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Regional and Local Development Studies**

**Assessment of Institution's Capacity Involved in the
Conservation of *Coffea Arabica* in the Montane Rainforests
of Southwest Ethiopia**

By

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Acronyms

ANRDB	Agricultural and Natural Resource Development Bureau
ARDB	Agricultural and Rural Development Bureau
ARDO	Agricultural and Rural Development office
CIP	Coffee Improvement Project
EARO	Ethiopian Agricultural Research Organization
EFAP	Ethiopian Forestry Action Program
EPA	Environmental Protection Authority
EPLAUA	Environment Protection, Land Administration and Use Authority
FCCP	Forest Coffee Conservation Project
FDRE	Federal Democratic Republic of Ethiopia
FEDCmD	Finance and Economic Development Coordination main Department
FEDO	Finance and Economic Development Office
FEDmO	Finance and Economic Development main Office
GO	Governmental Organization
IBC	Institute of Biodiversity Conservation
IUCN	World Conservation Union
JARC	Jimma Agricultural Research Center
JICA	Japan International Cooperation Agency
MoA	Ministry of Agriculture
MoARD	Ministry of Agriculture and Rural Development
MoFED	Ministry of Finance and Economic Development
NFPA	National Forest Priority Area
NGO	Non Governmental organizations
OARDB	Oromia Agricultural and Rural Development Bureau
OEPO	Oromia Environmental Protection Office
PFM	Participatory Forest Management
RDCB	Rural Development Coordination Bureau
RDCmD	Rural Development Coordination main Department
RDCmO	Rural Development Coordination main Office
SNNPR	Southern Nation Nationalities and People's Region
SPM	Strategic Plan Management
UNDP	United Nations Development Program
WBISPP	Woody Biomass Inventory and Strategic Planning Project

Abstract

The research provides analysis of three governmental institutions (Ministry of Agriculture and Rural Development, Institute of Biodiversity Conservation and Environmental Protection Authority), which have role in conserving the forest coffee in the montane rainforests of southwest Ethiopia. In addition, three European Union funded *in-situ* forest coffee conservation projects are analyzed. The forest conservation sites are found in two regions of the country: Geba-Dogi forest in Oromia Region and Boginda-Yeba and Kontir-Berhan forests in Southern Nations, Nationalities and Peoples Region. The objective of the research is to assess the selected institutions capacity which are involved in the conservation and use of the forest coffee resources of the country.

The research utilized structured questionnaire, discussions and review of secondary documents. Information is analyzed both qualitatively and quantitatively. In the later case, simple statistical analysis is used to come up with percentages, averages and tables.

The three institutions and the three projects capacity was assessed in terms of human resource, financial resource and infrastructure facilities. In addition, planning, budgeting and monitoring and evaluation capacities are reviewed. The linkages between the governmental institutions at all levels of institutional set up (federal, regional, zonal and woreda levels) and the linkages between the governmental institutions and the three forest coffee conservation projects are presented. The challenges, successes and prospects of the institutions and the projects are discussed.

The results show that the institutions especially at lower levels are poorly capacitated in terms of qualified human resource and infrastructure facilities. The same is also true for the conservation projects. The utilization capacity of available funds is very low especially regarding funds solicited from external sources. The linkages between institutions are found weak and loose especially between institutions without accountability line between them. The research also revealed that the linkages between the institutions and the projects are very loose and not properly established. It is also found that in all the institutions integrated planning, monitoring and evaluation activities are not practiced. Finally, relevant recommendations are forwarded.

Keywords: Ethiopia, *in-situ* conservation, institutions, linkage and capacity

Chapter 1 Introduction

1.1 Introduction

Arabica coffee (*Coffea Arabica*) originates from the Ethiopian highlands, which are its centers of diversity. Wild populations of *C. Arabica* grow naturally in the undergrowth of the montane rainforests in southwest Ethiopia. Coffee is Ethiopia's most important export crop. The average annual production amounts to about 200,000 tons (EEA, 2001). Earnings from coffee account for about four to five percent of the GDP, about 20% of the government revenue (Tafesse in Tadesse and Demel, 2001) and 67% of the total foreign exchange (Oxfam in Gole, 2003).

Some hundred years ago, 35% of the country's area is estimated to be covered by forests. However, according to recent study by woody biomass inventory and strategic planning project (WBISPP) (2004), only 3.56% of the total area of the country is covered by forests. During the last thirty years about 60% of the Ethiopian forests were destroyed by human-made destructions and deforestation is estimated at 10,000 ha/year in the coffee growing areas in southwest Ethiopia (Gole *et al.*, 2002). The primary cause for this deforestation is clearing up of forests for new agricultural land. This in turn can be linked to the ever-growing population of the country. The widespread use of fuel wood as energy source has also contributed to deforestation. On the other hand, this can be linked to absence of policies and regulations as well as legal instrument to manage and conserve the forest areas in addition to absence of strong institutions and coordination among the institutions to implement the existing ones.

With such large-scale deforestation, preservation of the natural genetic diversity of *C. Arabica* has become of prime importance. For this, from the National Forest Priority Areas (NFPAs) of southwest region, three areas are demarcated as coffee ecosystems and are protected as forest coffee conservation projects funded by the European Union. On the other hand, there are various governmental, non-governmental and community based institutions that are given mandates for or are related with the conservation and use of natural resources. These institutions have their own decision-making mechanisms and approaches and/or strategies regarding the conservation and utilization of natural resources and have been involved in the implementation process in their specific domain. This research attempts to answer questions related to the capacities, linkages and operation of three selected governmental institutions (Ministry of Agriculture and Rural Development, Institute of Biodiversity Conservation and Environmental Protection Authority), what factors influence their operation and effectiveness and the possibilities to make them more responsive and contributive towards the conservation of forest coffee in the montane rainforests of southwest Ethiopia.

