Towards greater effectiveness of civil society organisations (CSOs)

Building capacity of CSOs to manage climate risks – experience from Ethiopia

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Faculty of Life and Environmental Sciences
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60 ECTS thesis submitted in partial fulfillment of a
Magister Scientiarum degree in Environment and Natural Resources

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Útdráttur

Mörg þróunarlönd standa frammi fyrir náttúruvá vegna breytinga á loftslagi og staðbundnum veðurskilyrðum. Í samfélögum þar sem íbúa skortir þekkingu og getu til að takast á við yfirvofandi aðlögun vegna þessara breytinga þarf að auka getu samfélagsins svo það hafi aukið þanþol gagnvart þessari vá. Hér eiga stjórnvöld, bæði á landsvísu og sveitarstjórnir, félagasamtök, rannsóknarsetur, einkafyrirtæki og almenningur sameiginlegra hagsmuna að gæta. Því er æskilegt að samvinna mótist til að ná árangri við að efla færni á öllum stigum í viðbúnaði gegn loftslagsbreytingum. Góð samstaða og skipuleg samvinna milli hagsmunaaðila sem og almenn þátttaka gæti betur tryggt að árangur náist til frambúðar þannig að samfélagið geti staðið af sér áföll. Æskilegt er að fylgjast með skilvirkni þeirra verkefna sem ætlað er að byggja upp þessa færni, meta árangurinn og miðla upplýsingum um stöðuna. Stöðumat getur gagnast styrktaraðilum og gefið samtökum innsýn í hvernig gengur að ná yfirlýstum markmiðum. Skráning gerir grein fyrir hvað hefur áunnist, hvað megi betur fara og útlistar óvænta útkomu.

Þessi ritgerð kannar forsendur þess að félagasamtök og aðrir hagsmunaaðilar geti á árangursríkan hátt eflt færni samfélagsins í heild. Fjallað er um heppileg ferli, eftirfylgni verkefna og samhæfingu milli félagasamtaka, stjórnvalda, fyrirtækja og aðila í þróunarstarfi. Um leið og vikið er að þessum ferlum er hér lögð fram hugmynd að stöðluðu formi árangursskýrslu. Með því að nýta þetta form er auðveldara að hafa yfirsýn og leggja mat á árangur af fimm ára verkefni sem miðar að því að þjálfa samfélagið í að takast á við áhættuþætti vegna loftslagsbreytinga í Norður-Eþíópíu.

Niðurstöðurnar staðfesta mikilvægi samfélagslegrar þátttöku í þróunarverkefnum og að náin samhæfing aðila í þróunarstarfi er nauðsynleg. Í ljós kom almenn óánægja með ómarkvissa skýrslugerð. Ef skýrslurnar miðuðust við hlutlægan vitnisburð um raunverulegan árangur og/eða mistök í einstökum verkefnum gætu þær nýst til markvissara starfs.

Abstract

In order to succeed in reducing the impact of natural hazards on vulnerable communities,

government, civil society, knowledge centres, the private sector and communities must work together to build capacity and resilience of communities to climate change. Strong commitment by and coordination between actors, as well as genuine participation by the community, is key to ensuring gains are sustained and communities become independently resilient. The effectiveness of these efforts to build capacity must be monitored and periodically evaluated in a transparent and accessible format in order to not only justify donor spending but to keep organisations on track to achieving intended goals and to document and easily distribute lessons learnt, potential shortcomings, and unintended consequences.

This thesis explores the requirements of civil society organisations (CSOs) and communities for successful implementation of capacity building projects, the process and requirements of monitoring and evaluation of such projects, and coordination of CSOs and development partners. Through an increased understanding of these issues, and with a particular focus on Ethiopia, one of the objectives of the study was to develop a reporting framework to holistically monitor and evaluate a five-year programme which aims to strengthen capacity of civil society to manage climate risks in northern Ethiopia.

The results further confirmed the importance of community participation, as well as close coordination between development actors, in reaching capacity building goals. A lack of transparent and user-friendly reporting formats which provide objective results-based evidence on programme successes and failures, as well as general dissatisfaction with monitoring and evaluation processes, was identified.

Dedication

To my parents for their continued support.

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Abbreviations and Acronyms

CCA	Climate Change Adaptation
CCRDA	Consortium of Christian Relief and Development Association
CDE	Capacity Development in Environment
CRDA	Christian Relief and Development Association
CIA	Central Intelligence Agency
CMDRR	Community Managed Disaster Risk Reduction
CSA	Central Statistics Agency of Ethiopia
CSO	Civil Society Organisation
DAC	Development Assistance Cooperation
DDAR	Demand Driven Action Research
DMFSS	Department of Disaster Management and Food Security Sector
DRM	Disaster Risk Management
DRR	Disaster Risk Reduction
EC	European Commission
ECA	Economic Commission for Africa
EMR	Ecosystems Management and Restoration
EPA	Environmental Protection Agency
ERCS	Ethiopian Red Cross Society
ETB	Ethiopian *Birr*
FAO	Food and Agriculture Organisation of the United Nations
GDP	Gross Domestic Product
GTP	Growth and Transformation Plan
HoA-REC/N	Horn of Africa Regional Environmental Centre and Network
HR	Human Resources
ICNL	International Centre for Not-for-Profit Law
IFHR	International Federation for Human Rights
IFPRI	International Food Policy Research Institute
IFRC	International Federation of Red Cross and Red Crescent Societies
IPCC	Intergovernmental Panel on Climate Change
M&E	Monitoring and Evaluation
MDGs	Millennium Development Goals

MOARD	Ministry of Agriculture and Rural Development
MODIS	Moderate Resolution Imaging Spectroradiometer
NAC	National Adaptive Capacity
NAPA	National Adaptation Programme of Action
NRC	Netherlands Red Cross
NGO	Non-Governmental Organisation
NDVI	Normalized Difference Vegetation Index
NMA	National Meteorological Agency
OECD	Organisation for Economic Co-operation and Development
OIOS	United Nations Office of Internal Oversight Services
PfR	Partners for Resilience
PSNP	Productive Safety Net Programme
ODI	Overseas Development Institute
RCRCCC	Red Cross Red Crescent Climate Centre
SMART	Specific Measurable Attainable Relevant Time specific
ToR	Terms of Reference
UN	United Nations
UNDG	United Nations Development Group
UNDP	United Nations Development Program
UNFCCC	United Nations Framework Convention on Climate Change
UNFPA	United Nations Population Fund
UNICEF	United Nations Children's Fund
UNOCHA	United Nations Office for the Coordination of Humanitarian Affairs
USAID	United States Agency for International Development
USD	United States Dollar
VCA	Vulnerability Capacity Assessment
WRI	World Resources Institute
WWF	World Wide Fund for Nature

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1 Introduction

1.1 Background

Climate change and human-induced factors have led to the expansion of areas affected by drought and desertification. Flash floods and seasonal river floods have also become more common due to deforestation, land degradation, climate variability, and settlement activity, leading to further environmental degradation. Previously unaffected areas, or those areas which experienced minimal impacts in the past, are now becoming prone to these hazards, against which communities have not yet developed sufficient resilience[1] (UNFCCC, 2007). The intensity and unpredictability of hazards may lead to disaster if combined with vulnerability related to climate change and degradation of ecosystems. Hazards and disasters lead to loss of life, assets and production and thus wipe away gains in poverty reduction, threaten progress towards the Millennium Development Goals (MDGs) and further erode capacity to adapt to climate change (UNDP, 2004).

Ineffective governance and the existence of weak institutions add to the challenge of adapting to climate change (Fisher et al., 2007). In order to succeed in reducing the impact of natural hazards on vulnerable communities, action is needed at every level; government, non-governmental agency, local leadership and the target population itself (CARE, 2009; EC, 2008). Solutions and dialogue of different actors including governments, civil society, knowledge centres and the private sector must be linked and reinforced at every level (global, regional, national and local) (PfR, 2010). It is therefore paramount that communities, governments and development organisations communicate effectively and work together to target capacity building and community resilience to climate change (IFRC, 2008; Admassie et al., 2008).

Disasters reverse progress which took much time, energy and resources to achieve (UNDP, 2004). An essential element of efforts to build resilience against such events is to ensure that gains in organisational and societal capacity are sustained in order to build on prior successes, and for target populations to become independently resilient. However, development partners may lack clear direction and proper coordination harmonization (Lafontaine, 2000; Horton et al., 2003). For this reason, strong commitment by, and coordination between, project and programme[2] partners, is key to progress (Admassie et al., 2008; Blagescu & Young, 2006; OECD, n.d.). The effectiveness of these efforts towards building capacity must also be monitored and periodically evaluated in a transparent and accessible format in order not only to justify donor spending but to

[1] Resilience is defined as people's ability to withstand shocks in their environment and their capacity to secure their livelihoods (IFRC, 2008).

[2] While the two terms may sometimes be used interchangeably, a programme is defined as a group of related projects managed in a coordinated way to obtain benefits not necessarily possible from managing the projects individually. A programme may also include elements of on-going, operational work whereas a project has a definite end-date.

document and easily distribute lessons learnt, potential shortcomings and unintended consequences; monitoring progress and status of prior gains and is an important part of any long-term project or programme (UNDP, 2002).

Monitoring and evaluation (M&E) is a big industry with organisations and experts having developed an extensive body of work encompassing different styles and formats for different types of projects. It is therefore difficult to generalise on M&E as a whole, but reporting formats currently in use by some organisations working on projects to build capacity to manage climate risks[3] in the specific geographical area of study were identified as in need of improvement. Many of the reporting formats reviewed were narrative and did not always provide an adequate framework for capturing and evaluating, in a transparent manner, the information needed to draw conclusions about project or programme status. Reports are also often too complex and lengthy and lie unread with organisations lacking the capacity to absorb the information they contain (Lafontaine, 2000; Horton et al., 2003; Booth, 2001). If reporting formats do not clearly show how success is measured and whether results are being achieved, it is less likely that such projects or programmes will stay on track to achieve their intended goals and thereby successfully build capacity.

In communities already vulnerable to climate change, the increase in intensity and frequency of hazards which climate change forecasts predict has the potential to further erode their capacity to adapt (UNDP, 2004). Therefore, it is all the more important that development projects to build capacity towards climate risks are monitored effectively in order to properly track progress towards achieving desired goals.

1.2 Objectives

The overall aim of this project was to understand how civil society organisations (CSOs)[4] can be (more) effective[5] in building capacity. In approaching such a broad field, it was necessary to look at some of the requirements[6] of CSOs and communities for successful implementation of capacity building projects or programmes and to better understand the process and requirements of monitoring and evaluation (M&E) of projects, and in particular, of developing a reporting format to evaluate capacity of CSOs. Through this understanding, a secondary research objective was to develop a suitable tool in the form of a framework to effectively and holistically monitor and evaluate[7] progress towards achieving project or programme aims, status of prior gains, and overall success of

[3] Climate risk is defined as "the result of interaction of physically defined hazards with the properties of the exposed systems – i.e., their sensitivity or (social) vulnerability. Risk can also be considered as the combination of an event, its likelihood, and its consequences – i.e., risk equals the probability of climate hazard multiplied by a given system's vulnerability" (UNDP, 2005, as cited in OECD, 2006)

[4] The term CSO (see page 23) refers to a wide array of organisations including community groups, non-governmental organisations (NGOs), labour unions, indigenous groups, charitable organisations, faith-based organisations, professional associations, and foundations. They share a presence in public life, expressing the interests and values of their members or others, based on ethical, cultural, political, scientific, religious or philanthropic considerations (World Bank, 2010).

[5] According to UNDP (2002), effectiveness means "the extent to which a development outcome is achieved through interventions. The extent to which a programme or project achieves its planned results (goals, purposes and outputs) and contributes to outcomes."

[6] Naturally, looking at *all* requirements is beyond the scope and constraints of this project.

[7] The framework was designed as a tool for periodic monitoring (e.g., as a quarterly report) rather than as an end of programme evaluation tool, which may take some additional factors into consideration.

implementation of activities carried out. The programme for which the framework was designed, aims to strengthen capacity of civil society in Ethiopia to manage climate risks. The research project also sought to provide understanding of the importance of community participation and ownership in project design and implementation, and coordination of CSOs and development partners between different hierarchical levels and with partner organisations across geographical scales. In addition, the study looks at the relationship between research and practice and how those links can be improved.

1.3 Research Questions

The research is divided into two parts: the qualitative component, based on interviews, and the M&E framework development. Both components of the research aim to contribute towards answering the overall research question and results of the sub questions helped shape the framework development. To elaborate, monitoring and evaluation frameworks are considered, in this research, to be tools which are required by CSOs to effectively keep track of the development of capacity, keep objectives in check, and identify areas for improvement and lessons learnt, and therefore contribute towards effective building of capacity (the subject of the overall question). The research questions were as follows:

Overall Question:

How can CSOs be (more) effective in building capacity?

Sub Questions

1. What are some of the requirements of CSOs and communities for successful implementation of a project or programme?

2. How can project/programme monitoring and evaluation (M&E) be improved and better meet the needs of the project/programme to ensure that capacity building goals are met?

3. How do CSOs coordinate between different hierarchical levels and with partner organisations across geographical scales and what improvements can be made?

4. What is the importance of community participation in project/programme design and implementation?

5. How do organisations keep up with emphasis shifts on issues in the international arena and what is the impact on target communities?

6. What is the state of the relationship between research and practice and how can links be improved?

1.4 Methodology

The development of the framework began by reviewing existing frameworks and framework models (by UNDP and the WRI, among others) as well as literature on capacity building and M&E (including Blagescu and Young, 2006; Gertler et al., 2011; Horton et al., 2003; Jafferjee and Salles, 2007).

Systems theory or systems thinking forms the core of the theoretical framework of the study, particularly in relation to the building of capacity. Systems thinking is an approach of understanding that considers how things influence each other within a whole, as in the different elements that make up an ecosystem (Aronson, 1996).

The field research for this project was conducted over two research trips to Ethiopia during late December 2010 to early January 2011 and May 2011. Seven in-depth semi-structured interviews conducted in the field with professionals from a range of different backgrounds, both from within Ethiopia and abroad, but all with professional experience and/or knowledge in the field of M&E and/or CSOs, form the basis of the results of the primary research. Interview questions based on the research questions were asked in the context of Ethiopia. A large number of informal conversations also took place on which notes were taken, and five interviews on the subject of coordination of institutions on availability of digital cartographic data.

The interview transcripts and field notes were then coded for content analysis. A series of themes were developed from the research questions and each theme was assigned a number. The interview transcripts and field notes were then reviewed and segments of the interviews classified according to the different coding categories.

The implementation of improvements to M&E processes and frameworks was considered one way in which to facilitate greater effectiveness of CSOs in meeting capacity building goals. The framework development process took into consideration the results of the qualitative research.

1.5 Context

The initial stages of the research for this thesis were conducted in the context of a large development programme known as the Partners for Resilience (PfR) Climate-Proof Disaster Risk Reduction programme undertaken by the Netherlands Red Cross (NRC), CARE Netherlands, Cordaid Netherlands, Red Cross/Red Crescent Climate Centre (RCRCCC) and Wetlands International. The five-year PfR programme, which began in early 2011, aims to reduce the impact of natural hazards on the livelihoods of 750,000 – 1,000,000 vulnerable community members in nine developing countries: Ethiopia, Guatemala, India, Indonesia, Kenya, Mali, Nicaragua, Philippines and Uganda (PfR, 2010).

One of the three PfR intervention strategies is to build capacity to manage climate risks at all levels. The leading organisations of the alliance emphasise the need for sustainable gains. M&E of progress, along with determining whether gains have been sustained, are therefore fundamental to the PfR programme. As an intern with the Young Scholars for Humanitarian Work Programme with the RCRCCC[8], the task was to develop a suitable M&E framework for one of the three intervention strategies of the PfR programme for piloting in Ethiopia.

Ethiopia, the Ethiopian Red Cross Society (ERCS) and the PfR programme in Ebinat provide useful examples in broader research on M&E, coordination and other issues

[8] Any views expressed are the author's and not those of the Red Cross or PfR alliance members. The Red Cross does not necessarily endorse the findings of this research.

covered in this study. It must however be stressed that recommendations, interviewee quotes and conclusions do not necessarily refer to these examples (nor were most of the interviews undertaken within this context) but to a broader context within the development sector.

1.6 Overview

This thesis is divided into six chapters, the structure of which follows: Chapter 2 provides an overview of the various fields connected to the research including the study area and climate change, vulnerability and resilience, capacity and capacity building, civil society organisations (CSOs), NGOs in Ethiopia, including the Ethiopian Red Cross Society (ERCS), and monitoring and evaluation (M&E); Chapter 3 details the research process and methodologies; Chapter 4 presents the research and fieldwork results; Chapter 5 provides a discussion of the key findings as well as recommendations; and Chapter 6 consists of concluding remarks.

2 Literature Review

The following section provides background on the study area and an overview of the body of literature on the subjects discussed in this thesis. The chapter is divided into sections covering the following topics: the study area and climate change, climate change projections, vulnerability and resilience, capacity and capacity building, capacity building methods: a systems thinking perspective, role of participatory approach in capacity building, coordination: an essential component of capacity, development actors in Ethiopia and the need for capacity building, CSOs, CSOs and NGOs in Ethiopia, ERCS, ERCS operations, current ERCS projects and programmes, M&E, M&E frameworks, and a summary of observations.

2.1 The Study Area and Climate Change

Africa is a continent already under pressure from climate stresses and is highly vulnerable to the impacts of climate change (UNFCCC, 2007). Ethiopia is a landlocked country located in the Horn of Africa[9] (Figure 1). Ethiopia, ranked 174 out of 187 countries and territories on the Human Development Index (UNDP, 2011), and the region, are particularly vulnerable to the impacts of climate change. Ethiopia has a long history of recurring drought, the likes of which led to a 3.3 percent drop in Gross Domestic Product (GDP) in 2003. Along with Somalia and other parts of East Africa, Ethiopia experienced its worst drought in sixty years in 2011/2012 (UNOCHA, 2011). Widespread famine occurred in 1973-74 and 1984-85 and food security is a continuing problem (UNOCHA, 2009; Meshesha et al., 2010; Stokes et al., 2010).

[9]The Horn of Africa is comprised of Djibouti, Ethiopia, Eritrea and Somalia.

Figure 1: Map of Ethiopia, the Horn of Africa and surrounding countries showing Lake Tana[10] in the north-west (Google Maps, 2012).

The country's geography is characterised by high plateaus with central mountain ranges divided by the Great Rift Valley with arable land making up just 10 percent of the total land area. Approximately 85 percent of Ethiopia's population of approximately 82 million[11] (CSA, 2010) live in rural areas (seven out of ten in the mountainous highlands) and depend on the local natural resource base to meet their basic needs (IFPRI, 2008; World Bank, 2011). Agriculture also accounts for around 45 percent of GDP (IFPRI, 2008; FAO, 2004).

With one of the highest population growth rates in the world, currently at 2.75 percent to 3.2 percent p.a.[12], and a fertility rate of around 5.4, the country's population is expected to reach 94.5 million by 2015 and 130 million by 2030 (CSA, 1999; UNFPA, 2006; World Bank, 2011). This high population growth rate, combined with low economic development, inadequate infrastructure and a lack of institutional capacity also contribute to the country's vulnerability to the adverse impacts of climate change (IFPRI, 2008).

In addition to drought, the country faces other issues including various environmental issues and pressures such as deforestation, overgrazing, soil erosion, desertification, flooding, and water shortages in part due to water-intensive farming, poor management, lack of water infrastructure, institutional capacity and adequate planning, and dependence on animal drawn tillage (Gebregziabher et al., 2005; Stokes et al., 2010). These issues

[10] Ebinat *woreda*, one of the target sites of the PfR programme, lies 122 km from the regional capital of Bahir Dar on the southern shores of Lake Tana.
[11] Up-to-date census information for Ethiopia is difficult to locate. Population estimates for 2011 vary from between 82 million, as quoted by the Central Statistical Agency (CSA) of Ethiopia, and 90 million, as quoted by CIA Factbook.
[12] Population growth rate estimates for Ethiopia vary greatly. Current estimates range from between 2.75 to 3.2 percent p.a.

limit food security and have an impact on the country's economy, which is tightly coupled with rainfall (Stokes et al., 2010).

In terms of rainfall, Ethiopia experiences two to three rainy seasons annually depending on the region. In northern Ethiopia, where the PfR programme target site is located, the *belg* rains, or short rainy season, arrive in April and May. However, due to climate change, the *belg* in parts of northern Ethiopia has largely disappeared (Qadir, 2009). The long *meher* rainy season takes place from June to September.

2.1.1 Ebinat, South Gonder, Northern Ethiopia

Ebinat *woreda*[13] (Figure 2 and 3) is located within South Gonder administrative zone in Amhara *kilil* or regional administration and 122 km from the regional capital of Bahir Dar lying to the west and on the southern shores of Lake Tana. Ebinat is situated at 1,800 to 2,150 metres above sea level and has a population of 259,000 (ERCS, 2008). Wagi Wargaja *kebele* is located 24 km to the north of Ebinat town, the capital of the *woreda* of the same name, and has a population of 1,600 (ERCS, 2008).

Figure 2: Map of location of Ebinat (also known as Ibnat, as marked on the map), the site of the PfR and pilot projects, to the east of Lake Tana (Google Maps, 2012).

[13] A *woreda* is an administrative division of Ethiopia equivalent to a district and managed by a local government. A *woreda* consists of a number of *kebele,* or neighbourhood associations, the smallest unit of local government in Ethiopia. An administrative zone consists of a number of *woreda*; several zones make up a *kilil*, or regional administration.

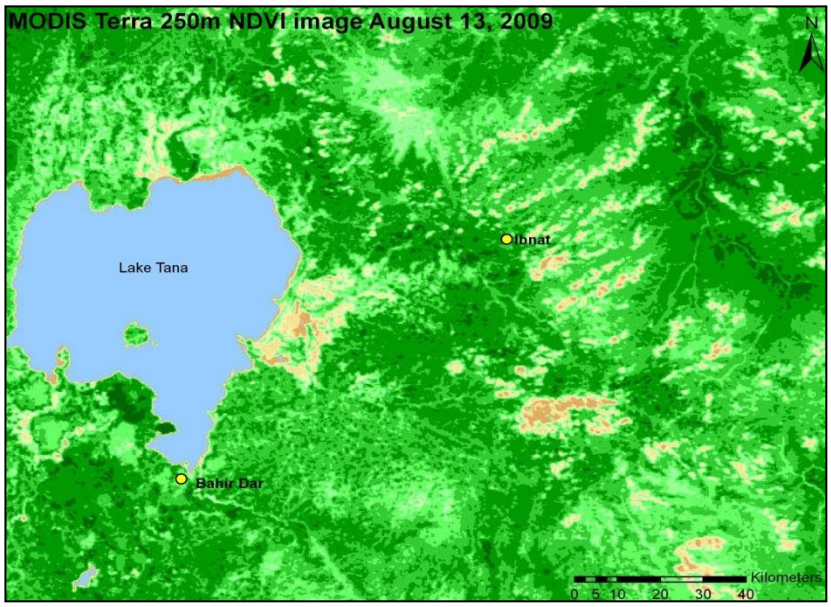

Figure 3: Map of location of Ebinat (also known as Ibnat, as marked on the map), the site of the PfR and pilot projects, to the east of Lake Tana and the town Bahir Dar. MODIS[14] Terra 250m NDVI[15] satellite image taken during the rainy season on August 13, 2009.

Ebinat (Figure 4) was chosen as one of two target areas for the PfR programme due to it being considered among the most vulnerable communities in the country (PfR, 2010). Ebinat receives approximately 500-600 mm of rain per annum and is characterised by poor agricultural productivity. According to community members, the climate has been changing considerably in the past few decades (Wagi Wargaja community members, personal communication, December 31, 2010; Qadir, 2009).

For decades the *woreda* has been listed as a hot spot for chronic food insecurity as a result of climate change induced disaster, recurrent drought and environmental degradation (ERCS, 2008).

[14] Moderate Resolution Imaging Spectroradiometre (MODIS) is an instrument aboard the Terra satellite. Figure 3 satellite image was taken by MODIS.

[15] Normalized Difference Vegetation Index (NDVI) is an index that provides a standardised method of comparing vegetation density and condition between satellite images.

