been demonstrations provided on the use of the water filter, preserving the quality of water and its proper storage was not effectively guaranteed as some households had only one water storage container (without a cover) which was used for keeping the filtered water, and then reused to gather contaminated water from the river. Suggestions were made for additional water storage containers to be provided to each household at the time of water filter distributions, with emphasis on the importance of water safety and proper storage to avoid contamination of filtered clean water.

Meanwhile, the tulip filters dispensed were not distributed by volunteers but rather by the ERCS Hygiene Promotion Officer in collaboration with the Branch Secretary. It was reported that this distribution system slowed down the timeliness and efficiency of the activity, as villages were located a great distance from the ERCS office in Adola, requiring between four to six hours for travel to and from the site³².

Logistical limitations also affected the implementation of the activities, as it was reported that not enough vehicles were sent to support field operations. Only one out of the five vehicles purchased specifically for the drought operation was sent to the field more than six months after the launch of the operation. The other vehicles were retained at ERCS HQ. This greatly hindered movement in the field for implementation and monitoring of progress of operations by ERCS field teams. An insecurity incident in Moyale also caused suspension of operations in September 2012. In response to this security incident, ERCS were diverted to work in Miyo Woreda while IFRC country office and OSU support was restricted as international staff were not allowed to remain overnight in Moyale³³.

Lastly, it was raised as a concern that the slow and inadequate fund transfer from ERCS HQ to field branch level offices, with an initial maximum transfer amount of 50,000 ETB. This policy delayed implementation of Watsan activities, as field offices could not meet some project costs in time (such as fuel for the vehicle)³⁴.

Emergency Health Care

Based on the GoE's HRD³⁵ released in July 2011 and the rapid health assessment report for Moyale Oromia & Moyale Somali Woredas³⁶, the at-risk population identified under the ERCS health component was approximately 8.8 million. Plans for intervention included the control of epidemics/outbreaks of communicable diseases including acute watery diarrhoea (AWD), Measles, Malaria and Meningitis. The planned intervention also encompassed strengthening the health service delivery systems in high risk woredas through health and nutrition interventions for the most affected people, as well as building the capacity of the health system to effectively respond to public health emergencies. According to the findings of the rapid assessment, one of the primary concerns was the strong potential for epidemic disease outbreak and a rapid increase in moderate acute- and severe acute malnutrition (MAM/SAM), affecting particularly the most vulnerable and marginalized members of the communities (children under 5 years, pregnant and lactating mothers, PLWHIV and the elderly).

Emergency health care interventions were therefore planned to address excess morbidity and mortality from diseases related to malnutrition and lack of access to clean drinking water. Provision of targeted

³² IFRC Ethiopia Country Office Field Mission Report, Oromia, Harun, J. November 2012

³³ IFRC Country Office Field Visit Mission Report, Sababoru, 26 September 2012

³⁴ IBID

³⁵ Humanitarian Requirements 2011 : Joint Government and Humanitarian Partners' Document, July 2011, Addis Ababa, Ethiopia

³⁶ Rapid Health Assessment Report: Moyale Oromia & Moyale Somali Woredas Ethiopia, Bluemel, I., July 2011

health and nutrition interventions for approximately 147,000 people were proposed over a period of 12 months in Oromia and Afar Regions. Specific proposed interventions included:

Outputs / Expected Results	Planned Activities
The health status of the population is improved through early detection and management of epidemic disease outbreak and under nutrition	Train 250 volunteers in the Guji and Borena Zones on epidemic disease control for volunteers, to enable them to support the existing extension health workers to conduct health and hygiene promotion, nutritional screening and active case finding to prevent, manage and control potential disease outbreak. · Enable 250 volunteers logistically (transport, IEC material etc) to conduct a minimum of 3 interventions per volunteer per week in health and hygiene promotion, nutritional screening, active case finding and management of epidemic disease outbreak and under nutrition.
Contribute to the control of the current measles outbreak by providing support to the MoH in the upcoming emergency measles vaccination.	Deploy 250 volunteers trained on epidemic control for the upcoming measles vaccination campaign to assist with social mobilisation and campaign activities.
25,000 most affected families are reached by volunteers disseminating messages on malaria prevention and control and distribution of long lasting insecticide nets (LLIN), usage, and assist in the correct hanging of the nets.	Procure and distribute 50,000 mosquito nets to 25,000 most affected families in the Guji and Borena Zones. · Procure nails and strings to enable appropriate hang up of mosquito nets. · Disseminate key messages concerning LLIN use and malaria (targeting pregnant women and caretakers for children under 5) utilizing the 250 trained volunteers, extension health workers and community members.
Sustainably contribute to an improved health status of the population in the drought affected Woredas through regular health activities based on CBHF interventions.	-Train and manage 250 volunteers in CBHFA . · Enable 250 volunteers to conduct regular CBHFA activities in the Guji and Borena Zones.

Results Achieved:

At the end of January 2012, the ERCS health team conducted site visits to the operational areas to identify volunteers and select the areas of intervention. The ERCS and Woreda Health Bureau team conducted a joint assessment for distribution of mosquito nets in the selected areas of Sababuro and Bule Hora.

From 8- 14 February 2012 trainings on proper use of long lasting insecticide nets (LLIN) and malaria prevention messages were conducted for 102 volunteers in these areas followed by distributions in the first week of March 2012 (this is, however, short of the 250 volunteers planned to be trained in the Guji and Borena Zones). The Austrian Red Cross provided 50,000 mosquito nets (34,000 from Dubai and 16,000 locally procured) which were transported to the operational area with distributions in March 2012 to 22,000 households (out of 25,000 planned) of the most affected families in 24 kebeles of Guji and Borena zones, in close integration and coordination with the food distributions in the same kebeles. Targeted beneficiaries for the mosquito nets were pregnant women and children under the age of five years. However, the evaluation team could not find evidence of any follow-up to verify whether the beneficiaries made proper use of the nets.

In addition, an Epidemic Control for Volunteers (ECV) training was held in mid-February 2012 in Addis Ababa with 25 participants from ERCS headquarters and branch staff and volunteers. The ECV training aimed to help volunteers deal with epidemics in their local communities, detailing what an epidemic is, how epidemics spread, the conditions that help epidemics to spread, and what actions to take in the event of an epidemic. The training included a five-day workshop on the use of the Epidemic Control Manual for Volunteers and its accompanying Epidemic Control Toolkit. Eight health personnel were also trained as part of the Trainer of Trainers (ToT) in epidemic control in Sababuro and Bule Hora Woredas in September 2012. The evaluation team noted that at the Woreda level in Bule Hora the local administration was using health extension workers trained by ERCS to execute its current health programme. However, despite the ToT, the evaluation team noted that there was no rollout of activities in epidemic control that should have followed this initiative.

Challenges:

According to IFRC operational updates³⁷ there was a significant delay in the implementation of health activities, most notably as the recruitment process of the ERCS health counterparts took longer than expected. The process was completed in November 2011 and two counterparts were recruited to follow up implementation of activities. The lack of health human resources in the ERCS branches also caused challenges within the branches to start activities, however, once these challenge were addressed the operation was able to make substantial strides in achieving its proposed outcomes. Additionally, delays in the delivery of the locally procured mosquito nets by the supplier delayed their distribution to the field sites.

While the ERCS did manage to conduct its proposed ToT in CBHFA and ECV (master trainings), there were subsequent delays in the training of volunteers by those trainers and in the cascading down to communities. Thus, training of volunteers continued into October/November 2012, later than initially anticipated.

According to field mission reports submitted by an IFRC/ERCS multi sector team in July 2012³⁸, the utilisation of the LLITNs distributed in Seaboru Woreda had not achieved its intended results, as the majority of households visited were not using the nets. The team identified this as a gap in community awareness and sensitization interventions requiring concerted follow up and additional attention. During the evaluation team's visit to Dereme, it was also noted that there were concerns of proper utilization, as people were sleeping on top of them or using them for fishing³⁹. Additionally, it was reported that there was duplication of efforts in the distribution of mosquito nets in Seaboru Woreda as the GoE Zonal health office had already provided nets to the ERCS targeted kebeles, resulting in duplication of resources. Lastly, it was noted that there were inadequate fund transfers to field offices to support health activities outlined in the PoA which led to delays in implementation. As a result, at the time of the evaluation some activities in community-based health and in first aid had not been implemented.

Relief Assistance / Food Aid

Immediate food aid and relief assistance was proposed in the Drought Appeal to improve the immediate food intake of approximately 135,000 vulnerable people, and thus to control malnutrition rates in the affected population. It was originally proposed that four rounds of distribution would be provided to beneficiaries with a standard ration of 15kg of cereals, 1.5kg of beans, and 0.5 litre of cooking oil per beneficiary per month, representing an average 2,100 Kcal/day in line with Sphere standards. In addition, 4.5kg of Corn Soya Blend (CSB) would be distributed on a monthly basis to children under five, lactating and pregnant women, elderly, severely ill and disabled persons representing approximately 35 percent of the caseload. A total of 6,900MT of cereals, 690MT of

³⁷ IFRC, Emergency appeal Ethiopia Drought, MDRET010, Six Month Operational Update, 5 April 2012

³⁸ IFRC Country Office Field Visit Mission Report, Moyale, Bule Hora and Sababoru, July 2012

³⁹ Interview notes with Dereme Health Officer, Myrgard, L., December 2012

beans, and 230,000 litres of cooking oil would be distributed over a four month period, starting in September 2011, while 725MT of supplementary food such as CSB would also be procured and distributed to selected vulnerable groups within the target community.

Outputs /Expected Results	Activities Planned
Appropriate food rations are distributed to targeted beneficiaries.	Develop Memoranda of Understanding (MoU) or agreements between the GoE and the ERCS. <ul style="list-style-type: none"> · Sourcing 8,910MT of food (8,100MT of maize, 810MT of beans and 725MT of CSB) and 270,000Lt of cooking oil. · Establish a logistics hub in each operational area. · Contract local service providers to transport food from hubs to the distribution points. · Mobilize 120 volunteers for facilitating beneficiary identification and relief distributions. · Identify beneficiaries; agree on distribution lists including verification and validation. · Distribute food up to 135,000 beneficiaries in Guji and Borena zones of Oromiya region. · Distribute supplementary food for families with children under 5-years of age, elderly persons, pregnant and lactating women (35 percent of caseload). · Monitoring, evaluation and reporting
Additional output per revised Appeal	Additional Activities
Appropriate rations of supplementary food are distributed to 5,000 pregnant and lactating mothers in Borena Bule Hora Woreda Oromia region.	Procurement and delivery of standard supplementary feeding package based on CSB Distribution to target group from existing logistic hub Renting of local transport for distribution Mobilization of volunteers Reporting on final project

Results Achieved:

According to IFRC operational updates⁴⁰, the following distributions were achieved:

Operational Woreda	No of Households	No of target population	Maize (MT)	Beans (MT)	Oil (Ltrs)	CSB (MT)
First Phase (3 rounds of distributions)						
Sababuro	12,630	50,260	2,185	195	73,350	169
Bule Hora	6,926	29,535	1,329	132	44,302	46.45
Second Phase (5 rounds of distributions)						
Sababuro	9,530	26,780	2,000	200	68,170	207.60
Bule Hora	3,567	10,360	777	88	25,770	82.45
Total	32,653	116,935	6,291	615	211,592	505.50

The evaluation team visited five locations where food had been distributed, specifically: Serebuke, Tabaluku, Gedlu, Dermee, and Dawa. In the affected communities food recipients were identified by community leaders and personnel from the local government's Disaster Preparedness Office (DPO). Community leaders would identify the most vulnerable family members based on agreed criteria,

⁴⁰ IFRC, Emergency appeal Ethiopia Drought, MDRET010, 12 Month Operational Update, 28 December 2012

namely: number of livestock, those most affected by drought, female headed households, number of persons in family, sources of income (if any) and current food availability.

Once food recipients were identified, a list was created and sent to the Woreda administrator who then forwarded the list to ERCS. Verification of the list of identified affected communities were carried out by the Woreda DPO and ERCS team before the final list was approved and targeted beneficiaries issued with food cards. The entire process from identification to receiving the food aid took approximately two weeks.

During the evaluation team's field visits, discussions with communities and local authorities indicated that the food distribution system was organized and orderly. Double collection of food aid by the communities was avoided by finger printing of individuals and signatures provided by both local government officials and ERCS on the distribution list. According to local government officials, there was good collaboration between ERCS and local government officials around food distributions. Although the food aid was delayed, the beneficiaries confirmed that the food aid was sufficient in terms of quality and quantity.