This research is part of the project entitled “Conservation and Use of the Wild Populations of *Coffea Arabica* in the montane rainforests of Ethiopia, CoCE”, which is funded by the German Ministry of Education and Research. Specifically, it is the component of sub project 6, which is “Analysis of institutional factors influencing the conservation and use of *Coffea Arabica* gene pool”.

1.2 Statement of the Problem

It is estimated that 35% of the country’s land was covered by forests some hundred years ago. Nevertheless, due to continuous deforestation, the forest resource has been declining gradually. Accordingly, the total estimated area covered under forest is 4.07 million hectares or 3.56 % of the area of the country (WBISPP, 2004). The southwest region of the country has a relatively high forest cover compared to other parts of Ethiopia, accounting for about 56% (Tadesse *et al.* in Gole and Denich, 2001).

Ethiopia's forests are threatened by demand for forest products and the conversion of forest areas into agricultural land or settlement areas. The demand for forest products is estimated to be the highest with fuel wood accounting for 95% of the whole demand, followed by construction poles and industrial wood (Berhanu and Milliion, 2001). The underlying force is the population growth.

The total land area used to produce coffee in Ethiopia is estimated about 400,000 hectare. Currently forest coffee represents about nine percent of the total land covered by coffee and contributes about five to six percent of the total production (Demel *et al.*, 1998). A large genetic diversity is believed to exist in the forest coffee populations. The genetic wealth of coffee maintained in Ethiopian montane rainforests at present is of great importance for breeding work, to improve quality and quantity of coffee, to develop desirable morphology and to develop varieties resistant to disease, pests and abiotic stresses.

However, the genetic pool is being eroded because of deforestation. The ever increasing population and the corresponding increase in food demand in the country is putting a heavy pressure on the remaining natural forests, including those containing forest coffee (ITTO in Schmitt, 2002; Gebremarkos and Deribe, 2001; Demel *et al.*, 1998). In some areas, forest or semi-forest coffee areas are being cleared and planted with improved coffee cultivars that have narrow genetic base (Demel *et al.*, 1998). Furthermore, the absence of integrated land-use policies and regulations as well as the lack of legal instruments for the management of conservation areas significantly contribute to the loss of the forest resources and biodiversity (Yonas, 2001; Kumilachew, 2001).

The Forestry Conservation, Development and Utilization Proclamation No. 94/1994 is currently the existing forest related legislation. However, according to Yonas (2001), because of absence of implementing guidelines and poor enforcement of the law, most of the provisions of the legislation are not in effect.

Since 1991, the government of Ethiopia has been adopting the decentralization of political power. Leykun in Richerzhagen and Virchow (2002) state that the responsibilities to establish, manage and utilize forests and most of the protected areas have been passed on to the regional governments. The regional governments, however, have low technical and management capacity to execute the new responsibilities.

According to Mellese (2001) the absence of strong institutions and coordination among activities of sectoral institutions and long-term planning are hindering the successful conservation, development and utilization of forest resources. In line with this, Kumilachew (2001) asserts the impossibilities of conserving forest and genetic resources as long as the integration of conservation efforts with other development activities is lacking and the severe constraints in facilities, financial and human resources persist.

In addition, the public forest service in Ethiopia is one characterized by frequent restructuring. According to Yonas (2002), it has been restructured some 45 times since 1935. Yonas discussed the possible consequences as fast turnover, low morale of employees, discontinuation of programs and projects, confusion of responsibilities and mandates, misplacement of documents and files and progressive weakening of operations. The disintegration of the institutional setup, the uncertain institutional arrangements and the uncoordinated decision by the numerous public and private forest related institutions is deteriorating the implementation and result of any forest conservation activity.

Currently, different laws, policies, strategies and organizations related with the conservation and management of natural resources are available. The Constitution, The Establishment of Environment Protection Organs Proclamation, Environmental Impact Assessment Proclamation, Forest Resources Development and Conservation Proclamation, The Environmental Policy and The Conservation Strategy are some of the laws, policies and strategies. The organizations include: The Council of Ministers, The Environmental Protection Council, The Environmental Protection Authority, Institute of Biodiversity Conservation, Ethiopian Agricultural Research Organization, and Ministry of Agriculture

and Rural Development. Although these institutions exist, their contribution in prevention and avoiding resource degradation and improper use had been minimal.

In general, the existence of the wild coffee populations of *C. Arabica* in the montane rainforests of Ethiopia is highly threatened. As Demel in Richerzhagen and Virchow (2002) put it, wherever accessible, coffee is harvested directly from naturally regenerating and unmanaged wild coffee trees. This is alarming, as coffee production and consumption has significant economic and social importance to Ethiopia. In addition, the genetic erosion of the gene pool of *C. Arabica* is irreversible. Similarly, Richerzhagen and Virchow (2002) indicated that without determined commitment the valuable coffee genetic resources may be lost *in-situ* as well as on farms within a couple of years.

Against the above background and the general objective of sub project 6 of CoCE project¹, the present research intends to examine the capacities and linkages of three selected governmental institutions and the three forest coffee conservation projects which are funded by European Union. Environmental Protection Authority (EPA), Institute of Biodiversity Conservation (IBC) and Ministry of Agriculture and Rural Development (MoARD) are the three governmental institutions selected for the study. The three projects, which are concern of this research, are Geba-Dogi, Boginda-Yeba and Kontir-Berhan forest coffee conservation projects.

1.3 Objective of the Research

The main objective of this research is to assess the selected institutions capacity which involved in the conservation and use of wild *Coffea Arabica* in the montane rainforests of southwest Ethiopia. This main objective has the following specific objectives.

1. To examine institutional capacities of the selected institutions: human resource, financial resource and infrastructure facilities; and
2. To explore the linkages that exist between the selected institutions and the conservation projects.

1.4 Research Questions

This research in its attempt to address the above stated objectives answered the following major research questions:

1. What are the missions and objectives of the selected institutions with regard to conservation of forest resources?

¹ The objective of subproject 6 of CoCE project is to analyze institutional and political factors influencing local decision-making process for the conservation and utilization of coffee by local users.

