



*Baseline Report*



# Baseline Survey and Institutional and Coordination Framework for Social Protection Systems in Ethiopia

## Baseline Report

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## **Baseline Report**

### **List of Abbreviations**

BoLSA	Bureau of Labor and Social Affairs
BoFEC	Bureau of Finance and Economic Cooperation
BUDHCO	Bureau of Urban Development, Housing and Construction
CCC	Community Care Coalition
DOT	Digital Opportunities Trust
DSC	Direct Support Component
EPSESSA	Ethiopian Public Sector Employees Social Security Agency
FMMIEA	Federal Micro and Medium Scale Industries Enterprise Agency
FEMSEDA	Federal Medium and Small Enterprises Development Agency
FGDs	Focus Group Discussions
FSRDPO	Food Security, Resettlement and Disaster Prevention office
GTP	Growth and Transformation Plan
HABP	Household Asset Building Program
KIIs	Key Informant Interviews
M&E	Monitoring and Evaluation
MEDA	Mennonite Economic Development Associates
MFIs	Micro Finance Institutions
MIDC	Multipurpose Infrastructure Development Committee
MoE	Ministry of Education
MoFEC	Ministry of Finance and Economic Cooperation
MoLSA	Ministry of Labor and Social Affairs
MoU	Memorandum of Understanding
MSE	Micro and Small Enterprise
MSEDA	Micro and Small Enterprise Development Agency
MoUDH	Ministry of Urban Development and Housing
NGO	Non-Governmental Organization
PIM	Program Implementation Manual
PSNP	Productive Safety Net Program



## **Baseline Report**

PW	Public Work
PLWDs	People Living With Disabilities
PLHIV	People Living with HIV
TVET	Technical Vocational Education Training
UEGFSA	Urban Employment Generation and Food Security Agency
UFFW	Urban Food-for-Work
ULGDP	Urban Local Government Development Program
UNDP	United Nations Development Program
UNICEF	United Nations Children's Fund
UPSNP	Urban Productive Safety Net Program
WEDP	Women Entrepreneurship Development Project
WoFED	Woreda Finance and Economic Development



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## Chapter 1: Executive Summary

The Federal Government of Ethiopia (GoE) has approved the National Social Protection Policy (NSPP) and the National Social Protection Strategy (NSPS) for the country as crucial development instruments to address poverty amongst other issues, in the rural and urban areas of the country. There is a felt need to have workable institutional and coordination frameworks for the implementation of the NSPP. United Nations Development Programme (UNDP) Ethiopia office, which works to support the Ministry of Labour and Social Affairs (MoLSA), GoE, has commissioned the present study "Baseline Survey and Institutional and Coordination Framework for Social Protection Systems in Ethiopia". This study intended to come up with a functional, institutional and coordinated framework based on the findings of a Baseline Survey conducted in selected sample regions from Developing Regional States (DRS) and Developed States (DS). This report particularly deals with the baseline situations of social protection systems in the country.

### 1.1 Methodology

IPE Global Limited and Dadimos Consulting PLC (the consultants) have carried out the assignment so far based on a pre-approved methodology. An intensive desk research and initial consultations with key stakeholders was carried out. Thereafter based on approved work plans and tools, a study was conducted in four regions - Benishangul Gumuz, Somali, Amhara and Oromia and Addis Ababa City Administration to collect primary data. The study team has generated qualitative data by undertaking Key Informant Interviews (KIIs) with stakeholder institutions working at federal, regional and woreda levels as well as through Focus Group Discussions (FGDs) with selected members of institutions at the community level. In addition, the study involved reviews of available secondary data in preparation of this report.

### 1.2 Baseline Situation of Key Institutions

The study has assessed the prevailing inter-sectoral coordination; participation of civil society; delivery of services; financial arrangement and sustainability dimensions among the stakeholders. Considering the focus areas guided by policy documents and the research issues under consideration, findings of baseline situations for key federal, regional, woreda, and community-based are presented below:-

#### 1.2.1 Focus Area 1 – Promote Productive Safety Net

The coordination mechanism of the Productive Safety Net (PSN) has been reviewed considering key stakeholder institutions including Ministry of Labour and Social Affairs (MoLSA), Ministry of Agriculture and Natural Resource (MoANR) and Ministry of Urban Development and Housing (MoUDH).

MoANR has made quite a remarkable stride in addressing PSN through Productive Safety Net Programme (PSNP), which promotes public works and Direct Support Component (DSC) in rural areas of six regional states. The DSC of PSNP has been handed over to MoLSA from MoANR to pursue shared responsibilities. MoUDH has promoted urban PSN through its Urban Local Governance Development Program (ULGDP) in



different cities, which is exemplary. MoUDH will coordinate the upcoming Urban Productive Safety Net Program (UPSNP) interventions in close collaboration with MoLSA and MoANR, which would have significant impact in promoting PSN in urban areas of the country. The upcoming safety net interventions such as UPSNP and the transitioning of DSC from MoANR to MoLSA will strengthen the institutional coordination efforts to promote PSN interventions both in urban and rural areas.

The counterpart institutions working at regional and woreda level coordinate vertically and horizontally with the respective institutions. Bureau of Labour and Social Affairs (BoLSA) at regional level coordinates the social development efforts of vulnerable groups particularly People Living with Disabilities (PLWDs) and elderly, through mainstreaming. Most basic sector offices have assigned focal persons that coordinate the mainstreaming activities. However, the mainstreaming activities face several challenges such as high staff turnover including the focal persons assigned for coordination work and failure to incorporate mainstreaming activities in the development plan of sector offices. Moreover, absence of institutional structure at woreda level weakens the vertical coordination efforts of BoLSAs. There is no formal structure to coordinate social and labor affairs (WOLSA) at woreda level. Most of the stakeholder institutions and their offices are engaged in delivering their own respective mandates and activities and they do not show sufficient commitment towards social protection. It is an indication that there is no formal coordination system and lack of accountability among the institutions related to social protection. There are no protocols or guidance manuals to coordinate social protection interventions. BoLSAs at regional level have to strengthen their institutional set up at woreda and kebele levels to channel the DSC to the target beneficiaries effectively.

At present, BoLSAs are doing limited social welfare activities. They are delivering small cash payments to address basic PSN supports in their offices. Unlike the PSNP, such cash payments are not on a regular basis. It is a onetime cash payment support. For instance, the Bureau of the Benishangul Region Labor and Social Affairs makes disbursement of a one-time financial support to vulnerable groups of PLWDs and the elderly. This kind of assistance addresses emergency supports in education, health and livelihood for vulnerable groups. BoLSA for Addis Ababa disburses token amount of money to the elderly on monthly basis through the kebele finance office.

### **1.2.2 Focus Area 2 – Employment Generation and Livelihood Promotion**

The key stakeholder institutions engaged in employment generation and livelihood promotion include Federal Medium and Small Enterprises Development Agency (FEMSEDA), Federal Micro and Medium Scale Industries Enterprise Agency (FMMIEA), Micro Finance Institutions (MFIs), Technical and Vocational Educational Training Agency (TVET), MoLSA and MoANR.

FEMSEDA and FMMIEA support in enhancing self-employment generation through the coordination of institutions including MFI, TVET and municipalities. If key concerns related to credit access, working space and quality of trainings are addressed, the coordination between the institutions will be strengthened. MoLSA is the leading institution in coordinating the creation of wage-employment opportunities through labor market registration, industrial safety and ensuring a peaceful work environment to achieve transparent and accountable wage-employment. However, these activities are not yet at the desired level of the national strategy due to inadequate human resource and budget limitations.



At regional and woreda levels, the counterpart institutions are discharging similar responsibilities in terms of employment generation and livelihood promotion. However, the coordination efforts of the institutions encounter challenges due to lack of capital, unavailability of working space, deteriorating quality and mismatch of trainings given by TVET vis- a- vis the labor demand in the market.

### **1.2.3 Focus Area 3 – Promote Social Insurance**

Ministry of Health (MoH) and MoLSA are the two major institutions involved in the provision of Community Based Health Insurance (CBHI), Social Health Insurance (SHI) and Social Security Schemes. The agencies steering the mandatory Social Security Scheme include Private Organizations Social Security Agency (POSSA) and Private Organizations Employees Social Security Agency (POESSA) under the auspices of MoLSA. The contribution of these agencies in the inter-sectoral linkages is frequently missing. The recently launched CBHI and SHI face coordination challenges to accomplish the targets set at federal level let alone at regional and Woreda levels.

In some regions, the regional and woreda administrations lead the coordination efforts of CBHI. This however, could be contradictory to the mandates of the health offices who are responsible to coordinate CBHI. This holds true both in the horizontal and vertical coordination levels. For instance, in Amhara region, the regional and woreda administration offices play the lead role contrary to the case in Tigray region, where the health offices take lead in coordinating CBHI.

In addition to MoH and MoLSA, MoANR plays a vital role in providing Index-Linked Weather Insurance to reduce the risk of crop failures of farmers due to natural calamities in collaboration with insurance companies. Based on the Climate Resilient Green Economy (CRGE) strategy, early warning and response mechanisms have been introduced along with other efforts. Recently, index-linked weather insurance has been introduced in collaboration with a private insurance company. The insurance covers both weather-indexed crop insurance and livestock insurance. A high level of effective coordination is required among various actors responsible for all of the above.

### **1.2.4 Focus Area 4 – Addressing Social Inequalities of Access to Social Services**

The key institutions coordinating this thematic area include MoLSA, MoH and Ministry of Education (MoE). MoLSA needs support in reaching out to PLWD and elderly with social services from MoH and MoE. The mainstreaming of social services to vulnerable groups by sector institutions particularly MoH and MoE needs a rational and sustainable approach to address social inequalities particularly for the disadvantaged groups of the community. Health fee waivers, health insurance subsidies and school feeding programs intend to address the social inequalities in the area of health and nutrition. However, the school feeding program still requires proper strategies and coordination mechanisms to reach out to the needy school children.

### **1.2.5 Focus Area 5 – Addressing Abuse and Violence, Providing Legal Protection and Support**

Key institutions involved in this focus area are Ministry of Women and Children Affairs (MoWCA), Ministry of Justice (MoJ) and MoLSA. The prevailing institutional coordination mechanism cannot fully address abuse, violence and neglect manifested in different situations. There are varieties of factors that influence



addressing these social problems. At the outset, there is no platform that embraces all stakeholders and allow them to chalk out a strategy. The institutionalization of the platform at federal level will resolve transparency and accountability problems as it serves as an interface between and/or among many stakeholders. Developing this coordination mechanism along with requisite guidelines at regional levels will enhance the network of efforts.

### **1.3 Limitations of the study**

Time and cost implications to conduct the study has offered limitation to the study group to consider limited number of sample regions of the country and therefore, the study might not represent the baseline situation present throughout the country.

### **1.4 Structure of the report**

The Baseline report is organized into the following chapters:-

- Chapter 1: Executive Summary of the report
- Chapter 2: Provides the introduction of the report, background and objectives of the study and progress made so far in the assignment
- Chapter 3: Describes the Methodological Framework of the study
- Chapter 4: Provides an insight into the findings of the Baseline situation on coordination mechanisms amongst key stakeholder institutions at federal, regional, woreda and community levels in Ethiopia
- Chapter 5: Highlights the Findings on gaps identified in establishment of a functional institutional and coordination mechanism for social protection in Ethiopia
- Chapter 6: Presents the Recommendations to address the gaps and also forming the basis of development of an institutional framework and coordination mechanisms for social protection
- Annexes: Provides data, list of key stakeholders met, research tools and other information which supports the main sections of the report





## Chapter 2: Introduction

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### 2.1 Background

Ethiopia has maintained a remarkable stride in the reduction of the National Poverty Rate (NPR) between 2000 and 2011, reducing it from 44% to 27%<sup>1</sup>. Life Expectancy increased by one additional year for the same period. Moreover, significant progress was made in achieving the Millennium Development Goals (MDGs) on reducing Gender Parity in primary education, child mortality, malaria cases and HIV/AIDS (*MDG Report 2012*). In 2011, one in three women received antenatal check-up in rural areas, which was one in five women 10 years ago. Women are now having fewer births - the total fertility rate fell from seven children in 1995 to just four in 2011. Simultaneously, stunting amongst children reduced from 51% in 2000 to 39% in 2011. The number of households with improved living standards measured by having access to electricity, piped water and water in households doubled during the same period (*see Annex for details*).

Despite the significant improvement that Ethiopia showed across different developmental sectors and in the MDGs, the country still stands at the 173<sup>rd</sup> rank in the Human Development Index (HDI) in 2014. Ethiopia has the second largest population in Africa, approximated to 94 million people, with per capita income of USD 470, which is substantially lower than the regional average. Due to the population growth the absolute number of people living in poverty declined marginally from 24.4 to 24.3 million between 1995 - 96 and 2010 - 11. Between 1999 and 2004, nearly half of the rural households in Ethiopia were adversely affected by drought. Moreover, chronic malnutrition is seen in 44% of children in Ethiopia, which is of particular concern due to the lifelong irreversible impacts on physical and intellectual development of children.

The first Growth and Transformation Plan (GTP I) indicated that 25.7% of urban and 30.4% of rural population lived under income poverty while food poverty stood at 27.9% and 34.7% respectively in 2010 - 11 (*MoFED, 2013*). Nearly three-quarters of the urban population also suffer from some form of non-monetary deprivation with respect to their living conditions like access to improved water supply, sanitation or living in overcrowded spaces. About 36% of the urban population lives in slum-like conditions without being 'income poor' signaling that non-monetary deprivation associated with living conditions affects a much larger share of the urban population than monetary disposition. A peculiar feature of the demographic profile of urban families is the high percentage of female-led families, which represent one-third (33%) of the urban population. The high percentage of female-led families with dependents and the low education attainment of female heads raise particular concerns over the income-generation opportunities available to female-headed households (*Muzzini, 2008*).

Regardless of the socio-economic achievements that Ethiopia is recording, the poverty rate of the country still remains a concern. There is a need for an urgent and integrated approach to social development in the country. Recognizing this situation, the Government of the Federal Democratic Republic of Ethiopia

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<sup>1</sup> MoFED, MDG Report, 2012



has been developing and implementing policies and strategies triggered at eradicating poverty through social protection.

## 2.2 Social Protection in Ethiopia

The vision of social protection in Ethiopia is **'To see all Ethiopians enjoy social and economic wellbeing, security and social justice**. Social protection consists of a set of formal and informal interventions that aim to reduce social and economic risks, vulnerabilities and deprivations for all people and to facilitate equitable growth. As such, it is a key policy for addressing the persistent challenges of poverty and vulnerability in Ethiopia. Setting up a sustainable social protection system in Ethiopia is part of the progressive realization of the social and economic rights of citizens outlined in Articles 41 and 90 of the Constitution and an important step towards establishing the systems required by a future middle-income country.

The key aims of social protection are:

- To protect the poorest citizens from economic and social deprivation
- To prevent deprivations that would otherwise result from shocks
- To promote assets and human capital (nutrition, health, education and skills) of poor households, boosting their income-earning potential
- To transform the situation of the most vulnerable and powerless, by empowering them and protecting them from abuse and exploitation<sup>2</sup>

Ethiopia has been implementing strategies, programs and projects through a variety of social protection interventions. These programs comprise public and private employees' social security schemes; social health insurance for formal sector workers and retirees; community based health insurance schemes; disaster risk management and food security programs that include Productive Safety Net Program (PSNP) in which social assistance is an important component for the different support groups. Both the government and non-government organizations provide these services.

However, these efforts lacked a comprehensive set of social protection policy framework, strategy and clear action plans that take into consideration the context of the different regional states and city administrations. The multidimensional social protection initiatives were found to be lacking standards and systems for tracking coverage, had issues related to accessibility and complementarities of programs, grappled with inadequate data management and exchange of information at all levels - both vertically and horizontally among the different implementing bodies.

## 2.3 The National Social Protection Policy and Strategy

In response to the gaps and limitations mentioned in the preceding section, the government has launched the National Social Protection Policy (NSPP) with the following objectives:-

- Protecting individuals, families and groups of the society that are exposed and vulnerable to poverty, different natural and manmade problems

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<sup>2</sup>Devereux, S. and Sabates-Wheeler, R. (2004), *Transformative Social Protection*, IDS Working Paper 23.



- Increasing the Social Insurance system and promoting its coverage
- Promoting Human Resource Development by increasing the accessibility of fair and quality healthcare, education and social welfare services
- Ensuring the guarantee of work for underemployed compatriots by promoting employment opportunities
- Protecting the social and economic rights of groups of the society by improving their living conditions
- Involving the society to play appropriate role in implementing the Social Protection Policy

The NSPP has five focus areas:

- a) Promote productive safety net
- b) Promote and improve employment and livelihood opportunities
- c) Promote social insurance, including increased equitable access to social services
- d) Promote fair enjoyment of basic services
- e) Provide legal protection and support for citizens exposed to abuse and violence

There is now a National Social Protection Strategy (NSPS) to support the NSPP. The NSPP has strictly decreed the mainstreaming and implementation of social protection services in government and non-government development institutions' programs, strategies and action plans in a decentralized manner. The federal and regional executing bodies, the community, including the Community Care Structures/Community Care Coalitions, civil society organizations, the private sector as well as other concerned stakeholders will have crucial roles to play in transforming the policy into action.

Implementation of prevailing multifaceted social protection measures required an institutional set up for coordination, which resulted in the establishment of the Federal Social Protection Council (FSPC). The Council regulates its administration and working systems by law. Ministry of Labour and Social Affairs (MoLSA) is serving as the secretary of the Council. Functions and responsibilities entrusted to staff of the FSPC and MoLSA have been effectively subordinated in bureaus and agencies at federal, regional and city administration levels.

The Council comprises of government offices and relevant stakeholders as its members. This mainly includes members elected from Ministry of Labour and Social Affairs, Ministry of Women and Children Affairs, Ministry of Education, Ministry of Health, Ministry of Agriculture, Ministry of Justice, Ministry of Finance and Economic Cooperation, Ministry of Urban Development and Housing, Ministry of Construction as well as from Business and Industry and Public and Private Social Security Agencies etc.

Moreover, financial institutions, employers and employees' organizations, community based and civil societies as well as other relevant agencies are members of the council. The United Nations, international agencies as well as relevant charity organizations and societies participate in the implementation of the Social Protection Policy.



Along with the NSPP and the NSPS, the Government aims to enforce the social protection development endeavor throughout the country. The NSPP has the intention to address major social development problems. These include, first, protecting the poor and vulnerable groups, households, and communities from adverse effects of shocks and destitution. Second, increasing scope of social insurance; increasing access to equitable and quality health, education and social welfare services and building human capital to address the root causes of poverty. Third, guaranteeing a minimum level of employment; enhancing social status, and ensuring that the different segments of the society take appropriate responsibility for the implementation of the NSPP.

The implementation of the NSPP is possible only through putting in place the required institutional coordination framework mechanisms. The introduction of new and effective institutional coordination of the social sector initiatives can transform the prerogatives of citizens enshrined in the policy document into tangible social welfare developments. Moreover, the institutionalization and coordination efforts have to consider the five focus areas of the NSPP to bring about meaningful inter-sectoral and vertical coordination amongst the institutions.

In dealing with these focus areas, the policy has also identified development partners that will take part in various social development programs. The development partners engaged in multitude of development activities can be categorized in one or more focus areas indicated in the policy document. The systematic institutionalization and coordination of stakeholders will assist achieving the objectives set in the NSPP in a sustained manner.

## **2.4 Objectives of the study**

United Nations Development Programme (UNDP), Ethiopia is supporting the Ministry of Labour and Social Affairs (MoLSA) in strengthening the social protection mechanisms in Ethiopia. UNDP has contracted IPE Global Ltd., Ethiopia and Dadimos Development Consultants PLC to carry out an assignment to conduct a baseline survey and establish institutional and coordination frameworks for social protection in Ethiopia.

The Terms of Reference (ToR) of the study has set out the objectives of the assignment. The objective is to conduct a baseline survey based on which we will develop institutional and coordination frameworks for effective and efficient implementation of social protection systems in Ethiopia.

The assignment is being conducted in two-phases. In the first phase the team has conducted a baseline survey. Based on the findings of the baseline survey, a clear institutional framework will be developed for the coordination of social protection services in the regional states and sub-regions in the second phase of the assignment. This framework will also include the mechanisms for citizenry participation in the decision-making and accountability processes.

Accordingly, the assignment is being carried out in two phases as follows:-

### Phase one: Baseline Survey

Tasks under this phase involved:-



- Designing a suitable methodology for collecting secondary and primary baseline data vis-a-vis the current institutional arrangement and its strength and weaknesses. This was presented in the inception report.
- Compiling a baseline report in an agreed format provided in the ToR. This report is an outcome of this task.

#### Phase two: Develop Institutional and Coordination Frameworks

Tasks under phase two would involve:-

- Review applicable national and international experiences on coordination of social protection between the federal, regional and sub-regional levels to inform the development of the institutional and coordination framework for social protection
- Develop institutional and coordination frameworks for social protection systems with special emphasis on the following parameters:
  - Inter-sectoral (horizontal) coordination of key sectors
  - vertical coordination – with the federal government
  - Participation of civil society; participation of beneficiaries
  - Coordination with community-based structures
  - Delivery of services, its quality, fairness, etc.
  - Financial arrangement and sustainability
  - Delivery of cash payments (coordination with local financial institutions)

## **2.5 Progress in the Assignment**

IPE Global and Dadimos Consulting are jointly carrying out the assignment as per the technical proposal and also the plans presented in the inception report which was approved by the client. The study is critically investigating these issues from the point of view of the NSP policy and strategy document and will come up with appropriate institutional set ups and coordination options for subsequent interventions. An inception report was presented by the consultants and the client approved it.

This baseline report is prepared as the second deliverable of the assignment and maps out the outcomes of the plans presented in the inception report following the conceptual framework, our approach and methodology, tools and techniques of data collection instruments and the work plan for carrying out the assignment. It presents the situation as is, at the federal level between the stakeholder institutions, the system and also delved into the existing coordination mechanisms at regional and woreda levels. The consultants interacted with a host of institutions at all levels (*list provided as Annex 2*) and have triangulated the information and presented it in the subsequent sections of this report based on the five focus areas of the NSPP in Ethiopia.

A draft of the baseline survey report was presented to the client in March 2016. Comments provided by the client and MoLSA and members of the council were obtained and have been incorporated in this version of the final baseline report.



## Chapter 3: Methodology

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### 3.1 Approach to the assignment

As indicated in the ToR, committed in the technical proposal and confirmed in the inception report approved by the client, the assignment is being carried out in three steps as follows:-

**Step 1: Desk research**

**Step 2: Stakeholder consultations, assessment survey in select regions / woredas / kebeles**

**Step 3: Data processing, analysis, and report writing**

The consultants have completed Steps 1 and 2 and tasks under Step 3 are under completion.

The desk research involved review of all the relevant policies, frameworks, programme documents on Social Protection and will continue to benchmark assessing international good practices. The research allowed deeper understanding and appreciation of the baseline values for the establishment of institutional and coordination frameworks and on effective monitoring and evaluation system of existing mechanisms and programmes. The research also provided an opportunity to establish national legislative and policy priorities with respect to social protection.

Primary data collection was carried out from various stakeholders at federal, regional, and woreda level through field visits and through a rapid assessment survey following a participatory and consultative approach. The consultative process was critical not only to get feedback about the existing policies, their implementation status, existing coordination mechanisms, bottlenecks, strengths and weaknesses and capacity gaps but also to seek inputs from the stakeholders for crafting the institutional and coordination framework.

The secondary and primary data has been processed and analyzed. Data collection was done using tools agreed in the inception report with various stakeholders as specifically mentioned in sections hereafter.

The study methodology and tools section discusses the selection criteria of the sample regions, data collection tools and list of informant institutions.

### 3.2 Study Methodology and Tools

#### 3.2.1 Conceptual Framework – Institutional Framework Analysis

To design the institutional frameworks for coordination on social protection, the consultants have proposed a conceptual framework along with the tools for analysis (*attached as Annex 3*). The tools for Institutional Framework analysis has been adopted to look into the existing set up of the institutions engaged in social protection development endeavors (*World Bank, Tools for Institutional, Political, and Social Analysis of Policy Reform, 2007*) and project the required institutional set up to coordinate the social protection systems in Ethiopia at federal, regional and woreda levels. These tools are assorted with SWOT analysis tool to frame the institutional framework analysis assignment (*See Annex 3*). The tools help to critically look into existing inter-sectoral and vertical institutional coordination framework and thereby



develop effective institutional and coordination system to implement the NSP policy and strategy all over the country.