Community leaders and local authorities that were visited by the evaluation team very much appreciated the procedure of direct distribution of food to the affected communities by ERCS, stating that this procedure avoided potential corruption and mismanagement of relief assistance. In visits to Dabaluko and Serebuke for instance, all of the affected community groups interviewed acknowledged that they were satisfied with the selection process and that the food was distributed to them directly. They confirmed that the relief assistance exercises were participatory, with the involvement of local authorities, community leaders and the affected community throughout the whole process.

Additionally, key informants interviewed by the evaluation team confirmed that whilst food distribution was ongoing the GoE through the Woreda Administration office carried out continuous assessments of the status of the affected communities. Those with "improved status" were dropped out at each level, and a new list of targeted food recipients would then be provided to the ERCS at the time of each distribution. ERCS field level youth volunteers and health workers were also involved in monitoring of activities. In terms of accountability mechanisms established, community members confirmed that during distribution if there was a problem the beneficiaries knew to go to the administration, who would then in turn inform ERCS.

Challenges:

While the originally proposed plan was to commence food aid distribution in September 2011, the first round of distributions did not begin until November 2011 due to procurement challenges and concerns about the procurement process of the food items. It was noted as a concern by several stakeholders interviewed that weak logistics systems, tendering protocols and financial elements of the procurement process of ERCS proved to be a challenge to the operation which significantly delayed the implementation of the food distribution to the drought affected communities, as a result of weak logistical and procurement procedures in place. Due to the delays in undertaking implementation, the plan to distribute food in Moyale was subsequently replaced by Bule Hora in Borena zone in Oromia region by the GoE, since other agencies had already covered the Moyale region.

The delayed implementation extended the duration of the operation but in consultation with the GoE (DRMFSS) alternative exchanges of operational woredas (districts) and/or kebeles in the drought area of operations was agreed with other agencies to ensure continuity, and ERCS accepted other locations within the same woredas. The populations in the woredas were served as per the agreed rations

however the distributions were extended to eight rounds in the same locations of Guji and Borena, with distributions completed in mid July 2012.

According to IFRC operational updates⁴¹ during the food distributions ERCS staff identified some level of dissatisfaction regarding beneficiary targeting, which was reported to be undertaken randomly by community leaders and government authorities without involving the community members in some kebeles. Therefore, these issues were taken into consideration in the subsequent phase of food distributions. As a result, in surveys involving ERCS, IFRC and some Partner National Society visitors on field missions, those who did receive rations expressed that both the quality and quantity of the ration were greatly appreciated.

Lastly, challenges noted by some community members during interviews and FGDs highlighted the great distances some people had to travel to reach the food distribution sites, with some recipients having to travel to distribution centres three hours away.

Relief and Early Recovery Through Cash Transfers

It was originally proposed within the revised Appeal of September 2011 that the ERCS also provide support to selected households in order that their remaining assets were protected and some lost assets replaced, thereby improving their ability to produce food or restart livelihoods and reduce use of negative coping strategies. The ERCS proposed to improve household access to food, essential household items and livestock in targeted areas by assisting with conditional cash transfers.

Specific interventions included:

Outputs / Expected Results	Activities Planned
Household access to food, essential HH items and livestock in targeted areas has improved by assisting with conditional cash transfers.	Agree with local authorities and communities on criteria for targeting beneficiaries for cash grants. <ul style="list-style-type: none"> · Identify most vulnerable households through community screening. · Identify modalities and distribution mechanisms for cash transfers as well as cash grant value and monitoring mechanisms. · Distribute cash grants equivalent to USD 250 per HHs for 4,000 HHs (20,000 people). (To be refined based on assessment). · Establish joint community-ERCS supervision committee to effectively and transparently manage cash grant programming. · Closely monitor and evaluate intervention at the end of the piloting.

Results Achieved:

A Cash Transfer Working Group (CTWG) was launched in Ethiopia on 1 September 2011. The purpose of the CTWG was to introduce cash programming as one of the possible response mechanisms to deliver humanitarian assistance, to share information, experiences, monitoring and lessons learned. In October 2011, a cash transfer training was held in Yabello (Borena Zone) in Oromia Region where the ERCS branch programme manager from Moyale participated. The purpose of this training was to describe how to assess and analyse data in order to decide whether cash is

⁴¹ IFRC, Emergency appeal Ethiopia Drought, MDRET010, Six Month Operational Update, 5 April 2012

appropriate, to explain operational elements and delivery mechanisms to be considered and planned for in cash programme and to share experiences from each other. It was proposed that this ERCS branch programme manager would then hold a knowledge sharing course for selected ERCS staff so that they understand the modalities of cash transfer programming for effective execution of cash transfers and management for the target population.

Challenges:

Despite the ERCS intention to include and address early recovery interventions in its revised Appeal, in Ethiopia cash grants proved problematic as acceptability was very much dependant on proximity to markets. According to the April 2012 operational update, in regions such as Afar and Somalia pastoralists did not see a benefit from receiving cash or vouchers, therefore, the GoE, ERCS and other agencies engaged with the CTWG continued to assess if cash interventions are the best way to respond to the affected population. As such, and on the recommendation of the IFRC country representative, a component for cash transfers was retained in the November 2012 revised Appeal.

Disaster Risk Reduction (DRR)

The revised appeal of July 2012 was adjusted to focus more on the longer-term underlying causes of the drought and therefore on DRR and recovery interventions, in line with the funding and support received. Additionally, the revised appeal included an ERCS/IFRC Emergency Preparedness & Contingency Planning Project for Oromia, Somali & Afar Regions in order to enhance early warning emergency and response preparedness capacity based on a DRR approach to programming. Specific interventions include plans to enhance ERCS contribution to national early warning systems and to position, prepare and respond to food, livestock, and climatic changes.

According to the evaluation team's findings, early recovery and DRR strategies existed in the affected areas before the onset of the drought emergency. During FGDs with affected communities and local authorities in Dabaluko and Bule Hora, participants responded that DRR programmes in soil conservation and early warning systems (rainfall distribution pattern and assessment) were being undertaken which were coordinated through Disaster Preparedness Office (DPO). However, the evaluation team was unable to find evidence to determine that DRR activities that were highlighted in the revised appeal were being implemented during the operation by ERCS.

As these interventions were only included in the revised Appeal of July 2012, which was not approved until December 2012, implementation of the DRR activities in the field had not yet been realized at the time of this evaluation. However, with the extension of the Appeal implementation period into 2013 there is opportunity for ERCS to make significant strides in enhancing local coping strategies in the operational areas and integrate DRR elements into its operations to transition the operation from emergency interventions to more recovery and livelihoods activities.

OPERATIONAL CONSIDERATIONS

Effectiveness and Efficiency of Management Coordination Systems

As has been noted throughout this report and acknowledged by all concerned stakeholders, the Ethiopia Drought emergency response faced a number of challenges from the onset of the initial Emergency Appeal which affected the effectiveness and efficiency of operations.

At the launch of the original Drought Appeal in August 2011, the organizational and operational capacity of the ERCS, its structures and performance was undergoing a change management review process which was aimed at creating a more effective, efficient and dynamic national society. However, the evaluation found that this process had a considerable impact on this emergency operation, and resulted in several operational, logistical, human resource and administrative challenges

which affected the overall effectiveness and efficiency of the early stages of this emergency operation. The change management process commenced just as the September 2011 revised appeal was launched, with the appointment of a new Senior Management Team headed by a new SG and supported by three new Deputy SG positions.

As the IFRC Ethiopia Country Representation Office also faced limited capacity at the onset of the operation, the OSU team was established to advise, consult and support the ERCS for the emergency operations, however, was faced with its own obstacles including an occasional lack of acceptance of its role especially in the areas of integrated decision making, communication and coordination with ERCS. The lack of a clear mandate for the OSU and Standard Operating Procedures (SOPs) for the response both impacted the effectiveness and efficiency of the operation.

It was reported by several IFRC, ERCS and OSU interviewees that the OSU team faced resistance and limited support from the ERCS line managers. Interviews with ERCS staff revealed that it was felt OSU delegates were trying to take on more supervisory and evaluator roles rather than providing support and guidance as expected. In addition, some of the OSU delegates found themselves without ERCS counter parts to work with, as recruitment of key ERCS technical staff (e.g. Health and WatSan officers) were significantly delayed thereby impacting the roll out of proposed activities. There were also reported cases of misunderstanding and technical differences in opinion between ERCS, IFRC and Partner National Society delegates, for instance with regards to WatSan activities, which consequently resulted in further delays in implementation.

ERCS staff interviewed noted that the surge capacity provided through the OSU was concentrated at the ERCS HQ rather than in the field where it was most needed and where the most pressing capacity gaps were identified. IFRC and ERCS staff both expressed concern that support services capacity at the branch levels was not adequate to undertake the magnitude of such an ambitious operation, and yet gaps were not identified and addressed in a timely manner by the OSU or ERCS HQ. For instance, one of the main target areas for operations was Moyale, however, ERCS did not have a branch or a support structure in place to enable the roll out of activities. Meanwhile, the operational site in Afar experienced challenges related to governance and poor management at the branch field office which would have warranted additional support from senior management and the technical delegates⁴².

However, efforts to address these concerns were reportedly taken by the IFRC OSU. According to the IFRC six month operational update report⁴³, the Organizational Development (OD) Delegate conducted field visits to Borena and Guji to provide technical and advisory support to the ERCS team to start implementing the branch components under the PoA. The mission was intended to provide a better understanding of the PoA objectives, activities needing to be undertaken and agreeing responsibilities and timeframes. Additionally it was reported that the ERCS Head of OD, as part of the new management initiative, started a detailed branch capacity review of both operational branches including Afar and Moyale. While such capacity building efforts were reported, considering the vast gaps in capacity at the field level, more concerted efforts were necessary.

It was noted by interviewees and by participants during the IFRC “Way Forward” workshop that there were also challenges in identifying qualified and capable contractors which proved problematic in implementing activities in the field sites⁴⁴. In some districts, particularly in the more remote targeted areas, it was not possible to find qualified local contractors to implement infrastructure activities, such as the drilling of boreholes. As such, the ERCS had to identify suppliers and contractors from Addis Ababa, which proved to be a lengthy and expensive process as these suppliers had to organize travel to the field sites and charged higher costs than originally anticipated. Given the limited number of suppliers of humanitarian items and construction materials available, as well as the increased competition for scarce resources due to the number of aid agencies demanding the same supplies and

⁴² IFRC East Africa Regional Response Disaster Management Unit, Report Review and Way Forward: MDRET010 Ethiopia Drought, Feb2013

⁴³ IFRC, Emergency appeal Ethiopia Drought, MDRET010, Six Month Operational Update, 5 April 2012

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services simultaneously, this posed a significant challenge to the efficiency of the operation. The outsourcing of contractors to undertake the majority of activities in the WatSan sector in particular was highlighted as a concern, given the lack of involvement of local staff and communities, thereby not providing capacity building potential for longer term management and maintenance of the facilities which could have more effectively promoted the use of local skills, as well as ensured greater sustainability and ownership of the programme.

Also affecting the effectiveness and efficiency of the operation were late decisions and actions by ERCS HQ to move materials, supplies and equipment to the field operating branches. For example, the delay in providing vehicles to the branches resulted in field level staff not having means of transportation and being unable to carry out their planned activities, most notably in the WatSan sector. Another example was provided regarding the lack of provision of furniture to branches in Afar, which was planned from the beginning of the operation, however, as of February 2013 materials had yet to arrive. Inefficient fleet, warehouse and inventory management procedures were raised as another concern, as well as inefficient and ineffective authorisation levels on financial transactions, approvals and transfers to branches which caused further delays in the ability of field staff to implement activities in a timely manner⁴⁵.

Despite the significant aforementioned challenges to efficiency and effectiveness, the ERCS has made significant recent strides in addressing and overcoming the issues that faced its operations. At the time of this evaluation, the change management process had progressed and the restructuring and staffing of the second level departmental managers had been completed.

ERCS is confident that the changes enacted will lead to improved overall performance and greatly improve efficiency and effectiveness in the future. Additionally, clearly detailed SOPs were being developed which will be in place to guide future operations and minimize the risk of confusion with regards to roles and responsibilities. Also noted was the improved interaction and operational coordination from the appointment of well qualified OSU counterparts recruited within ERCS who act as the sectoral links between HQ and branches / technical departments. Lastly, the “Way Forward” meeting held in February 2013 amongst ERCS, IFRC and Partner National Society staff provided an opportunity for review and learning from the challenges encountered during the operation, and identified opportunities for moving the programmes forward in a more efficient, effective manner.