2. What is the existing capacity (human resource, financial resource and infrastructure facilities) in the selected institutions to undertake their responsibilities?
3. What kind of linkages exists between the institutions?
4. What is the appropriate link between the selected institutions and the regional institutions to have effective and sustainable achievements?

1.5 Significance of the Research

As indicated earlier, this research is part of the project “Conservation and use of wild populations of *Coffea Arabica* in the montane rainforests of Ethiopia, CoCE” specifically it is a component of sub-project 6 which is “Analysis of institutional factors influencing the conservation and use of *Coffea Arabica* gene pool”. In line with the objective of sub project 6, the institutions’ capacities and their linkages regarding the conservation of the forest coffee resources are analyzed and some recommendations regarding institutional capacities and linkages are forwarded. The final findings and recommendations contribute to overcoming difficulties of institutional processes while intervening in conservation and use of the montane rainforests of the forest coffee population of the southwest Ethiopia.

1.6 Limitations of the Research

The scope of this research is limited to studying few selected capacity items. However there are other capacity items which are not covered by this research like governance and decision-making. In undertaking this research data shortage and lack of consistency were major problems faced.

1.7 Organization of the Paper

This thesis is organized in seven chapters including the introduction part. The introduction part is where the problem is justified and the objectives are set. The second chapter deals with the research methodologies adopted. The third chapter is the part where previous literatures are reviewed.

The fourth chapter is about the forest coffee conservation projects and their role in the conservation endeavor. Chapter five is gives a brief overview of the institution’s mission and objectives and their role in forest resources conservation.

Chapter six discusses the linkages between the institutions and the forest coffee conservation projects. In addition it gives a comparative analysis of the institutions in terms of the capacity items studied. Finally, concluding remarks and recommendations are provided in chapter seven.

Chapter 2 Research Methodology

The research is concerned with the question of what capacities are available in the selected institutions and what kind of linkages exist between the selected governmental institutions and the three *in-situ*² forest coffee conservation project sites.

Sampling Unit and Sampling Frame

The sampling unit for analysis is an institution. The institutions are EPA, IBC and MoARD operating at various levels of governmental structure. Complete list of various levels of the sampling unit are the sampling frame.

Sample Design

The institutions studied are selected purposely assuming they can represent nationally organized governmental institutions which are working on conservation of natural resources. In addition, the three forest coffee conservation projects are selected as they are established for conserving the forest coffee resource of the country.

Methods of Data Collection and Analysis

In order to answer the research questions, official government policy papers and legislative documents are reviewed and historical trends of policy formulation and implementation are analyzed. Further, different kinds of reports, human resource data, financial data, and infrastructure facilities information are collected from each institution under study. In addition to extensive review of literature, data is collected through a combination of interview and questionnaire.

At the national level, data about the institutional arrangements, laws, rules, regulations, and policies is collected and reviewed. Questionnaire is distributed to officials of the institutes, planning department experts, conservation department experts and other concerned bodies. Discussions with experts and officers was also held. Discussion with member of House of Peoples' Representatives and rural development affairs standing committee chairperson of the FDRE is undertaken to understand the overall link of the institutions with the political leadership of the country.

² *In-situ* conservation is conservation of ecosystem and natural habitats and the maintenance and recovery of viable population of species in their natural surroundings and, in the case of domesticated or cultivated species, in the surroundings where they have developed their distinctive properties (UNCED, 1992)

At regional, zonal and woreda levels, data about respective institutional setup, laws, policies and rules are reviewed to see the link they have with the national institutions. Questionnaire is distributed to officials of the organizations, planning department experts, conservation department experts and other concerned bodies at different levels. Discussions with experts and officials including those of the three conservation project sites at woreda level were conducted.

In all the institutions studied and the three forest coffee conservation project sites a total of 33 questionnaires were administered. In addition 39 key informants were interviewed (Appendix I). Besides, information from relevant institutions such as reports, documents and previous studies was assessed. Generally, the data sources for this research are various kinds of literature, government documents, and primary sources.

Information was analyzed both qualitatively and quantitatively. In the later case simple statistical analysis was enough to generate such statistics as percentages, ratios, averages and tables.

Chapter 3 Literature Review

As indicated previously, this study in essence deals with institutional aspects of the conservation of forest coffee. For this, concepts of institutions, organizations, projects and major aspects of institutional development are reviewed in the first and second sections of this chapter. The third section deals with review of forest conservation practices. The last section assesses the main issues of conservation and use of forest resources in Ethiopia.

3.1 Institutions, Organizations and Projects

Institutions are defined and conceptualized by different scholars in different ways. According to the popular institutional economist, Douglas North, institutions are the rules of the game of a society, or they are the humanly devised constraints that structure human interactions. They are composed of formal rules (statute law, common law, regulations), informal constraints (conventions, norms of behavior and self imposed codes of conduct), and the enforcement characteristics of both. Their major function is to enhance the predictability of human behavior and are formed to reduce uncertainty in humans exchange (North, 1995).

Likewise, according to Gant (1993), institutions are the forms in which people organize their affairs in relationship with each other. An institution as a system of action, comprehends the structures and mechanisms that provide the capacity and support of action in the form of organizations. Systems of action also comprehend processes and delivery instruments by which specified tasks are executed or categories of functions are supported or controlled. Furthermore, Gant emphasized the three qualities that institutions as a system of action should possess. These are first, an institution must be effective in accomplishing its purpose; second, it must be accepted in the society and environment of its location and third, an institution must be able to survive as it is adequately supported with the necessary, financial, personnel, and political capability to adapt itself and its program to changing and evolving situations. If an institution is lacking any of the three aforementioned qualities, Gant holds, the institution definitely fails.

North (1995) indicated modifications of institutions occur because individuals perceive that they could do better by restructuring. The source of the changed perceptions may be exogenous. However, North pointed out that the fundamental source of change is learning by entrepreneurs of organizations.