Figure 4: Ebinat *woreda* during the dry season (taken in December, 2010).

In terms of environmental degradation, soil erosion and land degradation have been serious problems in the area (Amhara region) and are contributing factors of the outbreak of famine in Ethiopia (Assefa, 2007). Research conducted in the late 1980s indicated that between 0.04 and 212 t/ha[16] of soil was being lost every year and 1.9-3.5 billion tonnes of fertile topsoil was being washed away by the intense seasonal rainfall annually (Desta et al., 2000); today, that amount is 1.5 billion tonnes (Assefa, 2007). Deforestation has in part been due to farmers harvesting trees to sell for fuel or construction and lack of awareness of their importance (UNDP, 1999).

In 2008, 37 percent of Ebinat's population were listed as chronically food insecure (ERCS, 2008; UNOCHA, 2011). Ebinat households have also been experiencing household and asset depletion and have little in the way of dietary diversity (PfR, 2010). According to ERCS (2008), food scarcity is most prevalent from April until September as households are unable to produce enough food for the entire year (for most, at least prior to ERCS's pilot project in the area, food supplies lasted just three months). For these reasons, temporary migration to the border of Sudan from May to September is common (ERCS, 2008).

The community of Ebinat is overwhelmingly Orthodox Christian, which traditionally have an average of 12 days of holiday per month, or 144 days per year. This is significant because during holidays it is prohibited to partake in heavy agricultural work such as ploughing, sowing, weeding, harvesting, cutting trees and household duties like washing clothes. Those who continue to work on these days will effectively be outcast by the community. Many Orthodox Christians in Ethiopia also observe an annual total of 250 fasting days, where food and drink is not consumed before mid-afternoon (ERCS, 2008).

[16] Tonnes per hectare.

According to ERCS (2008), these practices are likely to have a negative impact on agricultural productivity.

A 1999 UNDP study described North and South Gonder as more impoverished than before the drought of 1984 and noted that re-establishment of pre-disaster conditions appeared impossible without extensive inputs and help from outside, particularly due to high population rates, natural resource degradation, no or little market access and high levels of school non-attendance.

Climate Change Projections

It is estimated that Ethiopia has experienced an annual increase in temperature of 0.2°C over the past five decades (Abuhay & Mesfin, 2004, as cited in Qadir, 2009). As a result, the country has seen a decline in agricultural production and under moderate global warming cereal production is forecast to further decline by up to 12 percent (Ungtae et al., 2008, as cited in Qadir, 2009). In 2007, Ethiopia published the *Climate Change National Adaptation Programme of Action (NAPA) of Ethiopia*. It describes a broad plan for managing climate change induced disaster risk (NMA, 2007). According to the report, a 3.2°C increase, with a range of 1.8-4.3ºC, in mean annual average temperature, and a 7 percent increase, with a range of -3 percent to +25 percent, in mean annual rainfall, are forecast as possible between 2080-2099 (NMA, 2007).

Although climate change models are inconsistent in their projections for annual rainfall in Ethiopia, there is a general tendency towards slightly wetter conditions (Conway et al., 2007, as cited in Conway & Schipper, 2011). Funk et al. (2008) however highlight that recent climate variability and trends point towards lower rainfall during the main growing season in East Africa resulting in an approximate 15 percent decline.

2.2 Vulnerability and Resilience

Resilience has been defined by the Stockholm Resilience Centre (2007) as "the capacity of a system to continually change and adapt yet remain within critical thresholds," while vulnerability refers to the propensity, tendency, or disposition of a social or ecological system to "suffer harm from exposure to external stresses and shocks." Vulnerability is often considered as the antonym of resilience (Stockholm Resilience Centre, 2007).

IFRC (2008, 2) define safe and resilient communities as having the following characteristics:

- "They understand the disaster risks that they face, they can assess and monitor these risks and can protect and make themselves safe to minimize losses and damage when a disaster strikes.

- They are able to do much for themselves and can sustain their basic community functions and structures despite the impact of disasters.

- They can build back after a disaster and work towards ensuring that vulnerabilities continue to be reduced for the future. More safety and resilience means less vulnerability.

- They understand that building safety and resilience is a long-term, continuous process that requires on-going commitment. In the face of such unknown factors as the effects of climate change, or the degree of urban growth or environmental degradation, they understand that there is much that can be done to adapt to future problems and challenges by building on their current knowledge.

- They appreciate the fact that being safe and disaster resilient means that there is a greater chance of meeting development goals which, in themselves, will greatly add to safety and resilience."

Ethiopia's vulnerability to disasters, as described earlier, is due to a number of interlinked factors such as dependence on rain-fed agriculture, poverty (GDP is currently estimated at around USD 200), under-development of water resources, land degradation, low economic development, weak institutions and population pressure (World Bank, 2011; IPCC, 2007; IFPRI, 2004).

Drought poses the greatest climate-related hazard to the country, the magnitude, frequency, and impacts of which have become more severe since the 1970s. The areas affected have also expanded. As a result of deforestation, land degradation and increasing climate variability, floods as a major economic hazard are also becoming increasingly common (World Bank, 2011; Jury, 2011).

A range of coping mechanisms to climate variability and extremes have been practiced in Ethiopia and include changes to cropping and planting practices, reduction of consumption levels, temporary and permanent migration for employment purposes, use of inter-household transfers and loans, grain storage, sale of assets including livestock, mortgaging of land, and food aid (NMA, 2007).

Because climate change impacts have the potential to undo development progress made in the area of socio-economic well-being in East Africa (Davidson et al., 2003), it is of great importance that capacity building and community resilience continue be targeted by development projects and programmes.

2.3 Capacity and Capacity Building

The importance of capacity building in reference to climate change adaptation is often highlighted but the concept and its practice remains puzzling to many (Morgan, 2006). As a body of knowledge, capacity development has been described as having a weak intellectual standing as it does not provide an accepted and tested body of theory about what works in meeting different needs in different situations which can be used with any confidence (World Bank, 2005, as cited in Morgan, 2006).

Hilderbrand and Grindle (1994, 10) define capacity as 'the ability to perform appropriate tasks effectively, efficiently[17] and sustainably,' while Loubser (1993, 23, as cited in Blagescu & Young, 2006, 2) describes capacity as being composed of the following elements:

Specified objectives including vision, values, policies, strategies and interests.
Efforts including will, energy, concentration, work ethic and efficiency.
Capabilities including intelligence, skills, knowledge and mental sets.
Resources including human, natural, technological, cultural and financial.
Work organisation including planning, designing, sequencing and mobilising.

In short, capacity building is an on-going process which aims to enhance the ability of an organisation to carry out its functions, achieve its goals, learn, overcome hurdles, and remain relevant in the future (OECD, 2010).

USAID issues an annual NGO Sustainability Index report on the overall viability of NGOs. The report features eight dimensions considered key to NGO sustainability: Legal Environment, Organisational Capacity, Financial Viability, Advocacy, Service Provision, Infrastructure, Public Image, and overall NGO Sustainability. In the report, organisational capacity refers to capabilities within a number of areas including constituency building, strategic planning, internal management and governance, staffing, and technological advancement (USAID, 2010, 2011).

According to USAID (2010, 2011), for the NGO sector to be sustainable, the regulatory environment must also support the needs of NGOs, a critical mass of NGOs must be transparently governed, publicly accountable, and efficient in meeting the needs of their constituents, while the political environment must be such that it supports the formation of networks and coalitions with which to collaborate with, a role in influencing public policy, and the communication of their messages through the media and demands to the government. In order to recruit members, volunteers, and generate local funds, NGOs must have a positive public image which defines their role in society (USAID, 2010, 2011). According to these requirements, capacity building of NGOs must target several key areas including strategic planning, internal management and governance, staffing and technological capability.

According to Horton et al. (2003), an organisation's performance is influenced by its capacity, by its internal environment, and by the external environment in which it operates (see Figure 5). A description of these different elements follows: Organisational performance is the ability of an organisation to meet its goals and achieve its mission; organisational capacity refers to the resources, knowledge, and processes used by an organisation and include financial resources and linkages to other organisations; the internal environment consists of the factors at play within an organisation and which influence its direction and how it carries out its work and may include incentive and

[17] Efficiency refers to the extent to which desired objectives are achieved and the extent to which an organisation achieves its mission and objectives.

rewards systems, the organisational culture, and leadership style; the external operating environment is the surrounding environment in which the organisation operates and includes the culture and legal system (Horton et al., 2003[18]).

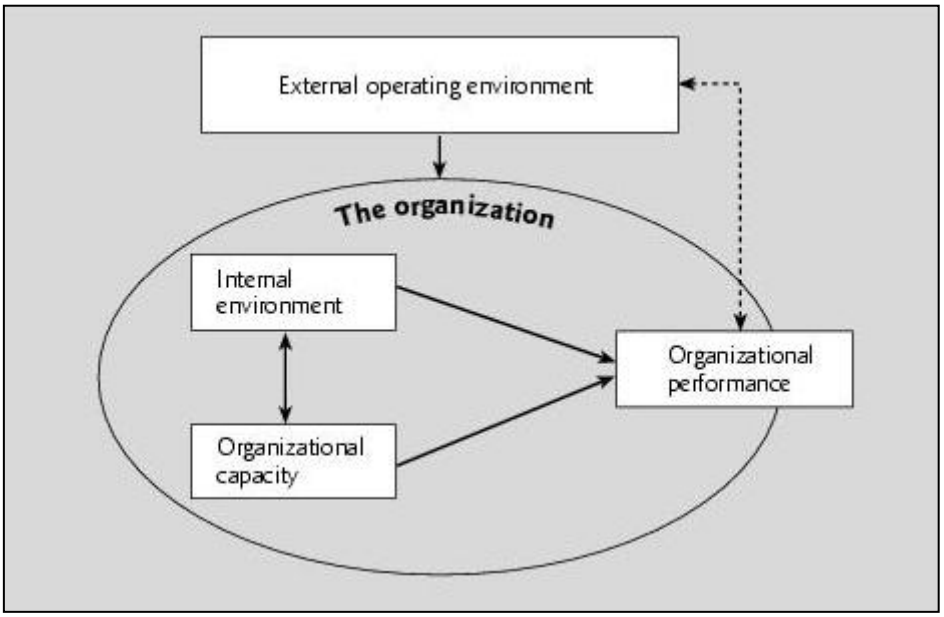

Figure 5: Organisational assessment (Horton et al., 2003 based on Lusthaus et al., 1995; Lusthaus et al., 2002).

An organisation's capacity is impacted by its "resources (human, physical, financial, and technological) and its management (leadership, program and process management, and networking and linkages)" (see Figure 6) (Horton et al., 2003). Capacity building interventions which are poorly designed or carried out may not improve, and may in some cases negatively impact, performance by diverting an organisation's attention and resources from areas of high-priority to those of a lower-priority. For example, staff may be trained in advanced scientific techniques, or the use of state-of-the-art computer programs, but their workplace may not have the necessary equipment to enable the use of those skills. Capacity building initiatives must therefore be carefully planned and monitored (Horton et al., 2003).

[18] Adapted from Lusthaus et al. (1995, 2002), as cited in Horton et al., 2003.

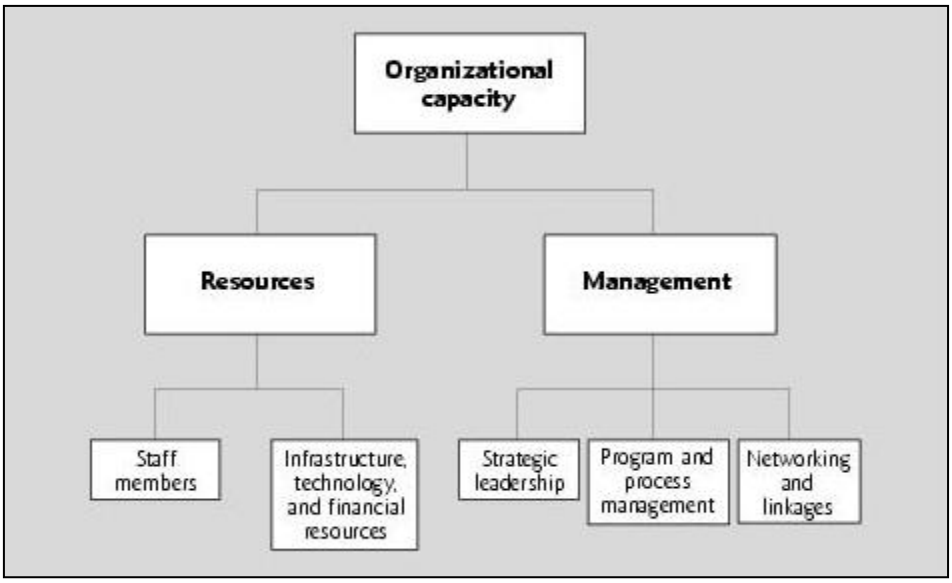

Figure 6: Types of organisational capacity (Horton et al., 2003).

As previously mentioned, climate change impacts and weather-related disasters have the potential to disrupt community health, livelihoods and education, as well as cause damage to infrastructure, further erode capacity of communities to cope with shocks, and ultimately reverse development progress (Davidson et al., 2003; RCRCCC et al., 2012). Adaptive capacity may be negatively impacted by low GDP, widespread poverty, low education levels, restrictions on political freedom, among other factors (IPCC, 2007). When looking at vulnerability to a particular stress, and how adaptive capacity can be built, both internal and external factors, such as the physical and social aspects, must be assessed (Blaikie et al., 1994). The building of vulnerable communities' capacity to anticipate, cope, resist, and recover from climate variability, stresses and change is therefore paramount (Reid & Vogel, 2006).

Diversification and strengthening of livelihood strategies, such as on-farm livelihood incomes, is considered an important strategy to increase resilience to climate stresses (IPCC, 2007). Local community governance structures and relationships within a community, as well as the effective functioning of institutions and CSOs, play a role in successful adaptation at the local level and it is therefore necessary to understand how such organisations and relationships function (IPCC, 2007).

The PfR programme aims to strengthen CSOs and their capacity to link the approaches of Disaster Risk Reduction (DRR), Climate Change Adaptation (CCA), and Ecosystems Management and Restoration (EMR). The programme also focuses on training, practice, and exchange of experience, as well as the introduction of performance benchmarks, improved Human Resources (HR) methods, and fostering ownership of the programme interventions (PfR, 2010).

2.3.1 Capacity Building Methods: A Systems Perspective

Capacity building has traditionally focused on improving the leadership and management of an organisation by focusing on the individual and their ability to define their organisation's mission, improve their management of resources and produce desired outcomes (Blagescu & Young, 2006, v). Today capacity building is looked at from a systems perspective "recognising the dynamics and connections among actors and issues at different levels as part of a broader unit rather than as loosely connected factors" (Blagescu & Young, 2006, v). In other words, organisational development factors which limit capacity can seldom be isolated from others (Fowler, 1997).

From this standpoint, capacity building focuses on institutional development going beyond individual organisations and institutions to encompass whole systems, groups of organisations and networks and therefore considers the multi-faceted problems which need the attention of multiple actors, organisations and institutions which are at a hierarchy of levels (individual, organisational, network/sectoral and the overall enabling environment) (Baser, 2000; Qualman & Morgan, 1996).

According to Blagescu and Young (2006, 4), the interconnectedness of these different levels is inherent because "individuals operate within organisations, individual organisations operate within a wider sector, and these sectors operate within a broader environment". For example, individuals hold capacities in the form of knowledge, skills and attitudes which if not shared with their organisation (i.e., colleagues), are lost when they leave (Horton et al., 2003). However, when staff share their knowledge, skills and attitudes with one another, these capacities become embedded in group activities and processes and become part of the group's capacity. According to Horton et al. (2003), when individual and group capacities "are widely shared among the organisation's members and become incorporated into the organisation's culture, strategies, structures, management systems, and operating procedures, they become truly organisational capacities." Organisations which institutionalise and internalise the capacities of their staff they are better able to withstand high rates of staff turnover (Horton et al., 2003). For this reason, interventions at one or more levels must take into account interactions taking place with other levels (Blagescu & Young, 2006).

A summary of this hierarchy of different levels follows:

> *Individual level:* individuals as social or organisational actors whose skills or abilities are strengthened in order to meet development objectives. Capacity building projects often focus on the training of individuals while failing to sufficiently emphasise organisational issues and broader processes of empowerment.
>
> *Organisational level*: focuses on organisational structures, processes, resources, and management and governance issues. While donors have focused on the organisational level, it is also important to consider that capacity building is also an assessment of what goes on at different levels, and either constrains or supports organisational change as organisations are only one part of the picture.
>
> *Sector/network level*: although, effective coordination within and across sectors is vital, change at this level is difficult due to competing organisational priorities, lack of coordination and lack of organisational capacity. Change can bring synergy and

promote greater effectiveness in the use of existing capacities. The capacity building efforts of various sectors have recently emphasised this level.

Enabling environment level: the broader context within which the development process takes place and which either constrains or enables potential for success. Change occurs over the long-term (Blagescu and Young, 2006, 4[19]).

Whether and how organisations take on board lessons learnt through the M&E process greatly influences capacity development. According to OIOS (2008) and Horton et al. (2003), organisations rarely use such lessons to improve their performance. Jones (2012) argues that long-serving staff members may have depth of understanding and experience, but this is often not captured in systems to record lessons from operational experience. This can result in M&E being seen as "expensive additions to bureaucratic procedure that do not contribute to the 'real' work on the ground" (Jones, 2012). However, there are several ways in which organisations may use M&E results:

Direct use: when a decision-maker reads the M&E report and makes a decision and acts on the basis of its recommendations.

Indirect use: when information in a report is selectively incorporated alongside that from other sources, including the views of trusted colleagues, to develop a position on an issue.

Symbolic use: when the results are accepted and acknowledged but are not used to make decisions.

Process use: when the participation of managers, staff, and other stakeholders in the M&E process results in them acquiring new knowledge, skills, or attitudes which may later influence their decisions and actions (Horton et al., 2003).

If a capacity building process goes well, rather than being a limited set of activities, it becomes part of the organisation's normal functioning, with the organisation continuing to learn and grow from its experiences (Fowler, 1997). In summary, capacity building requires long-term support based on strategic partnership, effective coherence and coordination between all actors (such as government, UN agencies, NGOs and donors) and levels, and recognition that these actors and levels are systemically interlinked, as explained above, is vital to achieve timely and proper humanitarian response. In addition, interventions which adopt a participatory approach (elaborated on in the next section) which foster a high degree of ownership are needed (UNOCHA & Government of Ethiopia, 2010; Blagescu & Young, 2006; Baser, 2000; Qualman & Morgan, 1996).

2.3.2 Role of Participatory Approach in Capacity Building

Participatory approach loosely refers to the involvement of local population in the design, decision making, and carrying out of an intervention to change their lives, in doing so acknowledging the importance of giving citizens the responsibility to shape their own

[19] Blagescu and Young (2006, 4) acknowledge Baser (2000) and Hildebrand and Grindle (1994) as being among the sources used to compile the paper's section on a hierarchy of levels.

futures. Such an approach should avoid priorities from the outside in order to better ensure the intervention is appropriate and its results sustainable (Jennings, 2000).

According to Narayan (1995, as cited in Khwaja, 2004) and Isham et al., 1996, as cited in Khwaja, 2004) community participation is an "unqualified good in terms of project outcomes and sustainability" and World Bank lending for community-driven development projects has multiplied in recent years (Khwaja, 2004).

The importance of the use of a participatory approach cannot be overstated. "To be successful, capacity building requires broad-based participation and a locally driven agenda; it needs to build on existing local capacities; it requires on-going learning and adaptation; it is a long-term investment; and, last but not least, it needs to integrate activities at different levels to address complex problems" (Blagescu & Young, 2006, v).

Boesen and Lafontaine (1998) set forth nine elements for the planning, monitoring and development of indicators for capacity development efforts in the field of the environment: partnership, access to information, participation, ownership, subsidiarity, flexibility, extended time scale, system's perspective and Capacity Development in Environment (CDE)[20] as a process.

According to Boesen and Therkildsen (2005, as cited in Blagescu & Young, 2006), capacity development is "overwhelmingly a domestic matter and should be based on possible rather than just desirable capacity development opportunities". Ensuring that the process involves, if not centres around, local populations rather than priorities imposed from abroad, is integral to the participatory approach. In a similar vein, in strengthening the institutional level, Fukuda-Parr et al. (2001) emphasise the need for supporting existing initiatives rather than constructing new institutions on the basis of foreign blueprints.

It is important that all levels of society from government, civil society, the private sector and local communities participate in deciding on measures to reduce vulnerability to the adverse effects of climate change. If the participatory approach is not used, and local knowledge and experience is ignored, interventions can limit instead of enhance the adaptive capacity of communities (IFPRI, 2008). In order to maximise the chances of success, it is also vital to consider cross-cultural issues when planning for participatory capacity building projects (Jackson, 2003).

Participatory planning and design minimises the risk of projects not reflecting the needs and preferences of the community. For this reason, women and minority groups, such as different ethnic groups, must be part of the process. Where minorities are excluded from political, social and economic decisions that have major repercussions on their lives, the price "can be enormously high in terms of economic cost, missed opportunities, conflict and ruined lives" (Ghai, 2003). Women, for example, may have knowledge of local conditions, asset production and ways of life that may not be apparent to traditional leaders (World Bank, n.d.a). Therefore, if women are not included in the process, important aspects of community life and opportunities for adaptation may be overlooked potentially resulting in interventions which do not reflect the needs of the target group (World Bank, n.d.a).

[20] The process by which capacity in environment and appropriate institutional structures is enhanced (OECD, 1995).

Community participation results in projects that are "more responsive to the poor… more responsive government and better delivery of pubic goods and services, better maintained community assets, and a more informed and involved citizenry" (Mansuri and Rao, 2003, as cited in Khwaja, 2004, 428). According to Khwaja (2004), when a community participates, it provides information about preferences while gaining information which may influence its decisions in relation to the project or programme. However, the role participation plays as a means of affecting the distribution of power and ownership is often overlooked (Khwaja, 2004).

In addition, long-term food aid, for example, minimises initiatives within the population for self-reliance activities. For many years these top down approaches have been used but for activities to become sustainable change to participatory involvement of the population with a goal of long-term development is needed (UNDP, 1999). Hillside terracing which was constructed in the programme target *woreda* (Ebinat) in northern Ethiopia in the past was destroyed soon after, in part due to a lack of motivation and sense of responsibility of the local farmers. The planning and designing process did not involve their participation and therefore the local community did not see the importance of the terraces and did not take steps towards maintaining them (UNDP, 1999). The development literature documents many other cases of failed projects built without local consultation (Khwaja, 2004). Garande and Dagg (2005), for example, discuss the Molinos water project in Chile, the failure of which was in part blamed on the top-down approach taken by the implementing organisation.

While some researchers and practitioners argue that participatory approach and capacity building have become merely cosmetic terms and meaningless additions to proposals (James, 2001a, as cited in Blagescu & Young, 2006; James, 2001b), others argue that the view that NGOs simply turn up in local communities and start calling the shots is misguided and indicates a misunderstanding of power relations between the actors (Bryant, 2005 and Clark, 1998, as cited in Bryant, 2008). Quarles van Ufford (1988, as cited in Mosse, 2004) also argues that the level of operational control organisations have over events and practices in development is limited—policy-makers, donor staff, consultants and senior managers are often marginal actors—and this is even more so when it comes to larger organisations. The reason for this, Bryant (2008) argues, is that local community support for NGOs can never be taken for granted especially when local distrust, scepticism and hostility towards outsiders are an issue.

Some researchers, such as Li (1999), take the view that in order to guarantee project success there is incentive for staff to select a target group that already possesses the characteristics a project aims to create. Mosse (1996, as cited in Mosse, 2004) and Khwaja (2004) report on the practice of communities shaping their needs to match project plans and what they knew was easily achievable or deliverable.

Mosse (2004) claims that rather than being driven by policy, development interventions are driven by the requirements of organisations and their need to maintain relationships. Mosse sets out an example of what he describes as highly committed staff working to develop good relations with farmers in India to identify and meet livelihood needs. The project's participatory theory, Mosse argues, did not and could not shape practice in the project. Mosse explains that one reason for this is that the participatory planning process was controlled by local elites and therefore excluded the marginal. Shakil Ahmad and Abu Talib (2011) explain that the involvement of local leaders in development may impede

other community members from participating. Participation of only the known or self-appointed leaders of the community (often the elite or influential members of the group) will also hinder the building of their capacity (Shakil Ahmad & Abu Talib, 2011; Gaigher et al., 1981, as cited in Shakil Ahmad & Abu Talib, 2011).