### 3.2.2 Selection Criteria of Sample Regions, Woredas and Kebeles

As per the contract, data collection activities were conducted in four regions and the capital city, Addis Ababa. The selection of the sample regions and city has been agreed between the client (MoLSA and UNDP) and the consultants. The selected regions for the study included Amhara, Oromia, Benishangul Gumuz and Somali. The selection criteria for selecting the sample regions considered socio-economic factors to designate two regions from relatively developed regions and two regions from emerging regional states. The selection criteria for considering Addis Ababa in the sample study areas is based on two factors. The first one considers Addis Ababa as the capital city and seat of the Federal Government institutions and the second offers us to review institutional coordination aspects of social development dimensions in an urban setting.

The selection of the sample woredas within the identified regional states (one woreda per region) was carried out in consultation with the regional Bureaus of Labor and Social Affairs (BoLSA) considering the prevailing social conditions, institutional set up and social development endeavor of the respective region.

Key Informant Interviews (KIIs) have been conducted with stakeholders having responsibilities for social protection at federal, regional and woreda level. Similarly, community level focus group discussions have been carried out at kebele level of each selected woreda. See table 1 below and Annex 2.

**Table 1: KIIs and FGDs covered by the study**

Regions / City	Key Informant Interviews and Focus Group Discussions
Federal	DRMFSS, MoE, MoH, MoJ, MoWCA, MoUDH, MoANR, FEMSEDA, PSSA, POESSA, Health Insurance Agency
Benishangul Gumuz	LSAO, FSPREO, BoFEC, BoE, BoH, BoJ, BoWCA, BoANR, REMSEDA, PWD and Elderly Associations, Bambasi woreda KII and FGDs
Somali	BoLSA, DPEFSCO, BoFEC, BOH, BoE, BoJ, REMSEDA, BoWCA, Kebribeyah woreda KII and FGDs
Amhara	BoLSA, DPFSCO, BoFED, BOH, BoE, BoJ, BTVET, Elderly Association, PWD Federation, BoWCA, Woreta woreda KII and FGDs
Oromia	BoLSA, BoANR, BoFED, BoH, BoJ, BoE, REMSEDA, BoWCA, Adami Tulu KII and FGDs
Addis Ababa	BoLSA, BoFED, BoH, BoJ, BoE, REMSEDA, PWD Federation, BoWCA



### **3.2.3 Data Sources and collection methods**

#### **3.2.3.1 Data sources**

The study team collected the required data from both the primary and secondary data sources as mentioned above. The primary and secondary data collection instruments used for the study are discussed further in this report. The research issues and possible sources of information had been agreed with the client in the inception report and are as per Annex 4.

#### **3.2.3.2 Data collection methods**

The data collection tools for gathering the required information comprised of documents for desk review, key informant interviews (KII), stakeholder workshops, focus group discussions (FGD) and secondary data collection formats. The data collection tools for the baseline survey covered institutions, community groups at city, regional, woreda and kebele levels (*the list of the institutions are mentioned above under Table 1*). The Data Collection instruments are attached as Annex 5.

#### **3.2.3.3 Data Analysis**

Data gathered using the data collection instruments have been properly transcribed. The data was collected using voice recorders and the transcription work has been triangulated along with KII and FGD data and secondary data collected from the sample regions. The transcribed data has been aggregated and analyzed.





## Chapter 4: Findings

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### 4.1 Baseline Situation of Coordination Mechanisms between Key Stakeholder Institutions

During the course of the study, the consultants came across many examples, with which, it is prudent to say that the social protection policy supported the previously fragmented initiatives in terms of institutional coordination. For instance, there is evidence that stakeholders especially at the federal level are aware of the policy and strategy documents and the Platform has been successful in the initial awareness around the provisions of the policy and the mandates expected from the partner institutions. However, this has not evenly percolated down at the regional and sub regional levels and would need ongoing efforts to achieve results. So in summary, the consultants feel that the gaps especially in institutional coordination are not at the policy level, as this is existing, but more at the implementation levels. The feeling of joint responsibilities towards extending social protection to the citizens is not evenly shared between institutions, as they do not have joint workplans or guidance documents on why and how they should coordinate with each other. We feel that the ideal situation would need joint planning, monitoring and reporting systems at all levels, to be reviewed at the regional level and also at the federal level, with an action taken report on addressing issues to be reviewed by the latter in the proposed review meetings. The issues and action taken should also be ideally, discussed with the higher level political and administrative structures of the government. In reference to this, the next deliverable of the assignment – the institutional and coordination framework – will come up with suitable action points. Similarly, in the framework which is under development (and is referenced at several places in this baseline report) would demonstrate how some of the initiatives which were effective due to existing institutional set ups and coordination aspects that helped the initiative, as a lesson for wider application.

In the analysis that was carried out, the consultants focused on identifying what is existing, and what are the reported, observed and perceived gaps which are acting as barriers to an effective institutional and coordination mechanism. We intend to utilize the conceptual framework (attached as annex) to report in the next deliverable – the framework - on how this helped us identify successful interventions, while mapping the gaps and what we would be recommending to address weak coordination such as absence of institutions, lack of guidelines and regulations, lack of awareness, institutional bias or lack of accountability and monitoring and evaluation mechanisms. It will also suggest what is needed to bring onboard the institutions that are not actively participating.

In carrying out the survey and in developing this report, the consultants have been guided by the client on the extent of coverage and participation of institutions responsible for social protection in the country. In the instance of any institution being missed out from the coverage of the study, we propose to remedy it during the consultations with all stakeholders at the validation workshop and come up, jointly, with conclusions regarding missing or forgotten institutions, in the existing coordination system. We have already reflected in this report on institutions we feel are overburdened and where we find there is a mismatch between institutional mandate and their current responsibility in the social protection system.

The baseline assessment for institutional and coordination frameworks for social protection systems in Ethiopia has prepared the findings of the baseline situations of the institutions by apportioning the report



into four sections. These include the baseline situations of institutional and coordination frameworks at federal, regional, woreda and community levels. Concurrently, each section of the report has analyzed the research issues under consideration from the point of view of the five focus areas of the social protection policy document. These focus areas include:-

Focus Area 1: Promote Productive Safety Net

Focus Area 2: Employment Generation and Livelihood Improvement

Focus Area 3: Promote Social Insurance

Focus area 4: Addressing Social Inequalities of Access to Social Services

Focus Area 5: Addressing Abuse and Violence and Providing Legal Protection and Support

## **4.2 Baseline Situation of Key Federal Level Institutions**

### **4.2.1 Focus Area 1 - Promote Productive Safety Net**

*The objectives of productive safety net in the social protection policy document<sup>3</sup> are to:*

- *Expand predictable social transfers (conditional and non-conditional) and protect vulnerable groups from falling in to extreme poverty, food insecurity and malnutrition*
- *Contribute to the building of human capital of poor individuals and households to stop inter-generational poverty*
- *Promote public works program to enhance community assets*
- *Introduce social pension schemes for older and other vulnerable persons*

#### **Key stakeholder Institutions: MoLSA, MoANR and MoUDH**

The key stakeholders taking part in the productive safety net at federal level includes MoLSA, MoANR, and MoUDH. MoLSA is being engaged both in conditional and unconditional transfers targeting children, PWDs, PLWHIV and elderly, whereas MoANR is responsible for public works in rural areas and scale-up mechanisms for Disaster Response (as part of the rural safety net). MoUDH will be engaged in public works in urban areas through UPSNP. The coordination mechanisms of these institutions in the productive safety net interventions will need to be strengthened in implementing the upcoming urban and rural programs.

#### **4.2.1.1 Horizontal Coordination**

The PSNP provides food and/or cash transfers to food insecure households in chronically food insecure woredas (those receiving food aid in exchange for labor-intensive public works, while labour-poor households receive unconditional “direct support” transfers). The public works component, which covers approximately 80% of the program participants, focuses on the implementation of soil and water conservation measures and the development of community assets such as roads, water infrastructure, schools and clinics etc.

Currently, MoANR at the federal level coordinates the rural Productive Safety Net Program (PSNP), which includes Public Works (PW) and Direct Support Components (DSC). The overall coordination of the rural

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<sup>3</sup>MoLSA, Social Protection Policy, 2014



employment generation, PSNP, and other food security interventions are vested in the Rural Job Creation and Food Security Sector (RJCFSS) office. The MoANR is responsible for the management and coordination of PSNP in close partnership with MoLSA. The transitioning of direct support component of the PSNP to MoLSA is underway and expected to be implemented through a gradual roll-out plan. RJCFSS office organizes monthly management meetings with all implementing partners and subsequently, joint Coordination and Management Committee (CMC) meetings<sup>4</sup> are convened. The existing horizontal coordination mechanism of PSNP and/or RJCFSS office with implementing partners is exemplary in the productive safety net program coordinated by MoLSA. However, the horizontal coordination of MoLSA with RJCFSS is seen to be weak, needing attention. There have been agreements on meeting regularly, but this is not adhered to. Absence of any guiding document further accentuates this issue and affects coordination of efforts. The conditional support of PSNP is still being taken care of by RJCFSS and this needs to be changed as per the new responsibilities of MoLSA.

The Urban Productive Safety Net Program (UPSNP) will be launched in selected cities of the country in 2016. The MoUDH is responsible for the management and coordination of the program in close collaboration with MoLSA, city administrations and other implementing partners. Similar to Rural Productive Safety Net Program, the UPSNP involves direct and indirect components to sustainably address food security through public work activities by involving the able-bodied poor individuals and unconditional support component to vulnerable groups. The coordination mechanisms would be seen once the program is on the ground effectively.

#### **4.2.1.2 Vertical Coordination**

Vertical coordination of PSNP with regional bureaus such as with BoANR and BoFEC is very strong. This is because the program implementation, monitoring and evaluation system is well laid out coherently from the top to bottom. In contrast, the vertical coordination of MoLSA with BoLSA and BoFEC in dealing with productive safety net particularly PSNP is weak, as the transitioning of the direct support component has not yet been grounded. The coordination efforts are therefore not yet visible as the interventions are still led by MoANR. Conversely, the Public Social Security Agency (PSSA) is vertically connected and accountable to MoLSA as it is one of its wings to put forth the public social security services to the recipients. It regularly submits reports to MoLSA. PSSA has 84 branch offices all over the country. Quarterly and semi-annual meetings facilitate the vertical coordination mechanisms of the service delivery of these offices.

#### **4.2.1.3 Participation of Civil Society**

The participation of civil society has been exhibited in supporting productive safety net programs in urban and rural areas of the country. Donor agencies such as USAID, UNICEF and NGOs including FHI, ORDA, and CARE can be mentioned for their exemplary engagement and contributions to productive safety net programs. The international and local NGOs take part in the PSNP in different ways including food warehouse management, financial support and capacity development efforts. In general, however,

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<sup>4</sup> Productive Safety Net Program 4 Design document, 2014



harmonization of development efforts of NGOs with programs led by government institutions is still a challenge. Unlike donor programs which are channeled through government treasury, NGOs are implementing their programs using their resources and capacity and therefore find it difficult to harmonize their development efforts with those of the government.

#### **4.2.1.4 Delivery of Services**

The PSNP is still a notable intervention in social protection as it is supporting numerous PW and DSC beneficiaries (See Annex 6-9) in six regions of the country. The RJCFSS is responsible for the overall coordination of delivery of services to the beneficiaries at federal level. The delivery of services is made both in cash and in kind. Ministry of Finance and Economic Cooperation (MoFEC) coordinates the cash delivery, whereas RJCFSS coordinates the food delivery. The coordination of food delivery services at federal level sometimes lags behind the schedule due to various factors such as shortage of trucks, which affects timeliness of food delivery at woreda level.

#### **4.2.1.5 Financial Arrangement and Sustainability**

At federal level, MoFEC coordinates the financial arrangement of programs such as PSNP. MoFEC has been coordinating the financial resources obtained from donors in close collaboration with MoANR, MoLSA and MoUDH. MoUDH in partnership with MoLSA has introduced Urban Safety Net Program (UPSNP) in 2016 for selected urban areas and MoFEC will be in charge to coordinate the financial arrangement of this program as well. MoFEC manages the financial arrangement in coordination with regional BoFECs to transfer the required funds through defined channels.

#### **4.2.1.6 Delivery of Cash Payment**

MoFEC releases the earmarked budget to respective PSNP regions for cash payment purposes. In most cases, the delivery of cash payment for PSNP beneficiaries is made through woreda finance offices. However, a pilot has been implemented to try cash payment through mobile transfer with the direct involvement of MFIs. The financial inclusion project piloted in Amhara region has brought encouraging results, which can be scaled-up throughout the PSNP woredas. The social cash transfer pilot program of UNICEF has been successful in mobile cash transfers prior to the financial inclusion project in Amhara.

The Social Cash Transfer Pilot Program (SCTPP) funded by UNICEF is known for its effective delivery of services through mobile cash transfer system. UNICEF has implemented the SCTPP in two woredas of Tigray region for two consecutive years (2012 – 2014), and currently the pilot program is being implemented in Oromia and SNNP regions. MoLSA at federal level coordinates the overall pilot program.

### **4.2.2 Focus Area 2 - Employment Generation and Livelihood promotion**

*The Objectives of Employment Generation and Livelihood Promotion<sup>5</sup> are to :*

- *Promote employment opportunities and income generating activities for the unemployed and other vulnerable groups*
- *Enhance the capacity of people through socio-economic measures*

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<sup>5</sup> MoLSA, Social Protection Policy, 2014



**Key stakeholder Institutions: MoLSA, MoANR, FEMSEDA, FMMIEA, MFI, NBE**

The Federal Medium and Small Enterprises Development Agency (FEMSEDA) focuses on the urban employment generation. It organizes the urban unemployed youth and women and facilitates job opportunities for them. Previously FEMSEDA was handling micro and small-scale enterprises including the small manufacturing sector. Recently, the manufacturing sector has been separated from the existing FEMSEDA and reorganized as a separate entity as Federal Micro and Medium Scale Industries Enterprise Agency (FMMIEA). The FEMSEDA is now handling micro and small-scale enterprises excluding the manufacturing sector.

**4.2.2.1 Horizontal Coordination**

The FEMSEDA is working closely with the new agency FMMIEA. Both FEMSEDA and FMMIEA have a good working relationship along with several other sector offices. These include financial institutions (MFIs, banks), TVETs, Municipality and MoANR. A new agency called Urban Job Creation and Food Security Agency (UJCFSA) is being established for coordinating the UPSNP and currently it is working with an ad hoc committee. The UJCFSA has started establishing coordination mechanisms with different offices. It is planned to establish an Urban Job Creation and Food Security Council (UJCFSC) consisting of 19 federal offices led by the finance and economic cluster. Each institution has their own roles and responsibilities and link up horizontally with each other to work effectively.

Currently, the urban employment generation and food security committee has a good working relationship with MoANR (rural job creation and food security sector). UJCFSS representatives took part and supported in the designing of UPSNP. Besides, experiences gained in PSNP have been shared with the UPSNP staff on implementation. The UJCFSC has started coordinating its activities with MoLSA in designing Management Information System (MIS) of urban PSNP using single registry system of MoLSA as a model. The UPSNP committee has started discharging its mandates under the auspices of MoUDH.

**4.2.2.2 Vertical Coordination**

FEMSEDA has regional counterparts in all regions and it has good coordination with their regional offices. The regional offices send their periodic reports and plans to the federal agency regularly every three months. The federal agency also gives direction and technical support to the regions. However, technical support delivered to the regional sector offices is on a demand basis. The federal urban job creation and food security agency will have the same structure at regional level and regional council will be established in each region. Thus, the federal agency will be linked vertically down ward to the regional agencies.

**4.2.2.3 Participation of Civil Society**

Most CSOs consider employment generation as responsibility of the government<sup>6</sup>. However, there are a number of NGOs and donor supported programs that provide livelihood supports including entrepreneurship and skill trainings, psychosocial support and social transfers for poor households and individuals. Some of these institutions include Plan International, CARE, Digital Opportunities Trust (DOT) Mennonite Economic Development Associates (MED) and Women Entrepreneurship Development

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<sup>6</sup> World Bank, Feasibility Assessment of Proposed Interventions for the Ethiopia Urban Productive Safety Net Project (UPSNP), 2015



Project (WEDP). WEDP, the World Bank financed project, has been implemented under the auspices of FEMSEDA. It is observed that the coordination amongst these bodies is fragmented and not well organized.

#### **4.2.2.4 Delivery of Services**

**Self-employment:** FEMSEDA facilitates job opportunities to unemployed people including women and youth. The agency encourages savings, facilitates credit and working areas in collaboration with MFIs and municipalities respectively. It organizes trainings and creates market linkages, etc.

**Wage employment and Livelihood Support:** the urban job creation and food security agency will deliver services with emphasis on few key components of the program. These include direct support component that delivers cash transfers to the beneficiaries without any labor contribution. The other component refers to unemployed target groups that would engage in public work activities. In this case, the program delivers wage-employment and psychosocial support whenever the need arises. The agency will also encourage and support people to take part in household livelihood improvement. Livelihood promotion activities provide emphasis on people who have exposures in various business related activities but have limited or no start-up capital for small business.

The implementation of urban job creation and food security will be launched in 2016. Addis Ababa city and Dire Dawa council have been selected as pilot urban areas to test the UPSNP intervention. Subsequently, the UPSNP intervention will be scaled-up to nine major cities of the country. The agency is planning to use one stop service center to implement the program.

#### **4.2.2.5 Financial Arrangement and Sustainability**

FEMSEDA accesses government budget using the government financial arrangement. The financial resources obtained from government treasury and World Bank is arranged and channeled through MoFEC. World Bank is financing both UPSNP and women entrepreneurship project. NGOs are also financing livelihood promotion schemes.

#### **4.2.2.6 Delivery of Cash Payment**

Predictability and timeliness of payment is a core principle of the safety net transfer. There should also be flexibility across seasons and frequency of payment<sup>7</sup> to meet the needs and conditions of safety net clients. In line with this core principle, the UPSNP feasibility assessment<sup>8</sup> examined four optional and existing social transfers and labor works payment mechanism. These are:

- Conventional government financial system
- Microfinance institutions without mobile cash transfer
- Microfinance institutions with mobile cash transfer
- Commercial banks

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<sup>7</sup> The World Bank, ETHIOPIA: Using Electronic Payments in the Productive Safety Net Program (PSNP) 4 and Household Asset Building Program (HABP), 2014

<sup>8</sup> The World Bank, Feasibility Assessment of Proposed Interventions for the Ethiopia Urban Productive Safety Net Project (UPSNP), 2015





The UPSNP office will make use of the above-mentioned cash payment modalities. MoLSA would resort to these cash payment modalities to transfer cash payments to direct support component beneficiaries.

### 4.2.3 Focus Area 3—Promote Social Insurance

*The objectives of Promotion of Social Insurance<sup>9</sup> are to :*

- *Expand and encourage the social insurance system*
- *Support informal social protection mechanisms and facilitate their linkages to the formal system*

**Key stakeholders: MoFED, MoLSA (POSSA and POESSA), MoANR and MoH**

Mandatory Social Insurance will be delivered through POSSA and POESSA under the auspices of MoLSA. MoH deals with community-based health insurance and social health insurance. MoANR will take care of insurance related to Index-Linked Weather Insurance in collaboration with government and private insurance companies. Other ministries such as MoWCA and MoE are working as board members at the federal levels.

Based on the Climate Resilient Green Economy (CRGE) strategy, early warning and response mechanisms have been introduced along with other efforts. Recently index-linked weather insurance has been introduced in collaboration with a private insurance company. The insurance covers both weather-indexed crop insurance and livestock insurance. However, effective coordination is required among various actors of the above - there is no evidence on this yet, as the programme is in the initial stages.

#### 4.2.3.1 Horizontal Coordination

The prevailing inter-sectoral horizontal coordination mechanism between the concerned federal level governmental institutions, NGOs, UN agencies and other key actors for the implementation of social insurance intervention is managed thorough the Board chaired by Ministry of Finance and Economic Cooperation (formerly MoFED) and Ministry of Health being the secretary. Other members of the board include MoLSA, MoWCA, MoE, National Federations of Employers and Employees and representatives of development partners particularly engaged in health care financing project.

In addition to the coordination mechanism by the board, there is also a “Stakeholders Forum” chaired by MoH where all sectoral ministries are members. However, in both the above cases, though each institution is exerting its effort in line with their own mandates, the overall institutional coordination is not at the required level as there is a tendency of prioritizing their respective activities only.

The Public Social Security Agency (PSSA) regularly delivers social security services in the form of pension to able-bodied and vulnerable groups (PWD and elderly). The PSSA horizontally coordinates its services with various financial institutions such as banks, MFIs, post offices, MoFED, ERCA and municipalities to reach out to the social security recipients (pensioners). The horizontal coordination efforts of PSSA is constrained by factors such as the consideration of PSSA as a federal level institution regardless of the services delivered at various levels of the administrative hierarchy in regions of the country. Failure to

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<sup>9</sup> MoLSA, Social Protection Policy, 2014



consider PSSA as one of the institutional entities of MoLSA is quite a challenge which has weakened the horizontal coordination linkages among stakeholder institutions.

The Private Organizations Employees' Social Security Agency (POESSA) has been established to register employees working in private organizations with a minimum of ten years' service to get entitlement of pension when they retire. The federal agency POESSA, is yet to complete registration of all employees working in different parts of the country. This has been further undermined by the discrepancy of data on establishment of companies, personal data of employees, etc.

Gaps were also observed in the coordination of weather-indexed crop insurance and livestock insurance as individual institutions are working independently and not in synergy with others.

#### **4.2.3.2 Vertical Coordination**

The Community Based Health Insurance (CBHI) has a regional Steering Committee chaired by the President of the regional administration and BoH serving as secretary of the committee. In regional states, except Tigray, the CBHI is housed and accountable to Woreda Administration Office having three core staffs (Health Officer, IT Expert and Accountant) while in the case of Tigray, the Woreda Health Office is in charge of the scheme and one health expert is assigned for the task.

The Woreda level Community Based Health Insurance steering committee comprises of the Woreda Chief Administrator (Chairperson), WoFED, WoH, Kebele Administration Manager (Treasurer) and the Health Officers working at the grass roots level. With regard to Kebele level structure, the Kebele Manager is responsible to lead the overall coordination work and at City / Town levels, there is a Board of Directors chaired by the Mayor of the town and Finance, Health, Education and Women and Youth Association representatives being members of the board.

#### **4.2.3.3 Participation of Civil Society**

There are different Civil Society Organizations, UN agencies and development partners that are actively participating in coordination and supporting service delivery of interventions related to health insurance. World Health Organization (WHO) is the major supporter followed by USAID funded NGOs and others including Abt Associates Health Sector Financing, Clinton Foundation, Spanish Aid and Korean International.

#### **4.2.3.4 Delivery of Services**

For the actual work of the CBHI to start in any Woreda, minimum requirements have been established. The first requirement is a General Assembly at community level and when 50 + 1 voted yes to kick-off the program, the Woreda will automatically qualify. The minimum requirement to start the intervention needs at least 35 % of the potential target group to be registered. The agency is delivering services through its branches and the Woreda CBHI offices. The Branch Head at regional capitals is a member of the management committee of Bureau of Health. The Woreda CBHI offices coordinate mainly with health sectors (health offices, health centers, hospitals). They also have working relations with the Kebele Manager.





The Kebele Manager is responsible to lead the work at the kebele level. At city level, there is a Board of Directors, chaired by the Mayor of the town. Finance, health and representatives of the Kebeles are members of the board.

#### 4.2.4 Focus Area 4–Addressing Social Inequalities of Access to Social Services

*The objective of Addressing Social inequalities of access to social services<sup>10</sup> is to :*

- *Increase the coverage and access to health, education and other social welfare services*

**Key stakeholder Institutions : MoLSA, MoH and MoE**

The establishment of social work system and delivery of services for PWDs and elderly people are the responsibilities of MoLSA. MoH and MoE coordinate health fee waivers, health insurance subsidies and school feeding programs respectively, to ensure social transfers and build human capital. The coordination of the key institutions is vital to achieve the objectives set for this particular focus area.