Timeliness

Considering the continual changing circumstances of the drought affected areas, multiple revisions to the Appeal and the delayed nature of the implementation of some activities, the Ethiopia Drought operation was generally considered timely in that it succeeded to address some of the prioritized needs of affected communities. The immediate Appeal generated by the ERCS in response to the release of the GoE HRD in July 2011 was deemed timely, as well as the rapid and on-going deployment of assessment teams to confirm and clarify actual needs in operational sites. While the mobilization and roll out of activities in the field experienced various delays, activities once activated were met with appreciation by the communities and local authorities.

Appropriateness

It was confirmed through Appeal documents, operational updates and key informant interviews that initial needs assessments were conducted to identify humanitarian needs and activities that aimed at reducing future disaster risks and chronic vulnerabilities. However, the pressure that came with the

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focus of international media on the Horn of Africa Crisis influenced the design of the revised emergency appeal launched in September 2011⁴⁶.

While the emergency appeal strived to identify the need to address chronic vulnerabilities and disaster risks while addressing urgent humanitarian needs, the type and size of recovery activities did not take in consideration the operational challenges, specific Ethiopia context, capacity gaps and the short duration of the emergency appeal. According to ERCS and IFRC staff, this created confusion in that relief activities were considered emergency while DRR and recovery activities were viewed to be longer term development, therefore not implemented with the same urgency.

Additionally, it was noted that there was a lack of an adequate assessment of existing ERCS capacities (HR, systems and structure) in relation to the size of the proposed operation, as well as the impact of transition processes in ERCS leadership and senior management. The operational scale of the revised September 2011 Appeal as encouraged by the IFRC HLC underestimated the challenges in the local contexts, thereby affecting the type and level of support mobilised by IFRC⁴⁷.

Coordination

The second revision of the Drought Appeal in September 2011 was based on a coordinated approach between Movement partners working in Ethiopia and supporting ERCS operations. However, review of documentation and key informant interviews with ERCS and IFRC staff indicate there were a number of coordination challenges experienced throughout the operation, both internally within the Federation Movement as well as externally with other stakeholders.

Internal Coordination

The ERCS reportedly led monthly Movement Cooperation Meetings (MCM) at the country level, which served as a forum for Movement partners in-country to update each other on activities carried out, share experiences, discuss cross-cutting issues and coordinate interventions⁴⁸.

The establishment of the OSU was intended to provide an umbrella unit for coordinated and collective response to the drought response for the Movement partners. Once in place the OSU organized internal coordination meetings which were meant to serve as fora for review of progress and an opportunity to address challenges and obstacles in the operations. However, given the confusion over roles and responsibilities and the lack of a clear mandate, these coordination meetings did not achieve their intended results⁴⁹. Interviews with key informants revealed that ERCS program staff did not consistently attend and participate in OSU facilitated meetings. There is conflicting information about why participation was inconsistent, with ERCS and IFRC Ethiopia Country Representation Office noting this was a result of a period of high staff turnover within ERCS during a considerable transition period. However, interviews with other stakeholders indicate this was due to the resulting confusion over the mandate of the OSU and lack of designated roles and responsibilities. The lack of a platform to engage in meaningful dialogue amongst the OSU, IFRC, Partner National Societies and ERCS actors significantly impacted the effectiveness and progress of the operation. The weak coordination links between the IFRC, OSU, ERCS and Partner National Societies was highlighted as one of the

⁴⁶ Interview notes, IFRC East Africa Regional Response Disaster Management Unit, Report Review and Way Forward: MDRET010 Ethiopia Drought, Feb 2013

⁴⁷ IBID

⁴⁸ IFRC, Emergency Appeal Ethiopia Drought, Operation Update No 2, 17 October 2011

⁴⁹ Interview notes, IFRC East Africa Regional Response Disaster Management Unit, Report Review and Way Forward: MDRET010 Ethiopia Drought, February 2013

main challenges to the operation, resulting in confusion and mistrust in terms of roles and responsibilities in coordinating activities⁵⁰.

As noted in IFRC operational updates⁵¹ the Movement recognized and had plans to address the accepted need to improve weak coordination, response and communication across all sectors and levels. It was acknowledged that some operations, proper reporting lines and requirements were not working as effectively as necessary, with subsequent lack of detailed updates for incoming, transiting and outgoing movements.

External Coordination

Operational updates as well as interviews with key informants confirmed that IFRC and ERCS engaged in various external coordination mechanisms in order to ensure complimentary programming and avoid duplication of efforts with other humanitarian actors involved in similar drought responses. ERCS and IFRC members reportedly attended regular UNCT and IASC meetings, task forces and working groups to share information on the status of the emergency, as well as held meetings with senior managers of UNHCR, OCHA, WFP, and the GoE Administration for Refugee and Returnee Affairs (ARRA).

Furthermore, the ERCS selection of operational areas and beneficiaries was agreed in coordination with the relevant authorities at Federal, Regional, Zonal and Woreda levels. For example, during the IFRC/ERCS assessment in Afar the team reported that many positive meetings were held with Afar State authorities including the Minister of Education and Deputy Head of State, Ministry of Health, Agriculture and Afar Pastoral Affairs, Water Board, Woreda officers and kebele committees. Additionally, meetings with INGOs including Save The Children, UN agencies such as UNICEF, and other national NGOs were conducted to ensure coordinated response and avoid duplication of efforts⁵².

While records and documentation of coordination meetings was not provided to the evaluation team, interviews with ERCS staff as well as discussions with local government authorities and communities in the field confirmed that close coordination was undertaken with highly positive and constructive results, particularly in the delivery of food aid distributions. Stakeholders interviewed confirmed the well coordinated and participatory targeting process of food aid recipients, the local authorities' support and contribution to ERCS in terms of storage and warehouse facilities, as well as the deployment of staff from DPPC during food aid distributions to help ERCS with monitoring processes.

Preparedness and Contingency Planning

The ERCS and IFRC country office and EARO showed high levels of preparedness in responding to the onset of the drought emergency. Immediately following the release of the GoE's HRD in July 2011, a health assessment was undertaken to verify most urgent needs in the affected areas. The initial Emergency Appeal was launched within a matter of weeks, while an additional in- depth multi sectoral assessment team was organized and conducted by end August. In recognition of the limited national society resource capacity, ERCS structural challenges and the change management process underway, the OSU was quickly established to support ERCS in the planning and implementation of the operation. However, it is unfortunate that the OSU was not provided with a clearer mandate and ToR, in order to prevent and mitigate the confusion and operational challenges which ensued. Additionally, the lack of established SOPs and disaster management protocols proved to be an area in which ERCS and IFRC preparedness was found wanting.

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⁵¹ IFRC, Emergency appeal Ethiopia Drought, MDRET010, Six Month Operational Update, 5 April 2012

⁵² IFRC, Afar Region (Zones 1&2) Assessment Report for the Ethiopia Revised Drought Appeal Plan of Action, 23 November – 2 December 2011, Updated: January 2012

The evaluation also failed to identify any significant contingency plans developed by ERCS, particularly with regards for drought operations. The ERCS has since begun to address some of the human resource capacity issues it faced at the beginning of the operation with the redeployment and recruitment of senior managers and technical staff. Additionally, strengthening of the procurement office and updating of procurement manual is underway which will serve to support DM processes in future.

According to revised Ethiopia emergency drought appeal approved in December 2012⁵³, specific interventions have been proposed to ensure ERCS in future has enhanced early warning emergency and response preparedness capacity based on a DRR approach to programming. These preparedness measures need to include close coordination and cooperation with the IFRC country and regional offices, as well as collaboration with the relevant Partner National Societies in order to ensure consensus and a clear agreement on preparedness and planning systems for more effective operations in future.

Resource Mobilisation and Financial Management

The revised appeal posted in September 2011 resulted in a significantly increased budget from CHF 11 million (for a six-month operation) to CHF 28.48 million (for a 12-month operation). It was understood from interviews with ERCS and IFRC key informants that the decision to scale up the appeal was based on the recommendation from the HLC following the comprehensive assessment and new programme designs agreed by IFRC, particularly the expansion for WatSan programs. The latest revised Appeal developed in July 2012 reduced the budget to CHF 12 million based on consideration of actual needs in the drought-affected areas, ERCS capacity, the release of the GoE HRD in March 2012, and inclusion of more DRR and early recovery strategies.

The IFRC took the lead role in mobilizing financial resources on behalf of the ERCS. Of the initial estimated CHF 28.48 million that was requested in the appeal, CHF 10.43 million representing 36.62 per cent of the appeal was actually raised from 21 donors, primarily Partner National Societies. According to the ERCS and the IFRC Country Office, the total expenditure as of 31 December 2012 was CHF 5.33 million, of which CHF 238,000 was accrued, mostly related to final payments due to contractors in the final stages of completing specific activities planned in the WatSan package. The remaining CHF 2.4 million remained with IFRC for remaining activities as well as to cover IFRC and national society support services⁵⁴.

The ERCS finance department was faced with numerous financial management challenges, including a lack of efficient reporting system for specifying what financial resources came from which donor for specific supported activities. According to ERCS this was due to this information not being provided by the IFRC Country Representation Office. According to the IFRC Country Representation Office, earmarked pledges were shared and reporting discussed and undertaken jointly with IFRC/ERCS. Regardless, interviews with other key informants indicate a general lack of inefficiency in regards to financial reporting procedures. ERCS finance officers were using out-dated financial reporting manuals and systems which proved laborious and time consuming. Additionally, the ERCS operated, at the time of the evaluation, on a direct cash transfer from the IFRC, which requires that expenditure is reported on for operational activities before subsequent financial transfers are approved. According to interviews with IFRC EARO staff, this caused some additional delays to implementation as some field activities remained pending until prior expenditure could be reported, procurement of supplies and services were negatively affected, and consequently implementation of activities at field levels were then affected. The cash advance system between the ERCS HQ and its branches was also reported to cause delays in providing field offices with the necessary funds required for implementing activities in operational sites⁵⁵. As a result of these realities, it was reported that the ERCS finance

⁵³ Emergency Appeal n° MDRET010: GLIDE n° DR-2011-000101-ETH 19 November 2012

⁵⁴ IFRC, Emergency appeal Ethiopia Drought, MDRET010, 12 Month Operational Update, 28 December 2012

⁵⁵ IBID

team had difficulties accounting for operational expenditures and designated allocations of fund disbursement to IFRC. While financial reporting was included in operational updates, at the time of the evaluation no comprehensive financial report had been submitted to IFRC.

While more advanced and modern financial management systems, such as Navision, are being explored to improve financial and accounting management procedures, it is recognised that slow internet and telecommunication systems in Ethiopia can significantly affect which reporting systems are utilised.

Lastly, the evaluation also considered the capacity of the ERCS to mobilize its own resources locally during the operation, however, there was no evidence to suggest that ERCS was able to generate additional financial and other resources from local sources to support the operation.

VI.CONCLUSIONS AND RECOMMENDATIONS for WAY FORWARD

The ERCS emergency drought response was an ambitious project which underwent multiple revisions, was implemented during a significant change management processes and restructuring of organizational systems, and as a result experienced challenges during its operation. However, notable achievements were realized as a result of this project, particularly the much needed assistance in the sectors of health, WatSan, and food aid distribution.

Despite the challenges raised throughout this report, the staff and volunteers of the ERCS at national level in Addis Ababa and at the field level in the targeted operational sites demonstrated professionalism and commitment to ensure they could implement the interventions proposed in the Drought Appeal in spite of the challenges experienced and capacity constraints.

A major component of this evaluation was the interviews conducted with the officials from the district level, field staff, and, most importantly, the communities themselves. Their positive feedback and requests for continued and increased ERCS support all underline the important role the ERCS has to fill in emergency as well as longer term DRR and recovery operations. Feedback from these stakeholders, as well as documents and reports support the findings that despite the constraints and challenges experienced, the ERCS was able to implement a number of its proposed drought interventions. The lessons learned throughout the operation thus far will help to ensure improved implementation as the project proceeds into 2013 in order to address the humanitarian, DRR and recovery needs of the affected populations.

Recommendations:

1. Learning workshop: The evaluation team recommends that IFRC (country representation and EARO), ERCS and concerned Partner National Societies engage in a learning workshop/meeting to discuss the challenges experienced in relation to roles, responsibilities and coordination, in view of enhancing future coordination, collaboration and management of emergency operations. In line with this recommendation, ERCS and IFRC should, with other actors, acknowledge the extent to which the aforementioned factors hindered the operation response and management, and take appropriate actions to ensure more effective future responses. In line with this recommendation, a “Way Forward” workshop was held in February 2013, facilitated by the IFRC EARO disaster management unit, which identified a number of the operational issues faced and presented participants with opportunity for agreement on how to proceed more efficiently and effectively going forward.