Mosse (2004, 2003) also believes that the delivery of some programmes may be too important to be left to participatory processes. Similarly, Khwaja (2004) argues that community participation may not always be possible or desirable, especially when it comes to technical decisions and warns against it being seen as a "cure-all". Mosse (2004) concludes that a contradiction of high profile publicized participatory projects, but in reality vertically controlled, is easily concealed and characteristic, albeit in varying degrees, of all participatory interventions.

2.3.3 Coordination: An Essential Component of Capacity

Balcik et al. (2009) describe coordination in humanitarian relief chains as the relationships and interactions between and among different actors. Vertical coordination describes upstream and downstream coordination, for example between an NGO and a transportation company, while horizontal coordination describes coordination between organisations at the same level.

Humanitarian organisations interact with local and national governments and institutions, local NGOs and CSOs, the military, and various other actors in order to carry out their work and are subject to the laws of the countries in which they operate. Coordination between development actors is therefore essential in order to be as effective and efficient as possible. A number of issues may impact coordination between local and foreign actors including politics, culture, governance structure of organisations, and differences in primary motives and operating constraints (Balcik et al., 2009, Van Wassenhove, 2006). Communication challenges may also hinder coordination and for that reason meetings must also cater for those without staff with proficiency in English in order not to exclude them (Moore et al, 2003). In addition, Moore et al. (2003) argues that it is not always possible for staff from smaller organisations to leave the field and attend meetings due to limited staff numbers and that therefore holding frequent coordination meetings may exclude those smaller NGOs despite their important role in the network.

According to Rey (2001, as cited in Balcik et al., 2009, 22), "coordination has continued to be the fundamental weaknesses of the humanitarian action." In the context of disaster relief, Fenton (2003, 24) says that aid agencies often find it "too difficult to collaborate" but that some organisations are starting to come together to pool resources and prevent overlap. In development, a lack of a coordinating mechanism often leads to "duplicating efforts, replicating mistakes, using conflicting approaches, and generally confusing the rural poor" (Farrington et al., 1993, 23). According to Jones (2012), there is a strong perception that development agencies spend a lot of time 'reinventing the wheel' and that work often fails to capitalise on existing work or past experience. This is also the case when it comes to a lack of coordination and joint ventures in M&E, creating the burden of "several dozen visiting missions" on scarce resources and staff in the recipient country, who must spend their time servicing such missions (Andersen, 2002, 189).

Balcik et al. (2009) state that these days, a single lead agency or coordinating body usually facilitates an environment for horizontal coordination between organisations. In Ethiopia,

this body is the Consortium of Christian Relief and Development Associations (CCRDA), formerly known as CRDA, which acts as the association of NGOs and CSOs in the country. As the first legally registered of such associations, it enables resource mobilization, experience sharing, and the building of capacity to ensure greater efficiency. The association's members, which numbered 334 in 2010, include secular and non-Christian religious organisations (CCRDA, 2010).

Governments are however those responsible for carrying out disaster relief in their countries but may lack the necessary experience and knowledge and may enforce restrictions on the operation of NGOs (Balcik et al., 2009). In 1993 Farrington et al. wrote that NGOs would greater avoid government interference in their work if they had less individualistic philosophies and inter-NGO cooperation became the rule rather than the exception. According to USAID (2010), the Ethiopian government considers NGOs in the country, particularly international NGOs, as gap fillers rather than as development partners. A lack of trust towards NGOs and their motives by the government is reportedly a factor (USAID, 2010, 2011). This is despite a move by NGOs in recent years from relief-type activities, which dominated up until the late 1990s, towards long-term development. In order for NGOs and other civil society actors to contribute to long-term development in the country, they must be empowered to participate in all phases of the development process. The transfer from international counterparts of skills, trust, and authority to carry out interventions must also take place (Clark, 2000).

2.3.4 Development Actors in Ethiopia and the Need for Capacity Building

There is a clear need for both institutional and capacity building, including strengthening links between actions at the community level, as well as policies and knowledge development at the national and international levels. Infrastructure and access to services to facilitate timely disaster identification, preparedness and response are also considered inadequate (PfR, 2010).

According to PfR (2010) and USAID (2009), staff at the regional and district Department of Disaster Management and Food Security Sector (DMFSS) of the Ministry of Agriculture and Rural Development (MOARD) in Ethiopia, as well as those in NGOs and CSOs, still lack capacity and practical experience in Disaster Risk Management (DRM) and in integrating the concept of ecosystem services with livelihood support, among other areas. According to Conway and Schipper (2011), there is conflict as to which national organisation "owns" climate change; the National Climate Change Strategy is now within the Environmental Protection Agency (EPA) but was previously in the National Meteorological Agency (NMA).

A fundamental shift in thinking across key institutions in Ethiopia is needed in order to move away from a short-term view of climate variability that focuses on disaster and food insecurity to a long-term perspective that emphasises livelihood security and vulnerability reduction (Conway & Schipper, 2011). Climate change is often categorised as an environmental issue rather than a broad development issue affecting all sectors among donors and government agencies in Ethiopia. Because climate change is predicted to affect all sectors, it is imperative that, as discussed in the previous section, a coordinated approach is taken.

Ethiopia's NAPA (NMA, 2007) identifies a number of constraints for planning and implementing climate change adaptation, which include:

- Inadequacy of skilled manpower on climate change issues.
- Weak institutional set up and coordination mechanisms both at federal and regional levels to maximise climate change adaptation gains from the on-going and planned national initiatives.
- Inadequacy of cross-sectoral links of ministries and line departments.
- Inadequate facilities.
- Lack of specific policies on climate change adaptation.
- Inadequate research.

According to the UN (2011), despite efforts at decentralization, a low level of community participation in Ethiopia undermines the ability of local governments to properly carry out their work. Because of the key role local governments and institutions hold in administering services, and the importance of that work on poverty alleviation and achieving the MDGs, the development of systems and structures of local government institutions is required (UN, 2011).

Moreover, in a study on the Ethiopia Productive Safety Net Programme (PSNP) the Overseas Development Institute (ODI) et al. (2006) found that inadequate staff numbers and high turnover, as well as a lack of linkages between programmes and an inward-looking focus on the programmes themselves, among other issues, impeded proper implementation. They noted that high staff turnover severely constrained the capacity to work in a coordinated way between offices because the constant flow of new staff trying to settle into the workplace and their roles and responsibilities meant that they did not have time to coordinate externally (ODI et al., 2006). In addition, according to UNFCCC (2007) and Watson (2006), external support of adaptation and capacity building activities is often short-term and project-based with a single task approach leading to expertise loss between projects, instead of a long-term programme approach. The relationship between policy and practice, which is often described in terms of a gap between theory and practice, also plays a part (Mosse, 2003, 2004).

2.4 Civil Society Organisations (CSOs)

The Yearbook of International Organizations stated that in 2006 there were more than 50,000 NGOs, up from 6,000 in 1990 (World Bank, 2010). The World Bank (2010) places CSOs under the umbrella of non-governmental organisations, which are playing an increasingly important role in implementing development programs. However, according to Flyvbjerg (1998), a clear definition of civil society is missing as definitions of the term civil society are too multiple and varied. Habermas (1996, as cited in Fleming, 2000, 2), for example, defines civil society as consisting of a "network of associations that institutionalizes problem-solving discourses on questions of general interest inside the framework of organized public spheres". Civil society according to Habermas (1996, as cited in Fleming, 2000) operates on "the basis that government is not fully representative

of the people" and thereby aims to transform the system towards the use of more democratic practices. At its core, civil society is constituted by "voluntary associations outside the sphere of the state and the economy" and range from churches, cultural associations, sport clubs and debating societies to independent media, academies, groups of concerned citizens, grass-roots initiatives and organisations of gender, race and sexuality, all the way to occupational associations, political parties and labour unions" (Habermas, 1992a, as cited in Flyvbjerg, 1998).

The World Bank (2010) has adopted the following definition of CSOs (used in this study): "non-governmental and not-for-profit organizations that have a presence in public life, expressing the interests and values of their members or others, based on ethical, cultural, political, scientific, religious or philanthropic considerations. CSOs therefore refer to a wide array of organizations: community groups, NGOs, labour unions, indigenous groups, charitable organizations, faith-based organizations, professional associations, and foundations." CSOs therefore complement government action, particularly in areas where government presence is weak (World Bank, 2010).

2.4.1 CSOs and Non-Governmental Organisations (NGOs) in Ethiopia

The emergence of NGOs in Ethiopia goes back to 1960 when national and international NGOs began to appear in the country (Clark, 2000). Many NGOs in Ethiopia emerged in response to the 1973-74 and 1984-1985 famines but many more were established after the fall of the Derg[21] in 1991, which did not allow autonomous non-state organisations (USAID, 2010, Clark, 2000).

NGOs emerging during this period were described in a 2000 World Bank report (Clark, 2000) as weak and disorganized and as posing a challenge to donors with which they worked. The sector suffered from divisions along social, political and ethnic lines and most attempts to get international NGOs to work on capacity building with local NGOs were unsuccessful (Clark, 2000).

One of the core principles of the post-1991 government, led by the Tigray People's Liberation Front (later the Ethiopian People's Revolutionary Democratic Front), has been ethnic-based federalism and ethnic identity as a basis of politics (Abbink, 2011, 596), to address claims of discrimination and inequality against ethnic groups and to build a multi-ethnic democracy (Keller, 2002). According to Abbink (2011), ethnicity has "overtaken democratic decision-making and shared issue-politics" and the government has developed structures of "central control and top-down rule that preclude local initiative and autonomy" with a resulting increase in ethnic divisions. The Tigray, the third largest ethnic group, has been the politically dominant ethnic group for over 20 years (Habtu, 2003).

By 1998, 240 NGOs were registered in the country (Clark, 2000). The aforementioned 2000 World Bank report described the enabling environment in which NGOs operated in Ethiopia at the time as characterised by excessive regulation and time-consuming bureaucratic requirements (Clark, 2000). The report further described the sector as suffering "internal divisions and jealousy" (Clark, 2000, 2) and states that support delivered has been project specific with little funding for capacity building. According to

[21] Communist military junta which ruled the country between 1974 and 1991.

the Ethiopian Ministry of Justice (2007, as cited in Rahmato et al., 2008), in 2007 there were more than 3,000 NGOs and CSOs registered.

In 2009, a new law on the operation of NGOs in Ethiopia came into effect. Under the Law on Charities and Societies, which amended the Ethiopian Civil Code, any organisation which receives more than 10 percent of its funding from foreign (including Ethiopian nationals abroad) sources (according to some sources, this may be have been up to 95 percent of NGOs in Ethiopia at the time of implementation) is deemed to be a foreign NGO, which are prohibited from carrying out rights-based advocacy work (i.e., human rights, promotion of gender equality and the rights of children and the disabled) and work in the areas of conflict settlement and resolution and efficiency of the justice sector (IFHR, 2009; ICNL, 2011; Dagne, n.d.; USAID, 2010, 2011).

Previously, the definition of a foreign NGO referred to those NGOs created by Ethiopian nationals in accordance with Ethiopian law, but regardless of the nature of its activities or its funding source. The new law extended the definition of foreign NGOs, which since the implementation have been governed by a more restrictive status, to include the vast majority of Ethiopian NGOs. Critics of the new law argue that this results in the suppression of freedom of operation and speech of Ethiopian CSOs, and may thus hinder their capacity to operate (IFHR, 2009; ICNL, 2011; Dagne, n.d.). According to USAID (2011), the number of NGOs registered by the Ministry of Justice decreased from 3,800 at the end of 2009 to 2,020 in October 2010 following the introduction of the new law and the completion of the reregistration process. Many NGOs which were previously involved in advocacy changed their mandates and reregistered as service providers (USAID, 2010, 2011). According to Korten (1990), service providers are more likely to avoid controversies that might put their relationship with donors and other actors in jeopardy.

Due to the economy, the limited capacity of the community to make financial contributions and the weakness of NGOs in local resource mobilization, local NGOs lack a strong financial base and are heavily dependent on foreign donors for financial support (USAID, 2010, 2011). Because of a lack of on-going core program support, most local NGOs work on a project and short-term basis rather than with long-term strategies in mind (USAID, 2010, 2011).

By most accounts, domestic NGOs in Ethiopia remain underdeveloped (USAID, 2010, 2011; Clark, 2000). USAID's Sustainability Index report on the overall viability of NGOs covers several areas including NGO Sustainability, Legal Environment, Organizational Capacity, Financial Viability, Advocacy, Service Provision, Infrastructure and Public Image. Ratings consist of three categories: sustainability enhanced, sustainability evolving and sustainability impeded. Some of the questions evaluated include:

- Do NGOs have clearly defined missions to which they adhere?
- Do NGOs have clearly defined strategic plans and incorporate strategic planning techniques in their decision making processes?
- Is there a clearly defined management structure within NGOs, including a recognized division of responsibilities between the board of directors and staff members?

- Do the boards of directors operate in an open and transparent manner, allowing contributors and supporters to verify appropriate use of funds?
- Are NGOs able to maintain permanent, paid staff?
- Do NGOs have adequate human resources practices for staff, including contracts, job descriptions, payroll, and personnel policies?
- Are potential volunteers sufficiently recruited and engaged?
- Do NGOs' resources generally allow for modernized basic office equipment (relatively new computers and software, cell phones, functional fax machines/scanners, internet access, etc.)?

In the 2009 and 2010 (Figure 7) indexes, Ethiopia fell within the "sustainability impeded" stage for all areas excluding service provision. In 2010, the country received the lowest score among Sub-Saharan countries[22] in the advocacy (loosely defined as the ability of NGOs to influence public policy) category (USAID, 2010, 2011). This is in contrast to trends in the region towards great improvements in the area and where advocacy is generally considered an area of strength (USAID, 2011).

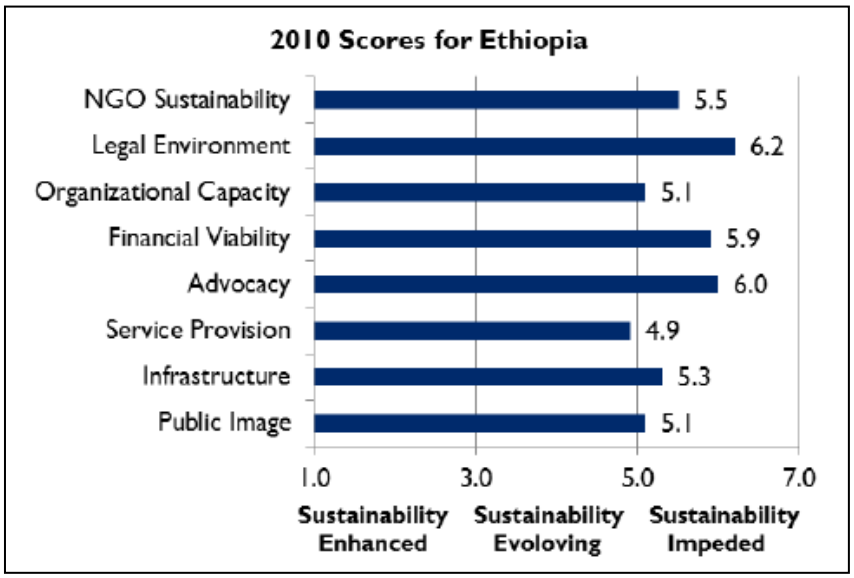

Figure 7: USAID 2010 NGO Sustainability Index for Ethiopia (USAID, 2011).

The 2009 and 2010 index reports concluded that NGOs in Ethiopia are often "one-man shows" and often split apart due to personality clashes. Further, a lack of a clearly defined sense of mission, little or no understanding of strategic planning or programme

[22] The list of countries covered in the *USAID NGO Sustainability Index for Sub-Saharan Africa* report consists of Angola, Burundi, Democratic Republic of Congo, Ethiopia, Gabon, Ghana, Guinea, Kenya, Liberia, Mali, Mozambique, Nigeria, Rwanda, Senegal, Sierra Leone, South Africa, Tanzania, Uganda and Zimbabwe.

formulation, and a lack of organisational documents such as personnel and financial manuals, were also detected (USAID, 2010, 2011). The reports found that although it is mandatory for NGOs to specify a formal management structure with division of responsibilities, internal democracy is lacking with real power often lying with the executive director; general assemblies and board members were found to hold a merely symbolic role. According to USAID (2010, 2011), NGOs lack clear strategies on how to mobilise and use volunteers in addition to lacking strong partnerships with the media, academia, the private sector, the public, and other each other. Furthermore, while most NGOs have the necessary equipment and infrastructure such as computers and internet, grassroots organisations have more difficulties in retaining professional staff and in acquiring the necessary equipment (USAID, 2010, 2011). According to USAID (2010), donors are reluctant to provide funding for such expenses.

The government's five-year (2011-2015) Growth and Transformation Plan (GTP), posters of which appear on billboards throughout the country (see Figure 8 and 9), was adopted in September 2010. The plan aims to foster sustainable development to achieve the MDGs and outlines plans for a major transformation of the economic structure, including a doubling of agricultural production, as well as to achieve access to electricity and safe water for all by 2015 (UN, 2011). According to USAID (2011), the GTP acknowledges the role of CSOs and NGOs in capacity building but does not credit them for their role in implementing, monitoring, and evaluating development activities. NGOs, the report concludes, lack the capacity to effectively communicate their missions and value to society in order to gain trust from the government, and are rather perceived as utilising large amounts of funding from foreign donors on administrative costs rather than direct project implementation (USAID, 2011).

Figure 8: Government poster for the Growth and Transformation Plan, Amhara region, Ethiopia.

Figure 9: Government poster for the Growth and Transformation Plan, Bahir Dar, Amhara region, Ethiopia.

2.4.2 Ethiopian Red Cross Society (ERCS)

Typically Red Cross Red Crescent societies have a strong auxiliary relationship with local and national governments (IFRC, 2008). The seven fundamental principles of the Red Cross consist of:

> *"***Humanity:** *The International Red Cross and Red Crescent Movement, born of a desire to bring assistance without discrimination to the wounded on the battlefield, endeavors, in its international and national capacity, to prevent and alleviate human suffering wherever it may be found. Its purpose is to protect life and health and to ensure respect for the human being. It promotes mutual understanding, friendship, cooperation and lasting peace amongst all peoples.*
>
> **Impartiality:** *It makes no discrimination as to nationality, race, religious beliefs, class or political opinions. It endeavors to relieve the suffering of individuals, being guided solely by their needs, and to give priority to the most urgent cases of distress.*
>
> **Neutrality:** *In order to continue to enjoy the confidence of all, the Movement may not take sides in hostilities or engage at any time in controversies of a political, racial, religious or ideological nature.*
>
> **Independence:** *The Movement is independent. The National Societies, while auxiliaries in the humanitarian services of their governments and subject to the laws of their respective countries, must always maintain their autonomy so that they may be able at all times to act in accordance with the principles of the Movement.*

Voluntary service: *It is a voluntary relief movement not prompted in any manner by desire for gain.*

Unity: *There can be only one Red Cross or Red Crescent Society in any one country. It must be open to all. It must carry on its humanitarian work throughout its territory.*

Universality: *The International Red Cross and Red Crescent Movement, in which all Societies have equal status and share equal responsibilities and duties in helping each other, is worldwide (IFRC, 2012)."*

One of the roles of national societies is to ensure that government is focused on strengthening community safety and resilience in the face of disaster risk and that laws, policies, strategies and programmes promote DRR at the community level (IFRC, 2008).

However, a lack of awareness of how to use climate information and the potential role forecasts could play in operations exists both at the national and regional levels in Ethiopia. Those that do understand the importance of forecasts for planning for disasters have cited reasons such as complex scientific terminology in reports as a hindrance (Qadir, 2009).

2.4.3 ERCS Operations

ERCS was established in 1935. ERCS has three key core programme areas; DRM, Health and Care, and Organizational and Capacity Development; which are further broken down into a number of units. Climate Change Mitigation and Adaptation falls under DRM and within the Disaster Preparedness unit (ERCS, 2007a)

The climate risk management work of ERCS has the goal of reducing the risk of climate change-induced disasters. Operations in this area aim towards achieving the following three specific objectives (ERCS, 2007b):

- Communities have adequate awareness, knowledge and information on climate change.
- Communities have adequate capacity to respond to disaster.
- The national society has the capacity to mobilise communities to address the risks of (climate change induced) natural disasters.

2.4.4 Current ERCS Projects and Programmes

Over the next few years (to 2015), the development of flood and drought early warning systems, training on alerting devices, the establishment of flood forecasting and warnings will be carried out (ERCS, 2007b).

The PfR Climate-Proof Disaster Risk Reduction programme (2011-2015) is currently the prime focus of ERCS' climate risk management work. The aim of the programme is to reduce the impact of natural hazards on the livelihoods of 750,000 to 1,000,000 vulnerable community members worldwide. As previously mentioned on page 4, the PfR alliance consists of the Netherlands Red Cross (NRC), CARE Nederland, Cordaid, Red Cross/Red

Crescent Climate Centre (RCRCCC) and Wetlands International and is currently being implemented in nine countries including Ethiopia (PfR, 2010; ERCS, 2007b).

The PfR plans an innovative integration of DRR, Climate Change Adaptation (CCA), and Ecosystems Management and Restoration (EMR) to help translate strategies into practice and marks a step from the provision of aid and relief towards an expanded role which includes development. A description of the three approaches to be integrated follows:

DRR: The concept and practice of reducing disaster risks through the analysis and management of causal factors of disasters.

CCA: The practice of making adjustments in response to actual or expected effects of climate change.

EMR: A strategy for integrated management of land, water and living resources in order to provide a sustained delivery of ecosystem services in an equitable way (PfR, 2010; ERCS, 2007b).

The projects outcome objectives are threefold:

- To increase the resilience of communities to disasters, climate change and environmental degradation.
- To increase the capacity of CSOs to apply DRR, CCA, and EMR measures and conduct policy dialogue.
- To make the institutional environment from international to grass-root level more conducive to integrating DRR, CCA and EMR approaches (PfR, 2010; ERCS, 2007b).

To reach these objectives, the following three intervention strategies are planned:

- Strengthening community resilience
- Strengthening of CSOs
- Policy dialogue and advocacy for stronger DRR/CCA and increased resources at all levels

Activities being carried out to reach these objectives in the PfR programme target site of Ebinat include the restoration of degraded land through the construction of 180kms of hillside terracing[23] (Figure 10 and 11) and efforts to relieve pressure on forest resources through the construction of fuel saving stoves, which require 50 percent less wood, by women's collectives.

[23] In brief, hillside terracing involves levelling a strip of land for tree planting on a hillside. The method is commonly used in erosion control and water conservation as it helps retain runoff and sediment in areas with high sloping and therefore makes it possible to plant tree seedlings in the area.

Figure 10: Hillside terracing of area prone to erosion in Wagi Wargaja, Ebinat *woreda*, December 2010.

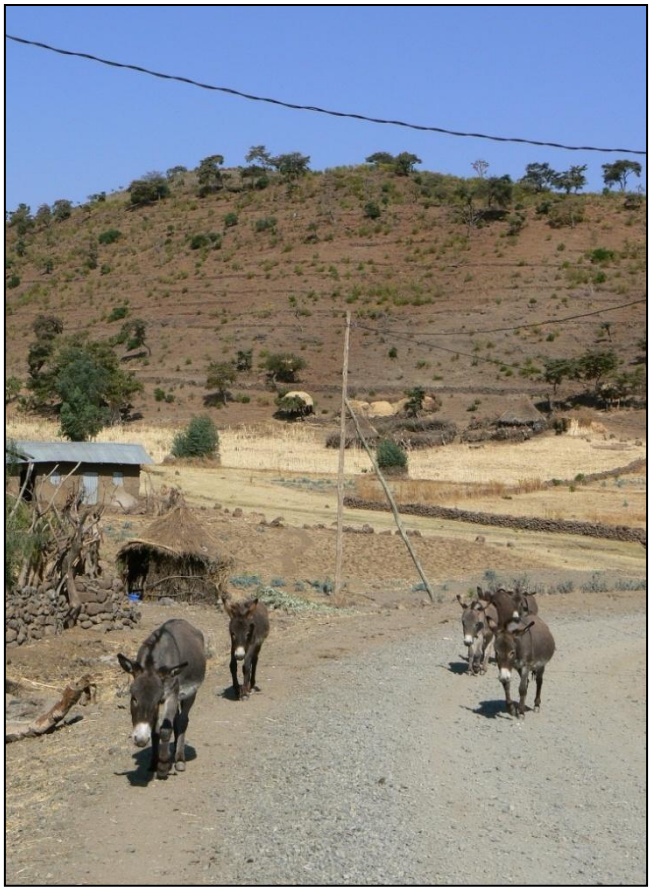

Figure 11: Hillside terracing (background) of area prone to erosion, Wagi Wargaja, Ebinat *woreda*, December 2010.