##### 4.2.4.1 Horizontal Coordination

**Health service:** The Health Sector Transformation Plan (HSTP)<sup>11</sup>, which is part of the GTP II, envisages universal health care through strengthening of primary health care. The HSTP has identified key stakeholders including community, Parliament, Prime Minister’s Office, Council of Ministers, regional governments and line ministries (water, finance, labor, women's affairs, agriculture etc.). The roles and responsibilities of the stakeholders are identified in terms of anticipated behaviors and desires, needs, resistance issues and institutional response. The HSTP has also identified weaknesses of the sector including inadequate multi-sectoral collaboration and variations in implementation capacity among regions.

**School feeding:** The school feeding program is financially supported by WFP and the resources allocated to the regions is channeled through MoFEC. However, the involvement of the Federal Ministry of Education in the current school feeding program is minimal, though it provides support when procurement and food transport delays occur on ad-hoc basis. The main tasks of WFP include resource mobilization, food provision, food transportation from port to central hubs, monitoring (Joint Monitoring), capacity building and fund management. MoFEC, takes responsibility to follow-up on effective food delivery and auditing of the food delivery services.

##### 4.2.4.2 Delivery of Services

**Health Service:** The health insurance program has two components namely CBHI (Community Based Health Insurance) and SHI (Social Health Insurance). The CBHI was initiated in 2002 EC in 13 pilot woredas in the four big regional states. Now the program has been launched nationwide and the coverage has been expanded to 200 woredas. At the end of the GTP2 period, the CBHI program is envisioning to reach 80% of the woredas nationwide and 89%<sup>12</sup> of the population within those woredas. On the other hand, the coverage of SHI is planned to increase during this period. The health insurance program is a means to

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<sup>10</sup> MoLSA, Social protection Policy, 2014

<sup>11</sup> MoH, Health Sector Transformation Plan(2015/16-2019/20), 2015

<sup>12</sup> Scaling-up Strategy of Community-Based Health Insurance in Ethiopia, 2015



increase the coverage of health services throughout the country. It can also serve as an instrument to reach out to vulnerable groups and the elderly with health fee waivers. The delivery of health services can be enhanced in terms of reach and quality with effective coordination.

**School feeding programs:** WFP's school feeding program provides in-school meals to about 650,000 children in about 1,200 schools<sup>13</sup> in chronically food-insecure woredas. The objectives of this programme are to increase attendance, enrolment, concentration and the participation of girls in education. The school feeding service is seen as being carried out without efforts of coordination and as a result, has visible gaps which needs to be addressed and harmonized.

#### **4.2.4.3 Financial Arrangement and Sustainability**

The government has the intention to gradually finance large proportion of the school feeding program that is currently heavily dependent on external support and has sustainability concerns. To this end, a government owned school feeding program strategy has been drafted and submitted to decision makers for appraisal. Once the strategy is approved, the aim is to scale up Home Grown School Feeding Programs similar to those that have been initiated in SNNPR and Oromia on pilot basis.

#### **4.2.5 Focus Area 5—Addressing Abuse, Violence and Providing Legal Protection and Support**

*The objective of addressing abuse and violence and providing legal protection and support is to:*

- *Prevent violence and abuse, discrimination and exclusion of vulnerable populations and redress their impacts*

**Key Stakeholders : MoLSA, MoWCA and MoJ**

MoLSA, MoWCA, and MoJ are the leading federal institutions that steer the issues related to abuse and violence and providing legal protection. MoJ gives provision of protective legal and policy environment.

##### **4.2.5.1 Horizontal Coordination**

The existing inter-sectoral institutional set ups and coordination mechanisms between the concerned government institutions and other stakeholders like UN Agencies, CSOs and Associations are the various federal forums and coordination committees dealing with activities to address abuse and violence. Ministry of Women and Children Affairs is playing the leading role while Ministry of Justice is also chairing some of the coordination platforms. In general, the main stakeholders or key actors working together are Women & Children, Police, Justice, Courts, Labor & Social Affairs and Health.

According to Ministry of Justice, the main federal level platform is the *"Integrated National Coordination Body"* to provide multi-faceted protection and response on crimes and abuses on women and children including ensuring justice for children. MoJ chairs the federal level platform and has more than 18 members represented from federal Ministries, development partners, associations, regional governments

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<sup>13</sup> Government of the Federal Democratic Republic of Ethiopia, National Social Protection Policy, November 2014, Addis Ababa.



etc. It is responsible to address the issues of all forms of abuse and violence including HTPs affecting women and children. In addition to the above mentioned National Coordination Body, considering the multi-dimensional impacts of GBV, Ministry of Justice has also initiated a special coordination mechanism to closely work with Health, Education and Social Affairs.

The Ministry of Women and Children Affairs, in 2013, with the technical and financial involvement of development partners and relevant stakeholders, has developed a **“National Strategy and Action Plan on Harmful Traditional Practices (HTPs) against Women and Children in Ethiopia”**. MoWCA provides leadership and overall coordination for the implementation of the strategy similar with the national coordination body led by MoJ.

Each institution is exerting its effort in line with their own mandates. However, on predictable lines, the overall institutional coordination is not at the required level as prioritization is not shared equally amongst all. On the other hand, few offices have relatively better coordination and they are closely working together with frequent and regular meetings, joint planning and periodic information exchange and reporting. MoWCA has better coordination with Law Enforcement bodies like Police and MoJ on cases of abuse and violence. Similarly, MoWCA has good coordination and relations with MoLSA in cases of support and protection to address disability and elderly issues. However, in most cases, it is due to the emerging need which gets all players together to resolve.

Concerning the strengths and weaknesses of federal ministries in inter-sectoral coordination, the existing horizontal coordination between few institutions like MoWCA, MoLSA, Police Commission and MoJ could be seen as strengths. The offices try to meet and evaluate the progress of their respective work including efforts in coordination in regular meetings. On the other hand the issues that can explain the weaknesses of inter sectoral coordination is the prevailing tendency of institutional bias among few offices considering issues of vulnerable segments of the society including women and children as responsibilities of individual institutions and preference to work independently. Despite the existing enabling legal and policy environments, absence of accountability system is believed to have contributed to the observed weaknesses.

#### **4.2.5.2 Vertical Coordination**

According to Ministry of Justice, the existing vertical coordination is in line with the constitutional mandates given to the federal government and the regions. Each region has been authorized to take appropriate decisions. MoJ provides technical support to regions and vertical coordination is exercised through quarterly meetings, reporting, participation in special forums including awareness creation and capacity building trainings. There is also coordination through different initiatives such as 'one Stop Center' and 'Pilot Referral Centers' in Addis Ababa, Amhara, Benishangul Gumuz, Dire Dawa, Oromia and SNNPR. There are Federal Justice Branch Offices in all Sub-Cities of Addis Ababa and under AA Police Commission, there are Special Investigation Centers in all police stations mandated for special investigation and prosecution of cases related to violence against women and children. In all the centers, there is relatively better integration and coordination between the different actors like Police, Justice, Health, Women & Children and Labour & Social Affairs including NGOs providing shelter and support.



#### **4.2.5.3 Participation of Civil Society Organisations**

There are different CSOs that are actively participating in coordination and supporting service delivery interventions related to vulnerable groups of the society particularly on protection of abuse and violence victims amongst women and children. In this regard, UNICEF is the Lead Partner supporting the various efforts by providing funds for awareness creation and relevant pilot project interventions. UN Women has also come on board recently. NGOs like Integrated Family Service Organization and Women Shelter and Development Association are actively engaged. Other CSOs and NGOs that intervene in activities related to protection and support against abuse and violence, include OPRiFPS, Projynist, Religious Institutions Development Forum and Ethiopian Women Lawyers Association etc.

#### **4.2.5.4 Delivery of Services**

Regarding service delivery, in general, every Ministry has a unit or section with the required human resources that is responsible for handling the issues related to women and children and PWD as well. MoJ has an office for the coordination of Women, Children and Youth Affairs. MoWCA has sections dealing with Gender Mainstreaming, Women Mobilization & Participation Enhancement and Child Rights and Protection. Similarly, MoLSA has sections responsible for Gender, Women and Child Protection including issues of PLWD and the Elderly. However the coordination mechanisms across these sector ministries is not well developed.

#### **4.2.5.5 Financial Arrangement and Sustainability**

The existing financial arrangement follows the regular governmental system of budget arrangement. The main responsible agency is the MoFEC. Since UN Agencies are using UNDAF budget from UNICEF for awareness raising and care and support activities, they are using the same arrangement.

### **4.3 Baseline Situation of Key Regional Level Institutions**

This section discusses the institutional arrangement and coordination frameworks of various regional offices, which have key role in the implementation of social protection policy. It provides insights on the five focus areas of the social protection policy.

#### **4.3.1 Focus Area 1–Promote Productive Safety Net**

##### **4.3.1.1 Horizontal Coordination**

The productive safety net is implemented through four instruments including conditional, unconditional, public works and scalable instruments to respond to shocks from the expansion of predictable, adequate, and timely transfers for the vulnerable groups<sup>14</sup>. Currently, the conditional and unconditional supports are primarily taken care of by the regional Agriculture and Natural Resources Bureau. In case of Amhara region, this task is entirely undertaken by Disaster Preparedness Food Security Coordination Office (DPFSCO). In Oromia and Somali regions, the Agriculture and Natural resource Bureaus are responsible for providing conditional and unconditional support to vulnerable groups. These three regions are categorized as Productive Safety Net Program (PSNP) areas along with the other three regions (SNNPR,

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<sup>14</sup> MoLSA, Social Protection Strategy, 2014.



Tigray and Afar) where most of the food insecure woredas are present in the country. These regions have been running PSNP 4 since 2015 in a different modality (*PSNP 4 Design Document, 2015*). Unlike the PSNP regions, the food security issues of Benishangul region (non-PSNP area) is led by autonomous Food Security, Resettlement, and Disaster Prevention Office (FSRDPO).

In the PSNP regions of the country till date, the Agriculture and Natural Resources Bureaus (BoANR) have organized their offices at zonal, woreda and kebele levels to coordinate the safety net program. In doing these tasks, the bureaus are linked inter-sectorally with various institutions including bureau of finance and economic cooperation, Regional Micro and Small Scale Enterprise Development (REMSEDA) and NGOs.

The regional level horizontal coordination is facilitated by the food security steering committee which is chaired by the President of the region. Moreover, the vice president of the region, who is the head of BoANR, chairs the Food security Task Force, while the Food Security Core Processes of DPFSCO serves as the secretary. It forms a high level coordination and decision making structure reporting to the regional president in relation to PSNP. This committee comprises of different implementing sectors and institutions including DPFSCO, Agriculture, Cooperative Promotion, Land Administration, Education, Health, Water, Road Authority, Environmental Protection, BoFED, BoWYC and BoLSA. The majority of the heads of the member institutions are cabinet members of the regional state and hence they have the supreme power next to the regional council to take decisions related to program resource allocation and implementation.

The Benishangul regional government has established good horizontal coordination mechanisms to enable Food security, Population Resettlement, and Emergency Prevention office (FSPREO) effectively discharge their duties. The steering committee, which is chaired by the Vice President of the region, convenes weekly to discuss any outstanding issues. All key sector offices such as BoANR, BoH, BoE, BoWC and BoFEC are represented in the steering committee to discuss sectoral and cross-sectoral issues. Moreover, a technical committee supports the steering committee to discharge its full responsibilities. However, at regional level the responsibilities of BoFED and FSPREO are reported to be vague in conducting monitoring and evaluation of the food security and resettlement interventions. This is because BoFED takes up both technical and financial M&E activities, which discourages FSPREO from taking part in technical monitoring and evaluation and if done, this would create duplication of efforts.

PSNP has registered exemplary achievements through successful horizontal linkages at various levels of the administrative hierarchy. The strengths of the program have been manifested through delivering the required cash and grain transfer payments to the target groups in a coordinated manner in the last 10 years. PSNP has experienced challenges to implement the program with bureau heads failing to convene regular meetings, which delays decision making. PSNP 4 program has already identified the transitioning of the DSC to regional BoLSAs and this is expected to be functional in 2016. It's yet to be seen whether the BoLSAs are ready to effectively take up this responsibility.

The regional BoLSAs have engaged in social development by supporting vulnerable groups, which mainly include Peoples Living with Disabilities (PLWD) and elderly groups. The productive safety net support delivered by regional BoLSAs includes rehabilitation services, awareness creation on various social



problems, health support to vulnerable groups, support school feeding activities and facilitation of sponsorship for students who join higher education etc. The proclamation number 123 on mainstreaming of development efforts to PWDS and the elderly promulgates that each key sector offices of the respective region is expected to incorporate all development issues related to vulnerable groups including PLWD and elderly in their sectoral plan. It also provides emphasis on activities to be subsequently implemented, monitored and evaluated together with the direct participation of stakeholder institutions and beneficiaries. The social development efforts of vulnerable groups particularly PLWDs and elderly have been mainstreamed since 2012. Accordingly, the sector offices have assigned focal persons that coordinate the mainstreaming activities. However, the mainstreaming activities have encountered several problems such as high staff turnover (that also includes focal persons assigned for coordination work) and failure to seriously consider and incorporate the mainstreaming activities in the development plan of sector offices.

Therefore, the mainstreaming efforts, which are considered to be facilitating the horizontal coordination of key sector activities, have not brought tangible results so far. Mainstreaming cannot facilitate horizontal coordination by mere signing of Memorandum of understanding (MoU) among concerned sector offices. Rather it requires concerted efforts that should be in place to sustain the mainstreaming activities by key sector institutions. The institutions engaged in the mainstreaming efforts should be accountable and transparent to their respective development tasks.

There are different social transfers programs supporting the urban poor through government and community based institutions. Such transfers are given to different social groups including the elderly, children and PWD in cash.<sup>15</sup> BoLSAs are coordinating unconditional supports given to vulnerable groups in big cities. For instance, BoLSA in Addis Ababa regularly pays 15 - 30 Birr per person, monthly for the elderly which has been put into effect since the time of Emperor Haile Selassie. In Dire Dawa, a few students with disabilities receive Birr 300 per month to cover their food, transport and school expenses. Likewise, in Mekelle city, the Disability Association of Tigray pays Birr 750 per month per person to support PWD. The social transfer supports are coordinated by BoLSA, WoLSA, WoFED, elderly and PWD associations.

#### **4.3.1.2 Vertical Coordination**

The regional BoANRs working in the PSNP areas have well established upward and downward vertical coordination mechanisms to effectively discharge their responsibilities to reach target groups with conditional and unconditional transfer payment support. The bureaus have clear vertical linkages with agriculture and finance offices working at woreda, zonal, regional and federal levels of administrative hierarchies. The BoANRs have also established vertical coordination mechanism with NGOs working at regional and woreda levels in warehouse management and grain delivery services to the target population. The conditional and unconditional transfer supports consider both cash and grain payment modalities. The target groups are paid in cash through the woreda finance and economic development

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<sup>15</sup>World Bank, Feasibility Assessment of Proposed Interventions for the Ethiopia Urban Productive Safety Net Project (UPSNP), 2015





offices based on the reports submitted by the BoANR (food security offices). The woreda ANRS offices and NGOs working in warehouse management and delivery services handle the Grain Transfer Support Services.

In the non PSNP regions such as Benishangul Gumuz, the upward and downward vertical linkages are not functioning properly. This is because the food security offices at zonal and woreda levels are detached from the regional food security office and institutionalized with the respective levels of agriculture offices. Therefore, at zonal and woreda levels, the offices are not technically and administratively accountable to regional food security office as they are attached to the agriculture office. The regional FSPREO has a very weak linkage with the federal MoANR as the existing vertical coordination is only manifested by regular (quarterly) reports sent by the regional office to the federal ministry. However, there are no accountability measures in place to check if this is not being followed regularly.

Regional BoLSAs in PSNP areas have been conducting their duties in different institutional setups. Tigray BoLSA has organizational setup that links the regional bureau up to kebele level. The Oromia BOLSA has been restructured as a bureau recently from an agency level whereas the labor and Social Affairs office of SNNP region is still at an agency level and doesn't have presence in the regional cabinets and woreda council. Afar BoLSA has an established organizational set up that links up to woreda level. Amhara BoLSA has almost no organizational set up at woreda level except Labor and social offices working in 38 cities. Therefore, vertical linkages in RBoLSAs in Amhara, Oromia, SNNPR, and Somali are not functioning properly due to absence of proper organizational setup and therefore both upward and downward vertical coordination activities are found to be weak. Currently, mainly periodical quarterly reports and bi-annual meetings can express the upward vertical coordination linkages of RBoLSAs and Ministry of Labor and Social Affairs (MoLSA). Apart from this, technical support provided by MoLSA to RBoLSAs in the area of social and labor affairs is very limited. The downward vertical coordination effort is hampered by the absence of woreda and kebele level institutional set ups and this situation has created an institutional vacuum which fails to link the woreda and kebele level social and labor issues to zonal and regional labor and social offices.

In regions where there is no appropriate organizational set up of RBoLSAs at woreda level, a person assigned by the woreda administration apparently represents the social affairs issues. Besides, the institutional vacuum created amongst RBoLSAs at woreda level, it might delay the transitioning process of the direct support component of PSNP from Agriculture and Natural Resource Bureaus (ANRBs) to RBoLSAs. The institutional capacity assessment study conducted for regional BoLSAs in 2014 has come up with appropriate capacity building interventions to facilitate the transitioning process of the direct support component<sup>16</sup>.

#### **4.3.1.3 Participation of Civil Society**

The PSNP regions have been supporting the target vulnerable groups in collaboration with NGOs working in food insecure woredas. For instance, in Amhara region, Organization for Rehabilitation and Development in Amhara region (ORDA), Food for the Hungry International (FHI) and in Tigray region

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<sup>16</sup>MoLSA, Institutional Capacity Assessment of RBoLSAs for Managing Direct Support Component of PSNP, 2014



Relief Society of Tigray (REST) and USAID (DEFAP) are actively taking part in warehouse management and food distribution tasks in the PSNP woredas of the region. The NGOs are also involved in established stakeholders monitoring and evaluation forums.

In the social development efforts, the participation of civil society in the productive safety net is also manifested through established regional PWD and elderly associations that are taking part in supporting vulnerable groups by organizing themselves under elderly, PWD and professional associations. Professional associations such as women lawyers associations have started showing interest in participating in the joint efforts to promote productive safety net. Labor associations contribute to productive safety net program. Industries give support to vulnerable groups such as containers for small business activities. The civil society participation efforts are manifested by civic associations organized in the form of elderly, PWD, and other professional associations. In general, these associations are working with BoLSAs in an effort to address productive safety net issues.

#### **4.3.1.4 Coordination with Community Based Structures**

Community based institutions such as *Edirs* have a crucial role in the productive safety net interventions to comfort and support communities as a means of robust community-based social protection instrument. Their (Edirs and others) longstanding experiences have contributed a great deal to the newly evolved Community Care Coalition (CCC). Currently, the CCCs have been established in several regions of the country to support vulnerable groups. It has been envisaged to form its institutional presence at various levels of the administrative hierarchy of the regions.

As the name implies, resource mobilization and management is highly dependent on community contributions. However, sector institutions of the respective regional government and non-government institutions working in the regions support the fund raising efforts undertaken by the CCCs. The CCCs have regional coordination committees comprising of BoWCA (Chairperson), BoLSA (V/Chairperson), HABCO, Food Security and Disaster Prevention office, BoFED, BoH, BoE, Police, Women Association, Elderly Association, PWD Association and Youth Association<sup>17</sup>. The CCC formed at kebele level has membership consisting of volunteer individuals, community based associations, religious organizations, government and non-government organizations and civic associations. The CCCs have organizational structure at kebele level that will execute its mandates.

CCCs have been formed and become functional in many kebeles of Amhara and Tigray regions. Other regions and cities have already introduced the CCC to their communities and require scaling up activities to reach out the entire kebeles in the years to come.

#### **4.3.1.5 Delivery of Services**

The regional BOLSA, BoANR and BoFED are the main governmental institutions engaged in the delivery of productive safety net services. The safety net services delivered at regional level includes planning, budget preparation, coordination of delivery of cash transfers and grain distribution, monitoring and evaluation. The annual planning activities of the program woredas are compiled and forwarded to the corresponding agencies for approval. Subsequently, the required transfer payment support is forwarded to the

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<sup>17</sup> Implementation Manual of CCC





respective woreda in cash and kind. A project has been piloted to test the involvement of MFIs using mobile cash transfer in cash delivery services to reach target groups timely in Amhara region. Moreover, MFIs and commercial banks have been involved in delivery of pension payments to the elderly in different parts of the country.

#### **4.3.1.6 Financial Arrangement and Sustainability**

The financial resources available from bilateral and multilateral financial arrangements have brought significant changes in dealing with the recurrent droughts in the chronic food insecure woredas of PSNP supported regions. The available financial resources are transferred through “channel one” from MoFEC to the respective regional BoFEC. However, the financial arrangement for productive safety net program is predominantly based on foreign sources, which question the program’s sustainability. The allocated budget to finance the productive safety net interventions is very small. It is usually given to vulnerable groups to cover small basic livelihood related expenses such as medicines. In certain instances, the financial arrangement for supporting productive safety net program is obtained from development partners. For instance, the <sup>18</sup>Social Cash Transfer Pilot Program of Tigray region (implemented for two years, between 2012 and 2014) was financed by UNICEF. Currently, the same program is being piloted in Oromia and SNNP regions.

#### **4.3.1.7 Delivery of Cash Payments**

Safety Net Program aims at delivering cash payments in appropriate, predictable and timely manner. BoFED arranges the deliveries of cash payment for the PSNP woredas. Once beneficiaries’ number and corresponding cash transfer is communicated from BoANR to BoFEC, the amount of cash allocated for the program woredas is directly transferred to the woreda finance offices. The food security desk, woreda office of finance, early warning and response desk, cahiers and distribution experts and Kebele chair and KFSTF have key roles in the payment processing of the Social Assistance Component (SAC)<sup>19</sup>. Finally, the cash payments are made to the target group at the kebele level.

The RBoLSAs are delivering small cash payments to address basic productive safety net supports in their offices. Unlike the PSNP, the payments are not made on regular basis - it is just a onetime cash payment support. For instance, the Benishangul region labor and social affairs office has been delivering a one-time financial support service to vulnerable groups (PWDs and elderly). The cash support ranges between 300 and 400 Birr per household. The office allocates a budget of about 10,000 – 15, 000 Birr annually for this purpose. The support is given to vulnerable groups that require emergency support (education, health, and livelihood). On the contrary, Addis Ababa BoLSA has been paying small amount of money to elderly people on monthly basis through woreda finance office.

### **4.3.2 Focus Area 2 – Employment Generation and Livelihood Promotion**

In view of the Social Protection Policy of the country, the promotion of employment opportunities and improvement in the livelihoods of the community is one of the important strategies aimed at eradicating

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<sup>18</sup>Cash transfers are made to chronically poor households for supplementing household purchasing power and improving acquisition of human capital to invest in schooling, health, and other livelihood supports.

<sup>19</sup> PSNP 4 PIM Page 94



poverty. The focus area calls for the participation of different government and non-government institutions for effective implementation of the strategies designed for the focus area. Specifically, labor and social affairs offices, agriculture offices and micro and small-scale enterprise agencies at different levels are important players to facilitate the focus of the government in this area. The offices are expected to provide technical support, employment related opportunities and services and financial services to the unemployed groups. The offices are also expected to mainstream development interventions that support vulnerable target groups including women, elderly, PWD and PLHIV in their regular activities.

#### **4.3.2.1 Horizontal Coordination**

Employment generation can be categorized into wage and self-employment opportunities. Institutions including BoUDH, business community (working in agriculture, industry, and service sectors), BoANR and Mega projects (railway, hydropower etc.) generate wage-employment opportunities. Non-governmental and private institutions that generate wage-employment opportunities are linked with BoLSAs to recruit employees to engage in public works, agricultural activities and other long-term labor-intensive employment. Regional BoLSAs are expected to further strengthen the horizontal coordination mechanism with the afore-mentioned institutions to facilitate employment generation opportunities. This not only requires institutional capacity building support for BoLSAs but also establishing automated data bank for the unemployed, inspect work place safety of the employees and maintain industrial peace.