Organizations, on the other hand, are defined by North (1995) as players, group of individuals bound by common purpose to achieve objectives. They include political bodies (political parties, the senate, a city

council, a regulatory agency), economic bodies (firms, trade unions, family farms, cooperatives); social bodies (churches, clubs); and educational bodies (schools, colleges, vocational training centers). The major role of these implementing institutions is to reduce uncertainty by establishing a stable structure to human interaction. According to North (1990), these implementing institutions are created so that they can take the advantage of the rules of the game. Gradually as they move on, they alter the rules of the game.

Colebatch and Dageling (1986) in McGill (1996) specify characteristics of organizations, core values and organizational variables in the following manner. Organizations are internally cohesive and are called into existence by virtue of their instrumental capacities. Additionally, they are essentially hierarchical and their preoccupation is to institute organizational arrangement to accomplish their stated objectives. The core values are also discussed, as they are concerned with the organizations functional alignment, to co-ordinate and control, and accountability and role relationships. Leadership, doctrine, program, resources and internal structure are put as organizational variables.

Hondale and Rosengard (1983) in McGill (1996) defined projects as discrete activities aimed at specific objectives with earmarked budgets and limited time frame. This is in contrast with programs which occupy a more permanent status in an institutional setting. Projects are also more likely to be targeted on specific geographic areas and aimed at particular beneficiary groups. In addition, three factors are identified as basic contributors for the successfulness of a project by Conyers and Kaul (1990a) in McGill (1996). The first is support in the project environment. This includes the political environment, local leadership and a history of self-reliance. The second is the basic character of the project. This includes the beneficiary involvement, the utilization of local resources, organizational culture and the scale of the project. The third is the organization and management of the project. This includes the clarity of project goals, flexibility and responsiveness, autonomy and accountability, a learning process, leadership and human resource development. Moreover, it was stated that explicit feedback mechanism, strong staff motivation and development are common factors for success of projects.

3.2 *Institutional Development and Linkages*

Israel in McGill (1996) referred institutional development as the process of improving the ability of institutions to make effective use of human and financial resources available. According to UNDP institutional building strategies tackle key functions through standard interventions on functions and on interventions (McGill, 1996). The on functions intervention include applied analytical capabilities, planning and program design capacities, management and implementation capacities and monitoring

and evaluation capacities. The on interventions are changing management strategy, improving efficiency and effectiveness of management process, changing systems and structure, matching missions to environmental demands and changing management structures.

In McGill (1996) Buyck (1991) and Khadigala and Moore (1990) assert that institutional development is typically aimed at improving and strengthening internal organizational structure; management systems, including monitoring and evaluation; financial management (budgeting, accounting, auditing procedures) and planning systems; personnel management, staff development and training; inter-institutional relationships and institutional structures of sub-sectors or sectors. In addition, it is aimed at improving and strengthening legal framework and government regulations and procedures. Similarly, it was pointed out that institutional development implies more than the mere strengthening of organizations that will facilitate project implementation and completion. It means strengthening legal system; the internal organization and distribution of functions; physical and financial capacity of project implementation; personnel policies and reward systems and competency and skill levels in the institutional environment.

In young (2002), Chayes and Chayes (1995) and Keohane and Levy (1996) defined capacity as a measure of the availability of social and institutional capital as well as material resources necessary to make good on commitments entered. Considering the view mentioned by Israel in McGill (1996) the appropriate unit of analysis for institutional effectiveness is taken as an activity within an organization. By implication, the deployment of human and financial resources including material infrastructures is taken as variables, in terms of capacities, having great role in the output of the organizations considered.

Institutions are hierarchical and they are arranged in a way that is convenient to accomplish the stated objectives (McGill, 1996). It is also apparent that the different implementing organizations linkage (interplay) (within and between implementing institutions) has an impact in the output of the organizations. This is because the linkage helps to share and coordinate conservation ideas in the course of planning and implementing activities. It is believed that it discourages the duplication of efforts and serves as a cohesive force in dealing with the conservation activities and problems at levels of implementation.

In this regard, Young (2002) stresses that most institutions interact with other similar arrangements both horizontally and vertically. Horizontal interactions occur at the same level of social organization. Vertical interplay is a result of cross-scale interactions or links involving institutions located at different

levels of social organization. Interplay between or among institution may take the form of functional interdependencies or arise because of politics of institutional design and management.

According to Young, the most common forms of vertical interplay feature links between arrangements that deal with related issues that are located at adjoining levels of the social organization. Prominent cases are interaction between federal and state-provincial regimes and between state provincial and local arrangements. On the other hand, horizontal linkage can take a form of cooperative as well as competitive purposes. Schelling in Young (2002) states that the cooperative purpose results in making distinct institutional arrangements fit together into structures that promote the common good. Competitive arrangement, however, is to advance one's own agendas whether or not such actions detract from joint initiatives.

Horton *et al.* in Bruneau (nd) described planning as a process for setting organizational goals and establishing the resources needed to achieve them. It is also a way of building consensus around the mandate, direction and priorities of an organization. Likewise, in Bruneau budgeting is referred as translating the operational short-term plans into financial terms, so the limited available financial resources can be applied in the most efficient manner. As a management tool budgeting can serve to communicate goals and objectives to all staffs, coordinate efforts and activities and anticipate and avoid financial problems. Moreover, it can help to bring resource allocation inline with priorities. Budgeting requires human, physical and financial resources. It requires knowledge of the budgeting process and of the institutional budgeting environment, top management determination to prepare a good budget, linkage of budgeting with planning, facilities and funding to manage the budgeting process (office space, computer service and software), and information. The budgeting approach should be mission driven, participatory, decentralized and result oriented. There are many types of budgeting systems: line item, incremental, formula, planning, programming budget systems, and zero-based budgeting.

Monitoring is the periodic oversight of the implementation of an activity which seeks to establish the extent to which input deliveries, work schedules, other required actions and targeted outputs are proceeding according to plan, so that timely action can be taken to correct deficiencies detected (UNICEF, 1990). Whereas evaluation is a process which attempts to determine as systematically and objectively as possible the relevance, effectiveness, efficiency and impact of activities in the light of specified objectives. It is a learning and action-oriented management tool and organizational process for improving current activities and future planning, programming and decision-making (UNICEF, 1990).