2. Preparedness and Planning: IFRC should continue to work closely with ERCS, Partner National Societies and the GoE to strengthen early warning, disaster risk reduction and preparedness activities in order to strengthen capacities to prevent, mitigate and respond in case of an emergency, especially in areas prone to recurrent disasters such as drought. It will be essential for ERCS to develop its preparedness plans in a coordinated manner with IFRC regional and country offices, as well as Partner National Society delegates, to ensure consensus and joint agreement for procedures, roles and responsibilities going forward. Additionally, the development and activation of SOPs and disaster management protocols will assist in ensuring ERCS capacity to address future operations in a consistent, efficient manner

3. Capacity Building of ERCS: The evaluation team recommends that IFRC deploy delegates to the ERCS Disaster Management Department to support the development of contingency plans for emergency operations as well as to review and strengthen logistics, procurement, financial, HR, PMER systems and procedures. ERCS should coordinate with the IFRC Country office to ensure that adequate organisational capacity is in place in a timely manner during the planning and implementation of future emergency operations. Surge capacity and technical expert personnel should be brought in a timely manner to specifically focus on support for delivery of operation activities. In line with this recommendation, limitations in capacity within the ERCS needs to be acknowledged and communicated openly with the IFRC, in the spirit of working jointly as partners within the Red Cross and Red Crescent Movement. Orientations and trainings for new staff and delegates should be provided and/or refresher trainings conducted on the fundamental principles of the Red Cross and Red Crescent Movement, emergency response protocols, and IFRC SOPs. The IFRC Ethiopia Country Representation Office confirmed that this recommendation had already been activated in July 2012 and ERCS continues to induct new staff. However, given the repeated concerns raised during the evaluation period, this is an area for continued concerted effort. It is also suggested that IFRC provide support to the ERCS to ensure that the needed ERCS capacities are in place to conduct Cash-based interventions in future emergency operations.

4. Project Design: Needs assessment / baseline data should be strengthened for future operations in order to provide more accurate identification of affected populations, contextual situations, and therefore appropriate priority interventions. The ERCS available data which fed into the initial design of this project relied primarily on information from the GoE HRD issued in July 2011. Comprehensive needs assessments were undertaken in the months following, however, this is an area for ERCS to address going forward, in order to strengthen its team’s ability not only to gather the required data (thus knowing what data needs to be generated), but also the ability to then analyse the information in order for programmes to address different needs of different communities and in different sectors. There is therefore opportunity for ERCS to strengthen its use of the vulnerability and capacity assessment (VCA) methodology in order to improve the quality and timeliness of data collection and information generation going forward. It is also recommended that the ERCS proactively attempt to increase active participation and involvement of affected communities in the design, implementation,

and monitoring of activities in order to promote the use of local skills, ensure sustainability and encourage ownership of programs by the communities.

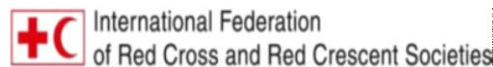
5.DRR/Early Recovery: DRR and early recovery interventions should be designed in consideration of the phasing- out of emergency relief efforts and address next steps to be undertaken after the immediate response stage. As much as possible early recovery activities should try to address the underlying causes of crises and strengthen the capacities of communities as well as local authorities to not only recover but also cope with future risks and vulnerabilities. In line with this, there is need for ERCS to focus on strengthened community resilience and capacity to promote DRR and impact reduction. In order to approach this, the ERCS needs a longer term vision on how the communities could and/or should recover, therefore it is imperative that the communities themselves are engaged and empowered to achieve resilience, develop community action plans, and establish community strategies so they themselves are capable of preparing and recovering from disasters and not solely reliant on external emergency aid. The ERCS should work jointly with district authorities and community groups to conduct high risk mapping exercises and planning sessions for mitigation strategies and community preparedness plans.

6. Planning, Monitoring, Evaluation and Reporting: Monitoring of activities focused primarily on outputs as opposed to outcomes and longer term impact. Additionally, monitoring and reporting systems varied from site to site and were not consistent from field level to ERCS HQ. It is recommended for the ERCS to review and strengthen its current M&E systems to standardize how monitoring will be handled going forward, in order to ensure its monitoring and reporting procedures are more effective. Additional technical M&E support from IFRC EARO could be helpful and provide more proactive guidance and advise.

7. Information and Communication: Throughout the project period, the relay of information to the relevant stakeholders on status of progress and the flow of communication channels appears to have been relatively weak. Additionally, onward information and communication flow from field level to ERCS HQ (and vice versa), amongst ERCS, the Partner National Societies and the OSU, and with IFRC regarding status of the project was inconsistent and not as proactive as it could have been. It is therefore recommended that the ERCS review its internal and external communication systems and information flow, in order to ensure in future that all key stakeholders are kept informed and engaged throughout the project cycle implementation. ERCS and IFRC should communicate with its personnel and Partner National Society delegates regularly through well-established channels such as coordination meetings, monitoring visits, and provision and sharing of operation updates. Communication channels within the Movement should be clearly outlined from the onset of an operation in order to promote effective communication and disseminate essential information to the relevant and concerned stakeholders.

8. Coordination Mechanisms: While generally acknowledged that coordination of ERCS with other stakeholders was undertaken to ensure efficiency of response operations, it was noted that this remains an area for enhanced efforts in future. While ERCS does participate in district, regional and national level coordination fora, it was noted in several interviews that such coordination was not always consistent. Additionally, coordination within the Movement amongst IFRC, ERCS and Partner National Societies was not always effective. It is therefore recommended that ERCS make a concerted effort to proactively consult and coordinate internally as well as with other relevant agencies and authorities, in order to ensure stronger networks are established for planning going forward for more connected, coherent programming.

ANNEX 1: Terms of Reference



DRAFT TERMS of REFERENCE (version 2): EMERGENCY OPERATION EVALUATION (EOE) 2011/12 ETHIOPIA DROUGHT EMERGENCY APPEAL (MDRET010)

1. SUMMARY

Purpose: This emergency appeal operation evaluation (EOE) seeks to assess the effectiveness and efficiency of the implementation of the Ethiopia Drought Emergency Appeal response operation including coordination and management systems of the ERCS and the support to them from the Federation Country Representation Office (IFRC Ethiopia), East Africa Regional Office (EARO) and Africa Zone (AZ). The evaluation will focus on both relief and early recovery elements. It will provide historical review of the activities to date, the current situation and plans for the coming months, including real-time feedback and learning to the ERCS, The Federation Representation Office in Ethiopia, the East Africa Regional Office, the Africa Zone, the Secretariat in Geneva and to the members of the Partner National Societies in the operation.

- a. **Audience:** This evaluation will be used by the ERCS, IFRC Ethiopia, the Africa Zone and East Africa Regional Office, and in the Secretariat in Geneva and it will inform all the RC/RC stakeholders involved in the Ethiopia Drought operation.
- b. **Commissioners:** This evaluation has been commissioned by the Secretary General of the Ethiopian Red Cross Society (ERCS) and the Federation Ethiopia Country Representative in Addis Ababa, Ethiopia.
- c. **Reports to:** The evaluation team leader will report to a management group comprised of representatives of the ERCS, The IFRC Ethiopia, a supporting PNS and a third party to be agreed.
- d. **Duration:** approx 30 days to be confirmed with team after appointment
- e. **Timeframe:** Between 01 – 31 August 2012 (proposed)
- f. **Location:** Ethiopia, Kenya, Geneva, Switzerland.

2. BACKGROUND:

Operational context:

By August 2011 early climatic and food security warning indicators that had been emerging since earlier in the year culminated in a situation where two consecutive seasons of considerably lower than average rainfall conditions in the Horn of Africa resulted in significant drought and created a priority global food security crisis. Despite early 2011 IFRC regional and global advocacy efforts, the evolving disaster remained largely neglected by the world's media and donor community; IFRC and other humanitarian agency appeals were not receiving strong support. Some countries of The Horn,

specifically Somalia and, by geographical proximity as well as its own drought conditions, Kenya were worse affected. In the case of Somalia even to driving the situation towards acute famine conditions, further aggravated by deteriorating security conditions, in Ethiopia the situation was always less acute but still considered one of the driest years since 1995 Oromia, Somali and Afar regions being the worst affected areas. The Government of Ethiopia (GOE) launched its key disaster management planning tool, the Humanitarian Requirements Document (HRD) indicating that around **4.5 million people** would be in need of emergency food interventions from July to December 2011. This bi-annual document is always based on a multi-agency assessment and was in response to increased concerns about the deteriorating food security situation caused by quite severe drought conditions. The Ethiopian Red Cross (ERCS), supported by its partners, conducted a rapid assessment of the situation in southern Ethiopia, concentrating on pastoralist and agro-pastoralist areas. The initial rapid assessment affirmed that immediate support action was crucial in view of the lead time typically required to mount a food intervention and initiate early recovery assistance. Based on the situation, a Preliminary Emergency Appeal (PA) was launched for just under CHF 11m⁵⁶ to focus on providing relief assistance in the areas of food relief and cash grants, water and sanitation, health and institutional capacity building. It included provisions to initiate the early implementation of longer-term recovery and rehabilitation assistance to vulnerable pastoralist communities. At the time it was acknowledged that the Rapid Assessment could only give an indication and “snap-shot” of the scope of the disaster and that follow up and more detailed field assessments would be required to further inform, focus and priorities the appeal and provide the data for an Operational Plan of Action. The first of these detailed assessments was commissioned at the end of August 2011⁵⁷

By September the concern and pressure on the ERCS/IFRC to increase the level of assistance had escalated. This was driven only partially by deteriorating conditions, at least in Ethiopia; low funding response and slower than anticipated response contributed but much more significantly the reaction was strongly influenced by a sharp, critical and high-profile rise in international media attention and global public concern primarily originating from reports and images from the awful conditions emerging from Somalia and in the Somali Refugee camps of Dadaab in Kenya. The population movements triggered by conditions in Somalia spread into Ethiopia with rising numbers of refugees adding to the already drought stressed communities in Ethiopia’s Somali region.

Responding to the above situations a new initiative to surge Federation assistance was undertaken with the appointment by the IFRC SG of a High Level Coordinator for The Horn of Africa (HLC).

In late August whilst the first detailed assessment was still under way a decision was agreed to revise all The Horn of Africa Country Drought Appeals⁵⁸ based on the initiatives, recommendations of the High Level Coordinator. For Ethiopia the revision posted on September 26th. 2011 resulted in a significantly increased appeal for the drought from CHF11m to CHF 28.48 m. Details of the preliminary, both revised appeals, the HLC ToR and other background documents and recommendations will be available to the Evaluation Team.

As the relief operations led out by the Government of Ethiopia and supported by UN, Red Cross and INGO and NGO agencies developed through October and November, the drought conditions in Ethiopia which, whilst of considerable concern, never developed close to the famine conditions seen in Somalia and Kenya, started to ease slightly. Overall relief assistance had been quite timely and effective and the situation was described by a major donor as a “Good Drought” by Ethiopian standards. Certainly there were “hot spots” but modest rains reduced water trucking support to all but a few of the most severely impacted areas of Somali and Afar. Health conditions were at an acceptable level of control barring some concerns in occasional spots in the Somali camps, morbidity rates in the affected areas were only marginally above normal levels and acute emergency interventions were limited to those areas. Food stock supplies and deliveries were adequate. By the end of the year

⁵⁶ Ref: Emergency Appeal n° MDRET010: GLIDE n° DR-2011-000101-ETH 5 August 2011

⁵⁷ IFRC/ERCS/PNS Joint Oromia Drought Assessment 12-26 August 2011 Ethiopia

⁵⁸ Ref: Revised Emergency Appeal n° MDRET01REA GLIDE n° DR-2011-000101-ETH 26 September 2011

transition activities from relief to recovery were under way and the predictions for the first quarter of 2012 from the climatic early warning systems were cautiously optimistic. Overall coverage of the Drought Appeal was promising however service delivery has been slow with but with clear improvement over the first months of 2012 (see Red Cross context below).

Following the issuing of the Ethiopian Government Humanitarian Needs Document in March the Federation posted a Special Information Bulletin addressing issues affecting Ethiopian Emergency Appeal that warranted revision of the appeals. A decision by the ERCS and IFRC has been made to do a full revision of the Drought Appeal by the end of June early July 2012 to reflect the following:

- a. An adjustment to reflect the changed conditions and situations in the original drought affected areas.
- b. A reduction in the appeal amount to reflect the existing coverage, the adjusted needs and the current delivery capacity of the ERCS.
- c. The move to recovery, resilience and Disaster Risk Reduction programs and projects that address livelihoods, and underlying vulnerabilities.
- d. The systemic and cyclical state of low level emergency in food and water security and health that persistently prevail in the areas of Oromia and most of Somali and Afar regions.