2.5 Monitoring and Evaluation (M&E)

2.5.1 Definitions

"Monitoring is a continuous process that tracks what is happening within a programme and uses the data collected to inform programme implementation and day-to-day management and decisions. Using mostly administrative data, monitoring tracks programme performance against expected results, makes comparisons across programmes, and analyses trends over time" (Gertler et al., 2011, 7).

Evaluations, on the other hand, are defined as periodic assessments of an on-going or completed project and are used to answer specific questions related to design, implementation, and results. Whereas monitoring is a continuous process, evaluations are carried out at certain points in time and in order to maintain a level of objectiveness are often by technical experts outside of the project (Gertler et al., 2011, 7). According to UNDP (2001, 12), evaluations need to be linked to outcomes and not only implementation outputs.

M&E of capacity development is critical in ensuring that capacity building interventions lead to the desired improvements in performance. Monitoring in particular is important as it takes place while activities are in action and proper monitoring identifies whether progress is on track to meet stated objectives (Horton et al., 2003).

A summary of some of the differences between monitoring and evaluation are presented in Figure 12 below.

	OUTCOME MONITORING	OUTCOME EVALUATION
Objective	To track changes from baseline conditions to desired outcomes.	To validate what results were achieved,and how and why they were or were not achieved.
Focus	Focuses on the outputs of projects, programmes,partnerships and soft assistance activities and their contribution to outcomes.	Compares planned with intended outcome achievement. Focuses on how and why outputs and strategies contributed to achievement of outcomes. Focuses on questions of relevance, effectiveness, sustainability and change.
Methodology	Tracks and assesses performance (progress towards outcomes) through analysis and comparison of indicators over time.	Evaluates achievement of outcomes by comparing indicators before and after the intervention. Relies on monitoring data on information from external sources.
Conduct	Continuous and systematic by Programme Managers, Project Managers and key partners.	Time-bound, periodic,in-depth. External evaluators and partners.
Use	Alerts managers to problems in performance,provides options for corrective actions and helps demonstrate accountability.	Provides managers with strategy and policy options, provides basis for learning and demonstrates accountability.

Figure 12: Differences between monitoring and evaluation (UNDP, 2002, 12, adapted from UNICEF, UNFPA, World Bank).

2.5.2 Criticisms of Current Practices

Although development programmes and policies are designed to change outcomes, and whether goals have been achieved is a key public policy question, whether these outcomes have been met and whether programmes have improved well-being is not often examined.

Focus, Gertler et al. (2011) argue, is usually on controlling or measuring inputs and immediate outputs such as the amount of money spent and the number of wells built (Gertler et al., 2011).

Similarly, Annecke (2008) argues that policy-makers and donors often prefer quantitative indicators of impacts, rather than generalised statements about development impacts, but points out that quantitative evidence such as the number of wells built during a certain amount of time gives different, perhaps less meaningful, results to those generated with qualitative questions concerning the impacts of the new wells on health and use of time. Blagescu and Young (2006, 6) argue that a theory of cause-effect learning, what event leads to what kind of result, is needed.

Despite Gertler et al.'s claim that M&E rarely measures whether well-being has been improved, they point out that there is a move towards evidence-based (results-based) policy making with a shift in focus from inputs to outcomes and results which can be used to enhance accountability, inform budget allocations, guide policy decisions, improve quality, efficiency and effectiveness of interventions (Gertler et al., 2011).

2.5.3 Challenges in Evaluating Development Assistance

Jafferjee and Salles (2007) argue that M&E is not yet fully institutionalised and at best operationalized in a piecemeal manner. The key challenges for countries moving towards results-based M&E include a lack of linkages between M&E elements and systems and lack of integration between sectoral and territorial processes (Jafferjee & Salles, 2007).

There is concern of how to meet both the regulatory demands of donors and partners as regulatory systems may differ between countries and therefore may pose a challenge (Jafferjee & Salles, 2007). Research into current best practices in evaluation in partner countries is therefore needed.

2.5.4 Objectivity and Transparency in M&E

For M&E to be credible it must be independent. M&E is however financed by donors and usually conducted by private consultants (Jafferjee & Salles, 2007). Jafferjee and Salles (2007) carried out a study of local M&E systems and capacities of ten countries in which German development organisations operate. They argue that the growing number of private consultants and market research companies in the development industry bring expertise in survey methods but must also have a commitment to development objectives.

According to Jafferjee and Salles' (2007) study, selection of M&E consultants usually occurs through personal networks and experience with previous consultants rather than using databases of M&E service providers, which they argue is a more transparent way of operating.

Jafferjee and Salles (2007) reported that their interview subjects were worried about offending those in more powerful positions and that joint evaluations were not possible without sacrificing critical reflection and objective analysis. According to Annecke (2008), while these challenges are very real, it is important for participants to focus on meeting the goals of national development plans and the MDGs rather than personnel or personalities.

2.5.5 Role of Partner Institutions

Frameworks and evaluations are usually designed by the funding agency and while Terms of Reference (ToR) may be presented to partner institutions for review, partners rarely provide feedback, which according to Jafferjee and Salles (2007), demonstrates a low degree of interest and engagement among partners. This is perhaps not surprising when criteria is determined by funding agencies and evaluations are seen as management tools to control or prove with less emphasis on improving as is the intended purpose of evaluations (Jafferjee & Salles, 2007). Partner institutions should however hold a key role in the evaluation process.

Jafferjee and Salles (2007) suggest that genuine cooperation on evaluation will require a shift in ideology of evaluation towards control being replaced with compromise. Such a change, they argue, will require trusting partnerships built over a longer period of time.

2.5.6 Requirements for Successful M&E

Horton et al. (2003) emphasise the need for every evaluation of capacity development to contribute towards the effort itself and the target organisation or potential end-user of the evaluation by involving them in the process. By doing so, greater awareness of capacity development concepts, practices and understanding of the findings, as well as commitment to the organisation's future, are fostered. Moreover, involving potential users in the process, encourages participants to express themselves more freely, leads to greater acceptance and internalization of the conclusions and recommendations of the evaluation, as well as increases the likelihood that decisions and actions take place immediately (Horton et al., 2003).

It is also important, as Andersen (2002) emphasises, to avoid measuring the performance of one organisation's particular contribution to sector programs in isolation from what other organisations may be carrying out in the same target area.

Often evaluations are only considered at a late stage and simply produce lengthy reports that are seldom read or are submitted too late to influence decisions (Horton et al., 2003; Energypedia, 2011; Watson, 2006). For this reason, Annecke (2008) emphasises the need for M&E to be part of the initial project design rather than conducting it as afterthought leaving little resources or time for the process.

Another requirement is to select indicators in order to determine whether interventions have been carried out according to plans. Indicators help explain why expected results did or did not materialize (Gertler et al., 2011). However, according to Jafferjee and Salles (2007), much of the debate on M&E is focused on indicator fulfilment instead of central issues including the dynamics of poverty.

A multitude of handbooks on M&E have been published by large development institutions.

For example, Gertler et al. (2011) at the World Bank developed the *Impact Evaluation for Practitioners* textbook. They emphasise the importance of developing a theory of change as one of the first steps in the evaluation design process, when stakeholders can assist in developing the program vision, objectives, and ways to achieve them, and are therefore able to carry out interventions with a common understanding (Gertler et al., 2011). A theory of change is "a description of how an intervention is supposed to deliver the desired

results. It describes the causal logic of how and why a particular project, program, or policy will reach its intended outcomes" (Gertler et al., 2011, 22).

Creating a theory of change facilitates the separation of the inputs and activities that go towards the interventions, the outputs that are delivered, and the outcomes which occur through behavioural changes among the target group. A theory of change can be represented in various forms, including a results chain or logical framework. A results chain "establishes the causal logic from the initiation of the project, beginning with resources available, to the end, looking at long-term goals" (Gertler et al., 2011, 24). A results chain (Figure 13 and 14) includes:

Inputs: available resources.
Activities: actions taken to convert inputs to outputs.
Outputs: goods and services that the activities produce.
Outcomes: results achieved once the target group has used the outputs (short-medium term).
Final Outcomes: final project goals achieved over the long-term (Gertler et al., 2011).

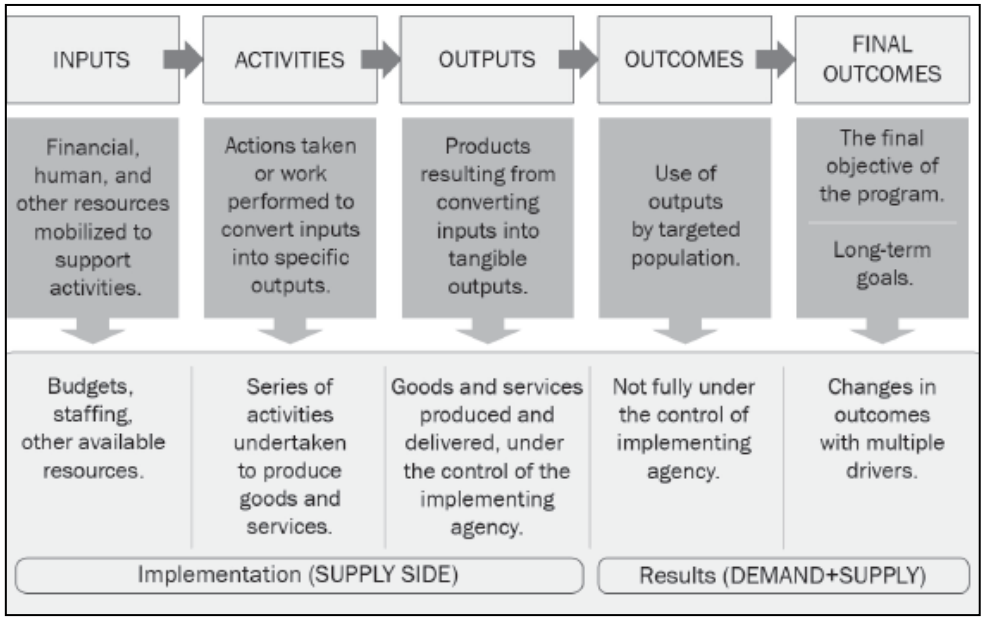

Figure 13: A results chain (Gertler et al., 2011, 25)[24].

The results chain in Figure 14 provides sample data for an education programme. The chain tracks the programme steps from the inputs, including budget, staff and training facilities, how those inputs are used in activities, in teacher training, for example, through to the final outcomes of the programme, including higher employment rates among graduates.

[24] Gertler et al. (2011) acknowledge having drawn on multiple, but unnamed, sources in the development of their depiction of a results chain.

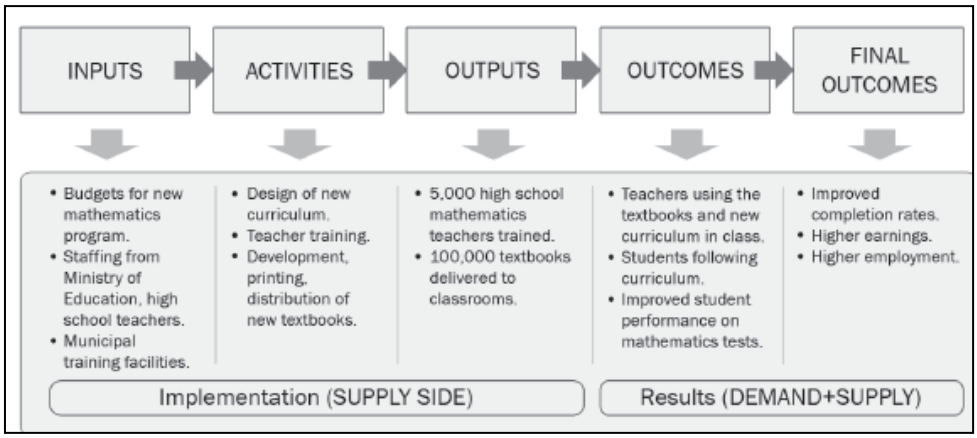

Figure 14: A results chain with sample data (Gertler et al., 2011, 25)[25].

In 1992, the OECD Development Assistance Cooperation (DAC) Principles for Evaluation of Development Assistance were adopted (OECD, 2010). The DAC Principles (below) are a set of five criteria that are described by OECD (2002, 2010) as useful to consider during the evaluation of development programmes.

> *Effectiveness*: The extent to which the development intervention's objectives were achieved, or are expected to be achieved, taking into account their relative importance.
>
> *Efficiency*: A measure of how economically resources/inputs (funds, expertise, time, etc.) are converted to results.
>
> *Relevance*: The extent to which the objectives of a development intervention are consistent with beneficiaries' requirements, country needs, global priorities and partners' and donors' policies.
>
> *Impact*: Positive and negative, primary and secondary long-term effects produced by a development intervention, directly or indirectly, intended or unintended.
>
> *Sustainability*: The continuation of benefits from a development intervention after major development assistance has been completed, the probability of continued long-term benefits, and the resilience to risk of the net benefit flows over time.

UNICEF (n.d.) also provides guidelines for undertaking M&E. Those guidelines which were used in the development of the framework for this study include:

- Identify who needs what information, how quickly, how frequently, in what form and for what purpose.

[25] Gertler et al. (2011) acknowledge having drawn on multiple, but unnamed, sources in the development of the example results chain.

- Consult beneficiaries while preparing the report and ask decision-makers which data will be most useful to them.

- Keep the information requirements to a minimum.

- Collect the information that will be most helpful to those who will use it. All too often data is collected in too great a quantity and of too poor a quality and which ultimately does not get analysed or used.

- Identify what has or has not been accomplished in terms of planned activities, outputs and objectives not simply a description of the situation or what project staff are doing.

- Include explanations of setbacks or reasons for not accomplishing plans.

- Identify ways to overcome constraints and propose revised objectives and activities in light of setbacks.

- Present quantifiable data rather than general or subjective opinions.

2.5.7 Rome and Paris Declarations on Aid Effectiveness

The Paris Declaration (OECD, 2005) endorsed in 2005, states that donors commit to using performance indicators that are consistent with national development strategies. The principles of increasing ownership, aligning aid with partner countries' priorities, systems and procedures and helping to strengthen their capacities and harmonising the delivery of aid among donors within the development agendas of partner countries are key in the Rome and Paris Declarations on Aid Effectiveness in 2003 and 2005 respectively (OECD, 2005, 2008; Jafferjee & Salles, 2007).

In the Paris Declaration partner countries commit to establishing results-oriented reporting to ensure that actions contribute towards the achievement of clearly stated results, the use of assessment frameworks that monitor progress against national strategies, and cost-effectively available indicators (OECD, 2005.).

2.6 M&E frameworks

While most organisations have systems in place to produce information which is aimed at helping monitor and evaluate a project's success against objectives, these systems may not allow for adequately clear conclusions to be made about improvements in development conditions and people's lives. The following section provides a brief overview of several of the key handbooks and frameworks accessed during this research.

UNDP's M&E handbook and framework

The United Nations Development Programme (UNDP, 2002, 2010) has developed a handbook and framework for better defining, capturing and communicating capacity development results. UNDP emphasise the importance of the framework being user-friendly, of aligning the M&E system with results-based management and in particular to promote learning and application of knowledge around results on how and where measurable contributions to the elimination of poverty are being made in order to make more informed decisions.

CARE's Climate Vulnerability and Capacity Analysis Framework

Defining who is vulnerable to climate change and why is part of the process in preparing to design a framework. CARE (2009) developed the Climate Vulnerability and Capacity Analysis tool for the purpose of outlining the role of institutions and organisations at different levels in carrying out activities related to climate-resilient livelihoods, disaster risk reduction, capacity development and addressing causes of vulnerability. The approach is based on the knowledge that people must be empowered to transform their rights and livelihoods (CARE, 2009).

World Resources Institute's National Adaptive Capacity (NAC) Framework

The World Resources Institute (WRI) developed the National Adaptive Capacity (NAC) Framework. As the title suggests, the framework is focused on national-level functions that countries need to perform in order to adapt to climate change over time. The functions include assessment (of vulnerability), prioritization, (climate-relevant) information management, coordination (of different adaptation actors) and risk reduction, which will be

carried out differently by different actors in each country. The framework is designed to be used to assess how well, and by whom, functions are being performed and can thus be used to identify opportunities and priorities to build adaptive capacity (WRI, 2009).

The NAC takes a systems approach in that the relationship between different actors in each country is viewed as an "adaptation system" that can support adaptation by different sectors of society just as relationships within an ecosystem support the well-being of individual organisms. The framework focuses on functions, what can be done to adapt, rather than assets and resources, when it comes to indicators of adaptive capacity. The NAC focuses on the national-level where the link between assets and functions is less direct than at the smaller scale where national assets are often distributed unevenly among institutions and the population (WRI, 2009).

2.7 Summary of Observations

Analysis of the literature review revealed a number of consistencies and gaps in the literature. Firstly, the need for more focus on genuine participatory approaches and stakeholder engagement was consistently acknowledged and discussed in the literature. Secondly, the literature on M&E covered issues relating to proper implementation and the importance of transparency, credibility, and stakeholder participation in the process. Thirdly, the new Law on Charities and Societies in Ethiopia is consistently cited in recent literature (see USAID, 2011 and IFHR, 2009 on page 25) on development in the country and is referred to as a hindrance to the capacity of NGOs to carry out their work. Finally, there was little reference to emphasis shifts and the relationship between research and practice in the context of CSOs and adaptive capacity to cope with climate change risks. The field research therefore served to attempt to fill these gaps in understanding and provide local context.

3 Methods

This chapter is divided into two parts: the first relates to qualitative analysis which concerns the fieldwork interviews and the second the framework development.

3.1 Qualitative Research: Fieldwork Interviews

3.1.1 Data Collection and Interview Methods

This section discusses the qualitative research methodology, material gathered, selection of interviewees, and the manner in which the data was recorded.

Background information on the climate risk management activities (particularly those relating to organisational capacity) of the ERCS was collected in the form of survey questions, interviews and reports. Qualitative data on past and current climate change impacts and adaptation strategies by the community, government and institutions was also collected and interviews and informal conversations on those topics conducted. More specifically, information on impacts (both climate change impacts and pilot project impacts), coping strategies, progress and challenges of the project, the needs and expectations of the PfR programme target community, women's groups, other beneficiaries, and PfR programme alliance staff was collected in the form of interviews. The information collected was supplemented by reports and interviews with academics and NGO staff. Following the first research trip, the list of sub questions (introduced on page 3 and relisted below) was refined and further developed and interviews during the second research trip directly related to those questions.

Overall Research Question:

How can CSOs be (more) effective in building capacity?

Sub Questions

1. What are some of the requirements of CSOs and communities for successful implementation of a project or programme?
2. How can project/programme monitoring and evaluation (M&E) be improved and better meet the needs of the project/programme to ensure that capacity building goals are met?
3. How do CSOs coordinate between different hierarchical levels and with partner organisations across geographical scales and what improvements can be made?
4. What is the importance of community participation in project/programme design and implementation?
5. How do organisations keep up with emphasis shifts on issues in the international arena and what is the impact on target communities?

6. What is the state of the relationship between research and practice and how can links be improved?

The use of multiple sources of evidence allows for better confirmation of validity of data. For this reason, semi-structured in-depth interviews, notes taken from informal conversations, as well as reports and other forms of literature, were used in the data collection process. In addition, notes from the *Rio 2012: Ethiopia's Input to the Sustainability Summit* conference and workshop held in Addis Ababa on May 25-26, 2011 were also used. The workshop brought together participants from NGOs, federal and regional government, academia, research institutions, international organisations and the diplomatic community. The purpose of the event was to examine the state of environmental governance in Ethiopia and to contribute towards national dialogue and regional level discussions in the lead up to the Rio+20 United Nations Conference on Sustainable Development to be held in June, 2012.

It should be noted that qualitative methods are often seen as anecdotal and those which cannot be supported by hard facts. However, as Brockington and Sullivan (2003, 73) describe, qualitative methods have the potential to provide powerful insights:

> *"Methodology may just mean a series of meetings with people, but if researchers are appropriately self-aware, and meetings are characterized by good listening, and conversation, we will have much to learn about the world in which we live. The basic requirement for good research, qualitative or quantitative, is that one is friendly and engaging with people, and open to learning from what they tell you and from what you observe and experience."*

Interviewing method

In depth semi-structured interviewing was chosen as the primary method of interviewing as it allows for focused, conversational, two-way communication. In-depth interviewing involves asking a set of pre-planned open-ended questions but also asking additional questions to clarify or expand on a particular issue. In-depth interviewing is also used to understand the interviewee's opinions on issues (World Bank, n.d.b). The conversational style of the method is less-intrusive and may mean that individuals may be more ready to discuss sensitive issues.

The difference between semi-structured and structured interviewing is that in the former, not all questions are designed and phrased ahead of time, but rather created during the interview. This method allows for flexibility and the opportunity to discuss issues, gain insights and probe (FAO, 1990; Bryman, 2001). In-depth semi-structured interviews are also different from standardised open-ended interviews in that the latter consist of open-ended questions worded and arranged in order in advance. In standardized open-ended interviews, the same questions are asked to each interviewee using the same wording and order. The advantage of this method is that responses can be easily compared. However, open-ended interviews do not permit the interviewer to pursue issues that were not anticipated when the interview guide was prepared, and does not allow for alternative lines of questioning with different people, which may be appropriate in some cases (World Bank, n.d.b; Bryman, 2001)

An interview guide which listed a pre-determined set of questions or issues that were to be explored in the interviews was created. Interview guides act as a checklist for during the interview and also ensure that the same information is obtained from a number of people. Questions do not necessarily need to be asked in the same order but flexibility in wording or sequencing questions may lead to different responses from interviewees which may ultimately reduce comparability (World Bank, n.d.b; Bryman, 2001).

Some of the most common problems with the method of interviewing include asking leading questions, failure to listen closely, repeating questions that have already been asked, failure to judge the answers correctly and asking vague or insensitive questions (FAO, 1990).

While formal semi-structured interviews were conducted both during the first research trip in December 2010-January 2011, and the second in May 2011, only those conducted during May 2011 were digitally recorded, while detailed notes on individuals' interpretation and feelings on the subject matter were taken on both research trips. These notes were used to support findings of the seven recorded (six verbal and one written) interviews. The interview questions served both to identify issues of relevance in the qualitative research which relate to the research sub-questions, but also to provide responses on areas in which the framework could be improved.

Short semi-structured interviews with five staff at different government institutions regarding the availability and use of digital cartographic data to produce hazard and risk maps, as well as how this data is shared among institutions, were also conducted. These interviews were not conducted specifically to collect data to answer the research questions in this thesis but contributed to the knowledge acquired on coordination through the primary interviews.

Formal interviews were mostly conducted at interviewees' place of work and lasted between 30 minutes to over an hour in duration. In most cases, advance appointments were made with interview participants. For reasons of confidentiality, the names, professions and their respective places of work, where relevant, are not identified. However, it has been identified that some responses are from those that are linked to the PfR programme. Subjects were informed that their participation was voluntary and, for the most part, were informed beforehand that their responses would remain anonymous[26].

Sampling Method

Interview respondents were selected on the basis of being key informants in combination with the snowballing technique. Key informant interviews involve the selection of respondents because as a result of their knowledge, previous experience or social status in the community, they have valuable insights into the functioning of society.