Horton and Dupleich (nd) indicated that integrating planning, monitoring and evaluation could improve governance, decision making, learning and overall performance of organizations. An integrated planning, monitoring and evaluation helps each part keep in touch with other parts and external environment. It orients behavior and coordinates actions in the pursuit of common goals. It provides information for learning and improving performance. In an integrated planning, monitoring and evaluation system, the activities carried out at each decision making level are consistent with and informed by those carried out at other levels. Continuing their discussion, Horton and Dupleich clearly indicate that in an integrated system, planning, monitoring and evaluation activities are coordinated and synchronized across organized units, to ensure that the information required for decision making and reporting is available to the persons needing in an appropriate form and at the time needed. In addition to serve as a strategic management tool, institutional planning, monitoring and evaluation system must involve stakeholders, so their interests and concerns are reflected in the resulting plans and reports. Unit of analysis is also an important concept, both in terms of understanding performance and its related budgeting.

3.3 Review of Approaches of Forest Resources Conservation

Programs and projects concerned with conservation and sustainable development will only succeed on any scale when they address the social factors influencing the way people interact with environment. According to Ghai, these factors include access to employment and essential resources such as land, credit and food; property systems, associated not only with land but also with water, trees and marine resources; gender relations, which often constrain women's access to capital, labor power, knowledge and time; and the question of empowerment, or the level of control people exert over resources and decision-making processes which affect the management of natural resources (Ghai, 1995).

Three different categories of conservation program in which two of them are usually undertaken by official programs were discussed by Ghai (1995). The two categories comprising official conservation programs are those which seek to preserve forests, parks and animals and plant species for the benefit of present and future generations and those which attempt to rehabilitate and improve degraded resources to meet the subsistence needs of farmers, herders and foragers. The other category consists of resource improvement efforts undertaken at the initiative of local communities and grass root organizations, with varying degrees of support from activists and voluntary bodies, state agencies and foreign donors. Continuing his discussion Ghai indicated that the record of both categories of official conservation programs is somewhat not encouraging. However, the third category has a better record of success

because participation by local communities ensures that the programs and projects address the real needs and priority concerns of the local people.

Projects of conservation had to learn to respect local customs and beliefs and to engage in constant dialogue with community leaders and residents in order to understand local needs and preferences and avoid misunderstandings. Experiences show differences of opinion between project personnel and local residents can easily be blown out of proportion and lead to major tension which threaten projects - project officers have to learn never to offer what cannot be delivered (Utting, 1995).

Mostly the failure of many environmental protection programs and projects are analyzed in terms of technical, administrative and financial constraints or the limited environmental commitment or awareness of policy makers and natural resource users. According to Utting (1995) the problem is related with inadequate size of budgets and foreign aid; limitations on the quantity and quality of human resources; inadequate planning procedures which adopt short-term horizons for problems requiring long-term solutions, which do not consult with local people, or establish an appropriate framework for inter agency coordination; or inappropriate methods of technology diffusion which fail to convince the local natural resource user of the need to adapt his/her practices.

Experiences of forest protection programs and projects problems were detailed out by Utting (1995) and are summarized as follows. (1st), the partial character, or non-implementation of many policies and programs, as well as the difficulties of sustaining positive initiatives through time and replicating successful interventions; (2nd), the insufficient attention given to the socio-economic and cultural situation of local populations whose livelihood depends on resources found in such areas; (3rd), unevenly distribution of different incentives, support services and other resources associated with conservation schemes; and (4th), the contradict that exist between attempts to protect or rehabilitate the environment in one particular area and other 'development' measures which degrade the environment.

The way protected areas have been established, the process of land acquisition, the invasion and occupation of land in protected areas and resource use in such areas are the major factors associated with social conflict in and around protected areas (Brüggemann in Utting, 1995). Lack of adequate consultation and clarification concerning the demarcation of protected area sites, as well as the limited capacity of conservation agencies to enforce protected area status, particularly during the initial phase of protected area project can lead to accelerated deforestation. According to Utting (1995) a 'get what you can, while it lasts' has been evident in certain areas. Like wise, Ghimire (1995) indicated a major issue

occurring in many conservation schemes which is the perception of local people living in and around the protected areas as the principal ‘threat’ hence, the major concern of authorities usually in developing countries has been to curtail the prevailing level of ‘human interference’. People have frequently been displaced from their settlements or denied access to resources such as the fuel wood and food products within protected areas. Often this has increased economic insecurity for many social groups and generated extreme dislike towards official conservation measures.

Ghimire indicated some specific points that need attention while conserving or protecting a natural resource. The government has to check its capacity to manage protected areas, existence of significant economic benefits for local communities, assessment of effects of protected areas on local livelihood systems, proper management of reallocation of affected people from protected areas, local people should receive tangible benefits from existing protected areas (for instance employment) (Ghimire, 1995). On top, it was pointed out that rural dwellers should have the means to advance their interests effectively.

3.4 Institutional Aspects of Forest Resources Conservation and Use in Ethiopia

In Ethiopia, the immediate and underlying causes to the problems of the forestry sector are many. Some of the cross-cutting issues include: macroeconomic and inter-sectoral effects, land use conflicts, level of centralization in resource administration, structure and operations of forest related institutions, forestry strategies, land and tree tenure, level of integration of the sector into the economic system, and consolidated forest policy statement at the national level (Yonas, 2001). From the indicated crosscutting issues, those which have a strong relation with the current study will be reviewed briefly.