A number of crucial factors which include training, credit support, working place, power supply and market proximity spur self-employment opportunities. In conjunction with these factors, there are key sectoral institutions that must be engaged in horizontal coordination activities to lead the self-employment generation endeavor to fruition. The lead institutions include <sup>20</sup>REMSEDA, TVET, MFI and municipality (sub-city and/or kebele administration). There are other stakeholder institutions also working with the lead institutions comprising of BoLSA and BoWCA. In practice, there are horizontal working relationships between and/or among these institutions almost in all regions of the country. For instance, in Benishangul and Amhara regions REMSEDA signs MoU with different offices including TVET, BoANR and BoLSA to coordinate inter-sectoral working relationships. But, effective horizontal coordination activities are constrained by collateral prerequisites asked by the MFIs for self-employed groups, shortage of power supply etc. The deteriorating quality of trainings given by TVETs and mismatch of demand and supply of trained human resources is also becoming a major issue.

The coordination among REMSEDA, TVET and BoLSA can be manifested through sharing information about the unemployed. BoLSA provides job seekers data to TVET for training and the trained people approach REMSEDA for licensing and administrative support to get credit and working space. Similarly, regional BOLSAs coordinate with BoANR for information exchange to avail required labor for labor-intensive activities. Reportedly, however, the coordination of these institutions is not strong enough and needs attention.

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<sup>20</sup>It is merged with TVET in some region whereas it is still independent agency in other regions. For instance, Amhara and Benishangul regions have restructured the agency and merged with TVET. It is still an independent bureau. However, for this report purpose, the name REMSEDA is being used across.



The off-farm activities in PSNP 4 clearly indicate the responsibility of REMSEDA and thus the agency needs to coordinate the activities by developing required capacity. Some regions like Oromia have provided training to the bureau staff who will manage the activities. Enhanced coordination between REMSEDA and BoANR is required for implementation of the off-farm activities of PSNP-4. Failure to define their individual and collective responsibilities have affected the coordination adversely.

The horizontal coordination of institutions to generate employment opportunities for PLWD is very weak. Various offices are unable to provide required support to the groups in a coordinated manner. Each office tries to work independently. There have been instances when disabled people have been marginalized and treated unfairly. The PLWD association feels that the disabled people should have been provided with vocational counseling before job opportunities so that they could compete equally.

#### **4.3.2.2 Vertical Coordination**

The wage-employment public works activities in urban and rural areas of the regions are vertically linked to federal counterpart institutions. The vertical coordination between BoUD and MoUDH and BoANR and MoANR is evidently strong in the area of technical support which includes policy and program development, planning and monitoring. The vertical coordination between the aforementioned areas has contributed to wage-employment generation and livelihood promotion efforts in both rural and urban areas. This coordination is believed to be further strengthened in the existing PSNP 4 and in the upcoming Urban Productive Safety net Program (UPSNP). Currently, vertical coordination linkages of BoLSA with MoLSA needs strengthening.

The self-employment supporting lead institutions which include REMSEDA and TVET are vertically coordinating various technical works with the respective and concerned federal level institutions - FEMSEDA, Federal TVET agency, Ministry of Tourism and Culture (Tourism Training Institute) and Ministry of Industry (Leather Training Institute, Textile Training Institute) in the area of policy development, technical support and experience sharing. The vertical coordination of regional institutions with that of federal level institutions have not yet gained the required level of technical support engagement. The extent and intensity of vertical coordination between regional and federal institutions have to be reinforced to create conducive environment for self-employment opportunities. The coordination of the regional bureaus with the lower administration tier of the region i.e. zonal and woreda level in general, is good for the respective counterpart offices. They meet regularly and share reports periodically with the regional offices.

#### **4.3.2.3 Participation of Civil Society**

CSOs / NGOs support self-employment generation efforts through arranging revolving fund scheme to engage the unemployed persons including the PWD in income generating activities. The revolving fund schemes are coordinated by involving sector offices of REMSEDA, BoLSA, BoWCA, etc. For instance, a CSO called Halvestas working in Amhara region has supported skill-training program for orphans/youth conducted in Bahir Dar polytechnic college. In Benishangul region, a British council sponsored program supported elderly and PLWD to engage in income generating activities. Some REMSEDAs have established working relations with projects financed by the World Bank on women entrepreneurship.



#### **4.3.2.4 Coordination with Community Based Structures**

Unlike the other community structures, the CCCs have demonstrated a better involvement in identifying the unemployed, recruiting them and creating awareness amongst them to attend trainings, which will help them find and start jobs. However, the CCCs have limited technical and financial capacity to achieve their mandates.

#### **4.3.2.5 Delivery of Services**

Across all regions, it is observed that BOLSA and REMSEDA have participated in linking up the unemployed with the MFIs. They have facilitated access to credit from the MFIs to start new businesses, though the requirement of a collateral as a prerequisite for credit access has become a challenge to start-up businesses. The offices have also established one stop center at woreda/ kebele level, which will ease the process to start new business. The center encompasses experts from MSE, MFI, Tax office, Trade office and TVET though it may not be fully functional and available at all woredas of the regions. The center is expected to mobilize the unemployed for training and subsequent facilitation of credit access as well. It has also the role for creating conducive environment for market linkage.

#### **4.3.2.6 Financial Arrangement and Sustainability**

The financial arrangement for employment generation interventions involves a number of stakeholders. This is because the type of job opportunities created by the different development actors vary. Therefore, the financial arrangement for wage and self-employment generation involves government budget, business community, CSOs and community based institutions. The financial resources obtained from CSOs can be directly allocated by the CSOs to the target schemes or channeled through MFIs. In addition, there is a revolving budget from NGOs and UNICEF for entrepreneurs.

#### **4.3.2.7 Delivery of Cash Payments**

The study found that there is no direct cash payment being provided to the unemployed vulnerable groups specific to this focus area by either the government or the NGOs. The Social Cash Transfer Pilot program of UNICEF had delivered cash payments in Tigray. Currently, it is functional in selected woredas of Oromia and SNNP regions.

### **4.3.3 Focus Area 3 – Promotion of Social Insurance**

The health transformation plan gives emphasis on reducing the health care spending and at the same time addressing the challenge of high out of pocket spending through the introduction of community-based health insurance (CBHI) and social health insurance (SHI) for the informal and formal segment of the society respectively<sup>21</sup>. SHI though, is not yet operational. This is a commitment of the government to address social protection in general and social health insurance in particular. As per the Health Sector Development Program (HSDP), CBHI has been piloted in four regions (Amhara, Oromia, Tigray, and SNNPR). It is planned to be scaled up to other regions. For instance, in Amhara region, it has been piloted in three woredas for the first time and subsequently the scale-up program has reached 72 woredas of the

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<sup>21</sup>The Health Sector Transformation Plan (2015/16-2019/20) , August 2015



region. The program is expected to reach out to 83 woredas at the end of the current fiscal year (2015 - 16).

The Ethiopian Health Insurance Agency (EHIA) has already been established. It has also opened its branch offices at regional level. The agency is making necessary preparations to initiate SHI services and it will become operational this year. The establishment of EHIA is intended to serve the society engaged in formal institutions.

**4.3.3.1 Horizontal Coordination**

At regional level, the CBHI interventions are horizontally coordinated between BoH and USAID financed Health Care Financing (HCF) Project. The CBHI steering committee is presided over by the region's President and BoH is acting as the secretary of the committee. The steering committee members comprise of BoFED and HCF. The ESHI will have horizontal linkages with all concerned institutions to coordinate and reach out to the employees with insurance coverage. The social health insurance classification has to be in place for the PWD considering classifications and ratings of disabilities in view of standards (national and / or international) and acts (enforcing laws) experiences'.

**4.3.3.2 Vertical Coordination**

The pilot intervention of the CBHI has encountered upward and downward vertical coordination challenges. The CBHI is led by the regional administration and this is cascaded up to the woreda level. This CBHI intervention however, should be led and coordinated by the health bureau. In certain instances, the vertical working relationship of Ministry of Health with NGOs such as HCF project at regional level creates confusion as implementation sometimes, does not involve the regional BoH.

**4.3.4 Focus Area 4 – Addressing Social Inequalities of Access to Social Services**

**4.3.4.1 Horizontal Coordination**

The School feeding program is adequately implemented when there is an empowered, accountable institution mandated with program implementation. The institution requires sufficient resources, managerial skills, experienced and knowledgeable staff, communications and information management and transportation facilities at all levels to implement properly. In the country, while BoE is in charge of school feeding, other institutions have a stake in coordinating the school feeding program. The inter-sectoral coordination arrangement for the implementation of the school feeding program involves a committee comprising of bureau of education, health, water, women and children affairs, BOFED, BoA, and WFP. However, the key stakeholders of the program are BoE, BoFED as well as WFP<sup>22</sup>. The main tasks of the aforementioned institutions include the following:-

<b>Bureau of Education</b>	<b>Bureau of Finance and Economic Development</b>	<b>World Food Program</b>
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<sup>22</sup>WFP was participating in school feeding program in some regions (like Amhara, Tigray, Oromia and SNNPR). Currently the support given by WFP has stopped. Other regions are implementing the program with support of NGOs, community and individual contribution, which has issues of institutionalization and sustainability.



**Baseline Report**

<ul style="list-style-type: none"> <li>- Coordination at regional level</li> <li>- Develop allocation plan</li> <li>- Food transportation (Bidding)</li> <li>- Monitoring/Review Meeting</li> <li>- Reporting</li> <li>- Ensure assignment of focal persons</li> <li>- Targeting Woredas/Schools</li> <li>- Fund request</li> <li>- Capacity building</li> <li>- Collect and disburse program funds</li> </ul>	<ul style="list-style-type: none"> <li>- Coordinate and manage the program at regional level</li> <li>- Develop Annual Work Plans with BoE</li> <li>- Facilitate review and coordination meetings</li> <li>- Collect and disburse fund for program implementation and ensure the utilization</li> </ul>	<ul style="list-style-type: none"> <li>- Resource mobilization</li> <li>- Provide food</li> <li>- Transport food from port to Central hubs</li> <li>- Monitoring -Joint Monitoring</li> <li>- Capacity building</li> <li>- Fund management</li> </ul>
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Reportedly, the inter-sectoral linkage is smooth in coordinating the school feeding program. Each sectoral office other than those indicated above are providing inputs to the program with respect to activities included in their mandates. For instance, water bureau addresses water supply issues that arises from the beneficiary schools. Women and Children office is mainly responsible for mobilizing women groups to provide the required support to schools. The agriculture office delivers technical support to schools on farming activities in and around school compounds in coordination with Farmers Training Centers (FTCs). On the other hand, in certain instances, the horizontal coordination activities are weakened by shortage of transportation and logistics facilities. For instance, in Somali Region, it was reported that there is only one vehicle deployed to monitor the whole program. Given the vast geographical area of Somali region, this is found to be inadequate to monitor timely arrival of food, food storage and handling, food distributions, performance of the implementing committees etc.

In most of the regions assessed, there is consensus to mainstream PWD and elderly related development efforts by all sector offices. For instance, in Amhara region mainstreaming of PWDs and elderly development activities is being conducted in 10 sector institutions of the region. Focal persons are assigned in the respective institutions and special emphasis is given to PLHIV, PWDs and the elderly. However, there are challenges in implementing mainstreamed activities due to several reasons including high staff turnover rate and negligence of mainstreaming the cross-cutting issues. There has to be a responsible and capable institution that would steer the mainstreaming efforts. The mainstreaming efforts without clear accountability, transparency measures and redress mechanisms will be a futile exercise. Therefore, appropriate guideline for M&E has to be in place to follow-up the mainstreaming efforts.

There is a WATSAN intervention coordinated in collaboration with the health, education and water bureau. The health bureau is focusing on the hygiene component and the sanitation aspect is being dealt with schools by including the issue in their curriculums. Awareness creation on various health related issues is undertaken with the community at different health stations. There is also a new intervention area called sanitation marketing<sup>23</sup>, which encourages people buy and use sanitary materials and access

<sup>23</sup> Benishangul Bureau of Health





improved latrines in collaboration with UNICEF and Red Cross. The horizontal linkages created in the WATSAN program area with water bureau, schools, health stations and UNICEF is quite encouraging.

In general, the horizontal coordination between sector bureaus is not consistent. For instance, in Benishangul region, the coordination between health and women and children bureaus is weak. There are no regular formal meetings between the two and both are working independent of each other. Whereas, the coordination of health bureau with water bureau is strong in relative terms. There are steering and technical committees working for wash and health programs where the two bureaus are proactively involved. Health partners' forum meets on quarterly basis, whilst the task force meets on monthly basis. The partners' forum and task force have contributed to utilize the available resource rationally and avoid duplication of efforts. The leadership of partners' forum and task force are assigned from government offices and all members accomplish secretarial duty at regular and defined period. There are a few challenges as well though, as not all stakeholders take part proactively in all forums.

#### **4.3.4.2 Vertical Coordination**

The upward and downward vertical coordination linkages within regions and between regions and the federal institutions are reported to be smooth. For example, the education bureaus vertically link with the ministry of education and WFP and cascade vertically downward within the region. The education bureaus send monthly reports on school feeding program to WFP via email. On the other hand, Ministry of Health is supporting the regional bureaus on technical issues. But, in certain instances like in Amhara region, bypassing the bureau and establishing vertical linkages with some NGOs working at regional level was mentioned as a gap.

Some regional PLWD federations have weak vertical coordination with national associations of the physically handicapped. The weak linkages emanated from limited financial capacity that limits the engagement of the regional federation with the federal association. The proclamation no 626 promulgated to establish non-governmental organizations has given the option to establish right-and/or development-based NGOs, which determines the intervention areas and the acquisition of financial resources. These situations have created the establishment of two different federations, which would weaken the unison-concerted efforts of the PWD associations. These would require the attention of BoLSA and MoLSA to resolve using appropriate measures.

#### **4.3.4.3 Participation of Civil Society**

In most cases, there is an ad-hoc relationship between various associations such as Women Association, Youth Association and Teachers Association etc. who come together in several meetings. There is also a working relationship between NGOs such as Save the Children, World Vision and Catholic Relief Services etc. In pastoral areas, the elderly participate and provide oversight to ensure equitable provision of support. The elderly for example, sometimes have questioned the implementation of the program in urban kebeles as vulnerability is more in rural areas.

#### **4.3.4.4 Coordination with Community Based Structures**

Children in Local Development (CHILD), a community-led planning tool jointly initiated by WFP and the Ministry of Education supports the school feeding program. This way, the program supports access to



quality primary education while implementing the CHILD approach to encourage nutrition, health and environmental awareness in schools. In the program beneficiary schools, the Parent Teachers Association (PTA) committee is conducting follow-up to mobilize the community in fulfilling the tasks required by the program from the side of the community members. The key roles accomplished by the community include construction of kitchens, offloading of food, provision of water and firewood, covering cooks' payment, participating in schools activities, maintaining PTA establishment and Safeguarding the food store.

#### **4.3.4.5 Delivery of Services**

Till recently, WFP was providing food as well as cash delivery services under the school feeding program. The cash was provided for training, procurement of dining sets and construction material, etc. The cash budget was allocated based on specific needs of the schools. WFP's school feeding program was providing in-school meals to about 650,000 children in about 1,200 schools<sup>24</sup> that are found in chronically food-insecure woredas. In addition, girl students in pastoral areas who have an attendance rate of >80% also receive a take-home ration of one liter of vegetable oil per month. The objectives of this program are to increase attendance, enrolment, concentration and the participation of girls in education. The daily ration composition of in-school meals per child includes 120 grams of famix, 6 grams of vegetable oil, and 3 grams of salt.

In most of the regions where this assessment was conducted, it was reported that during the second semester of 2014 - 15 academic year, there was reduction in number of students assisted by the school feeding program due to resource shortage and WFP support phasing out. For instance, in Somali region there was no food transfer during that period. In Oromia and Amhara regional states, this situation forced cutting of some beneficiary woredas out of the program.

In Addis Ababa there is a unique scheme related to school feeding known as '*yenat weg*<sup>25</sup>'. It is a government initiative led by the first lady, and the fund is sourced from private institutions, government institutions, NGOs, individuals, etc.

It has been stated in the constitution of FDRE<sup>26</sup> and other UN documents<sup>27</sup> that the state shall, within available means, allocate resources to provide rehabilitation and assistance to physically and mentally disabled, the aged and to children who are left without parents and guardians. In general, expanding the coverage of basic services such as water, education and health is contributing to increased access to basic services for PWD and elderly because of improved proximity to the services. There are still challenges in making the various services accessible to the disabled and elderly. In certain instances, topography barriers and wrong designs and facilities aggravate these situations. Moreover, the prevailing disparity of services between rural and urban areas and inaccessible areas has worsened the accessibility of basic services to the PWDs. The objective reality shows that prevailing horizontal and vertical institutional

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<sup>24</sup> MoLSA, Social Protection Policy, 2014

<sup>25</sup>The scheme has been initiated since 2015 and in this same year about 5,000 students were fed from all sub cities. In 2015/16 the number of beneficiaries increased to 20,000 from all sub cities. Priority is given to schools and students that experience high level of vulnerability and poverty.

<sup>26</sup> The constitution of the Federal Democratic Republic of Ethiopia, August 1995: Article 41, Sub-article 5;

<sup>27</sup> UN convention on the rights of persons with disabilities and optional protocol, 2012 : Article 5, sub-article 3





coordination mechanisms for supporting vulnerable groups are weak as each office is implementing different schemes on its own without coordination and this has contributed to widening the exclusion of the disabled persons and elderly from accessing basic social services.

#### **4.3.4.6 Financial Arrangement and Sustainability**

**Education Sector:** The food transfer budget of the school feeding program is calculated based on number of students enrolled in target schools while the cash budget is allocated based on specific needs and approval of the plans of individual schools. Owing to difficulties of the fragmented resource flows in 2014 - 15 academic year, it was indicated that stable and predictable funding for school feeding is needed to ensure sustained school feeding services over time. On the other hand, sustainability of programs is compromised where there is an erratic flow of resources and when programs are of a short-term nature. Predictable and multi-year funding allows for proper planning for sustainability, investing in capacity development and designing transition strategies.

It is the opinion of the community that in the long-term, strong government involvement complemented by Home Grown School Feeding (HGSF) could address discontinuation of the supply of food resources when WFP or any other partner is phasing out the program operations in the country. HGSF is a program that provides food, which is produced and purchased within a country where the program is implemented. In Oromia, a pilot HGSF program began in 2015 in two woredas - Yabello and Miesso - after gaining extensive experience sharing from SNNPR where pilot HGSF was implemented some time ago. The total number of students in Oromia pilot program is 12,000. Reportedly, in the initial period, WFP was contributing 75% of the total budget in the Home Grown School Feeding Program while the government covered the rest 25%. However, the share of the government is increasing now.

**Health Insurance:** the financial requirements to-date is fulfilled through premium collection from the members. This ensures high level of ownership as well as less risks of financial sustainability. However, expanding the program, particularly the CBHI to areas where there is a relative high level of poverty requires tremendous resources as it could be beyond the financial capacity of the community to contribute. The regional and federal governments need to create a favorable environment for involvement of various stakeholders in the health insurance sector.

**PLWD and elderly:** the establishment modalities of the associations is dependent upon the source of funding of these institutions. The associations that work on right-based development acquire their financial assistance predominantly from local financial sources of about 90%. Conversely, those who work on need-based development can get their financial support (80%) from foreign sources to support their interventions. The domestic income sources of the disabilities association mostly rely on members' contribution and BoLSA/MoLSA assistance. Generally, these associations have limited financial resources and have encountered critical shortages. The associations have to design fund raising strategies that will properly map out sustained sources of finance.

#### **4.3.4.7 Delivery of Cash Payments**

The delivery of cash payments for school feeding programs are made through target schools. The cash payments are mainly designed to encourage female students. On the other hand, BoLSAs, PWD associations and international organizations (UNICEF) support students with disabilities. For instance, the



Amhara regional government has started offering blind students and students with intellectual disability a monthly stipend of 350 Birr/person and 100 Birr/person respectively.

#### **4.3.5 Focus Area 5 – Addressing Abuse and Violence and Providing Legal Protection and Support**

In most of the assessed regions, there is a consensus that the issue of abuse, violence, oppression, discrimination and exclusion are dominant practices mainly affecting women and children. Other vulnerable people such as PWDs, PLHIV and elderly people are also at risk of violent and sexual abuse. Apart from physical abuse and violence, disempowerment also makes people vulnerable to exploitation and denial of their rights. Traditional, cultural and religious practices have significant contribution and influence on the prevalence of abuse and violence. The most common and visible manifestations of abuse are physical, psychosocial, sexual and economic.

Regarding the trend, majority of the KII participants agree that compared to the situation in the past, at present the frequency and intensity of the problem seems to be declining due to the different awareness creation activities that resulted in significant improvement on the consciousness level of the community. However, according to some KII participants in Addis Ababa and Amhara, this is still prevalent mostly due to advancement of globalization and information technology as well as rapid expansion of the construction sector. The emerging threats are observed impacting women, children and youth.

As the number of women daily laborers is increasing, simultaneously the intensity and prevalence of abuse on women is growing in various aspects. There are different payment rates for women on similar works with men and instances of sexual abuse in work places. Pregnant women are not allowed maternity leave in some construction sectors, which is against the labor law. There are also instances of exploitation and abuse of children by involving them in heavy labor activities – a practice that is against the Convention on the Rights of Children.

##### **4.3.5.1 Horizontal Coordination**

The existing inter-sectoral institutional set ups and coordination mechanisms between the concerned government institutions and other stakeholders like UN Agencies, CSOs and Associations are the regional forums and coordination committees dealing with activities to address abuse and violence. Bureau of Women and Children Affairs is playing the lead role while the main stakeholders working together being Police, Justice, Courts, Labor and Social Affairs and Health.

In most of the regions covered by the study, there is regional CCC involving 14 member institutions, chaired by BoWCA while BoLSA and BoH being deputy chair and secretary respectively. There is also Child Right Convention (CRC) committee in the areas reporting violence and abuse of children, which focuses on care and support for children.

The overall institutional coordination is not at the required level as this is not a shared priority. On the other hand, few offices have relatively better coordination amongst themselves closely working together with frequent and regular meetings including joint planning, periodic information exchange and reporting. BoWCA has better coordination with Law Enforcement bodies like Police and BOJ on cases of abuse and



violence. Similarly, BoWCA has good coordination and relations with BOLSA in the case of support and protection to address disability and elderly issues.

During the discussion with the relevant regional institutions, it was understood that focus and attention provided among the key actors especially in the provision of legal and rehabilitation and / or compensation support to individuals who are victims is not the same. In all regions there are concerns on the overall process of investigation, prosecution of cases, ensuring access to legal aid and social support for survivors. Except limited on and off efforts by individual institutions, there are challenges on the side of justice and police in discharging their responsibilities. Corruption is a notable issue. There are delays in the courts. Often cases are pushed to traditional reconciliations that are handled by the elderly, which may not be in favor of the victims. However, this happens only when the need arises.

Concerning the strengths and weaknesses of regional bureaus in inter sectoral coordination, the existing horizontal coordination between few institutions like BoWCA, BoLSA, Police Commission and BoJ are seen as strong. The coordination between the lead institutions of CCCs (BoWCA, BoLSA and BOH) in the area of monitoring and evaluation, information exchange and provision of awareness creation activities with the efforts of some regional CCCs in fund raising and resource mobilization is appreciable. The issues that can explain the weaknesses of inter sectoral coordination include the prevailing tendency of institutional bias among few offices seeing women and children, PWDs and Elderly as responsibilities of individual institutions. Despite the existing enabling legal and policy environments, absence of accountability system is believed to have contributed to the observed weaknesses.

#### **4.3.5.2 Vertical Coordination**

Each regional office has better coordination and working relationship with its own structure at Zonal and Woreda level as well as with federal ministry using mechanisms such as joint planning, quarterly meetings, reporting and through training programmes. But the weaknesses manifested in the horizontal coordination are also reflected in the vertical coordination efforts. This is because addressing violence and abuse require joint interventions of stakeholder institutions which need to coordinate the upward and downward vertical linkages coherently.