The snowballing method involves using recommendations from interview respondents to locate additional respondents based on their knowledge or expertise (Bryman, 2001). The method is practical but one disadvantage is that it runs the risk of being very selective

[26] *Anonymity* generally refers to participants remaining nameless, while *confidentiality* means not releasing information in a way that permits linking specific individuals to specific responses (Neuman, 2006). The two terms are however used interchangeably in this study and both practices, with the exception of disclosing that some responses are from those linked to the PfR programme, were upheld.

because each individual is connected—either directly or indirectly (Overton & van Diermen, 2003). They may not know or interact with each other but they are in some way linked (Neuman, 2006). In order to counter the potential effects of this, attempts were made to select interview subjects from a diverse group as possible and (also for reasons of confidentiality) to not reveal the names of interviewees' peers or colleagues who had also been interviewed. In the end, though, succeeding in such attempts was quite challenging and it was accepted that those interviewed were potentially linked in some way through their work. While anonymity may not have been possible in all cases, full confidentially was upheld.

Interview subjects consisted of professionals from a range of different backgrounds but all with professional experience and/or knowledge in the field of M&E and/or CSOs. It must be noted that while efforts to locate suitable female interviewees were made, these efforts proved unsuccessful and all interviews and conversations which contributed data to this report were conducted with men resulting in the research not being gender-sensitive in this regard. This might be a reflection of the absence or low participation rate of women in key positions in the sector in Ethiopia, or simply that women did not hold key positions at the organisations and institutions contacted. It is not clear how the lack of representation of women in the sample has impacted the research results. In addition, interviewees were primarily of Ethiopian nationality, though non-Ethiopians were also interviewed or spoken to informally. Interviews and conversations were conducted in English, the second or third language of the interviewees. It is not clear how language has influenced the results, but most interviewees spoke a high level of English.

The seven interviews which were used in the results of the qualitative research were identified prior to and during the first research trip. Background interviews were conducted on the first research trip with follow up interviews relating to the refined research questions taking place during the second research trip. A group interview with one of the PfR programme target communities was also conducted to obtain background information and identify issues of concern.

3.1.2 Content Analysis

Coding

Codes are used to retrieve and organize chunks of information which are then categorized to allow the researcher to identify and cluster meaningful data relating to a particular research question or theme and thereby begin to interpret and understand what they mean and thereby draw conclusions (Miles and Huberman, 1994, as cited in Bell, 2006). Coffey and Atkinson (1996) describe coding as data simplification and reduction but also that in some cases, it can lead to data complication. Coding can be used to reduce data to some general, common denominators as well as to expand, transform and re-conceptualise data in order to open up more diverse analytical possibilities.

A series of themes were developed from the research questions and each theme was assigned a number. These themes make up the coding categories. The interview recordings for this research were then transcribed verbatim. The interview transcripts and field notes were reviewed and segments of the interviews classified according to the different coding categories. This was done so as to present a uniform and consistent approach for interpretation. Analysis of the results followed the process of classification.

The six coding categories consist of: factors affecting successful implementation, project evaluation, coordination, community participation and ownership, emphasis shifts, and research and practice.

It is worth noting that ultimately not all responses can be included and that some responses were given by just one or a small number of sources. However, even if there are few or no similarities in responses and a small number of interviewees in a qualitative study, answers, and in fact the research itself, cannot be excluded on the basis of lacking importance or significance. The purpose is to map the responses given, and by doing so, roughly show the depth, implications and potential of what is going on as well as the variety in responses and how they interconnect and not to calculate how many people hold the same view on a certain issue. It is then up to the researcher to interpret the real and possible consequences of what is going on in the field by placing the interview responses into a wider context using both other sources of information and general experience in the field.

Document Review

The collection of secondary data served to supplement the primary research data. A review of PfR programme documents such as work plans, objectives and progress reports from pilot projects was also conducted. As well as providing useful information on programme activities, these documents also provided an initial base for questions during the collection of background information during the first field research trip.

One advantage of using such documents is that the data entries are usually recorded at the time of collection and therefore are less likely to be subject to memory distortion, as may be the case with interviews. However, progress reports may also be subject to biases which occur during their production, known as selective-deposit bias (Overton and van Diermen, 2003). While it is important to note that secondary data in general may not necessarily be truthful or valid (Overton and van Diermen, 2003), it should be pointed out that there is no suggestion that this was the case with documents accessed for this research. In all, reference material included published books, reports, academic articles, news articles, project proposals and supporting documents, internal documents from CSOs and internet web sites.

Initially, it was hoped that policies and activities of different organisations in the PfR programme, as set out in internal documents, could be compared in order to get a better understanding of how each organisation complimented each other, as well as coordination issues. However, while permission to access all requested internal documents was granted, some documents were ultimately either passed on at a late stage, or failed to be provided, making it difficult to construct a clear picture of the PfR programme and how organisations might coordinate.

3.2 Framework Development

To reiterate the point made in the opening chapter (see page 3), monitoring and evaluation frameworks are considered, in this research, to be tools which are required by CSOs to effectively keep track of the development of capacity, keep objectives in check, and identify areas for improvement and lessons learnt, and therefore contribute towards effective building of capacity (the subject of the overall research question). The responses

and information collected in reference to the sub questions contributed towards the development of the framework.

The framework (Figure 17 in section 4 on pages 77-80) is the result of an iterative process produced using, in part, data from the ECRS Climate Change Induced Disaster Risk Reduction Programme from Ebinat *woreda*, the pilot project carried out from January 2009 to December 2010, which preceded the PfR programme which began in early 2011. Responses from the interviews in the qualitative research were analysed for relevance to framework development and M&E. The framework development process also included a review process where feedback on the framework was provided. The framework was developed for periodic monitoring rather than for the final evaluation process which will take place on completion of the five year project.

One of the requirements of the PfR programme M&E criteria for the community-based, ecosystem-based DRR/CCA approaches is that it demonstrate a "transparent, reflective, reputable and objective" way of reporting, a more thorough approach which, according to the Red Cross, is new for the organisation and organisations like the Red Cross (PfR, 2010).

The PfR programme proposal (PfR, 2010) stipulates that the intended results must be monitored, ensuring contextual relevance. The M&E process serves three purposes:

i. Project Management
ii. Learning
iii. Accountability

Decisions to manage the programme are taken at five levels:

i. Board of Directors
ii. Steering Group
iii. Programme Working Group
iv. Country Lead
v. Alliance Member Country Representative

The PfR programme proposal states that the M&E system is designed to provide each level with the specific information it requires to make decisions and for it to "facilitate meaningful M&E in the implementation and evaluation phases" (PfR, 2010).

Taking the above into consideration, the development of the framework began by reviewing existing frameworks and framework models as well as literature on capacity building and M&E.

Initially one of the aims of this research was to determine whether the National Adaptive Capacity (NAC) Framework developed by WRI would fit the requirements of the PfR programme. It was identified quite early on that the NAC would not be suitable for use in the PfR programme, but that it could possibly be adapted. The reason for this is that the NAC focuses on national-level functions while the aspects of the PfR programme which

concern this research relate to civil society. The task then was to use the NAC as a base for developing a framework which would better suit the needs of the PfR programme.

This process involved reviewing a number of other existing frameworks, including a framework and corresponding handbook developed by the UNDP for better defining, capturing and communicating capacity development results, as well as methodology for assessing capacity. The World Bank (n.d.c) has put together a guide for the development of an M&E plan. Related documents from UNESCO and the NAPA for Ethiopia (NMA, 2007), among other reports were referred to and helped shape the framework.

The UNDP Capacity Assessment Methodology (Figure 15) was also used during this stage of the project and is useful in defining capacity development and its importance. The UNDP framework focuses on achieving national development goals through two types of results: outcomes measured by change in institutions ability to perform efficiently and effectively and sustain performance over time and manage change and shocks; and outputs or products produced or services provided that result in investment in key capacity development response areas (UNDP, 2010).

The framework follows the logic of a results chain and presents a flow of how improvements in people's lives (the impact level) are affected by changes in institutional performance, stability and adaptability (the outcome level), which is affected by the products and services produced from programming actions (the output level), which in turn is affected by human, financial and physical resources (inputs) required to generate outputs (UNDP, 2010).

According to UNDP (2010a), the levers of change that are most effective in developing capacity include:

i. institutional arrangements
ii. leadership
iii. knowledge
iv. accountability

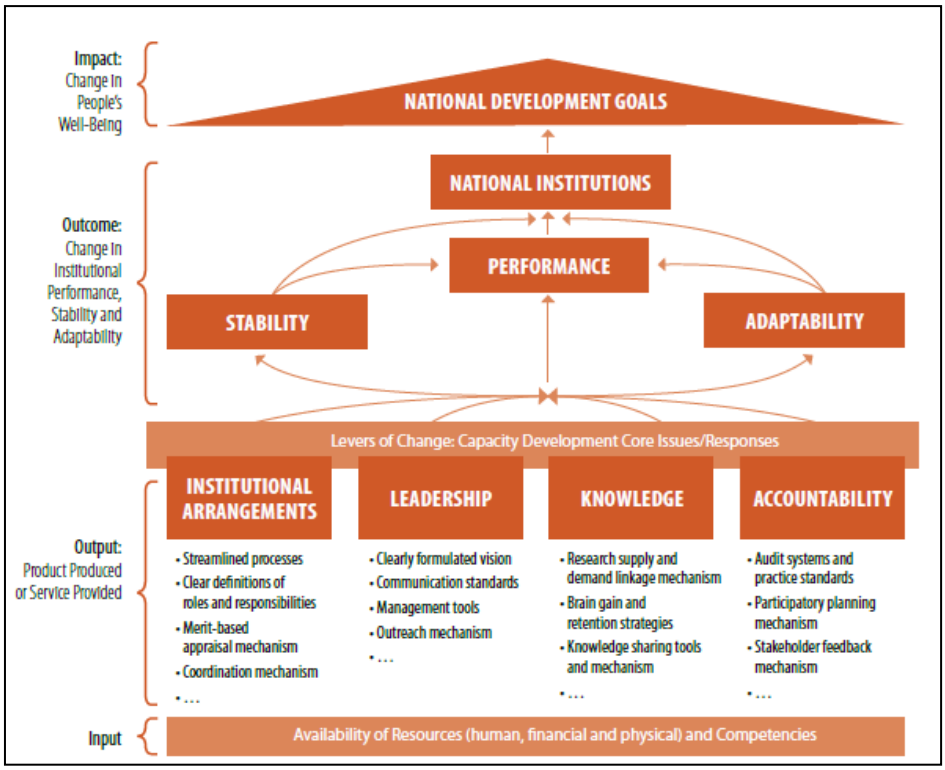

Figure 15: The UNDP Capacity Assessment Methodology (UNDP, 2010).

Gertler et al. (2011) describe what is meant by a theory of change and how to represent it in the form of a results chain (Figure 13 and Figure 14 on pages 35 and 36 respectively). As discussed on page 35 in the literature review, a theory of change is "a description of how an intervention is supposed to deliver the desired results. It describes the causal logic of how and why a particular project, program, or policy will reach its intended outcomes" (Gertler et al., 2011, 22).

A results chain is one way to represent this theory of change and "establishes the causal logic from the initiation of the project, beginning with resources available, to the end, looking at long-term goals" (Gertler et al., 2011, 24). Understanding this results chain, theory of change and how changes at different levels, and in different areas, can lead to improvements in people's lives, as set out in the UNDP methodology, was essential in the development and structuring of the framework.

In order to identify the capacity gap to target, UNDG (2008) recommends a three step capacity assessment process be followed (Figure 16). The process consists of defining desired future capacities, defining the level of desired future capacities and assessing the existing capacity level.

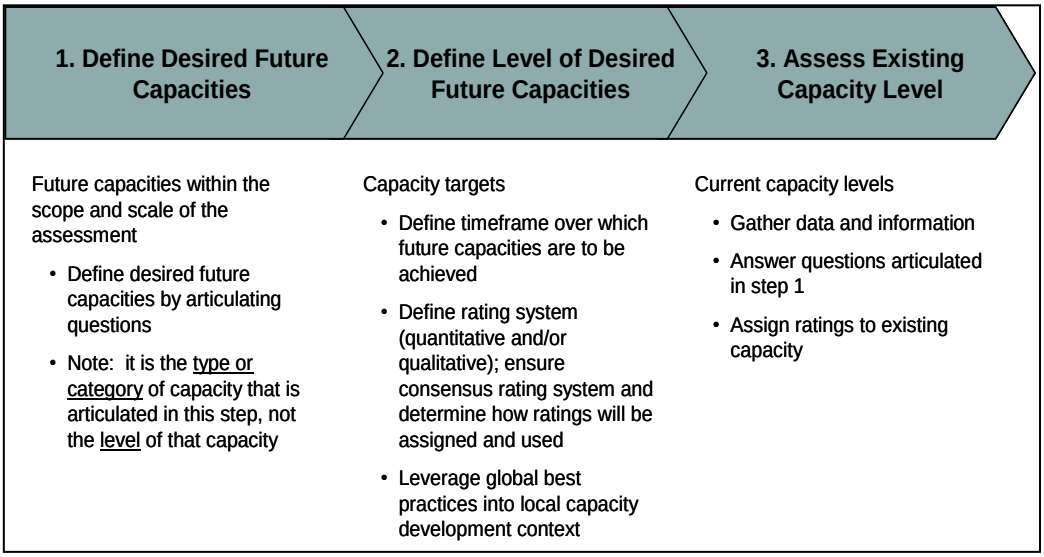

Figure 16: Steps to conducting a capacity assessment (UNDG, 2008).

3.2.1 Guiding Principles for Framework Development

Systems theory or systems thinking forms the core of the theoretical framework of the study, particularly in relation to the building of capacity. Systems thinking is an approach of understanding that considers how things influence each other within a whole, as in the different elements that make up an ecosystem (Aronson, 1996). This theoretical framework has been chosen for the study of how organisations function and how capacity building efforts can be improved because people, structures and processes must work together within an organisation in order for that body to be effective. Systems theory takes the view that problems are part of a greater system and that all parts must be taken together, rather than focusing on one particular aspect or event. This way of thinking acknowledges that improvement in one area of an organisation may lead to unintended consequences in another (Aronson, 1996). This is important in being able to measure sustainability and whether the investment into building capacity will be effective.

3.2.2 Development of Indicators

The process also involved researching how the PfR activities could be measured and drafting a list of possible indicators. While that part of the project was later abandoned due to insufficient information on programme activities at the time, knowledge of the development of indicators was also important in the framework development process. Indicators show progress or lack thereof towards objectives. They are used to measure results against what was planned and are thus used for assessing achievement, performance or change. In other words, they determine what type of information will show whether an objective has been accomplished.

Indicators should follow the SMART criteria: Specific, Measurable, Attainable, Relevant and Time specific[27].

Put otherwise, according to UNICEF (n.d.), they should be:

a. Measurable (quantifiable through a percentage, ratio or number)

b. Factual (mean the same to everyone)

c. Valid (measure what they claim to measured)

d. Verifiable (can be checked)

e. Sensitive (reflect changes in the situation)

Because indicators should generally relate to objectives, structure and implementation of the project, they are best selected locally. In order to create an indicator, it is necessary to refer to the intended result and its target (the intended user or beneficiary of a project or service). Many indicators can be established for each objective but it is necessary to select a very limited number of key indicators which will best demonstrate whether the project objectives have been accomplished. It is also important to consider that good indicators limit and focus data collection and that some indicators may not be feasible to track in the time period available or with the available resources (UNICEF, n.d.).

3.2.3 Testing of Framework

Once the skeleton of the draft framework was complete, sample data consisting of data on activities and gains from the quarterly reports from the ERCS 2009-2010 pilot project in Ebinat was used to fill in the framework and establish a baseline or starting point for the 2011-2015 PfR programme in the same district. Some of the data was altered or changed altogether for the purpose of testing the framework (i.e. not all the information included in the draft was necessarily correct or appropriate).

3.2.4 Framework Review Process and Role of Results from Field Research Interviews

Another key component of the framework development process consisted of having the draft reviewed for feedback by possible end-users, as well as analysing the responses from the interviews in the qualitative research component for relevance to framework development and M&E in order to identify areas for improvement.

Feedback on the draft framework was sought in the form of a survey from both those within the PfR and others with experience with indicators and M&E. A total of five individuals, some of whom were also interviewees for the qualitative research, provided feedback. The aim of this method was to collect a variety of perspectives from people at various levels of organisations involved in the PfR, as well as their partners and those

[27] The SMART acronym, widely used today, was first set out by Doran (1981).

outside the programme. Questions in the survey which related directly to the framework consisted of:

- Will you use this report as part of your job function?
- Will you contribute information/data for the report?
- Have you previously used a progress report as part of your job function?
- Are there any aspects or details in the report which are unnecessary or inappropriate?
- Is there any information which you feel is missing?
- Do the heading names adequately represent the data in the columns?
- Please indicate which aspects of the progress report, if any, are unclear.

A selection of feedback results were taken into consideration and appropriate adjustments made.

4 Results

4.1 Qualitative Research

Review of Interviews

Seven recorded interviews (six verbal and one written) and multiple unrecorded interviews and informal conversations, which were detailed in field notes, provided the basis of the qualitative data. As detailed on page 43, five interviews with staff at different government institutions regarding the availability and use of digital cartographic data to produce hazard and risk maps, as well as how this data is shared among institutions, were also conducted.

Upon analysing the documentation resulting from the interviews, several similarities[28] became apparent. These similarities include attitude towards M&E. All respondents who were asked about project evaluation felt that urgent changes needed to be made to the current methods used and, more specifically, that monitoring frameworks needed to be well-tailored to the specific project and developed by those with intimate knowledge of issues on the ground. Respondents also emphasized the importance of community involvement at all stages of a project, something which despite being stated in project documents was not occurring. The importance of these issues is highlighted in the literature.

The results of recorded interviews by coding category (factors affecting successful implementation, project evaluation, coordination, community participation and ownership, emphasis shifts and research and practice) follow. Notes from unrecorded interviews, informal conversations and other field notes are used to support these findings.

It is important to restate that while some interviews and informal conversations were carried out with staff involved in the PfR programme and about PfR issues, a larger number were carried out with those not involved with the programme and were entirely unrelated to the PfR or ERCS, but referred to programmes and projects carried out in the country and about the Ethiopian context in general. Therefore, results and interview quotes in the following section do not necessarily imply a PfR or ERCS link and should not be treated as such. Despite the general nature of the results, some of the key recommendations set out in the discussion chapter (page 88) are also applicable to ERCS.

4.1.1 Factors Affecting Successful Implementation:

What are some of the requirements of CSOs and communities for successful implementation of a project or programme?

[28] To point out that there are “few similarities here” or “many there” is simply a comment. As the real goal is to map the responses, such comments do not suggest importance or lack thereof.

Respondents provided a variety of answers to this question. One respondent said that the most important requirement is that projects have the ownership of those who they are aiming to benefit, and therefore participation and involvement of community is vital. This issue is elaborated on below in the results of the fourth research question and is well supported by others' research, including Blagescu & Young (2006). Respondents to unrecorded interviews said that lack of ownership was more of a problem than in other countries in the region (East Africa) and that staff absenteeism and poor motivation was a significant issue.

Other responses to the question included flexibility to deal with the reality on the ground, a good organisational system and facilities including fast internet to enable better coordination between partners, a clear-cut vision to achieve something in a certain time period, resources to be able to attract and retain well qualified and experienced staff, the ability to select the right person for the job, a good atmosphere within the organisation and the ability to bring together different perspectives from within an organisation.

These interview responses are also supported by literature. For example, several studies have found that high turnover and lack of linkages between programmes severely constrained the capacity to work in a coordinated way and that there is a clear need for capacity building of local NGOs, CSOs and institutions (ODI et al., 2006; PfR, 2010; USAID, 2009; NMA, 2007). Loubser (1993, as cited in Blagescu & Young, 2006, 2) cites vision, strategies, work ethic, efficiency, skills, knowledge, technological and financial resources among the many elements of capacity.

It was also emphasised by several interviewees and during informal conversations that staff at NGOs hire their relatives above potentially more suitable candidates and that this must stop.

> *"We need political commitment. Political commitment is not just for politicians, it is about assigning the right person at institutions. The right person means well educated but it should also be equitable and fair."*

> *"If one really wants to realise development in the real sense, on the small scale on the ground, one has to come, be focused, work with the people, talk and come up with how the M&E should be, taking into account what models and experience from the different parts of the world [exist], but that's not the case."*

> *"The ceremony about 'communication is key'. Maybe if I start talking in English it will be easier for me but it will be very difficult for my stakeholders to understand. This is where commitment comes in, commitment from those who are coming and leading the institutions."*

> *"[…] accumulated experience is a very competitive advantage in addition to the resources that they [NGOs] have at their disposal. These NGOs are competing for large amounts of money – they have a lot of capacity and experience and this gives them a competitive advantage."*

There was inconsistency as to whether financial capacity was an issue with some saying that more money was in fact needed especially for salaries as staff turnover was high, while others insisted that capacity would rather be improved if more training was provided

to staff members and volunteers and that more emphasis was placed on professional development. Some responded that the workload, low salaries and long trips to the field made it very difficult to recruit and retain CSO staff to posts in remote areas.

> *"We have the resources, but we just don't know how to use them. If someone tells us how to use them, it will be fine."*

> *"The salary is very low compared to the work we put in."*

Respondents said that better planning, faster implementation, and increased involvement of the community was needed.

> *"[The project] should be planned according to the environment, the site, so there should be some planning amendments based on the reality at the sites. Then, in planning, the community, officially, the community members and the development officials should be involved, should sit together and discuss. And there should be quarterly or yearly workshops with the officials and the community members to evaluate everything and then a lot of things should be included especially based on the development strategy of the government, depending on the development potential of the area. Actually, we have a rough plan, but it should be a detailed plan and implemented in a timely manner with the involvement of the community. Our problem now is that it is not timely."*

According to a 2010 USAID report, NGOs in Ethiopia are often "one-man shows" and in many cases lack a clearly defined sense of mission and little or no understanding of strategic planning of programme formulation. In the 2009 NGO Sustainability Index, Ethiopia fell within the "sustainability impeded" stage for all areas (NGO Sustainability, Legal Environment, Organizational Capacity, Financial Viability, Advocacy, Infrastructure and Public Image) except Service Provision (USAID, 2010). According to one respondent, if a project fails local organisations get the blame due to lack of capacity. They suggested that this was because an insufficient proportion of project budget are directed towards maintaining capacity of local NGOs and CSOs.

> *"If the project fails the international organisations do not get the blame. The blame goes to the local NGOs thanks to their poor capacity. But their poor capacity is also because the international NGOs and donor agencies do not leave enough money to maintain the capacity of the local NGOs. They put most of the money towards services and beneficiaries but the beneficiaries cannot benefit either if there is poor capacity to transfer the activities to the grassroots level."*

Blagescu and Young (2006), stress that capacity building is a long-term investment. However, according to UNFCCC (2007), external support of adaptation activities is often short-term and project-based leading to expertise loss between projects. A speaker at the *Rio 2012: Ethiopia's Input to the Sustainability Summit* conference held in Addis Ababa on May 25-26, 2011 also mentioned accountability and the issue of transfer of blame for project failure.

Respondents also mentioned the new law on the operation of NGOs in Ethiopia and the challenges it poses to local organisations. Similar concerns have been raised in recent literature (see, for example, USAID, 2011 and IFHR, 2009) and the law has been

condemned by various local and international bodies. The law stipulates that NGOs that mobilize above 10 percent of their resources from international sources are not permitted to be involved in rights-based advocacy work.

4.1.2 Project Evaluation:

How can project/programme monitoring and evaluation (M&E) be improved and better meet the needs of the project/programme to ensure that capacity building goals are met?

All respondents who were asked about their thoughts on current methods of project evaluation felt that many changes needed to be made.

> *"It is an area in which we urgently need to do more work."*

Two of the six respondents expressed concern that M&E systems designed overseas and not in the country of use were in their opinion not suitable because they did not meet the specific needs on the ground in part because of a knowledge gap on the area and the realities of the situation on the ground. Jafferjee & Salles (2007) and other authors support the suggestion that M&E is designed at the top level with little engagement of local partners. They argue that M&E is often seen as a management tool to control or prove and not to improve. Partner countries that have endorsed the Paris Declaration (OECD, 2005) have committed to aligning aid with partner countries' priorities and national development strategies.

It was also mentioned in interviews that reporting formats do not allow for unexpected or unforeseen events and that greater flexibility was therefore needed.

Interviewees emphasized the importance of having M&E systems which are well-tailored to the context and culture and must be translated into the first language of the end-user.