3.4.1 Forest Policy and Legislations

Policy as defined by Halcrow (1984) is ‘a deliberate course of action, as contrasted with a haphazard type of activity followed by a public body, private firm, family or individual. Policy generally implies wisdom or forethought in managing affairs, based on definitive plan or program created through a process of thought and reason’. Likewise, Dunn in Yonas (2001) gave a definition of policy as a ‘definite course of action taken, usually by public authority, to achieve society’s objectives’. Policy is, hence, a guiding principle or set of objectives ideally approved by the majority of the society. Policy involves planning based on certain beliefs, values and goals taking into account the resources that may be available for reaching the goals, and the benefits and costs of using one plan or another (Halcrow, 1984).

A forest policy puts certain principles and goal statements to ensure the achievement of society's objectives regarding its forest resources (Yonas, 2001). Accordingly, forest policy seeks to outline effective path to achieve its objective. The above statement gives a picture that forestry policy deals with outlining a potent path towards satisfying the demands for forest products and services to not only to this generation but also to the next generations. Currently protection and development taken together are universally described, since it is the way towards sustainable development. Sustainable development is generally defined, as development, which meets the needs of the present generation without compromising the needs of future generations (WCED, 1987 in Vivian, 1995).

Although Ethiopia has no forest policy, the forestry conservation, development and utilization proclamation No. 94/1994 is the current effective legislation. According to Yonas (2001), forest policy objectives may be found scattered in institutional mandates, action plans, national action programs, and bodies of legislation. However, the problem is decisions by numerous public and private forest related institutions tend to be uncoordinated, on ad hoc basis, and difficult to predict showing the gap that contributed the most to the existing state of affairs in the sector.

It is, therefore, desirable to have a single formal document covering all aspects of the country's policy at national level. In line with this, Kebede (1993) and Yonas (2001) emphasized the fact that sound forestry policy cannot be developed in isolation, but must be considered within the broad framework of national goal for economic and social development, especially those related to sustainable natural resource management, equity and poverty alleviation, employment creation, reducing population pressure and people's participation in development. This is in similar terms with Atachia (1995) who states an environmental policy being a statement by a government of what it intends to do with, for or about the environment in close conjunction with accepted national development policies. Similarly, environmental programs are defined by Atachia as series of activities for monitoring and managing the environment (or supporting these activities) aimed at realizing an environmental policy.

Forest is sensitive to what goes on in the other sectors of the economy and national policies within these sectors (Yonas, 2001). For instance, currently Ethiopia is following the path of investment and export promotion, import substitution and agro-industry expansion. This huge level of investment should be carried out after environmental impact assessment is done. However, the reality in Ethiopia, according to Yonas (2001), is many virgin and irreplaceable forests are cleared to give way to coffee and tea plantations and livestock ranches. Therefore, the promotion of growth enhancing measures without damaging the environment is a necessity.

Melesse (2001) and Berhanu and Million (2001) affirms that deforestation has been aggravated in the last decade. Similarly, Tesfaye in Mekete (1993) specifically indicated that southwestern Ethiopia, where there is over half of the country's remaining natural forests, has been experiencing a dramatic decline in its forest reserves and vegetation in consequence of lack of appropriate legislations and policies for protecting the environment of the country. In general, an integrated national forest policy for Ethiopia is vital since the policy guideline sets the framework in which all forestry activities in the country must be carried out.

The other policy pertains to biodiversity, which should aim at the maintenance of biological diversity³ through sustainable management of resources of the country. According to Atchia (1995) for ethical, social, economic, scientific and technical reasons the conservation and utilization of biological diversity is essential for environmentally sound and sustainable development and the continued functioning of the biosphere and human survival. In addition to national policies, proclamations and laws, international laws such as multilateral treaties, conventions, and protocols are also sources of environmental law.

3.4.2 Land Tenure and Land Use Policy

The other major crosscutting issue related with the conservation of natural resources especially forests is land use policy. The presence of land use policy in a country clears uncertainties regarding what proportion and which land should be allocated to what use. Conversely, its absence results in spontaneous decisions being made in disorganized manner on land allocations (Yonas, 2001). Without a proper land use policy, the very survival of forests in particular is seriously threatened. Yonas justified this by the current thrust for more and more investment encouraging decision makers to allocate fragile ecosystems to agro-industry projects.

Land tenure, explained by Yeraswork (2000), is a concept referring to the body of rules governing the terms and conditions under which land including its resources is held, used and disposed of. It can be viewed as a rule regime structuring and regulating access to land. Burns *et al.* in Yeraswork (2000) indicated that as an institution, land tenure not only governs access to and control over land and land based resources and the flow of benefits thereof, but it is a source of expectations, as basis for actors to stimulate and predict one another's behavior.

³ Biological diversity is "the variability among living organisms from all sources including, *inter alia*, terrestrial, marine and other aquatic ecosystems and the ecological complexes of which they are part; this include diversity within species, between species and of ecosystem" (UNCED, 1992).

In Ethiopia since 1975, all land resources have become state-owned. The current constitution (Proclamation No. 1, 1995) assures that land belongs to the state and citizens obtain only use rights. Article 40 of the Constitution of The Federal Democratic Republic of Ethiopia affirms, “The right to ownership of rural and urban land, as well as of all natural resources, is exclusively vested in the State and in the peoples of Ethiopia. Land is a common property of the Nations, Nationalities and Peoples of Ethiopia and shall not be subject to sale or to other means of exchange”. Accordingly, the natural forests are owned by the state and administered by regional agricultural offices.

3.4.3 Structure and Operation of Forest Related Organizations

The history of formal forestry institution/organization in Ethiopia goes back to the early 1900’s (Gebremarkos and Deribe, 2001). Ever since the establishment of the first formal forestry institution, it was continuously being restructured. This restructuring has caused lack of continuity of programs, diminishing resource allocation and absence of clear direction and focus. The consequence of this restructuring can also be seen in terms of misplacement and loss of institutional memory and information, ineffectiveness and low morale of personnel. In general, this restructuring and reshuffling of public forestry administration is seen to be an important constraint to the development of focused, independent, more flexible and outward looking forestry practices.