#### **4.3.5.3 Participation of Civil Society**

As per the opinions of majority of regional institutions, the participation of civil society organizations is very unpredictable and inconsistent. It increases during events of abuse or violence manifested on women or children. There are CSOs that are active in coordination and supporting service delivery interventions related to vulnerable groups of the society particularly on protection of abuse and violence on women and children. In this regard, UNICEF is one of the key Agencies supporting the efforts of regional institutions by supporting the awareness creation and other relevant interventions in most of the regions. NGOs (like Save the Children) and CCCs including anti HTP committees are also taking part in activities related to protection and support of victims of abuse and violence.

The contributions and supports of Women Lawyers Associations in most of the regions is notable. The School of Law at Bahir Dar University and Finote Hiwot NGO in Amhara region in particular are good examples of addressing issues of abuse and violence and can be adopted to be scaled up in other regional states. In the case of Somali regional state, there are local NGOS like Mother and Child Development



Organization (MCDO), Adventist Development Relief Agency (ADRA) and Ogaden Welfare Development Association (OWDA) who have some good examples to cite.

However, the institutional accountability and transparency of Civil Society Organizations engaged in legal protection and support services is still under question. Some CSOs signed MoUs with the relevant government institutions for joint planning and exchange of information through regular reporting systems. Nevertheless, no framework is on hand that measures the performance of these CSOs in executing their duties and responsibilities.

#### **4.3.5.4 Coordination with Community Based Structures**

In most of the regional states, CBS such as Edirs and CCCs are relatively active in activities like awareness creation and information exchange. Unlike the cases with other regional states, the Clan system and other community network structures in Somali regional state are crucial instruments in the targeting and provision of services for targeted beneficiaries in the areas of abuse and violence on women and children.

#### **4.3.5.5 Delivery of Services**

Every regional sector office has a unit or section with the required human resource that is responsible for handling the issues of women and children. BoWCA has sections dealing with gender mainstreaming, women empowerment and child rights and protection. BoLSA has sections responsible with gender issues, child protection including issues of PLWD and the Elderly. Police has a special unit under the core process of Community Policing and Crime Prevention responsible for monitoring and follow up of cases of victims of abuse and violence.

The one-stop service delivery at Adama Hospital in the case of Oromia BoJ, the special and alternative care and support providing facilities in Addis Ababa coordinated by BoWCA and awareness raising mechanisms by BoJ are good practices to learn from and to scale up in other regions as well. Reportedly, the inter-sectoral linkage is smooth in coordinating the activities in those facilities and there is integrated service delivery with the representation of all concerned institutions.

There are regional offices which have programs aimed at rehabilitating individuals that are victims of various social and economic difficulties. For example, BoWCA of Addis Ababa city has programs in the areas of reunification of children with families, livelihood generation support for adolescent children, community led support program from UNICEF, foster family care and child adoption. Unlike other regions, Bureau of Justice of Addis Ababa City Administration has a mandate to handle petty offences and the actual legal protection and support activities related to cases of GBV, which Ministry of Justice through the Women, Children and Youth Coordination Office follows-up. In addition, BoJ of Addis Ababa City Administration has branch offices in 10 Sub-Cities comprising police stations having special investigation units working to support the investigation and prosecution of cases of GBV and other crimes against vulnerable groups, and ensuring access to legal aid and social support for survivors.

#### **4.3.5.6 Financial Arrangement and Sustainability**

The existing financial arrangement follows the regular governmental system of budget arrangement. The main responsible actor being MoFED/BoFED. UN Agencies are using UNDAF budget and the same arrangement.



## 4.4 Baseline Situation of Key Woreda Level Institutions

This section provides the observations on the institutional arrangement and coordination frameworks of various woreda level offices, which have key role in the implementation of social protection policy. It also provides insights on the five focus areas of the social protection policy.

### 4.4.1 Focus Area 1—Promote Productive Safety Net

#### 4.4.1.1 Horizontal Coordination

The horizontal institutional linkages are cascaded up to woreda level to deliver productive safety net support for the conditional and unconditional components of PSNP in all program regions. The woreda Vice President who is the head of WoANR chairs the Woreda Food Security Task Force (WFSTF). The Food Security Desk of the WoANR provides secretarial services. The committee is the highest body next to the woreda council for making decisions on PSNP. The woreda task force consists of sector offices including Early Warning and Response, Agriculture, Cooperative Promotion, Land Administration, SME, Education, Health, Water, Road Authority, Environmental Protection, WOFED, WOWYC and WOLSA. At kebele level the kebele food security task force (KFSTF) and community food security task forces are the two local level PSNP coordination structures (*MoA, 2010*). The two task forces have the role to coordinate targeting, public works planning, protection and management of public assets.

At woreda level, RBoLSAs representation at woreda level varies from region to region. Amhara region has no woreda offices in the region except some offices working at township level. The Woreda Township Women, Children Labor and Social Affairs office has a horizontal working relationship with government, non-government, and community-based institutions to deliver productive safety net support to vulnerable groups. The office coordinates sponsorship activities to support elderly groups in the township. It is also delivering support on children's safety and care. This particularly focuses on coordination of sponsorship available through the CCC in the form of educational materials and supporting their families to engage in income generating activities.

The office is leading the steering and technical committees that oversee the effectiveness of the social development endeavor of the CCC of the township. The steering committee members comprise of health office and the Mayor's office as members and secretary of the committee respectively. The technical committee has representation from Women and Children's office, Labor and Social Affairs, woreda HABCO and Mayor's office (social affairs). The steering committee of the CCC convenes on monthly basis to review the performance of the CCCs working in the kebeles. There are some issues reported on the CCC functioning mainly due to the leadership, which is the kebele chairperson. The kebele chairperson is overburdened and engaged in numerous other activities which hampers effective involvement in CCC. Moreover, the town command post does not give due regard to the CCC performance and related issues.

#### 4.4.1.2 Vertical Coordination

The woreda institutional set up of the WoANR is well coordinated vertically upward with zonal and regional offices and downward with the kebele administrations to implement the PSNP in the program regions of the country. The absence, misrepresentation, or low capacity of WoLSAs cause difficulties to



effectively run the upward and downward vertical coordination activities. This particularly holds true for regions such as Amhara and Somali regions.

#### **4.4.1.3 Participation of Civil Society**

In general, the participation of NGOs is encouraging as they are involved in PSNP for delivery and grain warehouse management. The effective participation of FHI, USAID, and ORDA (Amhara), REST (Tigray) can be mentioned as a case in point.

#### **4.4.1.4 Delivery of Services**

At woreda level, CSOs are taking part in supporting the government efforts. CSOs are engaged in the distribution of payments (in the form of grains) to the target groups. They participate in the management of grain warehouses, and this can be substantiated by taking the case of Amhara and Tigray regions. In dealing with delivery of services, they are coordinating with the woreda task force.

#### **4.4.1.5 Financial Arrangement and Sustainability**

The financial arrangement of PSNP for indirect and direct support components are channeled from BoFED to WoFED based on the formal request forwarded by BoANR. This particularly holds true for PSNP regions.

#### **4.4.1.6 Delivery of Cash Payments**

Cashiers handle the delivery of cash payments. There is an ongoing pilot (financial inclusion project) in Amhara region which engages MFIs in the delivery of cash payments for PSNP target groups. The MFI mode is being seen as key to meet the predictability and timeliness of delivery of cash payments to PSNP clients,<sup>28</sup> and as the optional mechanism which includes conventional government financial system, Microfinance institutions without mobile cash transfer, Microfinance institutions with mobile cash transfer and Commercial banks for Urban Productive Safety Net Program (UPSNP).

The social cash transfer pilot program implemented in Tigray region, Oromia, and SNNP regions has brought encouraging results and it has introduced mobile cash transfer in collaboration with MFIs.

### **4.4.2 Focus Area 2–Employment Generation and Livelihood Promotion**

#### **4.4.2.1 Horizontal Coordination**

The woreda level coordination of employment and livelihood promotion actors is better in bigger regions than in the emerging regions. For instance, in Amhara region, the WOLSA has linkages with the woreda small and micro enterprises agency to create job opportunities and provide training to unemployed groups. WoLSA supports in identifying and providing information about unemployed people. However, in Benishangul region, the Woreda WOLSA office or desk does not have strong coordination with the woreda small and micro enterprise office. Sometimes, WOLSA Desk tries to support the unemployed in providing training and facilitation for job opportunities (with the help of their regional BOLSA counterparts).

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<sup>28</sup>World Bank, Feasibility Assessment of Proposed Interventions for the Ethiopia Urban Productive Safety Net Project (UPSNP), 2015





As observed, the coordination between WOLSA and WOWCA is weak especially on child protection issues. There are no formal meetings between the two on these issues. They meet only when either of the two seeks information regarding unemployed women and youth and on child labor issues.

In HABP implementing woredas, there are HABP committees (Livelihood Technical Committees) which are composed of HABP implementing stakeholders but the coordination within the committee members is weak. The committee is not meeting regularly and not sharing their updates on their performance. For instance, the cooperative office may not be providing trainings and awareness creation to rural saving and credit associations. Therefore, the saving and credit association may not provide the required credit to the groups as they may see a risk on loan repayment.

Some woredas have various committees to establish strong coordination among sector offices. For instance, Bambasi woreda of Benishangul Gumuz has established the steering and technical committees, which follow up illegal human trafficking and deputy administrators at all level chair the steering committees. The committee participants are responsible to create awareness to mobilize the community engage in stopping illegal migration of their children through illegal brokers.

#### **4.4.2.2 Vertical Coordination**

In general, the coordination among woreda, zone and regional counterpart offices is functioning well. Woreda offices report technically to the zone, and zones report to respective regional offices. They also synchronize their plans with the regional offices' plans. The woreda offices do not have formal vertical coordination with any other sector offices at regional level.

#### **4.4.2.3 Participation of Civil Society**

There are NGOs in Adami Tulu woreda of Oromia which implement the livelihood component of PSNP. Similarly NGOs like HAVEYOCA, UNDP (via DRR), Nature Education Development Program, MCDO and Mercy Corps are also implementing HABP and livelihood activities in Kebribeyah woreda of Somali region. However the coordination among these and other government agencies is found to be weak as there are no regular meetings or sharing among CSOs and government bodies and also there are no accountability mechanisms to monitor the performance of the actors.

#### **4.4.2.4 Delivery of Services**

WoLSA office / Desk provides containers/sheds for the unemployed people interested in small business activities. WoLSA desk collects information of unemployed people from the kebeles and conducts awareness creation activities and provides advisory service to create jobs in agriculture and irrigation fields. The woreda administration may provide some support in other fields as well. For instance, WoLSA Desk of Bambasi woreda of Benishangul region has made efforts to review the employment conditions of employees (recruitment system, job safety, health condition etc.) working in private companies. However, there are a variety of right's issues that cannot be addressed due to limited capacities.

#### **4.4.2.5 Financial Arrangement and Sustainability**

The financial arrangement is channeled from BOFED to WoFED and then to sector offices. However, the woreda office / desk suffers from budget shortage. According to the woreda KIIs, the attention given to





social sector is very less which is reflected in low budget allocation and human resource deployment. This in general affects the performance of the office.

#### **4.4.2.6 Delivery of Cash Payments**

The rural saving and credit associations are providing loans to beneficiaries and have a good experience in loan distribution and cash payment services. There are also UNICEF schemes which transfer cash to beneficiaries and the Social Cash Transfer Program (SCTP) is being implemented in Oromia and SNNPR. The SCTP was piloted in Tigray region and has contributed to the improvement of the livelihood of several households living in abject poverty. It is observed that the scheme is functioning well and can be used as a benchmark to scale up the experiences attained in other regions / woredas. The SCTP is exemplary in its mobile transfer payment modality through the coordination mechanism created among BoLSA, MFI, woreda agent and beneficiaries.

### **4.4.3 Focus Area 3–Promotion of Social Insurance**

#### **4.4.3.1 Horizontal Coordination**

Horizontal coordination of CBHI at woreda level is led by the woreda administration and the woreda level Steering Committee members consist of WoFED, Kebele Administration (treasurer) and health officers (secretary). This is functional almost in the four regions selected for piloting of CBHI. The other regions are expected to start the piloting of CBHI soon. The ESHI plans to establish its branch offices to coordinate the insurance coverage services at woreda level. The PWD associations have to take part in coordination activities to bring insurance coverage issues to the attention of regional policy makers for possible interventions which affect their members.

#### **4.4.3.2 Vertical Coordination**

In the downward vertical linkages, the BoH has the CBHI coordination role spearheaded by the woreda administration, which finally reports the CBHI activities to the upper echelon of the regional administration. The vertical coordination of BoH with zonal and woreda health offices has been accomplished routinely without any concerns.

### **4.4.4 Focus Area 4–Addressing Social Inequalities of Access to Social Services**

#### **4.4.4.1 Horizontal Coordination**

The inter-sectoral coordination arrangement for the implementation of the school feeding program at woreda level involves team work to coordinate the program. The committee members comprise of staff from woreda offices of Education, Health, Water, Women and Children Affairs and Agriculture. Woreda Education office is the main stakeholder at woreda level and responsible for monitoring, reporting and following up of the community resource mobilization, food delivery and auditing.

CBHI scheme management is integrated and works within the woreda administration office. The regional government has provided targeted subsidy for the very poor who cannot afford to pay premiums. The horizontal coordination work is accomplished among CBHI, woreda administration, kebele administration, and health stations. Shortage of medical equipment, medicines, trained human resource in the health sector are challenges that encounter horizontal coordination of CBHI at woreda level and beyond.



#### **4.4.4.2 Delivery of Services**

Health insurance provision is usually demand driven. However, to limit turnout / demand for the service, there is minimum payment required which acts as a control mechanism. As per the insurance agreement, there is a referral system for delivering services. The rural service seekers are referred sequentially from a health center to the district hospital, referral hospital and specialized hospital as and when necessary.

#### **4.4.5 Focus Area 5–Addressing Abuse and Violence and Providing Legal Protection and Support**

In most of the sample Woredas visited by the consultants, WoWCA, WoLSA, WoJ, Police Commission and Courts are the major institutions working in coordination to address cases of abuse and violence on women and children as well as other vulnerable segments of the community including PLWD and the elderly. As is the case at the regional level, the main responsible institution at Woreda level is Women and Children Affairs office having critical objective of empowering women in terms of their economic possessions, respect of their rights and social positioning. Respect of the rights of children is also one of the core objectives.

The main stakeholders working with Women and Children office in this focus area are offices of justice and police. However, there are challenges on the side of justice and police in discharging their responsibilities. Corruption is a notable issue in this case that denies the rights of the victims. There are inordinate delays in the courts. Often cases are pushed to traditional reconciliations that are handled by the elderly, which may not favor the victims.

Although instances of certain HTPs like abduction of girls and FGM/C have reduced, the problem is still there in a different form. Nowadays, there is abduction not by use of force but through influencers such relatives or friends. This is compounded by cultural norms where women still cannot speak loudly against the violence they are encountering. Although there is women and children affairs structure at kebele level, FGM is still widely practiced. This is accentuated by taking children to the residence of close relatives and neighborhoods in adjacent kebeles.

In terms of protection, women and children office is also monitoring the work environment of work places for safety, extra workload and safety of pregnant women. In Adami-tulu woreda of Oromia regional state, there are about 15 private companies that are operational in rural areas. The office is conducting inspection of these companies. However, shortage of staff and transport facilities are limiting the frequency of the inspection work.

##### **4.4.5.1 Participation of Civil Society**

In areas such as Bambasi Woreda of Benishangul-Gumuz regional state, there is a local NGO Good Samaritan engaged in social accountability issues. It supports the community develop capacity to demand for social services. There is a social accountability committee working in demanding community rights to have social services including health, water, reproductive health services for women, PWD and elderly rights and other social issues related to vulnerable groups of the community. The NGO is dealing with issues including abuse and violence inflicted on children, women, PWDs and the elderly. UNICEF is also working on similar issues.



In Bambasi woreda, World Vision-Ethiopia is forming children and women abuse and violence protection committee with 17 members representing from all segments such as justice, women, police, community representatives and labor and social affairs etc. The committee formation is cascaded down to kebele level. It deals with a variety of social issues related to children and women on sex abuse, violence and trafficking. It focuses, both, on prevention and addressing issues through building the required capacity in the community.

In the case of Kebribeyah Woreda of Somali regional state, Mother and Child Development Organization (MCDO) is an active local NGO. It is undertaking integrated interventions and among the eight types of program areas that MCDO is working, child labor exploitation, family reunification, HIV/AIDS and STD, FGM awareness etc. are directly related to provision of support for women and children.

## **4.5 Baseline Situation of Community Based Structures**

This section has incorporated the views of the community, which is collected through focus group discussions (FGD). The community opinion has been discussed as related to the focus areas and the research issues under consideration.

### **4.5.1 Focus Area 1–Promote Productive Safety Net**

In the PSNP regions of the country, the Kebele Food Security Task Force (KFSTF) is the lowest organizational structure that links up the productive safety net development efforts at kebele level. The kebele task force regularly coordinates the safety net program in the kebele in collaboration with sector offices working in the kebele including agriculture, education, and health. Moreover, the public and development wings (women and youth associations, development groups at various levels) do also collaborate with the kebele KFSTF to coordinate the conditional and unconditional target groups.

The CCC is coordinating the promotion of productive safety net services by linking with community-based institutions including Edirs and Ekubs, government and non-government institutions. The kebele chairperson leads the CCC, however, in most cases this person is overloaded with a variety of political and other responsibilities which affects the coordination work.

### **4.5.2 Focus Area 2–Employment Generation and Livelihood Promotion**

A range of government offices are providing support to the vulnerable groups to participate in income generating activities. Among the offices, the woreda administration, WOLSA / Desk, REMSEDA, and Municipalities play significant roles. The FGD participants feel that these offices are not coordinated effectively and efforts for the same are not strategic. One office may give decision without having appropriate consultation with other offices, which creates problems. Business plans fail to consider existing gaps which impact businesses. Generally, the FGD participants claimed that there are still issues related to coordination which require more support from the government agencies.

The CCC at woreda level is interacting with the woreda offices on behalf of the community and facilitates the establishment of elders and PWD associations. It is observed that the structure of CCC is functioning in most woredas / kebeles, though its performance and effectiveness varies from one region to another. They are trying to support the poor with revolving fund schemes and help them run small businesses.



There are NGOs (*Tikuret le Gumuz* from Benishangul, *Fikir Yilikal* from Amhara) which support the elders and PWD associations in establishing their businesses.

On the other hand, the FGD participants felt that HABP has been the major employment generation and livelihood promotion intervention in the Kebeles of the PSNP regions with the exception of pastoral areas. The main stakeholder institutions engaged in HABP include Agriculture, Cooperative Promotion, Micro and Small Enterprise, Women and Children and MFIs. The income generating activities implemented under HABP use revolving fund from Food Security Project and the government as well as the existing MFIs. However, significant number of beneficiaries defaulted in repaying their loans as they mistakenly considered the loan as a grant. It shows that the awareness of the community is still low and indicates this situation as the source of institutional weaknesses in the current coordination effort.

The institutional coordination mechanisms of the PSNP at community level can be applied in similar productive safety net programs. Women are taking active part in the Kebele employment and livelihood promotion activities and it was also indicated that significant number of women benefited from HABP.

#### **4.5.3 Focus Area 3–Promote Social Insurance**

The kebele administration is responsible to collect the insurance premium of CBHI from the households in the kebele. The health extension officers, the CCC and public wings give support to accomplish the required task. This coordination is not only to collect premiums but also to identify the destitute entitled to get insurance premium waivers. Therefore, in this case, the CCC and public wings have key roles to identify these people.

#### **4.5.4 Focus Area 4–Addressing Social Inequalities of Access to Social Services**

At local level, member of communities contribute to the school feeding program. The local contribution is usually in kind, in the form of building canteens and storage rooms. Parents bring firewood needed for cooking and contribute money to cover the wages of cooks. The Ministry of Education devotes staff time to the program. Local authorities are also supporting the effort through building infrastructure and supplying raw materials. The health extension program deals with nutrition program, reproductive health, sanitation, hygiene, and vaccination intervention areas. Public structures including women and development groups play significant roles in implementing health extension program in close collaboration with health extension agents.

The kebele administration, development agent and health extension agents are accountable to the respective institutions working at woreda level.

#### **4.5.5 Focus Area 5–Addressing Abuse and Violence and Providing Legal Protection and Support**

In regions like Somali, the clan system and religious institutions are the main actors having significant influences on the overall administration and development serving as key instruments in terms of coordination among government sector offices. In fact, there are coordination structures between the government and other concerned institutions that involve Women and Children affairs, Police, Justice, Courts, Health and other Civil Society Organizations like Mother and Child Development Organization that



deals with abuse and violence cases and facilitating necessary legal protection and free legal services for the victims.

On Harmful Traditional Practices (HTP) like Female Genital Mutilation, according to the BOWCAs, the trends seem to be decreasing because of coordinated efforts to increase the awareness level of the community, but there are still such practices in many areas. In Oromia, religious and traditional customary local institutions have key role to play along with government institutions and front line subject matter specialists working with the community. Sometimes, it is up to the community to settle minor violence related cases on the spot through CBS like the elders and religious leaders.

Generally, the platform that deals with addressing violence and abuse has not been established either on a strong foundation or totally absent at regional level (in several regions of the country). Thus, the institutional coordination mechanisms cannot be cascaded down to community level effectively. Reportedly, however, justice is relatively in a good realm at kebele community court, but it (the social court) has limited legal regime to try criminal and civil cases. Whenever cases happen to be beyond the authority and legal regime of social court, they are transferred to woreda level justice system.



## Chapter 5: Findings on Limitations / Gaps

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The identified limitations for establishing institutional and coordination frameworks for Social protection systems are presented in the following table by focus areas of the social protection interventions. The gaps have been reviewed in terms of the research issues under consideration at different levels of the administrative hierarchy (Federal, Region, woreda and community levels).