> *"It should be specific, it should be timely, especially since monitoring starts the moment you start working on the project. It should be well-tailored to the context, the culture, the language and the person who is assigned to use it should be the one who is responsible for its continued development."*

Respondents mentioned that M&E systems were too often presented at a very late stage and did not take into consideration the additional time that staff needed to familiarise themselves with the format. This statement is well supported in the literature. Horton et al. (2003), for example, state that evaluations are often considered at too late a stage to be conducted properly and influence decisions. Annecke (2008) and UNICEF (n.d.) highlight the need for M&E design to be part of the project design and for beneficiaries to be consulted during the process.

Interviewees also reported that each level and each person involved in the project seemed to use a different M&E framework and that there was therefore no standard approach. They expressed the importance of having a standard format at least among partners and in ensuring that frameworks were not complicated, that they were clear and practical.

Three of the six respondents said that a clear measure of what constitutes success does not always exist in the M&E framework while similarly another said that goals were too often

unachievable. Interviewees expressed the importance of providing clear guidelines as to how success is to be measured.

> *"You may not even be 80% successful, or even 60% successful but at least you need to have a mission of what the measure of success is and then to see your progress continue throughout the years. That's why linking it with the goals, you see the linkages because if your goal is this then how do you implement it? And you need to monitor whether your goals are relevant and implementable."*

> *"What they have as a vision, a mission, is most of the time unachievable."*

Respondents said that focus in M&E is often on plans and activities, what has been carried out, and not on whether goals have been achieved. In short, M&E needs to change from being activity based to results-based.

> *"The problem is not about establishing one monitoring and evaluation format. The problem is with the concept, whether they are monitoring and evaluating activities or outputs. That is the problem in the whole African context. We tend to focus on plans, on activities but those activities, whether they have achieved their required and intended outputs is not monitored properly."*

> *"Instead of activity based or classical monitoring and evaluation we need a results-based monitoring system. We need to make a change in the monitoring and evaluation system in this country […]. Then you can bring real change."*

> *"It should focus on quality not quantity. For example, it's not just the number of kids in school but the quality of education - what are they learning? Otherwise it is just for show."*

Gertler et al. (2011) and others state in the literature that whether outcomes have actually been met and whether programmes have improved well-being is not often examined. When asked what was preventing changes from being implemented into current M&E systems, one interviewee responded:

> *"We need a strong government administration. They [donors] are coming with money and you cannot say 'change this and that' because they will go to Kenya or Uganda."*

Some respondents also had the view that NGOs are becoming more like governments in that they are less transparent, less open to criticism and less likely to coordinate with each other. McGann and Johnstone (2006, 66) describe a current "crisis of accountability and transparency" in the global NGO sector. The sector in Ethiopia does not have a strong self-regulatory system but progress is being made by CCRDA and the Civil Society Taskforce, which are working to revise the NGO Code of Conduct of 1999 (USAID, 2011). Few in-depth empirical studies on the transparency of NGOs exist, but a 2010 study which looked at 300 NGOs in Uganda found that although the vast majority claimed to have made their annual reports and balance sheets public, many failed to provide the information, or failed to provide accurate information (Burger & Owens, 2010). Two of the six respondents expressed concern about what they described as pressure from donors to show successful outcomes and targets being met.

"[…] You present all the findings and they [the donors] are shocked when you identify something [negative], so they take 50 percent […] and they say 'would you mind setting it up like this?' It loses its flavour."

Respondents complained about pressure to distort data to 'show results' and thereby please donors and secure renewal of funding. Owen and Burger's 2010 study on the reliability of self-reported data of 300 Ugandan NGOs concluded that unrealistic donor demands proved an obstacle to transparency and that NGO self-reported information should be used with caution. Similarly, according to Shakil Ahmad and Abu Talib (2011), quantification of presented data, the way in which it is presented, and biased documentation are all major problems. Moreover, Li (1999) states that staff may select target groups which already possess the characteristics a project aims to create, and communities shape their needs based on what they believe to be deliverable by NGOs.

In addition, Gertler et al. (2011) argue that focus is often on measuring inputs and immediate outputs, such as the amount of money spent and number of wells built, rather than measuring improvement in well-being. According to Jones (2012), priority is placed on spending funds within specific timeframes while learning is not highly valued and insufficient emphasis is placed on ensuring that programmes deliver change. A similar sentiment was expressed by respondents who claimed that timelines were not flexible and that the speed at which a project budget is spent is sometimes seen as a measure of success.

"Even if you have an elaborate monitoring and evaluation system, if your data source is distorted, no matter how you go about it, with complicated and highly advanced software, at the end of the day, the data you are going to produce is going to be distorted. Maybe they tell you that HIV in this region has been reduced by x percent but at the grassroots level, with people on the ground, you can't find those things."

"They can't say the rate of HIV has increased because those resources are being directed to deal with the problem – they need results. Malaria is killing people but they don't really say that. They say 'malaria is killing people but we are reducing it' that is what they report.

"These tier one[29] organisations […] base success on the rate of burning the budget, not in terms of achieving goals."

However, one respondent said that M&E practices have improved among some organisations:

"Previously monitoring and evaluation was not something that [we] knew. You plan and then you implement at the end some studies [to show results]."

The literature supports this claim with Gertler et al. (2011), for example, stating that there is a move from focus on inputs to outcomes and results.

[29] In this context, a tier one organisation refers to a major or large organisation.

4.1.3 Coordination:

How do CSOs coordinate between different hierarchical levels and with partner organisations across geographical scales and what improvements can be made?

The issue of coordination was identified as a sensitive topic and therefore this topic was approached with caution by the interviewer. Four of the six respondents said that coordination was difficult because of what they described as a top-down, donor-centred approach. Respondents described a lack of flexibility, unrealistic demands made by donors and policy makers without the necessary training or knowledge to satisfactorily understand complex issues related to climate change and environmental protection.

Interviewees stated that because permission is required for every step of a process, it takes too long to implement a project. It was also stated that staff at higher levels who have not visited the field do not understand the importance for the communities of completing projects, meeting goals and on ensuring there are no delays. The burden of partner organisation field visits on the scarce resources and staff of local partners was also brought up and is an issue which Anderson (2002) describes in his article.

The literature also discusses the need for local involvement and poor links between actions on the community level and knowledge development on the national and international levels (PfR, 2010).

Boesen and Therkildsen (2005, as cited in Blagescu and Young, 2006), argue that capacity development is a domestic matter and should be based on what is possible rather than what may be ideal. Fukada-Parr et al. (2001) point out the need for supporting existing initiatives and institutions rather than constructing new ones on the basis of foreign blueprints while Mosse (2004) claims that interventions are driven by requirements of organisations to maintain relationships, rather than by policy.

Community members in Ebinat said that there was too much talking and not enough action on the ground while it was mentioned during other verbal communication that there is a gap in coordination in terms of the donors and mobilization of resources.

> *"[…] somebody coming from, say, Ireland, he's coming with his fixed A, B, C, D 'no way, that's the money I'm allocated.'"*
>
> *"Special activities that are designed in London or Glasgow, they come here to implement them and it's either 'my way or the highway'."*
>
> *"As far as they're [the donors] are concerned, we need to follow the timeline. It's going to be interesting because if the people in the bureaucracy insist that certain deadlines are met if we are saying 'no, we can't do that' then I don't know what the consequences of that are going to be."*
>
> *"They delayed the release of the budget. How can we finish the budget [within the timeframe] working with all these ups and downs?"*
>
> *"We are running for money – that's the reality on the ground. […] They think they work for the people, but they don't. […] The donors are not interested in bringing welfare – that is just rhetoric."*

"Sometimes the policy makers and the technicians are very far away […]. How do you bring them together to discuss? […] I found there is a vacuum between these two, there is a lack of knowledge and coordination."

According to Jones (2012), due to high staff turnover, often staff involved in a programme's planning have moved on by the time the final evaluation is conducted. A lack of ownership, rewards for new ideas, rather than an emphasis on using proven ideas and lessons learnt, and a desire of new staff to 'put their stamp' on the project all lead to loss of institutional memory and the failure to successfully build capacity (Jones, 2012, 1).

According to one respondent, in some cases staff working for organisations do not properly represent project or programme target communities because of failure to pass on important project details and communicate effectively with them. A lack of understanding of the reality on the ground was again mentioned by two respondents.

"Individual parties with different objectives cannot achieve something concrete."

"[…] institutions which are supposed to be network institutions tend to represent the network on their own. So you are supposed to be [represent] the organisation but you end up speaking on behalf of the fifty organisations but about your own ideas. Organisations also tend to individualise rather than institutionalise a process and within organisations there are people who also individualise things so sometimes it's not the organisation but the individual, so it's at different levels. […] When you have people supposedly representing organisations, individuals and communities [but in reality representing their own ideas or those of their organisation] then you will have a disconnect between what you are trying to do because you are trying to reach the other side but you end up only reaching the organisation that is representing them."

It was also mentioned at the *Rio 2012: Ethiopia's Input to the Sustainability Summit* conference that decisions made in, for example, New York would do little to make progress.

One respondent emphasised the importance of focusing right from the beginning on the strengths and experiences of each organisation within a joint project and how they can complement each other in their work.

According to the literature, Ethiopian NGOs are underdeveloped and the lack of recognition and the importance of linkages between actors needed to carry out a proper humanitarian response is a hindrance (USAID, 2010; UNOCHA & Government of Ethiopia, 2010). Respondents also mentioned that coordinating with partners, donors and stakeholders is too time-consuming. It was clear from some informal conversations that some did not see the need for regular meetings. Those interviewed who worked in the sector stated that they did not have time for proper coordination with partners particularly since they had multiple emergencies to deal with.

"It involves a lot of time, a lot of adjustments of the organisations and actually also a lot of trust in each other."

"What I see in developing this whole coordination, it's becoming quite a bureaucratic problem as well, which is probably good, we need to manage with so many organisations in so many countries."

In addition, according to respondents there are currently around 5,000 NGOs[30] and CBOs operating in Ethiopia. Many NGOs emerged in response to the 1973-74 and 1984-1985 famines but many more were established after the fall of the Derg[31] in 1991 (USAID, 2010).

According to several respondents, this large number of organisations can cause problems and it is especially challenging to work on projects with a high number of organisations. According to two of the respondents, the roles and responsibilities of individuals, offices, and each partner organisation working on an intervention needs to be better defined.

"It's a problem, the rules of the game of these different institutions is different and the level of understanding and interpretation of poverty and development are different so they are operating differently."

It was also mentioned by one of the speakers at the *Rio 2012: Ethiopia's Input to the Sustainability Summit* conference that there is no collective voice with many organisations working on environmental issues and few steps towards solutions. During a panel discussion on international environmental governance at the summit, one person questioned the logic and need in having the UN involved in certain projects at the local level, stating that Ethiopia has a lot of capacity that is not being tapped into.

"Why do we need the UN to plant trees at the local level?"

They stated that the international level is expected to assist in building the capacity of the national level but that, in their opinion, the national and local level was actually losing capacity.

According to interviewees, for some organisations in Ethiopia the government is the primary partner in terms of implementing activities and technical support on the ground and close cooperation is therefore imperative. One respondent said that coordination is usually only a problem at higher levels, and not at the lower levels. They stated that staff at the branch level and field office levels work more cohesively than those at the national or headquarter level as there are a smaller number of staff which work more as a "family".

"I see coordination is a problem at the higher level, not at the lower level. If you go to the UN, World Bank etc. their modes of operation are all different and the way they use terminologies are different, so how can we harmonise? We stick to our own and they stick to theirs."

[30] USAID (2010) reports that there were 3,800 NGOs registered in Ethiopia at the end of 2009 but this number dropped to 1,850 in February 2010 after a re-registration process when the Law on Charities and Societies, which defines foreign NGOs as any NGO with more than 10 percent of its funding from foreign sources, came into effect in late 2009.

[31] Communist military junta which ruled the country between 1974 and 1991.

This view was also expressed at the *Rio 2012: Ethiopia's Input to the Sustainability Summit* conference where one person criticized what they described as a lack of coordination between UN agencies working on different but related issues.

It was suggested by some that there were many challenges in working with the government. However, according to another respondent, different actors manage to collaborate effectively in some areas.

> *"The civil society, the government, even the private sector are coming together to solve some social issues."*

Informal conversations and interviews with staff at government institutions regarding the availability of digital cartographic data found that there was little or no coordination between different institutions or organisations. Institutions did not have information on the kind of data other institutions held, nor whether other institutions held any digital cartographic data at all. This seems to be a similar situation in terms of knowledge of local environmental issues. According to information received during informal conversations, greater awareness and availability of information on what issues have been sufficiently researched, and which issues have not, is needed. According to the literature, one reason for the lack of coordination among and between institutions and NGOs is the high staff turnover which constrains their capacity to function in a coordinated way (ODI et al., 2006).

4.1.4 Community Participation and Ownership

What is the importance of community participation in project/programme design and implementation?

All four respondents who were asked about community involvement expressed the view that it was vital for the successful implementation of a project.

> *"I think it is obvious that issues anywhere in the world can only be successfully handled or implemented if the sustainability issues are taken care of and one of the prime requirements of this is that it has the ownership of those people who are going to be benefiting. For that to happen, institutions have to be open enough to ensure that the participatory mode of doing things is used."*

> *"It must ensure sustainability by giving the ownership to the people or organisation which is going to benefit from it, but if the organisation which is conducting the work, starts to think of the activities as their own benefit, their own show time, their own talk time, their own funding time and all those things then that's where the whole issue of individualistic and institutional processing really comes up."*

> *"The top-down approach is quite tangible while we are used to using a much more bottom-up approach […]. Everything so far has come from the top - hardly any work has started at the community level and I find that is quite a challenge."*

These responses are supported by the literature. IFPRI (2008), for example, emphasises the importance of local knowledge, while Jackson (2003) stresses the need for considering cross-cultural issues during project design.

Some organisations are making the shift from working in emergency mode to working on development projects. One interviewee described this move as a challenge. They made the following comment:

> *"In this project we focus on community managed DRR approach, which is a challenge in itself because it is a total paradigm shift from where we came from, from emergency mode, to try to go into development and to go to real ownership of the communities and their management of projects."*

Two respondents gave examples of projects or programmes which did not involve the target community and which were difficult to implement because the needs of the community were not reflected in the project.

> *"They just try to work according to the donors' interests and finally when the project is being implemented they find it difficult to implement it smoothly because sometimes the needs of the community are not even reflected in the project – they are the needs of the donor."*

According to Burger and Owens' (2010) study of 300 NGOs, in 39 percent of cases where NGOs reported that they asked the community about their needs before initiating a project, community members maintained that they did not.

The literature provides examples of the consequences of not involving the local community in a project. UNDP (1999) cites an example of an earlier hillside terracing project in Ebinat which was unsuccessful—the terracing was neglected and ultimately destroyed—due to a lack of ownership by the local community.

One respondent expressed the view that although the term 'participatory approach' was used to describe projects, they often remained top-down with little or no genuine consultation, particularly between international organisations and the community or civil society actors.

> *"[…] you can create favourable issues so that we can call it participatory. Even though we are calling it participatory, it is more or less top-down."*

According to the literature, some researchers and practitioners agree and feel that the term has become a mere cosmetic addition to proposals (James, 2001a, as cited in Blagescu and Young, 2006; James, 2001b). Mosse (2004) believes that it is easy to conceal the fact that projects are not as participatory as they are made out to be and claims that this is characteristic in varying degrees of all participatory projects. He argues that the delivery of some programmes may simply be considered to be too important to be left to participatory processes.

Others, however, maintain that it is not possible for NGOs to work in local communities without their support and key involvement, and that such claims are based on a misunderstanding of power relations between the actors (Bryant, 2005 and Clark, 1998, as cited in Bryant, 2008). Issues related to ethnicity, while certainly relevant to the country as a whole, were not mentioned by respondents in relation to coordination or community participation. This does not mean that such factors were not present but that they were not discussed with the researcher.

4.1.5 Emphasis Shifts

How do organisations keep up with emphasis shifts on issues in the international arena and what is the impact on communities?

Again, there were few similarities in response to the question about a shift of emphasis on issues. According to UNFCCC (2007), external support of adaptation activities is often short-term and project-based with a single task approach leading to expertise loss between projects, instead of a long-term programme approach.

One respondent said that there wasn't an outright shift in focus on certain issues, but that each time a different issue comes into the international spotlight, other issues receive less attention. They emphasised the need for a certain amount of success to be achieved before organisations move onto working on other areas. They argued that this will better ensure that goals are carried through, and that capacity is built so that project goals may be sustainable.

They described this as the "honeycomb" approach where organisations build up the "honeycomb" but leave before the "honey", or real substance, has been produced, and questioned what happens to the capacity of the local organisations involved.

> *"I think it is not that it is left just like that, but probably the attention for that particular issue is reduced drastically, but it's still on the agenda of the organisation but it's not given the attention that it had earlier. But, when an issue is a priority at one point in time, of course you are not going to have perfect success for those issues but I would prefer that you achieve a certain amount of success in what you would like to achieve."*

Another respondent also said that a shift didn't exist but that different terms were being used to refer to the same ideas.

> *"In the 80s and 90s, the idea of sustainable development and sustainable agriculture was there, but now we call it climate resilience. It's really just jargon. In Ethiopia there isn't really any change or shift. […] They are [simply] giving different names [to the same ideas] to make it sound 'sexy'. The focus is on how to build a sustainable ecosystem and community based development. […] That is the foundation, so you can expand it […] but as far as I'm concerned for Ethiopia this [the focus] has not changed."*

According to one respondent, it was necessary to follow and adopt the new terms in order to attract funding.

> *"It's not a problem. Some years ago I called it sustainable development and this and that but now I call it climate resilience or green economy because I want to compete to get finances – otherwise it would be very difficult. […] We simply want to take our share of the international finances."*

Another respondent said that a shift of emphasis does occur according to what donors are focusing on at any given time. That way, organisations are able to get funds but are not able to build up knowledge, they said.

"They don't have a clear-cut vision to achieve what and in what amount of time. For example, if a large amount of money is being put towards HIV/AIDS, they [some NGOs and CSOs] shift all their activities to the HIV/AIDS sector, even if they were established to, for example, provide clean water to farmers."

4.1.6 Research and Practice:

What is the state of the relationship between research and practice and how can links be improved?

All respondents said that it was important to focus on demand-driven research and on prioritising knowledge gaps and warned against carrying out "research for research's sake". Respondents spoke about the large volume of research being conducted but that staff at organisations did not have time to read lengthy reports. They also stated that this not only led to lessons not being transferred to the ground but researchers continuing to research areas without coordinating it with research already completed on similar, if not identical, subjects. The findings of others detailed in the literature review (see Horton et al., 2003 and Watson, 2006 on page 34) support the view that evaluations, for example, are conducted too late to have an impact on policy, that they often produce lengthy reports which are seldom read, and that lessons learnt are not fully utilised. PfR (2010) emphasise the need the strengthening of links between actions at the community level and polices and knowledge development at higher levels.

According to respondents, a close look at how development agencies/NGOs and research institutions coordinate, as well as a synthesis of relevant research completed in Ethiopia is needed. This view was also expressed by attendees of the *Rio 2012: Ethiopia's Input to the Sustainability Summit* conference. Attendees of the conference and some respondents also referred to quality studies too often being "shelved" instead of read by decision-makers. Similarly, Booth (2011) identifies insufficient capacity of organisations to absorb such research as a major issue. Conference attendees also mentioned the need for relevant research to be made available to and read by policy-makers. A need to scale up success stories which come from the community was also mentioned.

One respondent explained that organisations often do not have the time or capacity to carry out research and so partnerships with academic institutions were important.

"The relationship with knowledge institutions is very important because as an implementing organisation we don't have the time to really go into detail, to research and to get such information on the table. Yes, we do a lot of work with the community and we try to document experiences well but really researching and looking into data and interpreting it is something that is useful for the future but that we don't really have the time or capacity. The relationship with knowledge institutions is without a doubt something we need to nurture."

However, other respondents said that such partnerships were challenging as harmonizing the needs of academic institutions with the needs, interests and expected timeframes of NGOs and CSOs was difficult. One respondent explained that research collaboration programmes with NGOs and CSOs were not sufficiently well designed to be able to address capacity building needs of organisations.

"It is doable but in terms of coordination and harmonizing institutional interests and academic criteria it requires more effort and more discussion […]. Like for a PhD student, it may take up to three years [to get the results] but NGOs need fast-fixing solutions. One NGO requested two or three PhD students but then they wanted the report in six months' time. This isn't possible. It really requires more understanding of the institutional set up."

According to one respondent, because universities are top-down organisations, university management and government staff needed to be involved in establishing such partnerships.

"Universities are mostly top-down organisations so in order to ensure that things are done quickly and efficiently you need to have the involvement of the university leaders. So, I would prefer a university leaders initiative which actually discusses a roadmap for Ethiopian universities, to link with, and ensure that universities are working towards, the Ethiopian National Development Plan."

The Horn of Africa Regional Environment Centre and Network (HoA-REC/N) at the University of Addis Ababa, runs a Demand Driven Action Research (DDAR) programme which facilitates joint research between NGOs/CSOs/the private sector and universities in HoA-REC/N's thematic and geographic focus areas in an attempt to bring academic research capacity closer to the reality on the ground and thereby help research contribute to the development process in the region. Thus, HoA-REC links NGOs/CSOs/the private sector to universities. Research requests from CSOs are collected before students are invited to submit research proposals fulfilling the demands, and which aim to lead to data and insights that will immediately be used by actors working on the ground. The centre also facilitates experience exchange within the Horn of Africa countries and through training from other areas using case studies from the field.

It was mentioned at the Rio 2012: Ethiopia's Input to the Sustainability Summit conference that there is a need for a national body to tap into all available knowledge on environmental issues.

HoA-REC also works at building capacity between Ethiopian universities. A staff member of HoA-REC who was interviewed said that it is important to duplicate the initiative at other universities.

"More benefits for local organisations can actually happen only through duplicating this initiative in other universities. […] our initiative is unique in that it has NGOs and universities as partners but each of the bigger universities which are in the capital cities of the regions can replicate a similar initiative."

Interview respondents said that research into best practices and lessons learnt from other areas was needed in the following broad research areas:

- Livestock – methods for improving feed for animals.
- Natural resource management – types of seed and vegetation that are better suited to grow in dry areas which are susceptible to drought.
- Climate change adaptation for agricultural sector.

- Scaling up success stories for sustainable development that come from the community.

Respondents said that although research was being conducted on climate change related subjects, a lot more was needed.

> *"As much as you find climate change issues being discussed there is less research and development actually on this. […] Of course there is research going on but we need an enhancement of this. For example, I would like to see research on breeding programmes, breeding crops that are resistant to higher temperatures and pest resilience and give it support as they are long-term research projects. But, in order to be able to reap the benefits after four or five years, they need to be implemented immediately. As much as it is a long term plan, it needs immediate action."*

4.1.7 Summary of Results of Qualitative Research

The feedback sessions on the framework and the interviews and informal conversations were in part used to better understand relevant issues to take into consideration when developing the M&E framework as well as gauge sentiment in the field on current approaches to M&E. Therefore, the qualitative research supports the development of the framework and the framework is intended to be used to ensure that some of the issues addressed in the interviews, such as activity based evaluation and lack of clear goals, are avoided.

A summary of recurrent themes from interviews and informal conversations within each category follows.

Factors affecting successful implementation

- Level of ownership of projects by those who they are aiming to benefit.
- Staff motivation and attendance at work.
- Level of flexibility to manage realities on the ground.
- Organisational system and facilities such as internet speed. Fast internet, for example, assists in enhancing communication and coordination.
- Planning.
- Clarity of goals and visions.
- Timeliness in implementation of projects.
- Accountability (transfer of blame for project failure).

Summary statement:

Respondents described a variety of hindering factors affecting successful implementation of projects or programmes. It is clear from emphasis on the importance of local ownership, which relates to several of the above points, that this must be discussed more openly

among donors and partners, and while there is clearly no easy solution, further steps must be taken to move towards greater inclusiveness.