Likewise, it was stated by some authors, the frequent restructuring and changes of institutional mandates witnessed in the country are the major impeding factors for the conservation concepts of wild coffee population and the montane rainforest. In addition, absence of clearly defined institutional tasks and responsibilities in resource management as well as lack of integrated efforts are crucial factors impacting the conservation endeavor of forest resources (Yonas, 2002; Tadesse and Demel, 2001 and shibru and kifle, 2001).

On top of this, Yonas (2001) indicated the isolation of senior forestry staff from national policy makers is also a matter of concern, leading to low priority for the forestry sector in national plans and financial allocations. Lack of sufficient manpower with modern management skills as well as serious shortage of personnel with training in natural resource management and social sciences are the constraints of the sector. In addition, lack of experience of working with other disciplines in an interdisciplinary manner acts as a further constraint to the undertaking of the conservation activity. The above problems are exacerbated by the fact that existing forestry professionals are overloaded with regulatory and service duties. Kebede (1993) relates the existence of environmental problems including deforestation to symptoms of the lack of integration of environmental considerations in the formulation and

implementation of economic choices, inadequacy of institutional and regulatory controls, limited environmental data and public awareness, and scarcity of technical, human and financial resources to properly manage environmental affairs.

3.4.4 Decentralization in Resource Management

With the change of government in 1991, the general governance structure of Ethiopia has been shifted from unitary to federal state. Consequently, considerable political power has been devolved to regions within the country. Yonas (2001; 2002) indicated the devolution of responsibility to establish, manage and utilize forests at the time of decentralization.

The reallocation of authority from central states has been given very much attention from a growing number of scholars. However, according to Gatzweiler, it has not been agreed on how it should be organized. There is even less agreement on which institutional design fits better in changing socio-economic environments and which effect the decomposition of authority has on the environmental function composition of agro-ecosystem. The coordination problem of multi-level governance is that to the extent policies of one jurisdiction have negative or positive externalities for other jurisdictions. It is apparent that coordination is necessary to avoid socially or environmentally perverse outcomes (Gatzweiler, 2004).

Even though decentralized form of natural resource management is the same as the current thinking of sustainability, Yonas (2001) argues that decentralization in the country was carried out so quickly that regions were caught unprepared. There wasn't enough budget and human resource even to do the minimum of forestry activities (Yihenew, 2003; Yonas, 2001). Furthermore, the issue of cross-border forest resource management and utilization to woreda and peasant association or local communities is unclear (Yonas, 2001).

In general, regardless of the importance of the Ethiopian forests including the forest coffee for the conservation and use of coffee genetic resources and other forest biodiversity, they are disappearing at a startling rate. According to Tadesse and Demel (2001), the change in forest cover during the last 30 years has been the most severe disaster that the country has ever faced. Gole *et al.* (2002) indicated that Reusing (1998) estimated the closed high forest of southwest Ethiopia dropped from its 40% cover between 1971 and 1975 to 18% by 1997. The areas mentioned which are severely damaged by deforestation were Mizan Teferi, Tepi, Gore and Bonga. Few years ago, deforestation was estimated at 10,000 ha/year in the coffee growing areas in the southwest Ethiopia (Gole *et al.*, 2002) leading to

permanent loss of useful coffee and other genetic resources in the forest, environmental degradations like soil erosion and river discharges and patterns of flow (Gole, 2003). For this the aforementioned factors are cited as the major reasons. Generally, the existence of wild coffee populations of Ethiopia is very much linked with the fate of the montane rainforests.

For sustainable conservation of coffee genetic resources, Tadesse and Demel (2001) suggested, the importance to establish gene reserves at strategic sites. It was also emphasized the essentiality of developing proper management plans for a sustainable use of forest resources in the designated gene reserves. Currently three *in-situ* conservation reserves financed by the European Union have been established and are being implemented in the southwest montane rainforests of the country which are found in two different regions of the country: Oromia region and SNNPR.

Chapter 4 Forest Coffee Conservation Projects and their Role in Conservation

This chapter deals with the three forest coffee conservation projects formulation, goals, objectives, beneficiaries and stakeholders. In addition, distinctive features of the project sites including their capacities and the major activities performed and the monitoring and evaluation systems are presented. This chapter is to answer what the objectives of the projects are and the capacities they are endowed with to implement the planned activities.

4.1 General

The formulation of the coffee conservation projects followed the evaluation of the “Project for the Improvement of Coffee Production in the Peasant Sector (CIP III)”. CIP IV was endorsed on 3 April 2002 and commenced on July 2002 with main objectives of improving coffee growers income and standards of living and help reduce poverty in the country. Apart from the previous CIPs, a component has been included to conserve the genetic biodiversity of wild *Coffea Arabica* in the original forest and semi forest areas. This *in-situ* conservation is augmented with *ex-situ*⁴ collections. The project life span is from 1 July 2002 to 30 June 2008.

One of the sub-components of the conservation project is the forest conservation areas. These are Boginda-Yeba forest (2764 ha) at Gimbo Woreda in Kaffa Zone, Kontir-Berhan forest (9025 ha) in Sheko woreda in Bench Maji zone, and Geba-Dogi forest (1000 ha) in Yayu woreda in Illubabor zone. The central project management unit is based at the coffee, tea and spices development department of MoARD (previously it was in Coffee and Tea Authority). Its major activities are day-to-day planning, coordination, and monitoring of projects and flow funds to other project implementers. The project management unit is accountable to the overall project funds and to the joint committee, national authorizing office (MoFED) and the European Union. An international consulting firm is hired for supplying the services of technical assistance.

Horticultural genetic resources department of IBC was the coordinator of the forest coffee conservation component until August 2004. Since then, the coordination responsibility is handed over to the Regional ARDB’s (Oromia and SNNP Regions). However this transfer was not finalized until January, 2005. This transfer of responsibility to the regions was undertaken based on the decision made by the government.

⁴ Ex-situ conservation is the conservation of components of biological diversity outside their habitats (UNCED, 1992).