Red Cross context: The context in which the ERCS and the IFRC Ethiopia mounted the Drought Appeal Operation will be an important component to be considered in the EOE. The ERCS has a long history of emergency response to major disasters specifically in the areas of food assistance interventions. However at the time of this appeal the society was facing perhaps the most serious challenges to its overall management and disaster management capacity in its history. A major Change Management Process, starting with the appointment of a new Secretary General who took up the position at the start of this operation and the need for radical personnel, financial, systems and management interventions had considerable influence on the operational delivery capacity and performance of a society that had the “Lead Role” in the operation as well as additional continental obligations to deliver. The Federation Office at the start consisted of a single Country Representative and small staff tasked to support both the change process and surge its appeal operational capacity to meet the demands of the doubling of an already large initial appeal. Details and documentation of this contextual scenario will be provided to the EOE team.

3. EVALUATION PURPOSE AND SCOPE

The International Federation is committed to ensuring quality assurance, standards and a strong culture of lesson learning in its disaster response and, as such is committed to carrying out both Real Time Evaluations (RTEs) and follow up Operational Evaluations in the wake of all major disasters requiring an international response. This evaluation is being carried out after the initial emergency relief phase in late 2011 and as the operation has started the transition to post-emergency activities and recovery, disaster risk reduction (DRR) and longer term resilience programming addressing underlying vulnerability issues. The evaluation of this operation has the following purposes:-

5. To examine the efficiency and effectiveness of the management and coordination systems used by the ERCS and the Federation at all levels and highlight any gaps or bottlenecks. The EOE will feed back both historical and real time information to managers at field and headquarters levels to help them improve management and coordination and it will make recommendations to assist decision-making at all levels of operations management in the ERCS, EA Regional Office, Africa Zone and Secretariat in Geneva.
6. As the proposed revision and extension of the Ethiopia Drought Appeal, once approved, is likely to continue for up to twelve months it is important that this review feeds into the ongoing relief and recovery operation to improve delivery.
7. To analyse the current operational context and situation in Ethiopia, in order to identify relevant ongoing opportunities, challenges and risks and to assist the ERCS and the IFRC Secretariat management in Geneva, Zone, Region and country level as well as PNS to plan for future programming, especially the early and longer-term recovery, livelihoods and rehabilitation of the affected population.

8. To use this review of the operation to identify the main lessons to be learned from activities to date for the teams on the ground, for the ERCS/Secretariat's management at each level and for the wider organisation, and to inform and support the ERCS change management in the areas of emergency, relief and recovery
9. To comment on and make recommendations utilising a SWAT approach to the Change Management Process in the ERCS as it reflects on disaster management and operational coordination capacity and the IFRC support to that process

The EOE will focus on the combined Federation response (ERCS, Secretariat and PNS) from the onset on August 2011 and make comments on the ongoing operation. Depending on allocated and available time it will take an overall approach to an operation overview and what has and had not worked and where possible, a more detailed analysis of sectoral activities such as Health, Logistics, Watsan and Capacity Building. In relation to lesson learning and extrapolating these lessons across the wider Federation, the unusual scale and circumstances should also be taken into account. Geographically, the EOE would focus on the operation management at both HQ and field level.

4. EVALUATION OBJECTIVES AND KEY QUESTIONS

The EOE will focus on:-

- e) the effectiveness, efficiency, timeliness and appropriateness of the **assessment, planning and management processes and systems** put into place, from the outset and as the context / needs evolved, including identification of critical gaps and bottlenecks. And how this supported the timeliness and adequacy of the overall response;
- f) the adequacy of **coordination**, both with internal and external actors;
- g) an analysis of the **risks and challenges** facing the operation; and
- h) Identify opportunities to scale up support in relief, emergency and recovery.

Key Issues and Questions

Key issues the EOE will focus on in the review. The team may add to these questions prior to the field deployment. It is recognised that the team will not be able to address all of these questions in detail but will be guided by them:

Assessment, planning and management systems

- How timely and relevant were the different, assessments, appeals, Plans of Action and management coordination systems?
- To what extent have plans been developed based on thorough, participatory needs assessments and if not, what were the constraints?
- How timely and effective was the response against the needs and stated objectives? What management or other factors explain why the response was/was not delivered in an effective and timely manner?
- How have recovery considerations been incorporated into planning and relief interventions?
- How effective were the systems to mobilize resources – financial, human resources, communications/media, logistics etc.? How adequate is the mobilization of human resources? And what challenges were faced in delivering the appropriate support?
- Were the ERCS/Federation operational structures well geared to deliver timely, efficient and effective disaster response?

Coordination

- What and how effective was the ERCS/IFRC/PNS operational coordination What if any were the constraints.
- How timely and effective is the coordination system within the Federation (Secretariat and NS actors)? How well is the structure functioning for both relief and recovery?
- Were the roles, responsibilities and expectations at each level clear (Geneva, Zone, Region and country)?

- How efficient and effective was the coordination of the Movement's global tools.
- How useful were the International Federation's Principles and Rules in Disaster Response and what did the field need in terms of practical support to aid coordination?
- How effectively has the ERCS/Federation coordinated with external actors, particularly the UN (the cluster system), the Government, the military and the international and national humanitarian community?
- How has the role of Ethiopian Government humanitarian and Response agencies impacted the operation and has the NSs' auxiliary role in relation to them had an impact on the operation?

Risks and challenges

- To what extent have critical gaps been identified and addressed in a timely way? What main factors helped or hindered the response (security events, infrastructure, procedures, access, etc.)?
- What gaps or bottlenecks still remain? Are there plans in place to address these already or is this an area that still needs to be addressed?
- Taking the current and foreseeable immediate future situation, what are the most serious risks or challenges facing the ongoing operation? What mitigating factors could be brought in to address these?
- In relation to the ERCS/Federation operation and the Secretariat management and coordination, what challenges or threats are faced? And what opportunities are there to address these?

5. METHODOLOGY

The evaluation will focus on the Ethiopia Drought operation to date with a view to identifying lessons learned and best practices and make recommendations on those observations. The team is encouraged to comment on the way forward based on their observations and the appeal in place at the time of commencement of this evaluation. The team will meet with the management team prior to the start of the evaluation but may agree to visit the Federation HQ in Geneva prior to deployment to the field. Desk review and study of documents will be conducted prior to starting briefings in Nairobi and Geneva.

A management group will be set up to manage and support the EOE. It will comprise an **externally appointed Team Leader**, a representative of the Africa Zone Office or Geneva Disaster Services Department (DSD). The management group will discuss and agree the initial scope, work plan and timeframe with the EOE Team Leader and will support and oversee the EOE process and will ensure agreement on the final report. It will have a role to oversee quality assurance of the process.

The team will be fully briefed in Geneva, Nairobi and Addis Ababa. During the course of the EOE they will fully engage with staff from the ERCS HQ and Branch staff, The IFRC country management team, and the management at all levels. They will also meet with any other Movement actors in country. In country it will also meet with other actors, such as UN agencies, the Government (including the two main relief agencies DRMFSS and ARRA), INGOs and NGOS, and other relevant actors and will include beneficiary perspectives where and as appropriate.

The team will be sensitive to the significant challenges and constraints imposed by the initial and a still ongoing ERCS management change process including the demands on the ERCS in hosting the upcoming Pan African Conference, and the workload of the various teams and ensure that demands on those teams are kept to a minimum. IFRC Country Office and where possible ERCS staff will be earmarked to support the EOE team on practical matters in Geneva, Region/Zone and at country level, but while they are in country they should aim to be as self-sufficient as possible.

The team will deliver an exit report of its preliminary findings to the in-country team (ERCS, IFRC, PNS) and the Zone before leaving the region. The team leader will present the key findings in a draft

report in Addis Ababa within two weeks of the return from the field from which the ERCS, IFRC country, Region/Zone and Geneva management will have one week to comment. The report will then be finalized to be shared by Secretariat senior management with agreed stakeholders. A consolidated management response will be provided within two weeks (including a plan for managing the follow up to the EOE).

6. EVALUATION DELIVERABLES

The EOE team will deliver the following:

Inception Report – The inception report be a scoping exercise for the EOE and will include the proposed methodologies, data collection and reporting plans with draft data collection tools such as interview guides, the allocation of roles and responsibilities within the team, a timeframe with firm dates for deliverables, and the travel and logistical arrangements for the team. The scoping exercise will allow the team to gather initial information and draw first impressions of key issues to be covered.

Debriefings / feedback to management at all levels – The team will report its preliminary findings to the in-country and Region/Zone teams before leaving the region and will take on board any pertinent comments or corrections. The team leader will present the full report to agreed senior management within two weeks of the return from the field.

Draft report – A draft report, identifying key findings, recommendations and lessons for the current and future operation, will be submitted within two weeks of the teams return from the field. The country, Region/Zone and Geneva management will have two weeks to comment.

Final report – The final report will contain a short executive summary (no more than 1,000 words) and a main body of the report (no more than 8,000 words) covering the background of the intervention evaluated, a description of the evaluation methods and limitations, findings, conclusions, lessons learned, clear recommendations. It can contain appropriate appendices, including a copy of the ToR for the EOE but also other ToR available for key interventions in The IFRC Horn of Africa response such as the High Level Coordinator Mission, Regional Framework for The Horn etc, cited resources or bibliography, a list of those interviewed, and any other relevant materials. The final report will be submitted two weeks after receipt of the consolidated management feedback.

All products arising from this evaluation will be owned by the Federation (in this case this definition of The Federation includes the ERCS). The team leader and / or members will not be allowed, without prior authorization in writing, to present any of the analytical results as his/her own work or to make use of the evaluation results for private publication purposes.

7. EVALUATION MANAGEMENT and TIMETABLE

The EOE has been commissioned by the SG ERCS and The IFRC Ethiopia Country Representative (CR) and will be managed by a management group (see section xx). The management group will oversee the conduct and quality of the evaluation. The team leader will report on progress or challenges to the management group. The preliminary and final reports will be submitted through the management group, who will ensure the quality of the report providing input if necessary. The management group will submit the report to the ERCS SG/IFRC CR who will oversee a management response and will ensure subsequent follow up.

Indicative timetable for the RTE process		
Identification/Hiring of Team /Consultants / Contract signed	TBA	

EOE team to scope out process/timeframe and submit inception report	TBA	
Desk Review and Study of Documents	TBA	
Mission Briefings in Geneva & Nairobi	TBA	
EOE in Ethiopia	TBA	15 days
Debriefings in Ethiopia and Nairobi	TBA	
Presentation of draft report	TBA	
Finalization of report	TBA	
Total Working Days for Consultants	TBA	30 days

8. IFRC ETHICAL STANDARDS

The evaluators should take all reasonable steps to ensure that the evaluation is designed and conducted to respect and protect the rights and welfare of the people and communities involved and to ensure that the evaluation is technically accurate and reliable, is conducted in a transparent and impartial manner, and contributes to organizational learning and accountability. Therefore, the evaluation team should adhere to the evaluation standards and applicable practices outlined in the IFRC Evaluation Policy.

The IFRC Evaluation Standards are:

1. **Utility:** Evaluations must be useful and used.
2. **Feasibility:** Evaluations must be realistic, diplomatic, and managed in a sensible, cost effective manner.
3. **Ethics & Legality:** Evaluations must be conducted in an ethical and legal manner, with particular regard for the welfare of those involved in and affected by the evaluation.
4. **Impartiality & Independence:** Evaluations should be impartial, providing a comprehensive and unbiased assessment that takes into account the views of all stakeholders.
5. **Transparency:** Evaluation activities should reflect an attitude of openness and transparency.
6. **Accuracy:** Evaluations should be technical accurate, providing sufficient information about the data collection, analysis, and interpretation methods so that its worth or merit can be determined.
7. **Participation:** Stakeholders should be consulted and meaningfully involved in the evaluation process when feasible and appropriate.
8. **Collaboration:** Collaboration between key operating partners in the evaluation process improves the legitimacy and utility of the evaluation.

It is also expected that the evaluation will respect the seven Fundamental Principles of the Red Cross and Red Crescent: 1) humanity, 2) impartiality, 3) neutrality, 4) independence, 5) voluntary service, 6) unity, and 7) universality. Further information can be obtained about these Principles at: www.ifrc.org/what/values/principles/index.asp

9. EVALUATION TEAM COMPETENCIES AND QUALIFICATIONS

The management group will select the members of the evaluation team, which will comprise three to four persons, including a team leader, up to two international staff and at least one regional or national team member. The team members will have the following skills and experience:

- Demonstrable experience of conducting evaluations of humanitarian programmes and in particular of experience of leading or working on the evaluation of a recent major disaster;
- Good knowledge of strategic and operational management of humanitarian operations and an ability to provide strategic recommendations to key stakeholders;
- One person in the team with a good knowledge of Ethiopia;
- One person in the team with Emergency /Recovery Operations management knowledge.
- Strong analytical skills and ability to clearly synthesize and present findings, draw practical conclusions, make recommendations and to prepare well-written reports in a timely manner;
- Excellent writing and presentation skills in English. Knowledge of Amharic would be useful but not a requisite.