Project evaluation

- M&E systems and reporting formats developed abroad may not meet the needs on the ground.
- Systems must be well-tailored to the context, culture and language of the project and end-user.
- Success must be clearly measurable.
- Goals must be seen to be achievable.
- Evaluation must be results-based, not activity based.
- Data distortion to 'show results' and secure continued funding is a problem.
- Pressure from donors to show results is unhelpful.
- Lack of flexibility with deadlines, especially when unexpected issues arise, is a hindrance.
- Despite this, M&E practices have improved

Summary statement:

While several respondents expressed the view that M&E practices had improved, all listed various areas in need of great improvement. The fact that respondents were concerned about individual reporting formats not always being suitable for the projects or programmes they are to evaluate, success not being clearly measurable, and reports of data distortion is worrying and indicates the need for further improvements and closer cooperation between partners.

Coordination

- A top-down, donor-centred approach was described as one of the biggest hindrances to effective coordination.
- A knowledge gap between policy makers and practitioners and top level and field level staff was also brought up.
- Coordination and regular communication is, by some, seen as too time-consuming.
- Staff at smaller organisations or branch and field level offices are seen to work more cohesively and more like a "family" unit than those at higher level offices, or offices at the headquarter level.
- Little or no coordination between institutions when it comes to digital cartographic data and its potential use in risk assessments.

- Good coordination with government is imperative.

Summary statement:

As mentioned in the previous section, lack of local ownership and involvement is a major hindrance and according to respondents also impacts potential for effective coordination. When it comes to coordination between levels, it is clear that existing divisions only further hinder proper and meaningful cooperation.

Community participation and ownership

- Community involvement is vital for successful implementation of projects.
- Sustainability of a project can only be ensured when local ownership exists
- The goal of improving the lives of community members must remain at the top of the agenda.
- Projects claiming to use the participatory approach are in some cases "more or less top-down.

Summary statement:

Here the issue of local ownership and involvement comes up again. The importance of community participation and ownership as one of the factors affecting successful implementation of projects cannot be overstated.

Emphasis shifts

- Shifts occur according to donor interest and availability of funding.
- When the attention of the international community shifts, capacity building at the local level must continue.
- Some responded that a shift does not exist but that different terms for essentially the same concepts are being used.

Summary statement:

Different issues are given different levels of priority at different times so it seems inevitable that shifts will occur. However, as respondents point out, this must not be at the expense of existing projects and those communities who are part the way through a project or programme.

Research and practice

- Need for demand-driven research that is linked to national development goals.
- Little time for practitioners to read reports and incorporate lessons learnt into operations.

- Partnerships between implementing organisations and academic institutions are important but more mutual understanding of each other's needs regarding research needed

Summary statement:

There are numerous areas in which more research is needed in Ethiopia and these gaps must be targeted with demand-driven research. Research results must be accessible to policy makers and to those in the field in order to increase the potential that research has a meaningful impact on change.

4.2 Framework Development

The framework (Figure 17 on pages 77-80) is the result of an iterative process using several existing frameworks and methodologies, detailed in the literature review and methods sections (see pages 38 and 47-49 respectively), as a reference. Sample data from the ERCS Climate Change Induced Disaster Risk Reduction Programme in Ebinat *woreda*, the pilot project carried out from January 2009 to December 2010, is used. However, it should be pointed out that while some data was sourced from the 2010 first quarter progress report of the project, in order to protect the confidentiality of certain details of the project, or because certain data was unavailable, some entries were altered or created for the purpose of testing the framework and therefore do not necessarily reflect the outcome of the ERCS pilot project, nor be treated as necessarily appropriate for the context.

4.2.1 User's Guide: Example Case Study

In order to better demonstrate what kind of data is to be entered in each section of the framework, the following example, loosely based on the ERCS pilot project, has been created.

The two-year ERCS Climate Change Induced Disaster Risk Reduction Programme in Ebinat *woreda* preceded the PfR programme which began in early 2011. The programme served as a pilot project in the lead up to the five-year PfR programme in the same *woreda*. The objective of the programme was to strengthen the capacity of ERCS to address the increasing risk of disasters in light of climate change at the national, regional and community levels. The target communities were selected due to their chronic poverty and on the basis of being among the most vulnerable communities to climate change risks in Ethiopia. The programme worked in partnership with the communities to increase their capabilities to mitigate, respond to and prepare for disaster risks. An external evaluation found that overall the programme was a success and accomplished most of its proposed activities and objectives.

One of the aims or **objectives** of the project was to ensure that stakeholders, particularly local communities, are able to address the risk of climate change induced natural disasters. The desired or **intended result** was that community members were able to demonstrate knowledge and awareness of natural resources management. A number of **project activities** were carried out in order to move towards achieving this aim. Activities to be conducted in the first quarter of the second year (2010) of the project included a refreshment training course on natural resources management for community members who had taken the first course the year prior (2009). Acknowledging the difficulties in

having community members attend a follow-up course, a return rate of 20 percent of those same community members who had attended in 2009 was set as one of the **activity goals**. The refreshment course was held and a total of 52 community members, roughly 20 percent of those who attended the first course, were in attendance. This represents the result or **activity output**. The **outcome** on completion of the course was that 20 percent of those who had attended the first course could be said to have sustained knowledge and awareness of natural resources management. The **impact** of the results is that protection of the community's natural environment was improved. Therefore, the **current period evaluation** showed that the desired progress or goal for the time period (20 percent attend the refresher course in the first quarter of 2010) had been achieved. There were no recorded **unintended results**, neither positive nor negative, for the activity. The **data collection method** for the results involved gathering the attendance lists from the course instructor, but could have also included test or survey results on knowledge of, and attitudes towards, natural resources management from the participants. In 2009, 260 community members took the training course on climate change and DRR. 20 percent of those are still residing and are active in the community and went on to take the refresher course in 2010. This indicates that the gains made in 2009 in increasing the knowledge and awareness of community members on natural resources management have been sustained through the refresher course and represents the **current status of prior gains**. An example of a **user-defined** column for this example could be inputs. The inputs could record, for example, that additional financial support to the total of ETB[32] 20,000 was received from the local government administration in funding the travel expenses of the course trainer.

4.2.2 Breakdown of the Framework

The framework consists of 11 mandatory columns and two optional columns. The framework is to be read from left to right with data to the right directly corresponding to the objectives in the far left column and illustrating a causal chain from objective to impact and current period evaluation, as the project progresses and more data is entered. Where no example for the activity exists, an alternative is provided. The examples below match those displayed in the framework.

Individual components of the framework

Definitions of terms set out by the UN were used as a reference for defining the individual components of the framework.

Objective: The objective is the goal for the stated time period.

Example: Stakeholders, particularly local communities, have adequate capacity to address the risk of natural disasters, particularly climate change induced disasters.

Intended Results: The intended results are the results at the strategic level. If all goals have been reached the intended results can be achieved. Therefore the intended results are the desired results of an activity.

Example: Community members demonstrate knowledge and awareness of natural resources management.

[32] ETB refers to Ethiopian *Birr*, the unit of currency in Ethiopia.

Project Activity: The project activity is a tactical step toward achieving the intended results.

Example: Carry out refreshment training on natural resources management for community members. By end Q1.

Activity Goal: The activity goal is a key indicator of the success of the project. It is a measurable aspect of the activity including a target result. In order to move away from an activity-based approach to a results-based approach of M&E, it is imperative that each activity have a listed target goal, or activity goal, and that project activities support measures or contribute towards project success.

The data entered in the outcome and activity goal columns may be identical if that aspect of the project is successful. As a key indicator of the success of the project, the activity goal should show progress (or lack thereof) towards objectives. It shows what actually happens compared to what was planned in terms of quantity, quality and timeliness and provides a basis for assessing achievement, change or performance (UNDP, 2002).

Example: 20 percent of community members who were trained in 2009 attend refreshment course. By end Q1.

Activity Output: The activity output is a development result that relates to the achievement of long-term goals and the completion, rather than conduct, of activities. According to UNDP, (2002), an activity output should be a specific product or service that emerges from the processing of inputs through activities and is therefore necessary to achieve project objectives.

Example: Refreshment course carried out. 52 community members attended.

Outcome: The outcome is a change in development conditions resulting from a project activity. According to the UN, it describes development conditions between the completion of outputs and the achievement of impact and peoples' responses to a programme and how they are doing things differently as a result (UNDP, 2002; UNICEF, n.d.). The data entered in the outcome and activity goal columns may be identical if that aspect of the project is successful.

Example: 20 percent of community members have sustained knowledge and awareness of natural resources management.

Impact: The impact is the actual change measured by people's well-being. The impact is the overall and long-term effect or result attributable to a development intervention, whereas the output and outcome reflect more immediate results related to objectives (UNDP, 2002; UNICEF, n.d.). According to UNDP (2002), the concept 'impact' is similar to "development effectiveness" which is the extent to which an institution or intervention has brought about targeted change in a country or the life of an individual.

Example: Protection of community's natural environment improved.

The output refers to the availability and accessibility of services; the outcome refers to utilization; impact relates to conditions in the project or programme target area.

For example:

Output: Number of community members trained in natural resources management.

Outcome: Number of community members with demonstrable knowledge of natural resources management.

Impact: Reduced deforestation and soil degradation in community.

Current Period Evaluation: The current period evaluation shows progress for the reporting period and is a key indicator of the success of the project. There are three possible options for the evaluation status: Goal Achieved which indicates that the goal has been 100 percent achieved; Goal Not Yet Reached which indicates that a goal is well on the way to being achieved but continued action is required; and Goal Not Achieved in the case of which immediate corrective action is required.

Example: Goal for 2010 achieved.

Unintended Results: The unintended results may be beneficial or detrimental to the activity goal.

Example: No data.

Example for one of the programme's other activities, such as the expansion of fuel saving stove production by women's associations to local *woreda*: less time for social interaction of women during firewood collection.

Data Collection Method: The data collection method includes research methods or data sources for the reporting results.

Example: Course instructor provided information and course attendance lists.

Current Status of Prior Gains: Current status of prior gains is an assessment of whether prior gains for each objective have been sustained. For example, the information in this column could assess whether a community women's collective fuel saving stove production initiative continued to produce and sell stoves and thereby improve women's livelihoods.

Example: 260 people in the community were trained on climate change and DRR in 2009. 52 (20 percent) of those trained in 2009 are still residing and active in the community. Those 52 members completed a refreshment course in 2010.

User Defined: columns[33] on the far right are, as the heading indicates, optional and their use to be defined by the individual user. They allow the user to track additional aspects of the project. Users can add columns as long as they provide data which mirrors the kind which appears in the other columns in the sample, assists in tracking of progress and which are required to undertake a proper analysis.

[33] Two user defined columns were added to the Excel version of the framework. Due to space limitations, the framework with sample data (Figure 15) includes just one.

The idea for the User Defined columns came after a wide variety of possible additions were suggested during the feedback collection process (detailed in the next section) and while not all could be included, it was recognized that it was not possible to develop an entirely generic template and that the end user should have input into what project aspects to monitor. This decision also ensures that the framework has a level of flexibility in terms of the type of organisation which may use the framework and the institutional or cultural environment in which the project is being carried out.

Examples of the kinds of suggestions for additional columns which were made include:

- Baseline data (data which describes the situation prior to the project's implementation and serves as a starting point and reference for measuring the performance of the programme).
- Inputs (financial, human and physical resources mobilized to conduct the project activities). It can be noted whether the inputs were mobilized by the government to carry out individual activities of the project.
- Risk factors and contingency plans.
- Assistance received from other actors or activities carried out by others in target area.

Example: Inputs: Additional funding to the total of ETB 20,000 from local government for payment of travel expenses for course trainer received.

4.2.3 Results of Review of Framework

Feedback received on the draft framework supported conclusions made during research and evaluation of current reporting formats that the framework must focus on results rather than activities. The aim of this method was to collect a variety of perspectives from people at various hierarchical levels of organisations involved in the PfR, as well as their partners and those outside the project. Below is a summary of some of the feedback received according to some of the questions posed in the survey followed in brackets by how those points were addressed:

- A column allowing for information on inputs and their source, as well as what kind of government support or coordination exists, is missing *(the User Defined columns were added).*
- A column for risk assessment and contingency plans is needed *(the User Defined columns can serve this purpose).*
- A column for baseline is needed in order to properly assess outcome of an intervention *(the User Defined column also serves this purpose).*
- A "user defined" column would be a useful addition *(two User Defined columns were added).*

- It is not clear how the Current Status of Prior Gains will be measured *(good baseline data and monitoring are required but no action was taken as methods are case dependent).*

- The difference between Intended Results and Outcome is unclear *(wording of description and sample data were reworded).*

- The wording of title descriptions is unclear (slight changes were made to the wording but examples provided should ensure greater clarity).

- The flow of the documents needs to be improved so that the reader knows where to start and finish (clearer description of how to use and read the framework was developed).

- The Activity Goal should identify key indicators/success measures for the project. It should be more specific and quantitative in nature for easier evaluation over multiple periods and in order to eliminate subjective results by, for example, using percentages, a scale, or a Y/N response option (sample data was reworded, and the use of percentages and Y/N responses were included to eliminate subjective results).

- Add the timeframe to be completed if that is a condition of success. All determining factors of success must be listed (e.g. number of people, percentages, timeframe, funds etc.). List them in bullet point form, not sentences.

- For example:

    - 20%

    - in 6 months

- (wording of sample data was shortened and placed in bullet points; the timeframe or deadline for completion was added where appropriate).

- Source data must be consistent and concise. Create an accompanying survey tool that asks for specific and objective responses. Ask for specific information and list options. For example: Do you expect this to take place within 2-3 days, 4-6 days, 7-10 days?

- (these additions were outside of the scope of the project and therefore no action was taken).

- Baseline data, risk factors and contingency plans should be in a separate, planning, document (the User Defined column exists for those users who feel that it is appropriate or useful to include such data in the framework).

- Allow for multiple reporting periods (e.g. Q1, Q2) in the one document (collapsible columns can be inserted in the Excel version of the file to allow for easier comparison between time periods. However, the paper version is likely to be used in the field).

Summary of Results of Review of Framework

- Feedback received on earlier drafts of the framework focused on technical aspects of the framework and helped shape the final version. Comments from respondents included the following:

- The framework must focus on results rather than activities.

- The difference between some category columns such as Intended Results and Outcome is unclear.

- The wording of titles and title descriptions must be clearer and not require further explanation.

- Source data should be listed in bullet points (i.e., concise) and be consistent.

- A user-defined column should be added.

- The Activity Goal should be more specific and quantitative in nature for easier evaluation over multiple periods and in order to eliminate subjective results.

- Allow for multiple reporting periods in the one document (e.g. Q1, Q2).

Summary statement:

The results of the feedback survey process were an integral part of improving the framework. It was important to receive feedback from respondents, some of whom had harshly criticized current reporting formats. Many comments were linked to ensuring that the framework wording and source data was clear and concise to ensure maximum user-friendliness.

Monitoring and Evaluation for Capacity Framework - with Sample Data

Project Name: Climate Change Induced DRR Programme **Project Site:** Ebinat, Ethiopia

Reporting Period: January - March 2010 (Q1) **Project Start Date:** January 2009

Objective	Intended Results	Project Activity	Activity Goal (Key Indicator)	Activity Output	Outcome
Goal for stated time period	Results at the strategic level	A tactical step toward achieving the intended results	A measurable aspect of the activity including a target result	A development result that relates to the achievement of long-term goals	A change in development conditions resulting from project activity
Stakeholders, particularly local communities, have adequate capacity to address the risk of natural disasters, particularly climate change induced disasters.	i. Community members demonstrate knowledge and awareness of natural resources management. ii. Women's livelihoods improved.	Carry out refreshment training on natural resources management for community members. →By end Q1.	i. 20% of community members who were trained in 2009 attend refreshment course. →By end Q1. ii. 20% of community members demonstrate knowledge and awareness of natural resources management. iii. x% of degraded lands have been reclaimed by community members. iv. x% of community members have awareness of hazards and vulnerabilities which the community faces in relation to climate change.	Refreshment course carried out. 52 community members attended.	20% of community members have sustained knowledge and awareness of natural resources management.
		Expand fuel saving stove production by women's associations to local woreda. →By end Q4.	30% of women in community with improved livelihoods.	Associations are producing and selling 10% more stoves and have expanded business to neighbouring woredas.	20% of women in communities with improved due to diversification of income.
		Ensure material support for women's associations for production of fuel saving stoves. →By end Q2.	30% of women in community with improved livelihoods.	Woreda energy office provided associations with support for necessary supplies.	20% of women in communities with improved livelihoods due to diversification of income.
	Communities have improved access to safe water.	Carry out hydrological study. Translate and disseminate report. →By end Q4.	i. x% of community members access safe water for daily consumption. ii. % of community members demonstrate basic knowledge of local hydrological system. →By end Q4.	Study completed but report not finalised.	Study completed but information not yet disseminated. Delay has hindered further development.

Figure 17: the Monitoring and Evaluation for Capacity Framework (page 1/4).

The national society has the capacity (knowledge, expertise, and organisation) to mobilise communities to address the risks of (climate change-induced) natural disasters	Climate change has been integrated in ERCS strategic planning.	Integrate climate change in ERCS strategic plan. →By end Q4.	ERCS strategic plan addresses climate change through DRR activities is integrated in ERCS strategic planning (Y/N?)	Climate change has been integrated in ERCS strategic plan.	The ERCS strategic plan now includes considerations of DRR and presents the foundation for future development activities.
	ERCS staff and volunteers have expanded knowledge of DRR.	Appoint DRR officer with appropriate capacity and commitment. →By end Q3.	i. ERCS has appointed trained DRR officer who demonstrates knowledge of the risks of climate change-induced natural disasters (Y/N?) ii. x% of activities are carried out according to Plan of Action. iii. ERCS staff, volunteers and community members are engaged in DRR activities to address climate change risks. iv. x% of DRR activities being carried out in communities are initated by ERCS staff and volunteers and were not part of the original planned activities. v. x% of DRR activities being carried out in communities are initated by the community and were not part of the original planned activities.	The ERCS Head of Disaster Management is in charge of DRR. A DRR officer will be recruited in 2010.	Recruitment of DRR officer yet to take place.
	ERCS staff and volunteers have expanded knowledge of DRR.	Carry out project management training course for staff and volunteers. →By end Q4.	i. ERCS has appointed trained DRR officer who demonstrates knowledge of the risks of climate change-induced natural disasters (Y/N?) ii. x% of activities are carried out according to Plan of Action. iii. ERCS staff, volunteers and community members are engaged in DRR activities to address climate change risks. iv. x% of DRR activities being carried out in communities are initated by ERCS staff and volunteers and were not part of the original planned activities. v. x% of DRR activities being carried out in communities are initated by the community and were not part of the original planned activities.	Project management training course planned but not carried out.	Planning of training course is a positive step forward. However, to increase capacity, the course must be carried out.

Impact	Current Period Evaluation (Key Indicator)	Unintended Results	Data Collection Method	Current Status of Prior Gains	User Defined (Optional)
Actual changes measured by people's well-being	Progress for the reporting period	Unintended results beneficial or detrimental to activity goal	Research methods or data source for reporting results	Assessment of whether prior gains for each objective have been sustained	Additional aspects of project to be tracked
Protection of community's natural environment improved.	**Goal for 2010 achieved.**	**No data.**	**Course instructor provided information and course attendance lists.**	**260 people in community trained on climate change adaptation and disaster risk reduction in 2009. 52 (20%) of those trained in 2009 are still residing and active in the community. Those 52 members completed a refreshment course in 2010.**	
Livelihoods of women in communities improved due to diversification of income.	**Goal for 2010 not yet reached. Achieved 2/3 of target. Continued action required.**	**Less time for social interaction of women during firewood collection.**	**Surveys and interviews with women's associations and ERCS.**	In 2009, 20 women from each PA received fuel saving skills training. 46 women were trained on production of fuel saving stoves and seed money was provided to them. Successful continuation of project in 2010 with 43 women continuing production of stoves. 19/20 women trained in fuel saving skills continue to reside in community.	
Livelihoods of women in communities improved due to diversification of income.	**Goal for 2010 not yet reached. Achieved 2/3 of target. Continued action required.**	**Less time for social interaction of women during firewood collection.**	**Woreda energy office provided information on financial support to associations.**	**In 2009, two associations received material support to make stoves. One association received 10 donkeys for transportation of stoves to remote areas. In 2010 this support continued with support from the energy office, allowing work to continue.**	

Delay in finalising report is major barrier to progress of project as many project activities cannot be implemented until after the report's completion.	Goal for 2010 not achieved. Corrective action necessary	Dispute among community members over access to available water.	Report author provided details on progress.	Delay has not impacted prior gains but hinders further progress.	
Integration of climate change in ERCS strategic plan has increased ERCS knowledge and capacity to mobilise communities to address risks of natural disasters.	Goal for 2010 achieved.	No data.	Correspondence with ERCS.	Unknown.	
Delay is a hindrance to further progress.	Goal for 2010 not yet achieved. DRR program officer still to be recruited.	No data.	Correspondence with ERCS.	Unknown.	
Delay is a hindrance to further progress.	Goal for 2010 not yet achieved. DRR program officer still to be recruited. Training courses yet to be scheduled.	No data.	Correspondence with ERCS.	Unknown.	

5 Discussion

This chapter presents a discussion of the general findings set out in the previous chapter. Weaknesses in the research are also discussed as well as recommendations and suggestions for further research.

It is useful here to revisit the objectives of the project, first set out on page 2: The overall aim of this project was to understand how CSOs can be (more) effective in building capacity. To recap, in approaching such a broad field, it was necessary to look at some of the requirements of CSOs and communities for successful implementation of capacity building projects or programmes. Naturally, it was outside the scope of this project to look at *all* general requirements. A further objective of the project was to better understand the process and requirements of M&E of projects, and in particular, of developing a reporting format to evaluate capacity of CSOs. Through this understanding, a secondary research objective was to develop a suitable tool in the form of a framework to effectively and holistically monitor and evaluate progress towards achieving project or programme aims, status of prior gains, and overall success of implementation of activities carried out. The programme for which the framework was designed aims to strengthen capacity of civil society in Ethiopia to manage climate risks. The research project also sought to provide understanding of the importance of community participation and ownership in project design and implementation, and coordination of CSOs and development partners between different hierarchical levels and with partner organisations across geographical scales. In addition, the study looked at the relationship between research and practice and how those links can be improved.

5.1 General Findings

5.1.1 Factors Affecting Successful Implementation

According to UNDP (2010a), capacity development must be a key dimension of the planning process, as the articulation of institutional objectives defines what level of performance, stability and adaptability (outcomes) are required and in turn defines what kinds of capacity development responses (outputs) can be most effective. The indicators of such results can then go into M&E plans, which will enable systematic monitoring and reporting of capacity development throughout program implementation and review and contribute to better performance management, accountability and learning (UNDP, 2010a). In short, careful planning is vital for the successful implementation of projects and this is an issue which several interview respondents touched on.

Conway and Schipper (2011) raise an important issue when they discuss the need for a shift in thinking across key institutions in Ethiopia from a short-term view of climate variability that focuses on disaster and food insecurity towards a long-term perspective that instead emphasises livelihood security and vulnerability reduction. In order for interventions to be sustainable and to work towards long-term change, it is clear that a

move away from food aid and insecurity is needed. This requires a continued fundamental shift in approach of humanitarian and civil society organisations, among others.

The importance of community participation, elaborated on in section four of this chapter, emerged as one of the key issues affecting successful implementation of projects. Interviewees also expressed the need for greater flexibility and timelines in dealing with issues on the ground. On a similar note, Boesen and Therkildsen (2005, as cited by Blagescu & Young, 2006) emphasise the importance of treating capacity as a domestic issue that is based on what is possible and achievable rather than what is simply desirable or ideal. This is an important claim to consider as there is little point (and may be counterproductive in terms of field staff and community morale) in developing targets which are deemed to be unrealistic.

Respondents also listed the impact that working conditions, benefits and pay of staff, particularly at local organisations, may have on absenteeism, low morale, high turnover, and in turn, loss of capacity. Though these issues exist throughout the sector, and while it may be unrealistic to implement dramatic changes in terms of wages and benefits, their impact on organisational capacity needs to be more closely considered.

In addition, there were varying comments by interviewees about financial capacity being an issue and it is yet to be seen how the new Law on Charities and Societies[34] will impact local organisations and their ability to carry out operations. There are reports referred to in the literature and by interviewees that the number of NGOs has shrunk since the introduction of the law.