***However, the reader is cautioned that the subsequent section captures, in many instances, verbatim from the preceding sections of the report as these are the triangulated findings of the research done by the consultants. In preparation for the Institutional and Coordination Frameworks for Social Protection in Ethiopia, the consultants shall not only use this information but also follow internationally accepted good practices and base their next deliverable on them amongst others.***



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<b>Federal Level</b>					
<b>Research Issues</b>	<b>Focus area 1</b>	<b>Focus Areas 2</b>	<b>Focus Area 3</b>	<b>Focus area 4</b>	<b>Focus Area 5</b>
Horizontal coordination	<p>The existing coordination between MoANR and MoLSA is strong enough to manage the program.</p> <p>The existing human resource capacity of MoLSA for transitioning the direct support component of the PSNP is limited.</p> <p>EPSESSA has a coordination problem with the other institutions as they consider that the issues come through MOLSA / BOLSA. The sector office gives more attention to MOLSA than EPSESSA. They do not understand or undermine EPSESSA mandate.</p>	<p>There is no systemic coordination; most of the relations amongst the offices are on demand basis or when the need arises</p> <p>There is no guiding manual / MOU for the coordination mechanism</p> <p>The attitude of the CSOs in participating in the employment generation is low – they feel employment generation is the role of government</p>	<p>Coordination among key institutions is not at desired levels since there is a tendency of becoming busy with their respective routine tasks.</p> <p>The communication between CBHI implementers is not consistent and synchronised.</p>	<p>Lack of government owned strategy for school feeding program that defines roles and responsibilities of the different actors</p> <p>Lack of coordination between MoLSA and health service providing institutions regarding rehabilitation centers of the vulnerable groups. There are no coordination mechanisms to facilitate.</p>	<p>The weaknesses of inter sectoral coordination is the prevailing tendency of institutional bias among few offices considering issues of vulnerable segments of the society including Women and children as responsibilities of individual institutions and preference to work independently.</p>





Regional Level					
Research Issues	Focus area 1	Focus Areas 2	Focus Area 3	Focus area 4	Focus Area 5
Horizontal coordination	<p>Mainstreaming efforts of BoLSAs are challenged by high staff turnover rate, and failure to seriously handle the MS effort, and difficult to M&amp;E the activities</p> <p>Limited productive safety net experience in BoLSAs</p> <p>Some RBoLSAs have limited human resource capacity to engage in effective coordination work - the case of BS region, labor and social Affairs has the lowest status and capacity as compared to the other RBoLSAs.</p> <p>Limited horizontal coordination between BoANRS and BoLSA in supporting DSC of PSNP as there is no regular coordination system. There are no guidelines to</p>	<p>Horizontal coordination of self-employment creation efforts (REMSEDA) are constrained by shortage of capital (MFI), working place (space), power supply, low quality training (TVET).</p> <p>Horizontal coordination for creation of wage-employment efforts in urban areas are weakened by absence of proper labor registry system in BoLSAs.</p>	<p>The social health insurance is led by the regional / woreda administration which limits horizontal coordination.</p> <p>The administration offices are busy with the administrative activities and do not focus on technical activities. There is absence of decision to transfer the ownership from administrative body to technical body.</p> <p>Some offices may shun away their respective offices from vertical coordination carried out with NGOs or other institutions. There is no formal framework among the offices.</p>	<p>Lack of proper mainstreaming of social services due to weak horizontal coordination.</p> <p>The regional mainstreaming efforts are not achieved due to attitudinal problem towards social services.</p>	<p>The coordination engagement of stakeholders are limited to mainly BoWCA, BoJ, Police, and BoLSA. Other stakeholders such as women and youth associations are not actively taking part in the coordination effort.</p> <p>In all the regions there are opinions that make dubious the overall process of investigation and prosecution of cases and ensuring access to legal aid and social support for survivors due to problem of corruption - this has weakened the coordination efforts.</p> <p>There are some CSOs who signed MoUs with the relevant government institutions in terms of joint planning, exchange of information through regular reporting systems but there is still no mechanism that makes them accountable for not</p>



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	guide the coordination among these offices.				performing their duties and responsibilities.
Vertical coordination	<p>No strong vertical linkages of BoLSAs with MoLSA. There exists a reporting system from region to federal levels but no formal guidelines on it.</p> <p>In some regions such as Amhara the downward vertical linkage is weakened by the absence of woreda offices</p>	Downward coordination between REMSEDA with other sector office is not as strong. It is on need basis. Each of them works independently	Downward vertical coordination is an issue since there is no formal coordination manual/framework which indicates how the relation should be. In certain instances, MoH shuns away BoH from vertical coordination carried out with NGOs.	Since there is no agreed MOU among the offices, MoH and MoLSA are not properly coordinated to back up the regional mainstreaming efforts.	The weaknesses manifested in the horizontal coordination is also reflected in the vertical coordination efforts. This is because addressing violence and abuse require joint interventions of stakeholder institutions, which need to coordinate the upward and downward vertical linkages coherently to bring about meaningful changes.
Participation of civil society	<p>The participation of civil society in the productive safety net varies from region to region but they are taking part in the PSNP and non-PSNP regions in different capacities.</p> <p>The participation of CSO such as PWD and elderly associations is limited due to financial resources</p>	Proper follow-up mechanism of CSOs activities is limited as meetings are done haphazardly.			The institutional accountability and transparency of Civil Society organizations engaged in legal protection and support services is still under question. There are some CSOs who signed MoUs with the relevant government institutions in terms of joint planning exchange of information through regular reporting systems but there is still no mechanism that makes them accountable for not



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					performing their duties and responsibilities.
CBS	CCCs horizontal coordination problem is aggravated by high political engagement of kebele chairpersons.	Limited technical and financial capacity to accomplish the mandate.			
Delivery of services	The cash delivery system does not properly involve MFIs to reach target groups.	Collateral has become a challenge to get credit access and has negatively affected coordination among stakeholder institutions.			

<b>Woreda Level</b>					
<b>Research Issues</b>	<b>Focus area 1</b>	<b>Focus Areas 2</b>	<b>Focus Area 3</b>	<b>Focus area 4</b>	<b>Focus Area 5</b>
Horizontal coordination	Absence of WoLSA offices in regions like Amhara and Somalia has weakened the productive safety net support efforts.	Effective horizontal coordination among WMSEDA, MFIs, TVETs, Municipality, WLSO is constrained by lack of capital, working space and demand driven skills available in the labor market.	The steering committee of CBHI working at various tier of the administrative hierarchy is presided by the respective administrator. This would weaken the role of the health sector in the CBHI intervention. But, there is exception in the case of Tigray region where the WoH is in charge.	Since there is no formal document to coordinate the implementers of the scheme, there are gaps among the implementers of school feeding schemes.	The platform that deals with addressing violence and abuse either have not been established on strong foundation or totally absent at regional level (in several regions of the country). Thus, the institutional coordination mechanisms cannot be cascaded down to community level effectively.



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Vertical coordination	Upwards and downward vertical coordination efforts has been limited due to absence of WoLSA structure.  Administrative and technical accountabilities of WoLSA are not consistent in different regions. This case can be substantiated by the existing WoLSA structure of BS region as the desk which is accountable and attached to woreda administration office	Absence of woreda labor and social offices is also a limitation that constrains vertical coordination.			
Delivery of services		Limited capital and working space are major constraints of self-employment opportunities.			
Delivery of cash payment	Limited participation of MFIs in delivery of cash payment	The engagement of MFIs and financial institutions is limited in the delivery of cash payment.			

Community Level					
Research Issues	Focus area 1	Focus Areas 2	Focus Area 3	Focus area 4	Focus Area 5



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<p>Horizontal coordination</p>	<p>Weak CCC leadership at kebele level has weakened the horizontal coordination efforts</p> <p>Absence of social workers at kebele to support productive safety net interventions</p>				<p>Justice is relatively in good posture at kebele social court level, but it (the social court) has limited legal regime to exercise criminal and civil cases at this level. Whenever cases happen to be beyond the authority and legal regime of social court, they are transferred to woreda level justice system. However, justice at woreda level is usually delayed and frequently denied due to different factors such as red tape and lack of transparency.</p>
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## Chapter 6: Recommendations to Address Gaps

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The subsequent recommendations are presented to address the identified major limitations summarized in the preceding section of the report. The recommendations given on identified major institutional coordination limitations would be the crucial inputs to propose the social protection institutional coordination frameworks that would follow the baseline report. Therefore, the recommendations given below need to be considered in anticipation of fulfilling the institutional coordination framework gaps.

### 6.1 Federal Level

- A systematic coordination of the social protection system among key stakeholder institutions needs to be in place instead of discharging responsibilities as and when the demand is felt from one or another institution to coordinate efforts. The National Social Protection Platform needs to lead, provide and facilitate protocols, guidance manuals or MoUs to facilitate coordination between institutions. It should also oversee harmonization among the existing coordination forums, platforms and committees. Through the council, institutional bias and strict working boundaries of Ministries and their counterpart bureaus at sub national levels need to be made flexible to facilitate coordination for social protection through well directed and guided vertical coordination mechanisms.
- The institutions need to report regularly to the National Social Protection Platform on the progress made on their respective mandates / commitments related to social protection. The federal and regional platforms should meet every six months and review the performance of each member institutions. Clear terms of reference needs to be developed for the Platform with responsibilities of monitoring participation and coordination of member institutions. The regional platform should report to the federal platform every six months after conducting their own internal reviews. MOLSA should organize bi-annual reviews with the regional BOLSAs and discuss coordination of social protection issues as per the proposed framework (*under development*). This can even be included as an agenda point in the existing BOLSAs semi-annual review meetings, if any.
- Management Information System (MIS) should be established requiring all implementing bodies at different levels to input their respective inputs in the system so that MOLSA and other offices can access the information at one go and use for effective management (including coordination and monitoring) of interventions. Using the data accessed from the MIS, the federal and regional platforms can perform periodic monitoring. As is learnt from experience from India, a guideline should be developed to implement the MIS effectively and to enable flow of information in a secure way.
- The overall monitoring and evaluation system of the coordination framework (*under development*) should have indicators against which the activities will be monitored. Having key indicators will ease the follow up of the implementation of the coordination activities.
- Inter-sectoral coordination between MoANR and MoLSA needs to be strengthened as these two institutions have the major share of leading coordination for social protection. These could be



strengthened through experience sharing platforms and following the mandates likely to be proposed in the institutional coordination framework (*under development*).

- MoLSA needs to provide capacity building support for institutional coordination mechanism efforts to all member institutions and at all levels. This task needs to be carried out separately as a follow up of this recommendation through development of a capacity building strategy owned by the National Social Protection Platform and implementation led by MoLSA.
- Institutions have to recognize the status and responsibilities of EPSESSA. EPSESSA has to work closely with Labor and Social Affairs offices working at various levels. There is an evidence of non-clarity and confusion amongst institutions despite the availability of the executing agency establishment proclamation. EPSESSA in collaboration with MoLSA should provide clarity on its role and mandate for the other institutions. This needs to be facilitated by the Federal Platform.
- The coordination between CBHI stakeholders needs to be consistent and should be facilitated through introduction of a guidance manual on the extent of the reach of the provisions and benefits etc. this needs to be coordinated by the platform in consultation with MoH and other stakeholders.
- There is a need to develop a strategy for school feeding program that specifies roles and responsibilities of stakeholders for effective coordination. This needs to be taken up again by the platform in consultation with MoE, WFP and other institutions concerned.
- MoLSA and MoH need to improve their coordination in delivery of services in rehabilitation centers of vulnerable groups. This should be done through MoUs or joint workplans which need to be reviewed by the platform periodically.

## 6.2 Regional / Woreda Level

- The regional BOLSA chairing the regional council should also follow up the implementation of the coordination framework and its constituent work plans and requirements. BOLSA can include agenda points on coordination during the quarterly meeting with the zones and woredas within their respective regions when they meet to monitor and evaluate the implementation of their mandates.
- Woredas should also include social protection issues as one of the agenda issues in every council meeting. WOLSA or the representative of social affairs at woreda level should present the progress of the social protection activities and reflect on the progress made as per the agreed responsibility of individual actors to its respective council. Woredas should have an established system of continuous engagement and interaction with the kebeles and CCCs and assess, whether they are performing their responsibility as expected. Once the woreda summarizes the findings from the kebeles and CCCs, it should report monthly to the woreda council and regional BOLSA.
- The status of regional labor and social affairs offices in regions like Benishangul and SNNPR has to be upgraded to bureau level and the required number of staff has to be in place. Moreover, BoLSAs need to have a seat in the regional cabinet to raise crucial social protection issues and bring it to the attention of regional political leaders. This is a policy issue which can be advocated for by the National and respective Regional Platforms.
- As a priority, labor and social offices should be established at woreda level of the regional government. This is not only critical for coordination but for delivering on the mandates of MoLSA.





Then, in the long term, social workers need to be deployed at kebele level to spruce up the delivery and coordination efforts.

- Horizontal and vertical coordination efforts especially in remote and inaccessible woredas should be supported by appropriate technology supported interventions like an MIS which is linked to the vertical system to capture efforts and challenges effectively and efficiently.
- The staff turnover is an issue and needs a strategic approach and a combination of effective hiring and retention strategies including appropriate incentive schemes. This issue is plaguing many of the governmental programmes and needs an integrated approach coordinated by the highest level of the Government.
- The mainstreaming efforts of social and economic services should address the prevailing limited access to PWD and the elderly. The mainstreaming efforts were meant to facilitate the horizontal and vertical coordination efforts of stakeholder institutions and therefore should give due regard to PLWD and elderly to improve their access to social and economic services. Although some offices in few regions have introduced the mainstreaming guideline, there is a need to have this available and accessible across the regions and all the offices. The National Platform in collaboration with the Regional Platforms needs to take this up and establish strong accountability systems for this.
- There is an ongoing effort to facilitate horizontal coordination mechanisms of productive safety net program with PWD and the elderly through mainstreaming efforts. However, an effective monitoring and evaluation system needs to be established by BoANRs and BoLSAs to streamline the institutionalization of mainstreaming efforts.
- The process of moving direct support component of PSNP from BoANR to BoLSA needs to consider appropriate and smooth transitioning strategies. This needs to be a part of the M & E system recommended above to oversee progressive transition of responsibilities. . In addition, BOANR should play a larger role in the transition using its long years of experience of implementing PSNP and the Platform at federal level needs to draw up strategies for active hand holding and transfers.
- The involvement of MFIs and other financial institutions in cash payment services is important and therefore they should actively take part in the delivery of cash payment services.
- The horizontal coordination efforts of REMSEDA, TVET, BoLSA, MFIs, and Municipalities can be improved through appropriate interventions such as the provisions of working capital, working space, demand-driven skill trainings and labor registration. The key stakeholders need to create a platform to facilitate horizontal and vertical coordination and monitoring and evaluation to track joint efforts to create self-employment opportunities.
- The steering committee of CBHI working at various tiers of the administrative hierarchy needs to be presided by the respective health office, rather than it being led by the regional and woreda administrators. This would make implementation of CBHI effective and transparent and facilitate horizontal and vertical coordination for monitoring of progress and addressing challenges.
- The education sector needs to provide due attention to special education support. This the MoE and its Bureaus can spearhead through horizontal and vertical coordination efforts along with the stakeholder institutions. This needs to be facilitated and monitored by the regional platforms on social protection.



- The platform that deals with addressing violence and abuse needs to be strengthened with a proper mandate, procedures and tools which are in agreement between all stakeholders.
- The legal system at woreda level can be institutionalized by putting in place a joint stakeholder forum to check, maintain balance and provide support to the justice system with an eye on providing special focus on Focus Area 5 of the NSPP. This would enable ensuring justice at woreda level, which is usually delayed and frequently denied due to different factors such as red tape and lack of transparency.

### **6.3 Community Level**

- To improve the horizontal coordination and weak CCC leadership at kebele level, the leadership position of the CCC should be given to a person (*proposed social worker*) who can take full time responsibility to steer the social protection support work of the CCC.
- In the long term, social workers need to be deployed and trained to coordinate the social protection efforts at community levels. More attention is needed to the training of those who exist in understanding their roles and also how to deliver.
- The coordination mechanism between the social court working at community level and woreda justice office has to be strengthened through empowering the social court system. Coordination with stakeholders and making this possible would make the justice system more accountable and transparent.



# Annexes



**Annex 1: Ethiopia then and now: a decade of progress from 2000 to 2011**

	<b>2000</b>	<b>2011</b>
Percentage of the population:		
Living below the national poverty line	44	27
Living on less than USD 1.25 PPP a day	55	30
Without education	70	50
With electricity	12	23
Piped water	17	34
Percentage of children under 5 years that are stunted	51	39
Percentage of rural women receiving an antenatal checkup	22	37
Life expectancy (years)	52	63
Total fertility rate	6	4

Sources: Ethiopia Demographic and Health Surveys, Household Income and Consumption Expenditure Surveys, World Development Indicators, Canning et al 2014; 2012 MoFED MDG Report



**Annex 2: List of Documents Reviewed**

1. Africa Union Social Protection Policy (AUSPF), 2008
2. Annual reports of regional offices
3. Constitution of the Federal Democratic Republic of Ethiopia, August 1995: Article 41, Sub-article 5;
4. CSA, Ethiopia Demographic and Health Surveys, 2011
5. CSA, Household Income and Consumption Expenditure Surveys
6. Devereux, S. and Sabates-Wheeler, R. (2004), Transformative Social Protection, IDS Working Paper 23
7. Ethiopian Health Insurance Agency, Evaluation of Community-Based Health Insurance Pilot Schemes in Ethiopia: Final Report, May 2015
8. Ethiopian Health Insurance Agency, Scaling-up Strategy of Community-Based Health Insurance in Ethiopia, March 2015
9. FDRE, Executing Agencies establishment Proclamation Number 916/2015
10. Federal Democratic Republic of Ethiopia, Private Organization Employees Pension Proclamation, No. 715/2011.
11. Federal Democratic Republic of Ethiopia, Private Organization Employees Pension (Amendment) Proclamation, No. 908/2015.
12. Federal Democratic Republic of Ethiopia, Social Health Insurance Proclamation, No. 690/2010.
13. GTP I reports from visited regions
14. Implementation Manual of CCC
15. Manuals and guidance notes prepared by different implementing bodies
16. Ministry of Agriculture and Natural Resource, Productive Safety Net Programme 4 Design Document, November 18, 2014
17. Ministry of Agriculture and Natural Resource, Productive Safety Net Programme Phase IV, Programme Implementation Manual, December 2014
18. Ministry of Agriculture and Natural Resource, PSNP 4 working group input papers and enhanced and social assessment and consultation report, 2014
19. Ministry of Agriculture and Rural Development, Household Asset Building, Program Document for 2010-2014, August 2009.
20. Ministry of Education, Education Sector Development Program IV ESDP IV (2010/2011-2014/2015) Program Action Plan /PAP, 2010 Addis Ababa
21. Ministry of Health, HSDP IV annual performance report, 2013/14
22. MoFED, MDG Report, 2012
23. MoH, Health Sector Transformation Plan (2015/16-2019/20), 2015
24. MOLSA, Capacity assessment of MOLSA and BOLSA, 2014
25. MoLSA, Institutional Capacity Assessment of RBOLSA for Managing Direct Support Component of PSNP, 2014



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26. MOLSA, National Social Protection Policy, November 2014
27. MOLSA, National Social Protection Strategy of Ethiopia, November 2015
28. UN convention on the rights of persons with disabilities and optional protocol, 2012: Article 5, sub-article 3
29. USAID, Ethiopia's Community-based Health Insurance: A Step on the Road to Universal Health Coverage, 2014
30. Various studies conducted by the regions offices
31. WFP, Home Grown School Feeding, A Framework to Link School Feeding with Local Agricultural Production, *from WFP website*
32. World Bank, Feasibility Assessment of Proposed Interventions for the Ethiopia Urban Productive Safety Net Project (UPSNP), 2015
33. World Bank, Tools for Institutional, Political, and Social Analysis of Policy Reform, 2007
34. World Bank, Using Electronic Payments in the Productive Safety Net Program (PSNP) 4 and Household Asset Building Program (HABP), 2014
35. World Development Indicators, Canning et al, 2014



**Annex 3: Officials Interviewed / KIIs**

No	Name	Institution	Position	Phone
<b>Amhara</b>				
1	Habtu Sebsibe	BOLSA	Social Issues Follow up and rehabilitation process owner	0918711042
2	Tamene Geremew	BOLSA	Research and Training advocacy Senior Expert	0918779367
3	Nibretu Genetu	BOLSA	Industrial safety and Professional Security Maintenance process owner	0918769882
4	Mohhamed Umer	BOWCA	Expert	0918214504
5	Wale Ademe	BOWCA	Expert	0918701356
6	Mulualem Sharew	BOWCA	Expert	0918021035
7	Milkias Tabor	Technic Vocational and Enterprise Development Bureau	Education and Training Process Owner	0918701008/ 0582262096
8	Wibayehu Feleke	Technic Vocational and Enterprise Development Bureau	Job Opportunity Organization and Awareness Creation Follow Up Expert	0911791422
9	Shibire Jorga	Bureau of Education	Deputy Bureau Head	0930352649
10	Eshetu Alene	Bureau of Justice	Legal Research, Counseling and Training Working Process Regional Prosecutor	0918766205
11	Shegaw Alemu	Bureau of Health	Technical Advisor	
12	Almaz Abera	Bureau of Health	Gender expert	
13	Bayeh Asrat	Bureau of Health	Health Care Financing	
12	Ayalew Abera	Bureau of Agriculture	Head, Food Security core Process	
13	Worku	Bureau of Agriculture	Expert, Food security Core Process	





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No	Name	Institution	Position	Phone
14	Takele Mengistu	Amhara Elderly Association	Chairperson	
15	Yesmaw Lemneh	Amhara Elderly Association	Chairperson, Audit	
16	Teklu Yemanebirhan	BOFED	External Resource Relation and Public Administration Core Process Owner	0918375816
17	Adugna Getahun	BOFED	UN Program Coordinator	0918780366
18	Tilahun Eshete	BOFED	Deputy Head and Treasury Department Head	
19	Getachew	BOFED	PSNP Accountant	
20	Eyasu Sahle	Amhara Region PWD Federation	President	0918761883
<b>Woreta</b>				
21	Gashaw Teshome	Woreda Women, Children, Labor and Social Affairs Office	Women and Children Affairs Process Owner	0918714713
22	Jemal Maru	Woreda Women, Children, Labor and Social Affairs Office	Social Rehabilitation Support Expert	0912062484
23	Awoke Wibante	Woreda Women, Children, Labor and Social Affairs Office	Job Opportunity and Job Assignment Expert	0918711239
24	Kinfe Yohannes	Woreda Women, Children, Labor and Social Affairs Office	Social Problems and Causes Protection Control Expert	0918715222
25	Ambachew Kebede	Woreda Women, Children, Labor and Social Affairs Office	Job Condition Inspector	0918303993
26	Solomon Sertsedingle	CBHI	Coordinator	0918017860



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No	Name	Institution	Position	Phone
27	Yidagnu Gebre	CBHI	Health Officer	
<b>Benishangul Gumuz</b>				
33	Mesfin Bekele	Office of Labor and Social Affairs	Social Welfare Development Service Case Team Leader	
34	Mohammed Ayalew	Office of Labor and Social Affairs	Social Protection Expert	0917093856
35	Masresha Tadesse	Office of Labor and Social Affairs	Planning Expert	0910849554
36	Abdulatif Mohammed	Office of Labor and Social Affairs	Community Care and Support Expert	0935294454
37	Amsalu Tadesse	Office of Labor and Social Affairs	Job Safety Expert	
38	Dubale Zegeye	BOWCA	Public Relation Core Process Owner	0917858599
39	Temesgen Desalegn	Bureau of Urban Development	Bureau Head	
40	Sani Yesuf	BoE	Special Need Education Expert	0918145385
41	Tewodros Abera	BOE	Planning Expert	0928585662
42	Alemu Yadessa	BOJ	Deputy Bureau Head	0913597131
43	Alemayehu Nigatu	Elderly Association	V/chairman, elderly association and manager of elderly development project	
44	Befekadu W/meskel	Elderly Association	Officer, Elderly development project	
45	Shequer Geta	PWD Association	coordinator, PWDs development project	
46	Mohammed Ajezul	PWD Association	V/chairman of PWDs Association Board	
47	Asfaw Mekonnen	Manager, PWDs development project		



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No	Name	Institution	Position	Phone
48	Shiferaw Chalimo	BOFED	Bureau Head	
49	Akasha Elamauba	BOFED	Planning	0913481778
50	Solomon Negash	Food Security, Population Resettlement, Disaster Prevention and Preparedness Office	Early Warning and Response Work Process Owner	0911816873
51	Sentayehu Abebe	Bureau of Technical and Vocational and Micro Enterprise Development	Small and Micro Enterprise Marketing Core Process Owner	0911060719
52	Demelash Mitiku	Bureau of Technical and Vocational and Micro Enterprise Development	Capacity Building and Best Practice Core Process Owner	0912038145
53	Solomon Negash	Food Security	Head, early warning core process	
54	Asreshagn Abdu	Food Security	Head, food security and settlement core process	
55	Beyene Shenkute-	Food Security	Agriculture Expert	
56	Endale Kebede	Food Security	Social expert	
	Usman Negsy	Food Security	Agricultural income generating activities	
<b>Bambasi Woreda</b>				
57	Mulatu Gari	Labor and Social Affair Desk	Social Safety Development Service Coordinator	0917172174
58	Abate Mekuriaw	Labor and Social Affair Desk	Job Engagement Industrial linkage Coordinator	0922227909
59	Almamu Abdulkerim	Labor and Social Affair Desk	Project Planning Expert	
59	Siraj Ibrahim	Labor and Social Affair Desk	Job engagement and Human Resource Follow up expert	



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No	Name	Institution	Position	Phone
60	Selhadin Merkeni	Labor and Social Affair Desk	Lawyer	
<b>Addis Ababa</b>				
61	Yirgalem Eshetu	BOFED	Policy study and population affairs core process owner	0911009834
62	Getachew Biratu	BOFED	NGOs Project Monitoring and Evaluation Core Process Owner	0911458995
63	Abeba Zewide	BOE	Cross Cutting Issues Acting Process Owner and HIV/ AIDS Protection and Control Focal Person	0911462383
64	Aschalew	BOE	Special Needs Focal Person	
65	Asamene Gerawork	REMSEDA	Deputy Bureau Head	0911078034
66	Alemu Eshete	REMSEDA	Enterprises Organization Expert	0913561757
67	Agena Alanibo	REMSEDA	Construction Sector Work Linkage Expert	0923140476
68	Girma Tesfaye	REMSEDA	Job Creation and Enterprise Organization Core Process Owner	
<b>FEDERAL</b>				
69	Ayalew Duressa	Public Social Security Agency	Advisor to Director General and SP Platform member	0911770888
70	Habtamu Bishaw	Urban Employment Creation and Food Security Committee	Member	0943882542
71	Girma Beyene	Urban Employment Creation and Food Security Committee	Committee Deputy Head	0911740549