10. APPLICATION PROCEDURES

Interested candidates for the Team Leader/Consultant Position should submit their application material by 2012 to xxxxxxxxxxxx (xxxxxxx@ifrc.org). Application materials should include:

1. **Curriculum Vitae (CV)**
2. **Cover letter** clearly summarizing your experience as it pertains to this assignment, your daily rate, and contact details for three professional referees.

Applicants may be required to provide examples of previous written work similar to that described in this ToR. Application materials are non-returnable and we thank you in advance for understanding that only short-listed candidates will be contacted.

ANNEX II: Documentation Reviewed

- 1) International Federation of Red Cross and Red Crescent Societies (IFRC), IFRC Framework for Evaluations, February 2011
- 2) International Federation of Red Cross and Red Crescent Societies (IFRC), Terms of Reference: Emergency Operation Evaluation (EOE): 2011/12 Ethiopia Drought Emergency Appeal (MDRET010)
- 3) Humanitarian Requirements 2011 : Joint Government and Humanitarian Partners' Document, July 2011, Addis Ababa, Ethiopia
- 4) Rapid Health Assessment Report: Moyale Oromia & Moyale Somali Woredas Ethiopia, Bluemel, I., July 2011
- 5) Rapid Assessment Report, Moyale Oromia and Somali Woreda, 20-22 July 2011
- 6) International Federation of Red Cross and Red Crescent Societies (IFRC), Preliminary Emergency Appeal Ethiopia Drought, MDRET010, 5 August 2011
- 7) International Federation of Red Cross and Red Crescent Societies (IFRC), Drought in the Horn of Africa: Don't Blame it on the Rain, Opinion Piece. McDowell, S., 7 August 2011
- 8) Ethiopian Red Cross Society (ERCS) and International Federation of Red Cross and Red Crescent Societies (IFRC), Oromia Drought Assessment, Ethiopia, 12-26 August 2011
- 9) International Federation of Red Cross and Red Crescent Societies (IFRC), Emergency appeal Ethiopia Drought, MDRET010, Operation Update No 1, 30 August 2011
- 10) International Federation of Red Cross and Red Crescent Societies (IFRC), Factsheet: Drought in the Horn of Africa – IFRC Update – 22 September 2011
- 11) International Federation of Red Cross and Red Crescent Societies (IFRC), Horn of Africa: Drought and Food Insecurity: Revised Regional Crises Response Framework, October 2011
- 12) International Federation of Red Cross and Red Crescent Societies (IFRC), Emergency Appeal Ethiopia Drought (REVISED), 26 September 2011
- 13) International Federation of Red Cross and Red Crescent Societies (IFRC), Emergency Appeal Ethiopia Drought, Operation Update No 2, 17 October 2011
- 14) International Federation of Red Cross and Red Crescent Societies (IFRC), Ethiopia Drought Operation Plan of Action, 2011
- 15) Humanitarian Requirements 2012 : Joint Government and Humanitarian Partners' Document, January 2012, Addis Ababa, Ethiopia
- 16) International Federation of Red Cross and Red Crescent Societies (IFRC), Afar Region (Zones 1&2) Assessment Report for the Ethiopia Revised Drought Appeal Plan of Action, 23 November – 2 December 2011, Updated: January 2012
- 17) International Federation of Red Cross and Red Crescent Societies (IFRC), Emergency Appeal Ethiopia Drought, Operation Update No 3, 14 March 2012
- 18) International Federation of Red Cross and Red Crescent Societies (IFRC), Ethiopia Drought and Ethiopia Population Movements Appeals 2011: Special Operations Situation Report (Early Warning update), March 2012
- 19) Overseas Development Institute, Roundtable Report: Better Response to Food Crises: Learning the lessons of the Horn of Africa Crisis 2011, 27 February 2012
- 20) System Failure: Revisiting Problems of Timely Response in the Horn of Africa, Levine, S. with Crosskey, A. and Abdinoo, M. (2011), HPN Network Paper 71
- 21) A Dangerous Delay: The Cost of Late Response to Early Warnings in the 2011 Drought in the Horn of Africa, Oxfam and Save the Children (2012)
- 22) International Federation of Red Cross and Red Crescent Societies (IFRC), Emergency appeal Ethiopia Drought, MDRET010, Six Month Operational Update, 5 April 2012
- 23) International Federation of Red Cross and Red Crescent Societies (IFRC), Emergency Appeal Ethiopia Drought (REVISED), 28 December 2012
- 24) International Federation of Red Cross and Red Crescent Societies (IFRC), Emergency appeal Ethiopia Drought, MDRET010, 12 Month Operational Update, 28 December 2012

- 25) International Federation of Red Cross and Red Crescent Societies (IFRC) East Africa Regional Response Disaster Management Unit, Report Review and Way Forward: MDRET010 Ethiopia Drought, February 2013
- 26) International Federation of Red Cross and Red Crescent Societies (IFRC) East Africa Regional Office, Summary of key findings and recommendations from the Ethiopia drought mid-term evaluation (MDRET010), February 2013
- 27) Inception Report: Emergency Operation Evaluation (EOE) of Ethiopia Drought Emergency Appeal (MDRET010), Lukwiya, P., Tsukamoto, M., Myrgard, L., and Murei, L. November 2012.
- 28) Ethiopia Red Cross Society, Drought Assessment Report of Guji Zone Oromia Region, 2011
- 29) EOE Progress and Responses, Field Notes, Lukwiya, P., 14 March 2013
- 30) Ethiopia Drought Evaluation Field Notes, Murei, L. and Tsukamoto, M., 6 December 2012
- 31) EOE Deliverables Timeframe, Lukwiya, P., 23 November 2012
- 32) Emergency Operation Evaluation Framework and Workplan, Lukwiya, P., 1 December 2012
- 33) Ethiopia Drought Evaluation Field Notes, Tsukamoto, M., December 2012
- 34) Ethiopia Drought Evaluation Field Notes, Myrgard, L., December 2012
- 35) Ethiopia Drought Evaluation, Additional Interview Notes, Lukwiya, P., 13 March 2013
- 36) Field Visit / Mission Report: Oromia, 26 November 2012
- 37) Field Visit / Mission Report: Moyale Bule Hora and Sababoru, July 2012
- 38) Report on Mosquito Net Utilization in Sababoru and Bule Hora Woredas, 8 July 2012

ANNEX III: Inception Report

EMERGENCY OPERATION EVALUATION (EOE) OF ETHIOPIA DROUGHT EMERGENCY APPEAL (MDRET010)

INCEPTION REPORT

November 2012

Authors:

Peter Lukwiya (Team Leader)
Miki Tsukamoto
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ACRYONMS AND ABBREVIATIONS

AZ	Africa Zone
EARO	East Africa Regional Office
EEDA	Ethiopia Emergency Drought Appeal
EOE	Ethiopia Operation Evaluation
ERCS	Ethiopia Red Cross Society
ERU	Emergency Response Unit
GOE	Government of Ethiopia
HLC	High Level Coordinator
HQ	Headquarters
HRD	Humanitarian Requirements Document
IFRC	International Federation of Red Cross and Red Crescent Societies
INGO	International Non-Governmental Organization
NGO	Non-Governmental Organization
NS	National Society
PMER	Planning, Monitoring, Evaluation and Reporting
PNS	Partner Nationals Societies
SG	Secretary General
SWOT	Strengths, Weaknesses, Opportunities and Threats.
TOR	Terms of Reference
UN	United Nations

INTRODUCTION

This evaluation has been commissioned by the Secretary General of the Ethiopian Red Cross Society (ERCS) and the IFRC Ethiopia Country Representative in Addis Ababa, Ethiopia. This evaluation follows the Ethiopia Drought Emergency Appeal which was launched in August 2011. Under the context, the Horn of Africa was experiencing considerably lower than average rain conditions. This resulted in significant drought and created a priority global food security crisis in the region. Some countries of The Horn, such as Somalia and Kenya, by geographical proximity as well as its own drought conditions, were worse affected. In Ethiopia, although the situation was less acute, it was still considered one of the driest year since 1995. The worst-affected regions of Ethiopia were Oromia, Somali and Afar.

The evolving drought disaster in the Horn of Africa remained largely neglected by the world's media and donor community, despite IFRC regional and global advocacy efforts in early 2011. In this case IFRC and other humanitarian agency appeals were not receiving strong support (financial, political). The Ethiopian Red Cross Society (ERCS), supported by its partners, conducted a rapid assessment of the situation in southern Ethiopia, concentrating on pastoralist and agro-pastoralist areas. The initial rapid assessment affirmed that immediate support action was crucial in view of the lead time typically required to mount a food intervention and to initiate early recovery assistance. Based on the situation, a Preliminary Emergency Appeal (PA) was launched for just under CHF 11m⁵⁹ to focus on providing relief assistance in the areas of food relief and cash grants, water and sanitation, health and institutional capacity building. It included provisions to initiate the early implementation of longer-term recovery and rehabilitation assistance to vulnerable pastoralist communities.

As a result, In July 2011 the Government of Ethiopia (GOE) called for a multi-agency assessment in response to increased concerns about the deteriorating food security situation. As a result of the assessment, a Humanitarian Requirements Document (HRD), a key disaster management planning tool, was then launched in July 2011. This document indicated that around 4.5 million people in the country were in need of emergency food interventions. Since the rapid assessment gave only an indication and overview of the scale of the drought situation in Oromia region, further follow up with a more detailed field assessments were carried out at the end of August 2011⁶⁰.

Increased the population movements into Ethiopia from Somalia with rising numbers of refugees have increased burdens on the already drought-stressed communities in Ethiopia's Somali region. By September 2011, the low funding contributions and slower- than-anticipated response from the donor communities, coupled by a sharp, critical and high-profile rise in international media and global community's attention to Ethiopia's drought situation heightened the concern and pressure on the ERCS/IFRC secretariat (Geneva and zone) to increase its level of assistance. Consequently, the IFRC SG appointed a High-Level Coordinator (HLC) for The Horn of Africa, a new initiative, to increase its assistance to the operation. Following the initiatives and recommendations of the HLC, whilst the first detailed assessment was still under way, a decision was agreed to revise all of The Horn of Africa Country Drought Appeals⁶¹ in late August 2011. For Ethiopia, the revision posted on September 26th 2011 resulted in a significantly increased appeal for the drought from CHF 11m to CHF 28.48 m. Details of the preliminary appeal, both revised appeals, the HLC ToR and other background documents and recommendations shall form the basis of a desk review during the evaluation process by the team.

⁵⁹ Ref: Emergency Appeal n° MDRET010: GLIDE n° DR-2011-000101-ETH 5 August 2011

⁶⁰ IFRC/ERCS/PNS Joint Oromia Drought Assessment 12-26 August 2011 Ethiopia

⁶¹ Ref: Revised Emergency Appeal n° MDRET01REA GLIDE n° DR-2011-000101-ETH 26 September 2011

As the relief operations led by the Government of Ethiopia, supported by the UN, Red Cross Movement and INGO and NGO agencies got through October to November 2011, one of major donors (USAID) described the drought conditions in Ethiopia as a “Good Drought” by Ethiopian standards since it never developed close to the famine conditions as experienced in Somalia and Kenya . And even though it brought considerable concern and attentions in the media, it had started to ease slightly by end November 2011. Overall, whether this relief assistance particularly that led by ERCS had been timely and effective is subject to this evaluation. Even though there were “hot spots,” the modest rains which came later resulted in a reduction of water trucking support to a few of the most severely impacted areas of Somali and Afar. According to the Government of Ethiopia, health conditions were at an acceptable level barring some concerns in the Somali refugee camps. Morbidity rates in the affected areas were only marginally above normal levels, and acute emergency interventions were limited to those areas. Food stock supplies and deliveries were adequate. By the end of the year, transition activities from relief to recovery were underway, and the predictions for the first quarter of 2012 from the climatic early warning systems were cautiously optimistic.