5.1.2 Project Evaluation

Overall, the results of interviews and conversations with practitioners in the field are consistent with findings by others (see, for example, Gertler et al., 2011 on page 32) and the need for improvements in the areas of M&E and coordination.

Practitioners and academics alike cited the need for more familiarity with local contexts and the participation of local organisations when developing M&E systems for use on the ground, and the need for documents and correspondence to be translated into local languages. In this context, it appears that M&E systems are not often enough developed with a specific project or set of circumstances in mind, in some cases leading to reduced participation and inclusiveness of local staff and community members in the process. Jafferjee and Salles (2007) report similar findings, stating that one of the consequences of frameworks and evaluations being designed by funding agencies is that local partners often show a low degree of interest and engagement in the process. For this reason, broad-based participation and a locally-driven agenda is necessary (Blagescu and Young, 2006).

While interviewees emphasised the need for M&E to be tailored to the local context, they also remarked on what they felt were an overwhelming number of and variety in formats of frameworks and expressed a preference for greater consistency. Respondents mentioned that M&E systems were too often presented at a very late stage and did not take into consideration the additional time that staff needed to familiarise themselves with these

[34] As detailed in the literature review, the new law stipulates a limit of 10 percent of funding from foreign sources for rights-based NGOs in Ethiopia.

different format. Respondents mentioned that they did not always have time to properly understand the M&E systems and information needs being implemented, essentially leaving them out of the process or potentially leading to substandard reporting of project or programme progress. For this reason, according to Annecke (2008), Horton et al. (2003) and Energypedia (2011), M&E must be part of the initial project design and not left to too late a stage in the overall process.

It is clear that projects and programmes must be periodically evaluated in a transparent and accessible format which enables easy identification of areas for improvement and lessons learnt. Respondents criticised the production of lengthy and otherwise inaccessible reports as an additional hindrance to capacity building as recommendations and other key aspects of such M&E reports may never be reviewed and implemented. Similarly, Horton et al. (2003) and UNICEF (n.d.) highlight the need to keep information requirements to a minimum.

This view that despite much time, effort and resources being directed to M&E, that their results are not in some cases accessible, meaningful or presented in a timely fashion, is cause for concern. If M&E is seen by some as simply 'going through the motions', and does not produce lessons learnt that can and will be implemented, there will be little incentive to place emphasis on the process.

Adding to this is a need for a shift in the type of information gathered for analysis. Respondents emphasised the need for results-based reporting as opposed to activity-based monitoring, greater flexibility in monitoring systems and reporting formats which better allow for unexpected or unforeseen events. While development programs have not paid enough attention to measuring whether they have truly resulted in improvement in well-being, according to others cited in the literature (see, for example, Gertler et al., 2011) there has been a gradual move towards evidence-based (results-based) decision making and away from monitoring of mere inputs, which does not provide sufficiently meaningful data by which to judge the impact of a project or program on its target community. The 2005 Paris Declaration, in which partner countries commit to establishing results-based reporting, is evidence of such a shift (OECD, 2005) but critical questions as to whether real changes, or simply changes in rhetoric, have been implemented must be asked.

However, in the meantime, there are reports from respondents and the research findings of others (see Shakil Ahmad and Abu Talib, 2011 on page 58) that pressure from donors to report success and "show results" is an issue which needs to be addressed. At the same time, it is worth mentioning that interviewees reported a lack of clarity in how success is measured in individual projects and programmes. In addition, several interview respondents commented that they felt that NGOs were becoming less transparent and less open to criticism. Such accusations cast doubt over the credibility of such projects and programmes and overshadow to progress being made in other aspects of M&E.

Despite these criticisms, it is important to acknowledge, as Jafferjee and Salles (2007) point out, the challenge in meeting both the needs of donors (including financial and time constraints) and partners when regulatory systems differ greatly. Best practices in evaluation in local contexts must, however, always be considered.

5.1.3 Coordination

Claims that development projects often take a top-down and donor-centred approach and the existence of a knowledge gap between policy makers and practitioners are not new. Writing on the subject of disaster relief, Fenton (2003, 24) states that organisations often find it "too difficult to collaborate". Interview respondents echoed such concerns and expressed a lack of interest in coordination, explaining that they felt that it was too time-consuming. Furthermore, Andersen (2002) warns of the unnecessary burden that organisations which do not coordinate with each other create on the scarce resources and staff of local partners. Respondents reported their frustration with such occurrences. These sentiments reflect the importance of larger or international organisations better taking into consideration the needs and limits of local partner organisations and for greater understanding and recognition of the importance of coordination between actors.

The results of the research found that there is a perception that staff at higher levels demonstrate disconnect with realities on the ground and did not (at least appear to) understand the importance of seeing that projects are completed well and in a timely-manner. Bryant (2008) explains that one of the consequences of this is a build-up of tension between community, staff and local organisations. The success of projects and programmes very much depends on good relations between implementing or coordinating organisations and the local communities, and for this reason any perception that organisations do not understand the key issues affecting the target community simply presents additional obstacles.

Moreover, it is clear from both the results of this study and others, that links between organisations, institutions and hierarchical levels need to be strengthened (Conway & Schipper, 2011; PfR, 2010). It is essential that different actors and hierarchal levels are interlinked and that effective coordination exists in order to capitalise on past experience and build capacity (Baser, 2000; Qualman & Morgan, 1996; Jones, 2012).

Further support for these recommendations can be found in Ethiopia's NAPA report (NMA, 2007) which identified weak coordination mechanisms and an inadequacy of cross-sectoral links of ministries, while ODI et al. (2006) found a lack of linkages between programmes to be a hindrance. It was clear from interviews and informal conversations with staff at a number of government and other institutions that in terms of digital cartographic data there was a lack of coordination and sharing of information. Because institutions and other organisations had not, at least according to the interviews conducted, communicated with each other specifically on the issue of digital cartographic data, there was no knowledge of what kind of data each held, what additional data was needed, and the problems or progress being made at each individual body. Lack of coordination or communication in such instances leaves the door open to the duplication of efforts—the wasting of valuable time and resources and therefore links between actors must be reinforced.

5.1.4 Community Participation and Ownership

It is evident that unless capacity-building interventions are participatory and empower relationships, intended results cannot be achieved and sustained (Blagescu & Young, 2006). Interview respondents for this research expressed the importance of participatory approaches but had little trust in the process, claiming that those approaches which claimed

to be participatory were often top-down. Such claims are also documented in the literature, such as in the previously (see page 57) mentioned Burger and Owens' (2010) study of 300 NGOs which found that in 39 percent of cases where NGOs reported that they had asked the community about their needs before initiating a project, community members maintained that they had not. IFPRI (2008), among others, emphasise the need for taking local experience and knowledge into account while James (2001a, as cited in Blagescu & Young, 2006; James, 2001b) discusses the need to avoid the use of the term participatory approach for cosmetic reasons only. It must however be remembered that community participation is not a cure-all and may not always be appropriate in terms of, for example, technical input (Khwaja, 2004).

The importance of community participation is further supported by other examples in the literature such as that of the previously mentioned (see page 20) hillside terracing project in the same *woreda* where the PfR programme is currently being carried out. The previous (non-PfR related) project did not involve the local community and was later destroyed in part due to lack of motivation and a sense of responsibility of locals (UNDP, 1999). This is a clear example of the need for organisations to move from working in emergency mode and focusing on the delivery of aid towards expanding their role to include development approaches which better ensure empowerment. Moreover, the development literature documents many other cases of failed projects, such as drinking water schemes, built without local consultation (Khwaja, 2004; Garande & Dagg, 2005).

There are others, such as Bryant (2008), who argue that it is very difficult, if not impossible, to carry out projects without the express approval and involvement of the local community. For this reason, Bryant argues that questions of doubt over whether organisations really work with the community can be unfair.

The PfR terracing project, for example, which was carried out as part of the pilot project leading up to the PfR programme, appears to have the backing and full participation of the local community. Interviews with project staff and community members indicate that the community recognises the importance of terracing and tree planting in combatting soil erosion, conserving water, re-greening the area and adapting to climate change.

The fact that academics, practitioners, and community members acknowledge the importance of the use of participatory approaches, but that organisations don't always involve the local community to the fullest extent, needs to be better addressed. This is particularly important given the apparent loss of trust in the process by some. In order for project results to be sustainable, the community must take a key role. In addition, as Clark (2000) points out in his study of CSOs in Ethiopia, local organisations must be empowered to participate in all phases of the development process and their capacity built towards enabling them to conceptualize, implement, and monitor and evaluate interventions.

Acknowledging this, the PfR programme aims to engage communities and existing structures and institutions to ensure that programme interventions continue after the external funding has been phased out. In order to do so, focus is on organisational strengthening on organisational set-up and enhancing strategic planning skills in order to increase the viability of the Southern partners (local organisations) as autonomous organisations (PfR, 2010). In terms of community participation, the programme strives for their participation in the identification, design, development, and M&E of the programme. The programme uses Vulnerability and Capacity Assessments (VCA) and Community

Managed Disaster Risk Reduction (CMDRR) whereby community members identify and manage the DRR measures themselves. Systems which are traditionally used between groups to assist one another in times of stress were built on (PfR, 2010).

While the PfR programme is on-going and it is yet to be seen if these efforts towards genuine participation of the community have been successful, they appear to be a step in the right direction.

5.1.5 Emphasis Shifts

According to UNFCCC (2007), external support of adaptation activities is often short-term and project-based with a single task approach leading to expertise loss between projects, instead of a long-term programme approach. Several respondents complained of what they described as a shift in emphasis on which areas attracted support and which was dictated by donor interest and availability of funding for a particular issue in a given year. Some voiced their concern that as attention and new funding opportunities are shifted to different issues, that capacity must continue to be built in areas where projects have already commenced. While this issue was not specifically covered in the literature reviewed, as little reference to it was found in the literature, or made in the interviews, the fact that some of those working in the field feel that projects are neglected once a new issue comes into focus, needs to be better addressed.

5.1.6 Research and Practice

The need for demand-driven research, better partnerships between implementing organisations and academic institutions as well as the production of research which is accessible to decision makers were all discussed during the interviews. Respondents emphasised the importance of focusing on demand-driven research and on prioritising knowledge gaps and warned against carrying out "research for research's sake". Although there appears to be a lack of literature on the subject, the fact that a large volume of research is conducted without reaching, being read, or acted on by those on the ground (in many cases due to the lack of capacity to absorb such information, either technical or large in quantity), is a well-known occurrence, is covered by other authors, and was brought up at the *Rio 2012: Ethiopia's Input to the Sustainability Summit* conference.

Respondents also brought up the issue of researchers not always coordinating their research with that which has already been carried out, thereby duplicating efforts. It is clear from such discussion, that relevant research must be made available to, read by, and preferably acted on by implementing organisations and policy-makers with the additional aim of scaling up success stories from the community. While organisations often do not have the time or capacity to carry out their own research, partnerships with academic institutions can provide a useful platform for exchange between academics and practitioners. The RCRCCC internship program is an example of such an initiative. Graduate students contribute to the research needs of humanitarian organisations on the ground. Establishing direct connections between universities and practitioners facilitates the communication of these needs (Suarez, 2009). HoAREC/N's DDAR program also serves this purpose.

However, an understanding on the importance of academic freedom must be reached between the researcher and implementing organisation in such partnerships. It must be

remembered, though, that there is little use in such coordinated research initiatives if research reports are not given serious consideration on their completion. One suggestion brought up at the *Rio 2012: Ethiopia's Input to the Sustainability Summit* conference was to collect all the research conducted on environmental issues in Ethiopia, identify the key reports and recommendations, and create a database of the completed research, as well as to take active further steps to ensure that policy makers have access to such data and are aware of key findings.

5.2 Framework

One of the requirements of the PfR M&E criteria was that it demonstrate a "transparent, reflective, reputable and objective" way of reporting, a more thorough approach which, according to the Red Cross, is new for the organisation and organisations like it. Efforts were made to work towards including specific sample data, quantitative in nature where appropriate to eliminate subjective results, to demonstrate how the framework may be used.

In order to be transparent, all determining factors of success, such as number of people, percentages, timeframes, should where possible be listed. Columns for unintended consequences and source of data were also added to meet this purpose. Collapsible sections for each quarter so that project progress for each year can be easily viewed in one Excel document, rather than over four separate spread sheets, is an addition which would enhance its user-friendliness.

The development process of the M&E framework illustrated some of the challenges in creating a framework which is both comprehensive but will not require too much data to complete and will not be overly time-consuming to use. Those who provided feedback on the framework emphasised the importance of simplifying the wording of column headings and explanations as much as possible; especially considering that English may not in many cases be the end user's first language. While each column does aim to measure a slightly different aspect of the project, or at least present that data in a different way, some columns could perhaps be combined, as some reviewers commented.

While not all feedback could be taken into consideration, nor was it necessarily appropriate to do so, simplification of heading titles and wording of descriptions was one aspect which was worked on after receiving feedback. Further improvements could of course be made and the framework should be seen as a base on which to build. While a number of academics and those working in the field reviewed the framework, some suggestions seemed that they would in fact add further complexity to the framework if adopted. While one of the requirements is that the framework remain as simple and accessible as possible, more time in analysing some of the suggestions and finding a way to incorporate the ideas into the framework is necessary.

While it is the author's belief that the framework presents data in an improved format than some of the lengthy reports reviewed and currently in use, there are aspects of the framework which could be further developed. Areas for improvement, as mentioned in the results section, include the wording of column headings and explanations, as well as the format of the framework in terms of the number of columns (i.e., it may be possible to reduce the number of columns). In keeping with a systems perspective, the framework could also include a compulsory column for information on assistance provided and

activities carried out by other actors in the target area and would list the institution or organisation responsible. Due to the large number of existing columns, and based on advice received during the review process, these columns were not added but such information can currently be added in the User Defined columns. However, the usefulness of adding additional columns to ensure that such data is recorded should be further looked into.

Further improvements are also needed to ensure that the data requirements are as objective and transparent as possible. In addition, ordinarily, a framework would not be presented on its own but would be accompanied by a handbook or user's guide. However, these additions were outside of the scope of this project.

Moreover, it was initially preferred that the framework be flexible enough for use in all PfR countries, and therefore not solely in Ethiopia. However, without further research and testing, it is not possible to verify whether this has been achieved. In order to make further improvements to the framework, it would be necessary to review a greater number of current frameworks in use by organisations, have the opportunity to speak with additional staff in the sector about their experiences and possibly observe the collection of data for an interim report.

It is however evident that there is no easy solution in being able to balance being both comprehensive and concise. Despite these challenged and based on the responses received during this research, it is clear that changes must be made with current reporting formats and procedures. A greater and more open dialogue between local organisations, international organisations and donor agencies is needed in order to come to a better understanding and agreement on the methods, formats and goals of M&E.

5.3 Significance of Findings

Although only a small number of people were interviewed for the research, many of their insights proved useful and consistent with recent literature on corresponding issues. While the findings may not have revealed anything new, they support existing claims and provide further reason for more action in a number of areas covered in the research and detailed earlier in the discussion chapter. Such findings will be useful for the Red Cross and others who are working towards implementing a more thorough approach to M&E.

Some of this study's findings on the requirements of organisations, such as the existence of a weak institutional set up, difficulties in coordinating, and the need for more research to build capacity, correlate with Ethiopia's National Plan of Action (NAPA) and the findings of other studies.

5.4 Recommendations

Based on this study, the following general recommendations are suggested to CSOs and their partners in Ethiopia:

- A fundamental shift in thinking across key institutions in Ethiopia is needed in order to move away from a short-term view of climate variability that focuses on disaster and food insecurity to a long-term perspective that emphasises livelihood

security and vulnerability reduction. Conway & Schipper, 2011, among others have also advocated such a change.

- Closer coordination and frank discussion between institutions, organisations, programs and hierarchical levels of individual organisations is essential, including more frequent experience and knowledge sharing with greater steps taken to introduce lessons learnt to future operations.

- The importance of coordination, and consequences when it fails, must in the short-term be understood by all in order to establish incentives for all parties to do so.

- Roles and responsibilities of individuals, offices, and partners should be better defined in order to ensure maximum efficiency and effectiveness.

- The implementation of further steps across all levels towards results-based systems with focus on tangible and quantitative results rather than activity-based M&E is needed.

- M&E results and recommendations, where appropriate, must be taken on board in order to improve organisational performance and to reduce the perception that M&E is yet another bureaucratic procedure with little impact to the reality on the ground.

- Goals must be deemed to be realistic and achievable and measures of success clear to all.

- Project staff should demonstrate greater familiarity with, and M&E systems take into consideration, local contexts, knowledge, best practices and constraints allowing for greater flexibility where necessary.

- Although almost everyone seems to agree that the participation of community and programme ownership of local partners is fundamental in achieving successful implementation of a project, greater efforts to include some stakeholders in a more meaningful way are needed.

- In the long-term, improvements in working conditions, benefits and pay of staff, particularly at local organisations, need to be made in order to counter absenteeism, low morale, high turnover, and in turn, loss of capacity.

- Focus must be on institutional sustainability: building sufficient capacity of CSOs to enable the continuation of interventions once programmes have been completed.

- There is a need for donors and top-level organisations to present M&E tools (e.g. frameworks) as something which can be used to improve and learn from programs, rather than simply a tool by which to evaluate local partners and their operations.

- Staff at different hierarchical levels, must better take into consideration the needs and scarce resources of local organisations and field offices when planning coordination activities and field visits.

- Demand-driven research should become more widespread with organisations and academic institutions establishing better links and understanding of each other's needs including the importance of academic freedom.

- M&E expectations, procedures and design should ideally be established and distributed to all parties during the project planning stage.

- While an extensive body of literature on M&E, and a large number of frameworks developed by different organisations and individuals, exists, further efforts to satisfy both donor and local needs and concerns are needed. This includes the need for ensuring that frameworks are flexible to unforeseen changes on the ground and are where appropriate, made accessible to those without fluency in the primary project document language.

5.5 Weaknesses of Research

In addition to the weaknesses already discussed in relation to the framework (see page 87 in section 5.2) the main hindrance of the research process was that due to confidentiality agreements between the researcher and interviewees, it was not possible to report on the vast majority of the results related to the programme itself, at least not without risking identifying the source of the information. This meant that the research could not form a true case study of the PfR programme or Ethiopian Red Cross Society (ERCS) and instead had to take a more general approach, and interviews conducted with a wider range of people. Particular caution had to be taken in writing up the results and this explains why the results section is deliberately vague in some areas. It is without doubt that the need to honour the confidentiality agreements had a significant negative impact on the project result as relevant and potentially important details had to be excluded. Striking a balance between being true to the research and respecting these agreements proved a major obstacle and was the source of much consideration.

As for other weaknesses, the absence of female interviewees and respondents must be pointed out. Efforts to locate appropriate female interview candidates were unsuccessful and therefore a gender imbalance exists. As pointed out in the methods section, this might be a reflection of the absence or low participation rate of women in key positions in the sector in Ethiopia, or simply that women did not hold key positions at the organisations and institutions contacted. It is not clear how the lack of representation of women in the sample impacted the research results, but may have resulted in the absence of certain views in the results. This can occur because women may have knowledge on issues, particularly concerning community life, not apparent to men, or because of the emphasis they place on different issues and concerns (World Bank, n.d.a).

In addition, interviewees were primarily of Ethiopian nationality, though non-Ethiopians were also interviewed or spoken to informally. Interviews and conversations were conducted in English, the second or third language of the interviewees, and in the case of the community interview, translated between English and the local language by a third party. The level of English spoken by interviewees was generally very high and it is not clear how language influenced the results.

Also, ultimately not all responses could be included in this study but it must be noted that even if only one person expressed a certain viewpoint, this does not mean that it does not

provide useful insight. The challenge for research of this sort is in selecting which responses to report on.

While the findings in this study cannot be considered representative of the sector or country, the aim of the study was to draw out some of the existing dynamics and issues present. Though the qualitative research for this thesis included only a small number of interviews with individuals, the results do offer some perspective on M&E, coordination and challenges for organisations to build capacity among other issues.

Further, although the original research topic was demand-driven in that it was specifically requested that research be done on these areas and on specific organisations and projects, there were a number of issues which ultimately led to the research being more general in scope. The aforementioned confidentiality agreements and the fact that very little time was spent at the site of some of the interventions, resulted in it not being possible to make specific and concrete conclusions about the programme as a case study. The fact that this change was made very late in the process, and just prior to the second, and longer field research trip, meant that the second trip was not as well planned as it could have been.

Finally, the challenge of working with an organisation/s or doing research on a number of specific organisations on which the research relies on to gain access to information cannot be overstated. The success of the field work may very much depend on the level of assistance of an organisation. For example, in this research, it would have been impossible to visit the target community without the assistance of a local CSO—both logistically in terms of transport and translation, but also in terms of being welcomed by the community.

Humanitarian organisations and CSOs by definition have important work to do in responding to disasters and emergencies such as the East Africa drought and famine and their priorities cannot be in assisting students undertake their research. I was able to accompany an organisation on their trip to the field but spending more time in the community and more time to observe the operations of the field office, regional branch and headquarters of the Red Cross, and to have made subsequent trips to the field would have required significant inconvenience of all involved and for this reason only one very short trip to the field site in Ebinat was made. While it is important to be flexible in such situations and to respect that it may not always be possible to pursue planned research and interviews without significant inconvenience of those involved, it does mean that the research lacks some of the depth it may have had, particularly in the area of coordination of staff between geographical scales, if more time could have been spent with the implementing organisations and project beneficiaries. In sum, it is clear that there are both advantages and disadvantages in taking part in demand-driven research.

5.6 Future Research

Firstly, all of the issues touched on in this research could of course be further delved into and the framework further developed. As mentioned in the previous section, it is important to gain insights into the views of the community (their expectations, experiences, and criticism) if attempting to gain a comprehensive view of a project.

Secondly, there is much talk about a move towards results-based monitoring but it would be useful to look more specifically at what organisations have been doing to change their methods, their experiences and reactions to such changes, as well as the overall

implications of this. A more in-depth study of existing frameworks and how to better ensure for greater objectivity and transparency in reporting is needed. As mentioned earlier, in order to have a greater understanding of the M&E process, it is preferable that the researcher have the opportunity to observe the collection of data for such a report.

With coordination being such an important factor in the successful implementation of projects, areas for improvement in communication between organisations and institutions in specific contexts, and ways in which to bridge those gaps, must be identified.

Finally, there is a need for more research on ecosystem dynamics and climate variability to be conducted on the continent and in Ethiopia (IPCC, 2001). Several areas in need of further research were identified at the *Rio 2012: Ethiopia's Input to the Sustainability Summit* conference and are listed in the results section. These include further research on successful sustainable development initiatives undertaken at the community level.

6 Conclusion

In order to function effectively, CSOs and other organisations working towards development must be able to carry out their functions, achieve their goals, learn, overcome obstacles, adapt to changes and remain relevant in the future (OECD, 2010). Capacity building as an on-going process is therefore essential in improving the performance of organisations and communities. In order to understand how capacity is built, it is useful to view organisations from the perspective of systems analysis rather than as comprising loosely connected factors. In other words, various interacting components, dynamics and connections exist among actors and issues and it is important to recognise this.

In the face of climate change and the potential impacts of climate risks on further eroding capacity of communities and organisations which have not yet developed sufficient resilience, the need for strong, independent, and sustainable development actors, institutions and communities, is further underlined. But, in order for CSOs and other actors to know if they are meeting their targets, and to ensure that gains in organisational and societal capacity are sustained and on the path to becoming independently resilient, efforts must be monitored and evaluated in a transparent and objective manner which provides credible results-based evidence on programme successes and failures to be learnt from. As the findings of this research conclude, M&E is an essential aspect of capacity building but is in need of much improvement.

With a rapidly growing population, and the aforementioned adverse effects of climate change, it is vital that all actors, from communities to government to universities, greatly increase their efforts to coordinate effectively on building capacity to climate change in Ethiopia and to take steps to bridge the gap between research and practice. Only then can actors truly meet their objectives and avoid unnecessary overlap and wastage of time and resources. Moreover, the research results serve to further highlight the importance of genuine participation of target communities at all stages of a project or programme.

Despite many of the key issues in this study having been widely acknowledged and seen as ‘part of the furniture’ by development agency staff (Jones, 2012), more efforts are clearly needed to address them if continued progress towards meeting development goals is to be met.

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