**Annex 4: Conceptual Framework: Tools for Institutional Framework Analysis**

Tools		Federal	Regional	Woreda
Country Analysis	<p>social</p> <p>It gives particular attention to :</p> <ul style="list-style-type: none"> <li>• how local institutions and political systems affect policy making and implementation, and how they include or exclude the poor</li> <li>• the opportunities and constraints to the country’s development that emerge from the current country social context</li> </ul>	✓		
Stakeholder Analysis	<p>These matrices can be used to plot two or more of the following variables:</p> <ul style="list-style-type: none"> <li>• the degree to which the policy reform will impact stakeholders</li> <li>• the level of interest in a specific policy reform</li> <li>• the level of importance attached to satisfying the needs and interests of each stakeholder</li> <li>• the level of influence that the stakeholder has to facilitate or impede policy design and implementation</li> <li>• the level of resources that stakeholders possess and are able to bring to bear in the policy process.</li> </ul>	✓	✓	
Network analysis	<p>Network analysis is a tool that helps analysts to think strategically about the strength and nature of institutional connections in the political landscape. It is a visual method of mapping that “measures” the relationships and interaction between a set of actors/entities (people, groups, organizations) in a community sector, industry and so on. It focuses on the structure of relationships rather than on their attributes. Network analysis can be used for</p> <ul style="list-style-type: none"> <li>• understanding organizational structure and functioning of systems</li> <li>• understanding organizational behavior, inter-organizational relations, social support, and the flow of information/knowledge/resources</li> </ul>	✓	✓	



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Tools		Federal	Regional	Woreda
	<ul style="list-style-type: none"> <li>• understanding potential impacts of policy changes or implementation on relationships between a set of actors.</li> </ul>			
Force-field analysis	Force-field analysis is an illustrative method that presents an overview of key stakeholders' support and opposition to particular reforms. It is capable of providing an overview of the pressures for and against change. The method of placing stakeholders on a continuum according to their opinion of the reform provides a quick overview of the political climate surrounding the reform. With the identification of key stakeholders and an assessment of their potential impact on the direction of reform design and implementation.		✓	
Micro-political mapping	Micro-political mapping provides more disaggregated insights into the regional- and mapping woreda-level political landscape and the dynamics that could potentially affect the design or implementation of reform. Micro-political mapping can be used to illustrate concentrations of support for the government by various actors and indicate how certain sectors will react to particular policies. The actors and groups in a micro-political map are disaggregated in order to identify different competing factions within government ministries and departments or other public agencies (such as military institutions, courts, chambers of commerce). Micro-political maps will usually depict two dimensions of degree of support to and power over a given reform process.		✓	
Gender analysis	Most gender analysis tools are primarily designed for planning purposes but also provide an additional set of conceptual tools for generating empirical data and for analyzing the likely or actual differential impact of policy reform on men and women, with a focus on their relative access to and control over resources, their workloads, and on the broader social rules that govern gender roles and relations			✓
Empowerment analysis	<p>If a person or group is empowered, they possess the capacity to make effective choices.</p> <p>Empowerment analysis examines the extent to which policy change will increase or decrease</p>			✓



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Tools		Federal	Regional	Woreda
	<p>individual or group capacity for making effective choices. This analysis involves examining the dynamic relationship between agency and opportunity structure. Agency is defined as an actor's ability to make meaningful choices, that is, the actor is able to envisage and purposively choose options. Agency is built up by the assets that individuals or groups possess. People can have material assets (such as financial and productive capital) and nonmaterial assets (such as skills, knowledge, social networks and the psychological capacity to aspire and imagine change).The opportunity structure is the context in which people live and make choices. It is made up of the institutions (both formal and informal) that govern people's behavior and influence the success or failure of the choices that they make.</p>			

*Source: Adapted from World Bank, 2007*





**Annex 5: Research Issues and Sources of Information**

S/N	Research issues to be addressed	Possible sources of Information	Methods of data collection
	<b>1. Inter-sectoral coordination</b>		
1.1	Assess existing inter-sectoral coordination of social protection development activities	MoLSA, BoLSA , MoA, BoA, MoH, BoH, MoE, BoE, and corresponding Woreda offices	KII, FGD, Stakeholder matrix, network Analysis
1.2	Assess the inter-sectoral coordination gaps from the point view of NSP policy and Strategy	MoLSA, BoLSA , MoA, BoA, MoH, BoH, MoE, BoE, and corresponding Woreda offices	KII, FGD, Stakeholder matrix, network Analysis
1.3	Assess the causes of the coordination gaps	MoLSA, BoLSA , MoA, BoA, MoH, BoH, MoE, BoE, and corresponding Woreda offices	KII, FGD, Stakeholder matrix, network Analysis
1.4	Discuss the possible solutions to address the gaps and their causes	MoLSA, BoLSA , MoA, BoA, MoH, BoH, MoE, BoE, and corresponding Woreda offices	KII, FGD, Stakeholder matrix, network Analysis
	<b>2. Vertical coordination</b>		
2.1	Assess existing vertical coordination of institutions between and/or among regional and federal institutions	MoLSA, BoLSA , MoA, BoA, MoH, BoH, MoE, BoE, and corresponding Woreda offices	KII, FGD, Stakeholder matrix, network Analysis
2.2	Assess vertical coordination of the institution from the point of view of the NSP Policy and strategy.	MoLSA, BoLSA , MoA, BoA, MoH, BoH, MoE, BoE, and corresponding Woreda offices	KII, FGD, Stakeholder matrix, network Analysis
2.3	Discuss and identify observed institutional coordination gaps in terms of NSP policy and strategy	MoLSA, BoLSA , MoA, BoA, MoH, BoH, MoE, BoE, and corresponding Woreda offices	KII, FGD, Stakeholder matrix, network Analysis
	<b>3. Participation of civil society and beneficiaries</b>		
3.1	Assess existing Institutional coordination mechanisms of civil society with MoLSA and Other Social protection platforms	MoLSA, BoLSA, civil society organizations	KII, FGD,
3.2	Identify the institutional coordination limitations that constrain the participation of civil society	MoLSA, BoLSA, civil society organizations	KII, FGD
3.3	Investigate all possibilities of the institutional coordination frameworks of	MoLSA, BoLSA, civil society organizations	KII, FGD



	the civil society with respect to the NSP policy and strategy		
<b>4. Coordination with community-based structures</b>			
4.1	Assess existing community-based Institutions that are engaged in social protection development endeavor and assess their coordination mechanisms to relevant institutions.	MoLSA, BoLSA, community-based organizations	KII, FGD,
4.2	Identify the causes of institutional coordination gaps of the community-based institutions	MoLSA, BoLSA, community-based organizations	KII, FGD
4.3	Discuss the institutional coordination framework options with respect to the NSP policy and strategy	MoLSA, BoLSA, community-based organizations	KII, FGD,
<b>5. Delivery of Services</b>			
5.1	Assess existing institutional coordination mechanisms of delivery of services to target community in terms of quality, fairness, timeliness, and adequacy	MoFED, MoLSA, BoLSA, financial institutions	KII,
5.2	Identify the institutional coordination framework gaps that hinder service delivery to target community	MoFED, MoLSA, BoLSA, financial institutions	KII
5.3	Investigate the institutional coordination framework mechanisms of service delivery options from the point of view of the NSP policy and strategy	MoFED, MoLSA, BoLSA, financial institutions	KII
<b>6. Financial Arrangement</b>			
6.1	Assess the functionality of existing institutional coordination of financial arrangements of the social development endeavor.	MoFED, MoLSA, BoLSA, financial institutions	KII
6.2	Identify the constraints of the coordination mechanisms of the financial arrangements	MoFED, MoLSA, BoLSA, financial institutions	KII
6.3	Investigate the institutional coordination framework options of financial arrangements taking into account the NSP policy and strategy	MoFED, MoLSA, BoLSA, financial institutions	KII



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7. Delivery of Cash Payments			
7.1	Assess existing modalities and institutional coordination framework of cash payments for target Direct support beneficiaries	MoFED, MoLSA, BoLSA, financial institutions	KII, secondary data
7.2	Evaluate the pros and cons of the existing institutional arrangements of cash payments	MoFED, MoLSA, BoLSA, financial institutions	KII, secondary data
7.3	Discuss viable institutional coordination framework arrangements of cash payment options.	MoFED, MoLSA, BoLSA, financial institutions	KII, secondary data



## **Annex 6: Data Collection Instruments**

### ***Federal/ Regional Level Key Informant Interview (KII) Data Collection Instruments***

#### **Introduction**

The key informant interviews are prepared based on the focus areas indicated in the NSP policy and strategy documents. The research issues are further grouped by focus areas. Therefore, the KII checklists will be listed down under each focus area and got ready for data collection purposes. The focus areas of the social protection issues of the country are disaggregated by stakeholder institutions. Therefore, the data collection instruments need to consider this information to generate the required baseline information from the respective key stakeholder institutions (Table 1).

#### **Focus Areas of NSPP**

- A. *Promotion of Productive safety net***
- B. *Employment Generation and livelihood promotion***
- C. *Promote social insurance***
- D. *Addressing social inequalities of access to social services***
- E. *Addressing abuse and violence and providing legal protection and support***



**Table 1: Responsible Institutions by focus areas (Extracted from the NSP Strategy Document)**

MINISTRY/ AGENCY	FOCUS AREA 1 PRODUCTIVE SAFETY NETS	FOCUS AREA 2 LIVELIHOODS AND EMPLOYMENT	FOCUS AREA 3 SOCIAL INSURANCE	FOCUS AREA 4 ACCESS TO HEALTH, EDUCATION AND OTHER SOCIAL SERVICES	FOCUS AREA 5 ADDRESSING VIOLENCE AND ABUSE + PROVIDING LEGAL PROTECTION AND SUPPORT
MoLSA	a) Unconditional Social Transfers		a) Mandatory Social Insurance (POSSA and POESSA Agencies under MoLSA)	c) Establishment of a Social Work System	All other focus area 5 actions:  in the case of PWDs and elderly people)
	b) Conditional Social Transfers	b) Employment Services and Standards		d) Services for PWDs & elderly people.	
MoWC					All other focus area five actions in the case of women and children
MoANR	c) Public Works (rural areas)	a) Technical Support to On-Farm Livelihoods	b) Index-Linked Weather Insurance		
	d) Scale-up Mechanisms for Disaster Response (as part of rural safety net)				
MoUDH/MoC	c) Public Works (urban areas)				
FEMSEDA		a) Technical Support to Off-Farm Livelihoods			



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		c) Financial Services (linkages to MFIs, support and oversight)			
National Bank of Ethiopia		c) (Registration /regulation of MFIs)	c) (Registration of insurance institutions)		
MoH			d) Community-Based Health Insurance e) social health insurance	b) Health Fee Waivers and Health Insurance Subsidies b) school feeding programs	
MoH and MoE				a) Ensuring Social Transfers build Human Capital Development	
MoJ					c) Protective Legal and Policy Environment



## 1. KII at Federal/Regional level

### 1.1. Focus Area #1 - Promote productive safety net

This KII interview will be organized with the relevant federal sector offices. The offices will include MoLSA/BoLSA, MoANR/BoANR, MoUDH/BoUDH, UN agencies, NGOs, and Elderly and PWD associations engaged in conditional, unconditional, and public works of productive safety net areas.

#### 1.1.1. Inter-sectoral (horizontal) coordination of key sectors

1. What are the existing inter-sectoral institutional set ups and coordination mechanisms (in terms organizational structure and functioning of systems) of addressing conditional and unconditional social transfer of MoLSA?
2. What are the strength and weaknesses of the MoLSA in dealing with the tasks in Q#1?
3. What would you suggest to establish effective inter-sectoral mechanisms (organizational behavior, inter-organizational relations; social support and flow information, knowledge/resources) with respect to the NSP policy and strategy in MoLSA?
4. What are the existing inter-sectoral institutional set ups and coordination mechanisms of public works on MoA and MoC?
5. What are the institutional and coordination challenges of the MoA and MoC in dealing with the public works as major social transfer intervention area both in urban and rural areas?
6. What would you suggest to establish effective inter-sectoral linkages with respect to the NSP policy and strategy considering these ministries, UN, NGOs, and relevant associations?

#### 1.1.2. Vertical coordination

1. Please describe vertical coordination mechanisms that link-up these institutions between regions and federal ministries engaged in productive safety-net.
2. What are the challenges that constrain the vertical coordination mechanisms between regions and federal ministries?
3. What would you suggest to address these challenges and address from the point of view of the NSP policy and strategy?

#### 1.1.3. Participation of civil society; participation of beneficiaries

1. Describe the existing institutional set up and coordination mechanisms to enable the civil society and beneficiaries participate in the productive safety net areas (in terms of accountability, transparency, redress mechanisms, identification of program participants, and correction of data errors)?



2. What are the major institutional gaps that limit the participation of the civil society in the productive safety net areas?
3. Map out the institutional accountability and transparency of the civil society in productive safety net areas with respect to the NSP Policy and Strategy?
4. What would be the possible institutional and coordination set up to strengthen the role of the civil society in taking part in the identification of productive safety net program participants?

#### **1.1.4. Coordination with community based structures**

1. What are the existing community –based structures working in the productive safety net programs?
2. Please indicate the prevailing coordination mechanisms to undertake the productive safety net programs?
3. Identify the institutional and coordination gaps of the community-based structures in the productive safety-net interventions?
4. What would be the institutional and coordination mechanisms of the community-based structures in putting the NSP policy and strategy into practice?

#### **1.1.5. Delivery of services**

1. Identify the prevailing institutional set up and coordination mechanisms of productive safety net service delivery?
2. Discuss the pros and cons of the coordination mechanisms of productive safety net service delivery to target groups?
3. What are the impacts of the existing institutional set up and coordination mechanisms on productive safety net service delivery?
4. Identify the institutional and coordination systems gaps of productive safety net service delivery in terms of quality, fairness, adequacy, and timeliness?
5. What would the institutional and coordination systems of productive safety net service delivery from the point view of NSP policy and strategy?

#### **1.1.6. Financial Arrangement and sustainability**

1. Identify the prevailing institutional and coordination systems of budget allocations for productive safety net support at federal and regional levels?
2. Discuss the strengths and weaknesses of the existing financial arrangement systems of the productive safety net
3. Discuss possible feasible institutional financial arrangement mechanisms taking into account the objective reality of the regions.





### **1.1.7. Delivery of cash payments**

1. What are the existing modalities of cash payments for productive safety net?
2. Identify the delivery of cash payments services by various institutional set ups
3. Please discuss the strengths and weaknesses of the institutional arrangements of delivery of cash payments for the target beneficiaries?
4. What are the major institutional and coordination gaps observed to deliver the cash payments to the target groups
5. Please recommend feasible institutional and coordination arrangements of delivery cash payments to reach out the target groups effectively.

## **1.2. Focus Area #2 - Employment Generation and livelihood promotion**

The concerned Federal/Regional Ministries/Bureaus include MoLSA/BoLSA, MoANR/BoANR, and FEMSEDA/REMSEDA.

### **1.2.1. Inter-sectoral (horizontal) coordination of key sectors**

1. What are the existing inter-sectoral institutional set ups and coordination mechanisms (in terms organizational structure and functioning of systems) for delivering employment services and setting standards?
2. What are the strength and weaknesses of the MoLSA in dealing with the tasks in Q#1?
3. What would you suggest to establish effective inter-sectoral mechanisms (organizational behavior, inter-organizational relations; social support and flow of information, knowledge/resources) with respect to the NSP policy and strategy in MoLSA?
4. What are the existing inter-sectoral institutional set ups and coordination mechanisms of the technical supports on-farm livelihoods?
5. What are the institutional and coordination challenges of MoLSA and MoA in dealing with the technical supports on-farm livelihoods?
6. What would you suggest to establish effective inter-sectoral linkages with respect to the NSP policy and strategy considering the MoLSA, MoA, and FEMSEDA?
7. What are the existing inter-sectoral institutional set ups and coordination mechanisms of the technical supports on off-farm livelihoods?
8. What are the institutional and coordination challenges of FeMSEDA in dealing with the technical supports to off-farm livelihoods?
9. What would you suggest to establish effective inter-sectoral linkages with respect to the NSP policy and strategy considering MoLSA, MoA, and FeMSEDA (UN, NGOs, and relevant associations)?

### **1.2.2. Vertical coordination**



1. Please describe vertical coordination mechanisms of (MoLSA, MoA, and FeMSEDA) that link-up these institutions between regions and federal ministries engaged in employment generation and livelihood promotion.
2. What are the existing challenges that constrain the vertical coordination mechanisms between regions and federal ministries?
3. What would you suggest to address these challenges from the point of view of the NSP policy and strategy?

### **1.2.3. Participation of civil society**

1. Describe the existing institutional set up and coordination mechanisms to enable the civil society participate in employment generation and livelihood promotion areas?
2. What are the major institutional gaps that limit the participation of the civil society in employment generation and livelihood promotion areas?
3. Map out the institutional accountability and transparency mechanisms of the civil society in employment generation and livelihood promotion areas with respect to the NSP Policy and Strategy?
4. What would be the possible institutional and coordination set up to strengthen the role of the civil society in taking part in the identification of employment generation and livelihood promotion program participants?

### **1.2.4. Coordination with community based structures**

1. What are the existing community–based structures working in employment generation and livelihood promotion programs?
2. Please indicate the prevailing coordination mechanisms to undertake employment generation and livelihood promotion programs?
3. Identify the institutional and coordination gaps of the community-based structures in employment generation and livelihood promotion interventions?
4. What would be the institutional and coordination mechanisms of the community-based structures in putting the NSP policy and strategy into practice?

### **1.2.5. Delivery of services**

1. Identify the prevailing institutional set up and coordination mechanisms of social service delivery?
2. Discuss the pros and cons of the coordination mechanisms of employment generation and livelihood promotion service delivery to target groups?
3. What are the impacts of the existing institutional set up and coordination mechanisms on employment generation and livelihood promotion service delivery?
4. Identify the institutional and coordination systems gaps of employment generation and livelihood promotion service delivery in terms of quality, fairness, adequacy, and timeliness?



5. What do you suggest on the institutional and coordination systems of employment generation and livelihood promotion service delivery from the point view of NSP policy and strategy?

### **1.2.6. Financial Arrangement and sustainability**

1. Identify the prevailing institutional and coordination systems of budget allocations for employment generation and livelihood promotion support at federal and regional levels?
2. Discuss the strengths and weaknesses of the existing financial arrangement systems of employment generation and livelihood promotion
3. Discuss possible feasible institutional financial arrangement mechanisms taking into account the objective reality of the regions.

### **1.2.7. Delivery of cash payments**

1. What are the existing modalities of cash payments for employment generation and livelihood promotion?
2. Identify the delivery of cash payments services by various institutional set ups
3. Please discuss the strengths and weaknesses of the institutional arrangements of delivery of cash payments for the target beneficiaries?
4. What are the major institutional and coordination gaps observed to deliver the cash payments to the target groups
5. Please recommend feasible institutional and coordination arrangements of delivery cash payments to reach out the target groups effectively.

## **1.3. Focus Area # 3: Promotion of Social Insurance**

The Federal/Regional Ministries/Bureaus that are major concern of this focus area include MoLSA/BoLSA, MoANR/BoANR, NBE, and MOH/BoH.

### **1.3.1. Inter-sectoral (Horizontal) Coordination of key sectors**

1. What are the existing inter-sectoral institutional set ups and coordination mechanisms (in terms of organizational structure and functionality) to address social insurance among key institutions?
2. What are the strengths and weaknesses of the MoLSA in dealing with the tasks in Q#1?
3. What would you suggest to establish effective inter-sectoral coordination mechanisms (organizational behavior, inter-organizational relations; social support and flow of information, knowledge /resources) in line with the NSPP and NSPS among stakeholder institutions?
4. What are the existing inter-sectoral institutional set ups and coordination mechanisms of Social Insurance interventions on M?
5. What are the institutional and coordination challenges of the key stakeholder institutions in dealing with the social insurance intervention areas both in rural and urban areas?



6. What would you suggest on other actors that are relevant and must be involved in the coordination mechanisms?
7. What would you suggest to put in place effective inter-sectoral linkages in line with the NSPP and NSPS in the context of the mandates of the indicated above institutions?

### **1.3.2. Hierarchical (Vertical) Coordination**

1. What are the existing vertical coordination mechanisms that link-up these institutions between regions and federal ministries engaged in social insurance?
2. What are the challenges that constrain the vertical coordination mechanisms between regions and federal ministries?
3. What would you suggest to address these challenges from the point of view of the NSPP and NSPS?

### **1.3.3. Participation of Civil Society**

1. Describe the existing institutional set up and coordination mechanisms to enable the civil society participate in mandatory or discretionary social insurance interventions?
2. What are the major institutional gaps that limit the participation of the civil society in mandatory or discretionary social insurance interventions?
3. Map out the institutional accountability and transparency of the civil society in mandatory or optional social insurance interventions in line with the NSPP and NSPS?
4. What would be the possible institutional and coordination set up to strengthen the role of the civil society in taking part in the identification of social insurance program participants?

### **1.3.4. Coordination with Community Based structures**

1. What is the existing community based structures (both formal and informal) working in the social (health) insurance programs?
2. Are all community groups represented in the identification of target groups?
3. What mechanism exist that enable people (particularly children and women) to voice themselves and to make their opinions heard regarding access to health insurance services?
4. Please indicate the prevailing coordination mechanisms to undertake the social insurance programs (mandatory/discretionary/ community-based health insurance).
5. Identify the institutional and coordination gaps of the community-based structures in the social insurance interventions.
6. What would be the institutional and coordination mechanisms of the community-based structures in putting the NSP policy and strategy into practice?

### **1.3.5. Delivery of Services**



1. Identify and discuss existing delivery of social insurance services, if any.
2. Identify the prevailing institutional set up and coordination mechanisms of social insurance service delivery?
3. Discuss the pros and cons of the coordination mechanisms of social insurance service delivery to target groups?
4. What are the impacts of the existing institutional set up and coordination mechanisms on social insurance service delivery?
5. Identify the institutional and coordination systems gaps of social insurance service delivery in terms of quality, fairness, adequacy, and timeliness?
6. What would be the institutional and coordination systems of social insurance service delivery from the point view of National Social Protection Policy and strategy?

#### **1.3.6. Financial Arrangement and sustainability**

1. Identify the prevailing institutional and coordination systems of budget allocations for social insurance support at federal and regional levels.
2. What are the financial sources for the various social insurance interventions?
3. Discuss the strengths and weaknesses of the existing financial arrangement systems of the social insurance.
4. Discuss possible feasible institutional financial arrangement mechanisms taking into account the objective reality of the regions.

#### **1.3.7. Delivery of Cash payments**

1. What are the existing modalities of cash payment arrangements for social insurance?
2. Identify the delivery of cash payments services by various institutional set ups
3. Please discuss the strengths and weaknesses of the institutional arrangements of delivery of cash payments for the target beneficiaries?
4. What are the major institutional and coordination gaps observed to deliver the cash payments to the target groups?
5. Please recommend feasible institutional and coordination arrangements of delivery cash payments to reach out the target groups effectively.

### **1.4. Focus Area 4 - Addressing social inequalities of access to social services**

The relevant Federal/Regional Ministries/Bureaus that will be contacted for this focus area include MoLSA/BoLSA, MOH/BoH, and MoE/BoE.

#### **1.4.1. Inter-sectoral (horizontal) coordination of key sectors**



1. What are the existing inter-sectoral institutional set ups and coordination mechanisms (in terms organizational structure and functioning of systems) for provision of basic services (public health, education, water and social security between the implementing Ministries / Bureaus / UN Agencies / CSOs / Associations and CCCs (at appropriate levels)?
2. What are the strengths and weaknesses of the Ministries / Bureaus / Agencies with respect to inter-sectoral coordination mechanism?
3. What are your recommendations to strengthen and / or establish effective inter-sectoral coordination mechanisms (structure, mandate, organizational behavior, inter-organizational relations; information sharing mechanism, resources) with respect to the NSP policy and strategy?
4. What are the existing inter-sectoral institutional set ups and coordination mechanisms of public health provision / access and provision of education / access to clean water and social security with respect to MoH, MoE, MoWIE, MoLSA, MoJ and MoA / Regional Bureaus, UN Agencies, CSOs, Associations, CCCs?
5. What are the challenges which impact the inter sectoral coordination between the above Ministries / Bureaus / Agencies / Associations / NGOs in dealing with basic services especially with focus on reducing inequalities of access in urban and rural areas?