Overall coverage of the Drought Appeal (41.4% against 85% of revised budget) was promising, however, service delivery was slow; but with clear improvement over the first months of 2012. Following this and the issuing of the Ethiopian Government Humanitarian Requirements Document (HRD), the IFRC country office posted a special Information Bulletin in March 2012, addressing issues affecting the Ethiopian Emergency Appeal that warranted revision of the appeals. ERCS and the IFRC secretariat (Geneva and zone) reached a decision to do a full revision of the Drought Appeal by the end of June to early July 2012 to reflect the following:

- e. An adjustment to reflect the changed conditions and situations in the original drought-affected areas.
- f. A reduction in the appeal amount to reflect the existing coverage, the adjusted needs and the current delivery capacity of the ERCS.
- g. The move to recovery, resilience and Disaster Risk Reduction programmes and projects that address livelihoods, and underlying vulnerabilities.
- h. The systemic and cyclical state of low level emergency in food and water security and health that persistently prevail in the areas of Oromia and most of the Somali and Afar regions.

PURPOSE OF THE EVALUATION

This evaluation will assess the effectiveness and efficiency of the implementation of the Ethiopia Drought Emergency Appeal response operation, coordination and management systems of the ERCS and the support provided to them from the Federation Country Representation Office (IFRC Ethiopia), East Africa Regional Office (EARO) and /or Africa Zone (AZ).

OBJECTIVES OF THE EVALUATION

The objectives of the evaluation are set out in section III of the TOR:

1. To examine the efficiency and effectiveness of the management and coordination systems used by the ERCS and the IFRC secretariat (Geneva and zones) at all levels and highlight any gaps or bottlenecks. The EOE will feed back both historical and real time information to managers at field and headquarters levels to help them improve management and coordination and it will make recommendations to assist decision-making at all levels of operations management in the ERCS, EARO, AZ and Secretariat in Geneva.

2. Review rationale for proposed revision and extension of the Ethiopia Drought Appeal. This once approved, is likely to continue for up to twelve months it is important that this review feeds into the ongoing relief and recovery operation to improve delivery.
3. To analyse the current operational context and situation in Ethiopia, in order to identify relevant ongoing opportunities, challenges and risks and to assist the ERCS and the IFRC Secretariat management in Geneva, Zone, Region and Country level as well as PNS to plan for future programming, especially the early and longer-term recovery, livelihoods and rehabilitation of the affected population.
4. To use this review of the operation to identify the main lessons to be learned from activities to date for the teams on the ground, for the ERCS/IFRC Secretariat's management at each level and for the wider organisation, and to inform and support the ERCS change management in the areas of emergency, relief and recovery.
5. To comment on and make recommendations utilizing a SWOT approach to the change management process in the ERCS as it reflects on disaster management and operational coordination capacity and the IFRC from EARO and Ethiopia Country representation support to that process.

EVALUATION SCOPE

The evaluation will focus on the combined Federation response (ERCS, Secretariat and PNS) from the onset of the appeal in August 2011 to date. The evaluation team will comment on the on-going operation, overall approach to an operation overview and what has and has not worked. The evaluation team will take a more detailed analysis of sectoral activities such as Health, Logistics, Water and Sanitation and Capacity Building. In relation to lessons learning and extrapolating these lessons across the wider IFRC, the unusual scale and circumstances of the operation shall also be taken into account.

Geographically, the evaluation will focus on the operation management of both IFRC and ERC HQ and field levels as set out in section IV of the TOR, as well as:

- a) The effectiveness, efficiency, timeliness and appropriateness of the assessment, planning and management processes and systems put into place, from the outset and as the context/ needs evolved, including identification of critical gaps and bottlenecks. And how this supported the timeliness and adequacy of the overall response;
- b) the adequacy of coordination, both with internal and external actors;
- c) an analysis of the risks and challenges faced in the operation; and
- d) Identify opportunities to scale up support in relief, emergency and recovery.

EVALUATION CRITERIA

This evaluation will use well-established evaluation criteria as set out in the IFRC Evaluation Framework. The definitions given here are derived from those adopted by the evaluation framework to ensure compatibility with analysis of the findings. The ways in which some of the criteria are applied to different topics or levels are set out in the interview guide, Annex 1.

METHODOLOGY

The evaluation team is composed of an independent and external consultant/Team Leader, one member from IFRC EARO in Nairobi, one member from IFRC Geneva, and one member from the Swedish Red Cross Society. As agreed with senior management, the evaluation team will be expected to collect an appropriate range of data. This includes (but not limited to):

1. **Desk review:** Details of the desk review will combine analysis of key documents with structured and semi-structured individual interviews. In order to ensure consistent interpretation across the

team members and enable quantification of findings, document review proforma have been designed for the documents reviewed.

2. **Country visit:** Country visits will be planned during the desk review and briefings. The team leader will visit Nairobi, and later with other team members visit Ethiopia. The visit to Nairobi will focus on making a reconnaissance to discuss with IFRC EARO the context of the Ethiopia Drought appeal operations, identify stakeholder groups and how they were engaged in the operation, as well as contact PNS Country Representatives and/or consultants who were involved in the appeal process. The Ethiopia country visit will be to initiate the process of fieldwork, especially with ERCS and hold preliminary meetings with key staff at IFRC and ERCS HQ.

During country visits, the evaluation team will also contact four distinct classes of stakeholders:

National Society: This is the Ethiopia Red Cross Society who are directly involved in implementing the operation including staff at HQ and field/branch offices.

Partner National Societies: Those country PNS who are directly involved in operations (assessment, planning and coordination).

Other Partners: Wide-ranging group which includes senior government personnel, co-financiers, donors, NGOs and other key informants.

Target communities: Communities the operation aimed to reach and have directly or indirectly benefited from the operation to date. Where necessary and possible, discussions will be held with groups (community leaders, women and youth), household members and individuals.

Overall, the principle methods will be:

Key informant interviews: These are expected to be the principle sources of information for the evaluation and for explanation of how the EEDA processes worked in practice. It is also expected to provide explanation for the patterns of appeal funds through numerical data analysis. Targets for key informant interviews at Nairobi and Ethiopia country levels are:

- Members of the IFRC at Regional and Ethiopia Country offices;
- PNS in Ethiopia;
- Staff of ERCS at the secretariat (HQ) and field/branch offices;
- Local Authorities at the field level;
- Target communities in the drought-affected areas; and
- Ethiopia Government humanitarian agency.

The priority for country-level interviews, on the first working day after arrival in country is IFRC Ethiopia Representation, Delegates, PNS team, ERCS Secretary General, ERCS field staffs and affected communities. The second priority will focus on NGOs and Ethiopia Humanitarian agency.

Apart from the field visits, the team will also conduct some interviews of key persons who have directly or indirectly contributed to the Ethiopia Drought operations by telephone or other means such as email communication.

Document research: These will form the basis for getting general knowledge about progress of EEDA processes (assessments, planning, coordination, implementation and also attention to gender, vulnerability and cross-cutting issues). The team has already assembled other EEDA documents such as drought appeals (revised and operational updates), HRD, Assessment reports and other key documents mentioned in these situation report documents. All of the key documents collected are

being annotated and entered in a bibliographic sheet for use by the whole team and shall form the basis for references in this evaluation.

Numerical data analysis: The numerical data analysis will highlight any trends in EEDA funding, cash transfer as well as provide hard estimates of processing durations and other numerical data analysis. The team will engage in further numerical analysis principally of the EEDA fund database, but also on broader sources of information on EEDA funding sources. These broader sources will include data from PNS. The emphasis will be on using the data to illustrate issues uncovered, and to identify issues which need further clarification.

An online survey: This will provide information on the perceptions of the fund. These will be supported by other interactions such as email exchanges, debriefing and other meetings.

Triangulation: The team will use triangulation to ensure that the findings of the evaluation are accurate and reliable.

Source triangulation: We will compare information from different sources, example. From the IFRC Secretariat, PNS, NGOs, Ethiopia Government and other humanitarian actor at different levels;

Method triangulation: We will compare information collected by different methods, for example interviews, documents reviews, and discussions.

Researcher triangulation: We will compare information collected by different team members.

For the purpose that this evaluation provides a strong chain of evidence, it is most important that the evaluation be robust and well grounded. Because of this, the team will use a simple evidence tool to record evidence on a spread sheet from the different desk and country visits. The use of this tool will enable the team to ensure that the findings are well grounded on evidence, and that conclusions are based on findings, and recommendations on conclusions.

THE FRAMEWORK FOR THE EVALUATION

The evaluation TOR sets out the framework and standards for evaluation in line with IFRC's standard practices. Key elements in this framework shall be taken into consideration and treated with care during the entire evaluation process.

DISSEMINATION STRATEGY

While the full evaluation report may be a suitable communication tool for certain stakeholders, experience has shown that key lessons tend to be used more effectively when they are presented in a concise and credible fashion using a format that the specific target is responsive to. This evaluation will be discussed and shared with the ERCS, IFRC Ethiopia, the AZ and EARO, and will inform all the Red Cross/Red Crescent stakeholders involved in the Ethiopia Drought operation. As highlighted in p. 7 of the TOR, the ERCS Secretary General, and the IFRC, EARO and Country Representatives will also oversee a management response to the recommendations and ensure subsequent follow up.

RISKS AND LIMITATIONS OF THE EVALUATION

As with all other evaluations, this evaluation may face a number of risks:

Language Translations: Use of a single translator to the team, threatening the impartiality of the evaluation.

Coverage: Not all areas covered by ERCS during the operation shall be accessed by evaluators as the time for the field work is limited and road access is very bad in most of the intervention areas. The team will try to address this by covering as much areas/locations as possible, and by asking ERCS field staffs about specific activities in other locations not yet reached, to gather such additional information.

Verifying financial information: There is a risk that the evaluation will find it very difficult to determine what modality of fund transfers, expenditure and cash flows are in place at the time of operation. The evaluation team will try to mitigate this risk by looking at, for examples, where the operation fund has been the key factor in enabling or hindering the operations.

EVALUATION DELIVERABLES

The EOE team will deliver the following:

- a. **Inception Report:** The inception report will be delivered during or mid of the evaluation process. This unusual timing is because the support team from Nairobi and Geneva have very limited time for field visit (3 days including 1 day of briefing in Addis Ababa and 2 days of actual field visits). Other items of the evaluation will be further finalized while in the field, example discussion with ERCS team about field locations or operational areas to be visited.
- b. **Debriefings / feedback to management in Ethiopia and Nairobi** – The team leader will report their preliminary findings to ERCS and IFRC teams in Ethiopia and Nairobi before leaving the region and will take on board any pertinent comments or corrections. The team leader will present the full draft report (below) to agreed senior management within two weeks of the return from the field.
- c. **Draft report** – A draft report, identifying key findings, recommendations and lessons for the current and future operation, will be submitted within two weeks of the teams return from the field. The country and Regional IFRC and ERCS management will have two weeks to comment.

Final report – The Team leader shall submit final report of the evaluation two weeks after receipt of the consolidated management feedback. The final report will contain a short executive summary (no more than 1,000 words) and a main body of the report (no more than 8,000 words) covering the background of the intervention evaluated, a description of the evaluation methods and limitations, findings, conclusions, lessons learned and clear recommendations.

ANNEX IV: Evaluation Workplan

Time	November 2012		December 2012			
	Week 3	Week 4	Week 1	Week 2	Week 3	Week 4
Description of activity						
1. General reviews and background study						
2. Team Leader Travel to Nairobi						
3. Team Desk Review/study of Documents in Nairobi						
4. Initial briefing in Nairobi						
5. Team Travel to Addis						
6. Initial briefing in Addis						
7. Team meeting with ERC/IFRC team in Addis						
8. Prepare Inception Report						
9. Team members Meetings with stakeholders in Addis						
10. Team members local travel to Adola woreda						
11. Team members fieldwork in Derme and Sirebuke						
12. Team members local travel to Dawa and Dabaluko						
13. Team members fieldwork in Dawa and Dabaluko						
14. (3) Team members return to Addis						
15. (3) Team members Depart Addis						
16. Team Leader local travel to Moyale						
17. Team Leader fieldwork in Moyale						
18. Team Leader local travel to Bule hora						
19. Team Leader fieldwork in Bule Hora						
20. Team Leader returns to Addis						
21. Team leader follows up in Addis						
22. Team follow up and prepare draft report						
23. Presenting and discussing draft report/findings at debriefing						
24. Team Leader Depart Addis						
25. Submit final draft for comments						
26. Submit final Evaluation Report						
27. Management response						

ANNEX V: Stakeholders Interviewed

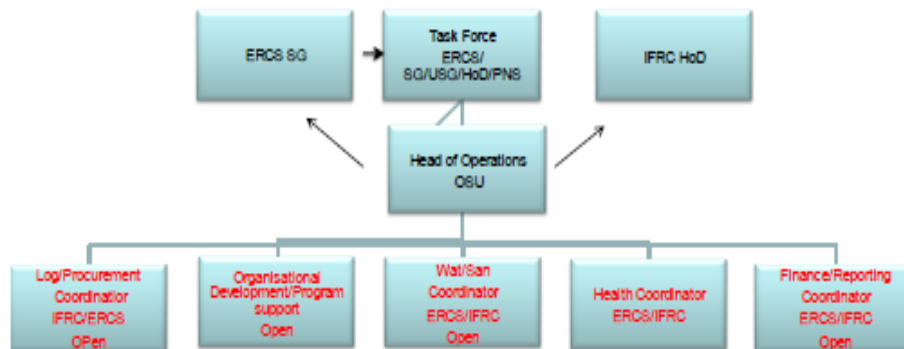
Name	Position	Agency / Institution
1. Eskinder Taddesse	Logistics Officer	IFRC
2. Geshaw Dagne	Head Health & Care Department	ERCS
3. Frehiwot Worku	Secretary General	ERCS
4. Raija Andersen	Health Delegate	IFRC
5. Alfred Hasenohrl	Country Representative	German Red Cross
6. Klaus Palkovits	Country Representative	Austrian Red Cross
7. Anders Steen Nielsen	Finance Delegate	Swedish Red Cross
8. Finn Jarle Rode	Regional Representative for Africa	IFRC
9. Mehari G/Egeziabher	Logistics Department Manager	ERCS
10. Mohammed Deda Aliy	Regional Secretary	ERCS
11. Robert Ondrusek	PMER/Quality Assurance Delegate	IFRC
12. Victor Manan Nyambala	Procurement and Logistics Officer	IFRC
13. Wondawk Abezie	DSG General Support Service	ERCS
14. Liyuwork Bodja	Senior Finance Officer	IFRC
15. Vinay Sadavarte	Water and Sanitation Delegate	IFRC
16. Jesper Fridolf	Representative	Swedish Red Cross
17. Henk de Haan	Watsan Delegate	Swiss Red Cross
18. Christine South	Operation Support /Acting Country Representative	IFRC Geneva
19. Iain Logan	OSU Head of Operations	IFRC OSU
20. George Gigiberia	Country Representative, Ethiopia	IFRC
21. Lily Murei	Senior Monitoring & Evaluation Officer	IFRC
22. Lina Myrgard	Regional Delegate	Swedish Red Cross
23. Mohammed Khaled	Regional Emergency Coordinator	IFRC
24. Adane Buni	Adola	Watsan Engineer
25. Degefe Dereje	Adola	Watsan Promotion Officer
26. Billa Chachu	Derme	Administrator
27. Dukkolle Dulacha	Derme	Water Mineral & Electrification Focal Person
28. Tadesse Shebiti	Derme	Vice Head of Health Office
29. Chachu Denko	Derme	Focal Person DPPC
30. Marta Coduna	Sirebuke	Health Assistant
31. Alamoyehu Mesah	Bule Hura	Branch Secretary

Community Interviews and Focus Group Discussions –

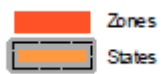
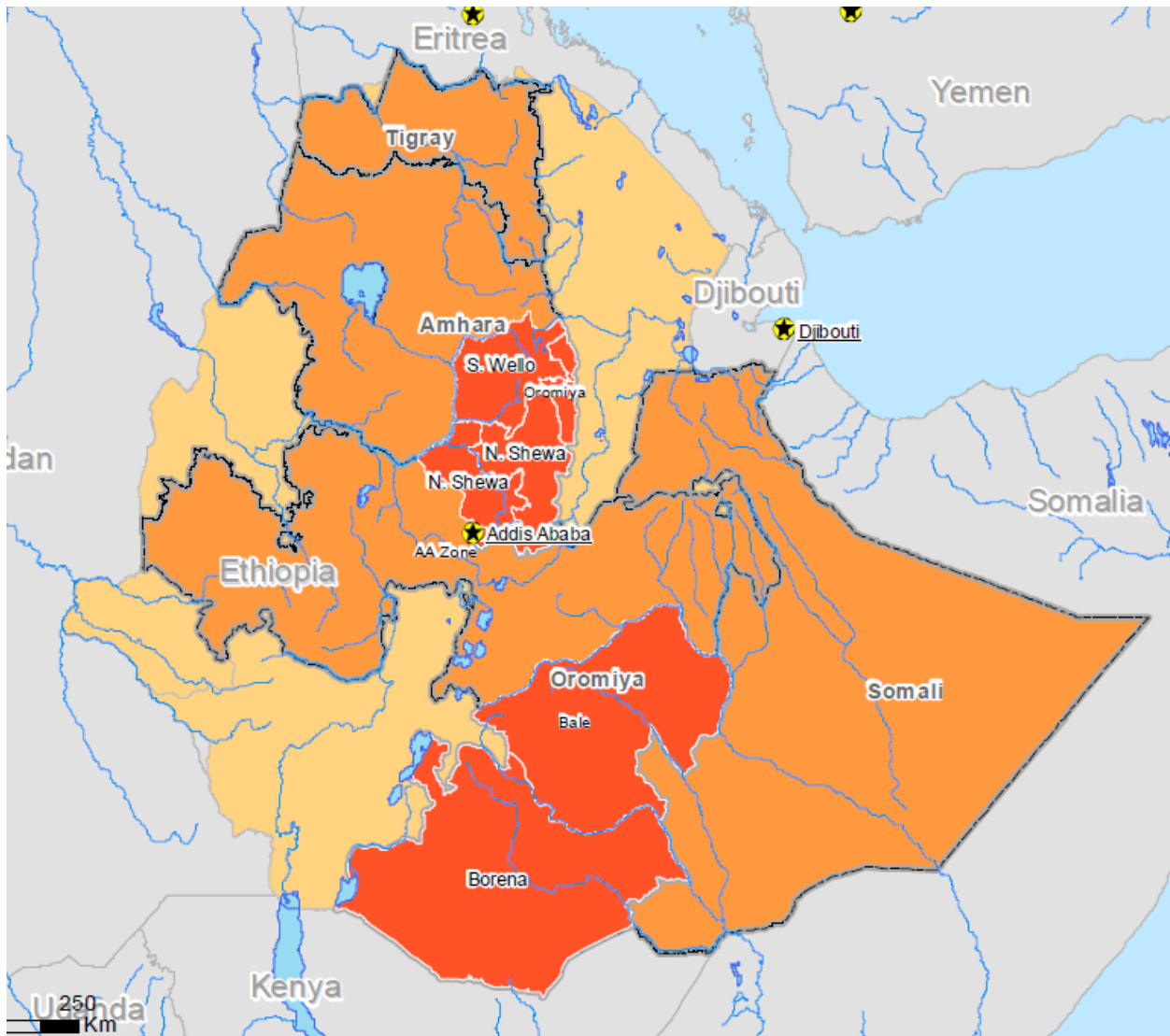
Name	Woreda	Designation
1. Drelmeshu Haro	Sirebuke	Committee Member
2. Duku Haleke	Sirebuke	Committee Member
3. Berhusso Biko	Sirebuke	Committee Member
4. Lenko Loma	Sirebuke	Chairperson
5. Adolla Liber	Sirebuke	Committee Member
6. Alema Coduna	Sirebuke	Committee Member
7. Yirdaw Degineh	Adola	
8. Zerfe Ambaw	Bule Hura	
9. Desta Jeo	Bule Hura	
10. Dedecha Luiso	Matakoma	
11. Worgun Narro	Matakoma	
12. Barite Codana	Matakoma	
13. Duhhale Dubbee	Matakoma	
14. Xenxeno Calchun	Matakoma	
15. Nuguece Geyyob	Matakoma	

ANNEX VI: Operations Support Unit Proposed Structure

Operations Support Unit: Ethiopia



ANNEX VII: Map of Operational Area



ANNEX 8. INTERVIEW and FGD QUESTIONNAIRES

The following shows the interview question matrix. Not all questions will be asked to all interviewees. One of the challenges of preparing this guide has been the large number of questions in the Evaluation ToR. Some respondents will fall into multiple categories, and that is why there are so few questions for affected population/target communities. Most of the questions are for ERCS and IFRC who were directly involved in the Ethiopia Drought operations. Not all of the questions will be asked of all the indicated interviewees – some questions are more suitable for HQ than the field for example. The actual questions asked will depend on the answers to previous questions.

Key informants to interviews:

- Senior Federation Staff at EARO and AZ
- In country Federation staff
- Senior ERC staff
- Staff/delegates of Partner National Societies responsible for programme implementation
- Government representatives
- Representatives of the affected population and civil society leaders

Topics and Details	IFRC EARO	IFRC Ethiopia	PNS	ERCS HQ	ERCS field staffs	Affected communities	Local Authorities	NGOs/Partners
<p><u>Assessment, planning and management systems</u></p> <ul style="list-style-type: none"> • How timely and relevant were the different, assessments, appeals, Plans of Action and management coordination systems? 	x	x	x	x	x			
<ul style="list-style-type: none"> • Was there participatory approach throughout the planning process and if not, what were the constraints? 	x	x	x	x	x			

Topics and Details	IFRC EARO	IFRC Ethiopia	PNS	ERCS HQ	ERCS field staffs	Target communities	Local Authorities	NGOs/Partners
<ul style="list-style-type: none"> How timely and effective was the response against the prioritized needs? What factors explain why the response was/was not delivered in an effective and timely manner? 		X	X	X	X	X	X	
<ul style="list-style-type: none"> What monitoring mechanisms were in place to capture progress, constraints/bottlenecks? 				X	X	X	X	
<ul style="list-style-type: none"> How have recovery considerations been incorporated into planning and relief interventions? DRR/DP any activity in the area implemented before the emergency? 		X		X	X			
<ul style="list-style-type: none"> How effective were the systems to mobilize resources – financial, human resources, communications/media, logistics etc.? And what challenges were faced in delivering the appropriate support? 	X	X	X	X	X			X
<ul style="list-style-type: none"> What was the rationale behind expanding the appeal to 28 mill, I.e. needs, capacities, and gaps in humanitarian services in the country 		X	X	X				
<ul style="list-style-type: none"> Were the ERCS/Federation operational structures well geared to deliver timely, efficient and effective disaster response? 		X		X	X			

Topics and Details	IFRC EARO	IFRC Ethiopia	PNS	ERCS HQ	ERCS field staffs	Target communities	Local Authorities	NGOs/Partners
<u>Targeting the affected population</u>					x	x	x	
<ul style="list-style-type: none"> How were the most vulnerable members of the target population identified and what mechanism was put in place for verification? 					x	x	x	
<ul style="list-style-type: none"> What efforts were made to ensure that certain vulnerable groups and areas were not overlooked? 					x	x	x	
<ul style="list-style-type: none"> What was the level of participation of the communities during the assessment, planning and implementation processes? 					x	x	x	
<ul style="list-style-type: none"> How were needs of women, boys and girls taken into consideration and what mechanisms were put in place to ensure their complaints were taken into consideration? 					x	x	x	
<u>Coordination</u>		x	x	x				
<ul style="list-style-type: none"> What and how effective was the ERCS/IFRC/PNS operational coordination? What if any were the constraints. 								
<ul style="list-style-type: none"> What is your impression of the coordination system within the Federation (Secretariat and NS actors)? How well is the structure functioning for both relief and recovery? 	x	x	x	x	x		x	x

Topics and Details	IFRC EARO	IFRC Ethiopia	PNS	ERCS HQ	ERCS field staffs	Target communities	Local Authorities	NGOs/Partners
<ul style="list-style-type: none"> Were the roles, responsibilities and expectations at each level clear (Geneva, Zone, Region and country)? If not how would you improve on them? 	x	x						
<ul style="list-style-type: none"> What did the field need in terms of practical support to aid coordination different from what was done or provided? 				x	x			
<ul style="list-style-type: none"> What is your impression of the ERCS/Federation coordinated with external actors, particularly the UN (the cluster system), the Government, the international and national humanitarian community? Was there any constraints? 				x	x		x	x
<p><u>Risks and challenges</u></p> <ul style="list-style-type: none"> What main factors helped or hindered the response (security events, logistics, infrastructure, procedures, access, etc.)? 		x	x	x			x	
<ul style="list-style-type: none"> Were any critical gaps in the appeal identified and what mechanisms were put in place to address these gaps in a timely way? 		x	x	x				
<ul style="list-style-type: none"> What are the most serious risks or challenges facing the ongoing operation? What mitigating factors could be brought in to address these? 		x	x	x	x			

Questions in the final stage of an interview should cover general learning, and can be direct or indirect, as follows.

- When you look back on the response, what do you think went well along all phases of the operation, what hasn't gone well?
- What will you do differently next time?
- Looking back, what are the 2- 3 things that you would change that would have improved the operation
- Is there any question that you were expecting which I have not asked?
- How useful were the IFRC/PNS coordination in the response? How would we help?