#### **1.4.2. Vertical coordination**

1. Please describe vertical coordination mechanisms that link-up these institutions between woredas, regions and federal ministries and other agencies engaged in promotion and/or provision of public health, education, water services and social security.
2. What are the challenges that constrain the vertical coordination mechanisms?
3. What would you recommend to address these challenges from the point of view of the NSP policy and strategy?

#### **1.4.3. Participation of civil society**

1. Describe the existing institutional set up and coordination mechanisms to enable the civil society participate in the provision of basic services.
2. What are the major institutional gaps that limit the participation of the civil society in the provision of basic services?
3. Please comment on the institutional accountability and transparency of the civil society in provision of basic services with respect to the NSP Policy and Strategy.
4. What would be the possible institutional and coordination set up to strengthen the role of the civil society in taking part to ensure equitable access to basic services to beneficiaries especially those from the marginalized sections of the society?

#### **1.4.4. Coordination with community based structures**



1. What are the existing community –based structures working in the promotion / provision of basic services?
2. Please comment on the prevailing coordination mechanisms and the roles that community based structures play to ensure access to basic services.
3. Please comment on the institutional and coordination gaps of the community-based structures in the provision of basic services.
4. What role can community based structures play in strengthening the institutional and coordination mechanisms to improve equitable access to basic services?

#### **1.4.5. Delivery of services**

1. Identify the prevailing institutional set up and coordination mechanisms of basic service delivery.
2. Discuss the pros and cons of the coordination mechanisms of the delivery of basic service provisions to target groups. How does it impact the quality of services being provided?
3. What are the barriers in providing service delivery to eligible beneficiaries?
4. How are the people with special needs reached?
5. What have been the efforts on capacity enhancement of professionals responsible for service delivery?
6. What has been the impact of the existing institutional set up and coordination mechanisms on provision of basic services?
7. Identify the institutional and coordination systems gaps in basic service provision delivery in terms of quality, fairness, adequacy, and timeliness.
8. What would you recommend to add in the institutional and coordination systems for provision of basic services from the point of view of NSP policy and strategy?

#### **1.4.6. Financial Arrangement and sustainability**

1. Identify the prevailing institutional and coordination systems for budget allocations for provision of basic services at federal and regional levels.
2. Discuss the strengths and weaknesses of the existing financial management systems of the provision of basic services.
3. Discuss possible feasible institutional financial arrangement mechanisms taking into account the objective reality of the regions.

### **1.5. Focus Area 5 - Addressing abuse and violence and providing legal protection and support**

The Federal/Regional Ministries/Bureaus that are major concern of this focus area include MoLSA/BoLSA, MoWCA/BoWCA, and MOJ/BoJ.

#### **1.5.1. Inter-sectoral (horizontal) coordination of key sectors**



1. What are the existing inter-sectoral institutional set ups and coordination mechanisms (in terms organizational structure and functioning of systems) for promotion and protection of human rights especially victims and those vulnerable to violence, oppression, discrimination and exclusion, between the implementing Ministries / Bureaus / UN Agencies / CSOs / Associations and CCCs (at appropriate levels)?
2. Please comment on the provision of legal and rehabilitation and / or compensation support being provided to individuals who are victims with focus on women, children, elderly and people with special needs.
3. What are the strengths and weaknesses of the Ministries / Bureaus / Agencies in inter sectoral coordination?
4. What are your recommendations to strengthen and / or establish effective inter-sectoral coordination mechanisms (structure, mandate, organizational behavior, inter-organizational relations; information sharing mechanism, resources) to address the needs of the vulnerable and victims of abuse and violence, oppression, discrimination, exclusion?
5. What are the existing inter-sectoral institutional set ups and coordination mechanisms of promotion and protection including providing rehabilitation and / or compensation to the affected groups with respect to MoLSA, MoWCYA, MoJ/ Regional Bureaus, UN Agencies, CSOs, Associations, CCCs?
6. What are the challenges which impact the inter-sectoral coordination between the above Ministries / Bureaus / Agencies / Associations / NGOs in dealing with issues related to providing legal protection and support in urban and rural areas?

### **1.5.2. Vertical coordination**

1. Please describe vertical coordination mechanisms that link-up these institutions between woredas, regions and federal ministries and other agencies engaged in promotion and/or provision of protection, legal support, rehabilitation and / or compensation to those vulnerable and / or victims.
2. What are the challenges that constrain the vertical coordination mechanisms?
3. What would you recommend to address these challenges from the point of view of the NSP policy and strategy?

### **1.5.3. Participation of civil society**

1. Describe the existing institutional set up and coordination mechanisms to enable the civil society participate in the promotion and provision of legal protection and support to the affected?
2. What is the role they can play and major institutional gaps that limit the participation of the civil society in the above?





3. Please comment on the institutional accountability and transparency of the civil society in legal protection and support services with respect to the NSP Policy and Strategy.
4. What would be the possible institutional and coordination set up to strengthen the role of the civil society in ensuring legal protection and support to beneficiaries especially those from the marginalized sections of the society?

#### **1.5.4. Coordination with community based structures**

1. What are the existing community –based structures working on the promotion / provision of legal protection and support to the vulnerable and / or victims of abuse and violence especially from HTPs?
2. Please comment on the prevailing coordination mechanisms and the roles that community based structures play to ensure access to legal support and realization of human rights.
3. Please comment on the institutional and coordination gaps of the community-based structures in the above.
4. What role can community based structures play in ensuring the dignity of citizens and the protection of their legal rights?

#### **1.5.5. Delivery of services**

1. Identify the prevailing institutional set up and coordination mechanisms for protecting groups of the society exposed to problems from violence, oppression, discrimination, exclusion, and enabling wronged citizens to receive proper compensation.
2. Discuss the pros and cons of the coordination mechanisms between the stakeholders to ensure equitable access to legal protection and support to target groups.
3. What are the barriers in providing these services to eligible beneficiaries?
4. How are the people with special needs reached?
5. What have been the efforts of the stakeholder institutions to promote abolition of harmful practices and address negative attitudes that violate rights of the vulnerable groups?
6. What have been the specific interventions (by institutions) for promoting services that help fight violence, exclusion, discrimination, and oppression and to protect the victims at different levels?
7. What have been the efforts on capacity enhancement of professionals & institutions responsible for service delivery on providing legal protection and social services to victims of violence, exclusion, discrimination, and oppression?
8. What has been the impact of the existing institutional set up and coordination mechanisms on protection and provision of legal support?
9. Identify the institutional and coordination systems gaps in legal protection and support services in terms of quality, fairness, adequacy, and timeliness.
10. What would you recommend to add in the institutional and coordination systems of human rights protection from the point of view of NSP policy and strategy?



### **1.5.6. Financial Arrangement and sustainability**

1. Identify the prevailing institutional and coordination systems for budget allocations for provision of legal protection and support at federal and regional levels.
2. Discuss the strengths and weaknesses of the existing financial management systems of the various Ministries / Bureaus responsible for protecting human rights.
3. Discuss possible feasible institutional financial arrangement mechanisms taking into account the objective reality of the regions.

### **1.5.7. Delivery of cash payments**

1. What are the existing modalities of cash payments (if any) for compensation / rehabilitation of victims?
2. Identify the delivery of cash payments services by various institutional set ups (if any)
3. Please discuss the strengths and weaknesses of the institutional arrangements of delivery of cash payments for the target beneficiaries?
4. What are the major institutional and coordination gaps observed to deliver cash payments to the target groups?
5. Please recommend feasible institutional and coordination arrangements for delivery of cash payments to the target groups effectively.



### Checklists for Secondary data collection – Federal/ Regional levels

#### General

1. Collect Organizational structure of key relevant Ministries/Bureaus (MoLSA/BoLSA, MoANR/BoANR, MoE/BoE, MoH/BoH) and identify the departments/directorates engaged in social welfare/social protection development activities.
2. Identify list of institutions working in the social protection platform at federal and regional levels. What is the mandate of the social protection platform?
3. Identify social welfare Associations working with MoLSA/BoLSA. Identify the mandates of the associations, functional relationship with MoLSA/BoLSA and map out institutional gaps.
4. Please identify key NGOs and international organizations engaged in social protection activities - Identify by their area of engagements and their functional working relationships with key governmental organizations in the social protection area.
5. Collect relevant study documents conducted on institutional set up of social welfare development activities

#### Financial

Table 1: Budget allocation from the federal government for social protection

Year	Program						Remark
	PSNP			Health Insurance (Birr)	School Feeding (Birr)	Promoting Employment and Livelihoods (Birr)	
	Cash (Birr)	Food					
		Wheat (MT)	Veg. Oil (MT)				
2014							
2013							
2012							
2011							
2010							

Table 2: Budget allocation in the assessed region for social protection

Year	Program	Remark
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## Baseline Report

	PSNP		Health Insurance (Birr)	School Feeding (Birr)	Promoting Employment and Livelihoods (Birr)			
	Cash (Birr)	Food						
		Wheat (MT)						Veg. Oil (MT)
2014								
2013								
2012								
2011								
2010								

### Program participants

Table 3: Number of program participants/beneficiaries countrywide

Year	Program					Remark
	PSNP	Health Insurance	School Feeding	Promoting Employment and Livelihoods		
2014						
2013						
2012						
2011						
2010						

Table 4: Number of program participants/beneficiaries in the assessed regions

Year	Program					Remark
	PSNP	Health Insurance	School Feeding	Promoting Employment and Livelihoods		
2014						
2013						
2012						



2011						
2010						

Table 7: Budget allocation from the Federal Government for Conditional and Unconditional social transfers of MOLSA (Birr)

Year	Type of transfer		Remark
	Conditional	Unconditional	
2014			
2013			
2012			
2011			
2010			

Table 8: Budget allocation for Conditional and Unconditional social transfers of BOLSA in the assessed regions (Birr)

Year	Type of transfer		Remark
	Conditional	Unconditional	
2014			
2013			
2012			
2011			
2010			

Table 9: Number of beneficiaries assisted in accessing gainful employment countrywide

Year	Number of beneficiaries	Remark
2014		
2013		
2012		
2011		



2010		
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Table 10: Number of beneficiaries assisted in accessing gainful employment in the assessed region

Year	Number of beneficiaries	Remark
2014		
2013		
2012		
2011		
2010		



## Woreda Level (KII) Data Collection Instrument

### Focus Area 1- Promote Productive Safety Net (WoLSA, WoANR, WoFED, CCC)

NB: Please give a general overview of the social protection policy and strategy of the country before raising leading questions to the FGD participants.

#### Inter-sectoral (Horizontal) coordination

1. Do you know the existing institutional set-up and coordination mechanism of the productive safety net program in the region in general and in the woreda in particular?
2. What is the institutional horizontal coordination mechanism of the productive safety net program in addressing the target group in the woreda?
3. What are the strengths and weaknesses of the institutions engaged in the productive safety net program?
4. What are the weak links of the institutions in attaining the horizontal coordination mechanism to deliver social services to the target beneficiaries?
5. What are the causes of the weak horizontal coordination mechanism?
6. What should be made to rectify this? What are the possible effective horizontal coordination mechanisms of productive safety net in terms of implementing the NSP policy and strategy at woreda level? What would be the major challenges?

#### Vertical Coordination

1. What is the existing vertical coordination mechanism of institutions engaged in productive safety net with institutions working at zonal and regional levels with that of the woreda level institutions?
2. What are the observed strengths and weaknesses of the vertical coordination of institutions working at zonal and regional levels with that of the woreda level institutions in the productive safety net so far?
3. What are the opportunities to improve the coordination mechanism in addressing the challenges?
4. What would be the possible vertical coordination options that link up with zonal and regional institutions with that of the woreda level in implementing productive safety net within the framework of the NSP policy and strategy?

#### Participation of civil society

1. What are the existing practices of the civil society participation in the productive safety net programs in the woreda?
2. What are the strengths and weaknesses of the participation of the civil society in productive safety net in the woreda?



3. What are the opportunities to deal with the limitations to enable the civil society to fully take part in the productive safety net in the woreda?
4. What would be the possible options to engage the participations of the civil society in productive safety net in an effort to implement the NSP policy and strategy in the woreda?

### **Coordination with Community-based Structures (CBS)**

1. What are the major community-based institutions dealing with productive safety net in the woreda?
2. What are the coordination mechanisms of the community-based institutions in supporting productive safety net in the woreda?
3. What are the observed strengths and weaknesses of the coordination mechanism among community-based institutions in dealing with the productive safety net in the woreda?
4. What are the opportunities to deal with the challenges that limit the coordination of the CBS in the woreda?
5. What are the coordination mechanisms of the community based structures with government and other stakeholder institutions engaged in the productive safety net in the woreda?
6. What would be the possible options to improve the coordination of the CBS within the framework of the NSP policy and strategy in the woreda?

### **Delivery of Services**

1. What are the productive safety net services delivered to the target community in the woreda?
2. Elaborate the delivery of safety net services to the target community in terms of quality, timeliness, adequacy, transparency in the woreda?
3. What are the coordination mechanisms to reach out the target community with the delivery of required productive safety net services in the woreda?
4. What are the strengths and weaknesses of the coordination mechanisms of delivery productive safety net services in the woreda?
5. What are the opportunities available to address the limitations of productive safety net services of the CBS in the woreda?
6. What would be the possible options to improve the coordination mechanisms of delivery of safety net services with respect to the execution of the NSP policy and strategy considering factors like quality, timeliness, adequacy, and transparency in the woreda?

### **Financial Arrangements and Sustainability**

1. Do you know about the amount of budget allocated to the woreda for productive safety net annually?
2. What is the existing institutional coordination financial arrangement put in place to deliver the productive safety net support in the woreda?
3. What are the strengths and weaknesses of the existing institutional financial arrangements to reach out the target community through the productive safety net support package in the woreda?
4. What would be the opportunities available to deal with the challenges in your woreda?





5. What would be the possible institutional financial arrangements to reach out the target community in sustained manner within the framework of the NSP policy and strategy in the woreda?

### **Delivery of Cash payments**

1. How are the institutional coordination arrangement put in place to deliver productive safety net in the form of cash payments in the woreda?
2. What are the institutional strengths and weaknesses of delivery of cash payments to target community in the woreda?
3. What are the opportunities available to resolve the institutional and coordination challenges that constrain the delivery of cash payments in the woreda?
4. Please indicate the possible institutional and coordination options to bring about effective delivery of cash payments in the woreda with respect to the NSP policy and strategy frameworks?

***Note: In general, all the KII leading questions raised under the research issues for Focus Area # 1 will be applicable to Focus Area #2, #3, #4, and #5 considering the salient features of each and every focus area. The KII will be carried out at woreda level taking into account the focus areas and corresponding key stakeholder institutions indicated in the NSP policy and strategy documents.***

### **Focus Area 2- Employment generation and livelihood promotion (WoLSA, WoANR, WeMSEDA)**

- Inter-sectoral (Horizontal) coordination
- Vertical Coordination
- Participation of civil society
- Coordination with community-based structures
- Delivery of Services
- Financial Arrangements and Sustainability
- Delivery of Cash payments

### **Focus Area 3- Promote social insurance (WoLSA, WoANR, WoFED, and WoH)**

- Inter-sectoral (Horizontal) coordination
- Vertical Coordination
- Participation of civil society
- Coordination with community-based structures
- Delivery of Services
- Financial Arrangements and Sustainability
- Delivery of Cash payments

### **Focus Area 4 - Promote social Addressing social inequalities of access to social services (WoLSA, WoH, WoWCA, WoJ and WoE)**



- Inter-sectoral (Horizontal) coordination
- Vertical Coordination
- Participation of civil society
- Coordination with community-based structures
- Delivery of Services
- Financial Arrangements and Sustainability
- Delivery of Cash payments

**Focus Area 5: Addressing Abuse and Violence and providing legal protection and Support**

- Inter-sectoral (Horizontal) coordination
- Vertical Coordination
- Participation of civil society
- Coordination with community-based structures
- Delivery of Services
- Financial Arrangements and Sustainability
- Delivery of Cash payments



## Community FGD Data Collection Instrument

### Introductory Notes

Proper introduction to the study objective, process and team members remains vital to smoothly run the data collection at the field level. The following sample message could be used for this purpose. However, it may be subjected to changes depending on the context.

#### **Box 1: Introduction (Note to the facilitator)**

*[Introduce yourselves by name]*

We are independent researchers employed by IPE Global and Dadimos Development Consultants engaged in undertaking **baseline survey and develop institutional and coordination frameworks for social protection systems in Ethiopia.**

We are here to request your participation in the discussion about the past, present and future institutional set ups and coordination mechanisms on social protection systems. Any information you give us will not affect your benefits from the program or bring liabilities. Finally, we would like to assure you that your identities will at all times be kept confidential and that your answers will not be used other than for the purpose of conducting this assessment. Are you willing to spend some time with us to discuss your experiences? Thank you!

### Notes on FGD

FGD is an important tool in the qualitative data collection. Stakeholders and target beneficiaries will be consulted in groups. The FGD is required to meet the following criteria:

- a) In most cases, FGD comprises of a minimum of 6 and a maximum of 12 members.
- b) Focus group members include, safety net target beneficiaries, elderly, PWDs, representatives from community-based associations.
- c) Focus on capturing direct quotations (people's exact words)



**Woreda Level FGD**

**Profile of FGD Discussants**

Region: \_\_\_\_\_ Zone: \_\_\_\_\_, Woreda: \_\_\_\_\_, Kebele: \_\_\_\_\_  
 Date: \_\_\_\_\_ Time Started \_\_\_\_\_ Time Ended \_\_\_\_\_  
 Facilitator: \_\_\_\_\_, Number of participants: Total \_\_\_\_\_  
 Men \_\_\_\_\_ Women \_\_\_\_\_

No.	Name	Sex	Institution	Responsibility	Email Address/telephone
1					
2					
3					
4					
5					
6					

**Major Discussion points – Focus area # 1: Promote productive safety net**

1. Is there a productive safety net support in your Kebele? Please tell us about that.
2. What are the key institutional entities working on productive safety net in your area?
3. Have you recognized any institutional coordination limitations in the safety net area?
4. Are the target community empowered to communicate to the existing institutions regarding productive safety net? What are the means of communications? Are you doing it regularly?
5. What is the institutional coordination mechanism to represent women to proactively take part in the Kebele productive safety net program?
6. Please discuss the institutional linkages of the Kebele/community with the woreda administration in this regard? What are the limitations?

**Major Discussion points – Focus area # 2: Employment generation and livelihood promotion**

1. What are the employment generation and livelihood promotion areas in your Kebele?



2. What are the key institutions engaged in employment generation and livelihood promotion areas?
3. Have you recognized any institutional weaknesses in coordinating employment generation and livelihood promotion areas?
4. Are the target community empowered to communicate to the existing institutions with respect to employment generation and livelihood promotion areas? What are the means of communications? Are you doing it regularly?
5. What is the institutional coordination mechanism to represent women to proactively take part in the Kebele employment generation and livelihood promotion support program?
6. Please discuss the institutional linkages of the Kebele/community with the woreda administration in this case? What are the limitations?

### **Major Discussion points – Focus area # 3: Promote Social Insurance**

1. Have you heard anything about social insurance (community-based health insurance, social health insurance, weather insurance)?
2. Are there any institutions promoting social insurance in your Kebele?
3. What would be the institutional coordination mechanisms of empowering the community of the Kebele to proactively engage in the social insurance promotion activities?
4. What is the institutional coordination mechanism to represent women to proactively take part in the Kebele in social insurance promotion in your Kebele?
5. Please discuss the institutional linkages of the Kebele/community with the woreda administration in this case? What are the limitations?

### **Major Discussion points – Focus area # 4: Addressing Social inequalities of access to social services**

1. What are the major social services available in your Kebele (education, health, water supply)? Please discuss the available social services in terms of accessibility and adequacy.
2. What are the strengths and weaknesses of the institutional set ups and coordination mechanisms in an effort to address the social inequalities of access to social services in your Kebele?
3. What would be the institutional coordination mechanisms of empowering the community of the Kebele to proactively engage in addressing social inequalities of access to social services?
4. What is the institutional coordination mechanism to represent women to proactively take part in the Kebele in addressing social inequalities of access to social services?
5. Please discuss the institutional linkages of the Kebele/community with the woreda administration in this regard? What are the limitations?

### **Major Discussion points – Focus area # 5: Addressing abuse and violence and providing legal protection and support**

1. How frequently the communities encounter abuse and violence in your Kebele? Who are the major targets of abuse and violence?



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2. What are the key institutions engaged in the providing legal protection and support?
3. What are the strengths and weaknesses of institutional set up and coordination mechanism of the Kebele in addressing abuse and violence through providing legal protection and support?
4. What would be the institutional coordination mechanisms of empowering the community of the Kebele to proactively engage in addressing abuse and violence through providing legal protection and support?
5. What is the institutional set up and coordination mechanism to represent women to proactively take part in addressing abuse and violence through providing legal protection and support in the Kebele?
6. Please discuss the institutional linkages of the Kebele/community with the woreda administration? What are the limitations?



**Annex 7: Afar Region – PSNP Beneficiaries (2013/14)**

S/N	Zone	Number of beneficiaries			% of Direct support
		Public work	Direct Support	Total	
1	Zone 1	82082	33270	115352	28.8
2	Zone 2	105375	38797	147766	26.3
3	Zone 3	30690	15988	46678	34.3
4	Zone 4	56166	36235	92401	39.2
5	Zone 5	46236	23996	70032	34.3
	<b>Total</b>	<b>320549</b>	<b>148286</b>	<b>472229</b>	<b>31.4</b>

Source: DPFSCO, 2014

**Annex 8: Amhara Region – PSNP Beneficiaries (2013/14)**

S/N	Zone	Beneficiaries	PW	DS	Total	%age of DS
1	East Gojam	42,041	34,204	7,391	41,595	17.7
2	North Gondar	161,788	110,648	29,810	140,458	21.2
3	North Shoa	89,567	67,880	16,624	84,504	19.6
4	North Wollo	228,288	163,698	43,377	207,075	20.9
5	Oromiya	124,513	102,144	22,369	124,513	17.9
6	South Gondar	180,332	147,434	32,898	180,332	18.2
7	South Wollo	511,578	403,713	93,981	497,694	18.8
8	Wag Hemra	114,594	88,166	20,552	108,718	18.9
	<b>Total</b>	<b>1,452,701</b>	<b>1,117,887</b>	<b>267,002</b>	<b>1,384,889</b>	<b>19.2</b>

Source: Food Security Core Process, 2014

**Annex 9: Tigray Region-PSNP Beneficiaries in 2013/14**

Zone	Total number Of PW	Total number of DSB	Total PSNP Beneficiaries	% of DSB
Central	228,506	71,053	299,559	23.72
Eastern	298,447	52,892	351,339	15.05
Southern	142,070	21,812	163,882	13.31
N. Western	53126	17267	70,393	24.52
S. Eastern	142,643	30,099	172,742	17
<b>Total</b>	<b>864,792</b>	<b>193,123</b>	<b>1,057,915</b>	<b>18.25</b>

Source: EWFS Main Process, 2014



**Annex 10: SNNPR PSNP Beneficiaries (2013/14)**

<b>Zone/Special Woredas</b>	<b>PW</b>	<b>PDSC</b>	<b>Total</b>	<b>PDSC (%)</b>
Halaba	27474	3762	31236	12.0
Segen	85569	14802	100371	14.7
Gomo Gofa	120440	40765	161205	25.3
Gedeo	23373	11040	34413	32.1
Hadiya	80273	18488	98761	18.7
Maji	3708	1593	5301	30.1
Debub Omo	31691	8473	40164	21.1
Dawuro	14769	3403	18172	18.7
Kembata Tembaro	60002	10171	70173	14.5
Sidama	88990	27139	116129	23.4
Hawassa City	6104	2941	9045	32.5
Siliti	40005	9857	49862	19.8
Gurage	26962	6779	33741	20.1
Wolayita	166304	48346	214650	22.5
<b>Total</b>	<b>775,664</b>	<b>207,559</b>	<b>983,223</b>	<b>21.1</b>

Source: SNNPR, Food Security Main Work Process, 2014