The ultimate goal of the FCCP is to improve the quantity and quality of coffee production for export through conservation approach of the genetic wealth in forest coffee ecosystem using the ecosystem conservation approach and through enhancement of the income, and thereof, the living standard of local communities. This strategy will help to enhance the foreign exchange earnings of the country that will, in turn, contribute to the overall development of the country. Whereas, the main objective of the project is to conserve the genetic diversity of forest coffee plants in particular, and the associated flora and fauna in general, by employing the ecosystem conservation approach (Agrisystems Limited, 2001).

The immediate beneficiaries from the outcomes of the project are the local people living near the conservation sites. The people in and outside Ethiopia, who in one way or another, depend on coffee are beneficiaries from the conservation effort as well. Scientists are also beneficiaries as the sites serve as a field laboratory.

The main outputs anticipated at the end of the project implementation are (1) Diverse organisms, including a large genetic pool of forest coffee plants, and the associated abiotic components will be conserved using *in-situ* conservation approach; (2) Germplasm of primarily forest coffee plants, but also other important trees, shrubs and herbs will be preserved/conserved using *ex-situ* conservation approach; and (3) Income and living standard of the local communities will be enhanced and their surroundings facilities will be improved. The forests are owned by the Regional Governments, but the occupants are the local people and they are owners and users. Other interested parties are JARC, EARO, IBC and the regional ARDB.

4.2 Features of the Three Forest Coffee Conservation Project Sites

The distinctive features of the three forest coffee conservation project sites are given in table 1. From the table it is clear that Kontir-Berhan project is located at farthest distance from the woreda whereas the Geba-Dogi project is within the woreda town. Boginda-Yeba has a very poor access to telephone service, electricity, potable water supply, and transportation means.

Although, according to the project document specialist contract employees with different qualifications are needed for the implementation of the planned activities, the table above shows that all the project offices are short of qualified officers (technical staffs) (Table 1). In Kontir-Berhan, the situation is worse as the project site manager position is vacant in addition to the technical staffs. Previously, at the initial stage of project commencement, all the positions were full with the necessary personnel. The reason for the turnover is lack of conducive working atmosphere in the project, which is the result of

lack of budget (on site) to perform as planned. The other explanation for leaving the office is the poor infrastructure availability.

Although it has been planned from the outset to fully organize and equip the project sites, this has never been materialized. In the three sites, except locally purchased limited office furniture, other facilities and major equipments, vehicles, motorcycles, and infrastructures are not available. Residential houses and offices with the necessary furniture, storerooms and other buildings are not built. On average, three to four people work in a single office room. Communication means (telephone or radio) and transportation facilities are not available in the three project offices.

According to the information from the project management unit, however, the construction activities in each conservation sites will be completed in the third year of the project lifetime. The purchase of vehicles (pickups and the motorcycles) is under process in an internationally competitive bidding.

According to available documents, the budget line that is effectively being utilized is salary for employees. Timely availability and channel of flow of budget is a challenge of the project offices in addition to lack of budget flow for some activities. Currently, the budget flow is through the woreda FEDO under the authorization of the woreda ARDOs. In addition, the accounts of the project had never been officially audited.

Table 1: Features of the forest coffee conservation project sites

Details	Geba-Dogi			Kontir-Berhan			Boginda-Yeba		
Location	Oromia Region, Illubabor zone, Yayu-Hurumu Woreda			SNNPR, Bench-Maji Zone, Sheko Woreda			SNNPR, Kaffa Zone, Gawata Woreda		
Distance of the project office form the woreda town	Within the town			20kms			10kms		
Altitude (masl)	1250-1780			1100-1500			1680-2400		
Location	35°45'-36°05' East and 08°15'-08°37' North			35°15'-35°30' East and 06°55'-07°05' North			36°00'-36°17' East and 07°21'-07°34' North		
Area coverage (hectare)	10000			9025			2764 (+ 1000 to be added newly)		
Types of coffee	Forest (~25%) and semi-forest (~75%)			Forest (~30%) and semi-forest (~70%)			Forest (~65%) and semi-forest (~35%)		
Bordering kebeles	11			4			2		
Major River	Geba, Dogi and Saki			Beko and Gacheb			Gojeb		
Total project budget ('000 Eth. Birr)*	8968.40			10502.40			7729.30		
Human resource (as of March 2005)	Detail	Plan	Existing	Detail	Plan	Existing	Detail	Plan	Existing
	Manager	1	1	Manager	1	-	Manager	1	1
	Technical staffs	2	-	Technical staffs	3	-	Technical staffs	2	-
	Others ¹	17	15	Others	17	13	Others	11	8

*1 Euro = 10 Eth. Birr

¹ Others includes guards, secretary, field assistances and Store keepers

Source: Zenebe (2004), Agrisystems Limited (2001) and data from the respective project offices.

4.3 Major Activities Performed and their Role in Forest Coffee Conservation

It has been almost two and half years since the project office started its implementation. The strategy for conserving the forest areas is *in-situ* conservation with the participation of local community and woreda level institutions. Developing community development activities, undertaking conservation activities and developing infrastructures are the basic methods to ensure the conservation and proper utilization of the forest coffee including the ecosystem. The community development deals with alternative small income-generating activities that are not dependent on destructive forest resource utilizations. For this purpose, there is a revolving fund of 400,000 Ethiopian Birr per project site. However, this has not been materialized yet.

Live fencing was done to delineate the conservation areas. Besides, written signs are posted at major sites of the conservation areas. Encroachment of the forest area, which was very problematic prior to the project start up, has now been reduced. The projects have played a major role in protecting the core zones, which cover the undisturbed part of the conservation area, from any severe interference by outsiders. The core zones are now becoming recognized and respected by the local people and other institutions as well. Legal activities, which are undertaken in the conservation sites, are usually performed with the permission of the project offices and agricultural offices of the woreda. The activities allowed within the conservation area are harvesting coffee and other forest products including spices, harvesting honey, collecting climbers and collecting dry and fallen woods. Under the supervision of project staffs, the community is allowed to cut branches of major trees and other non-timber forest products for farm implements and household utilities. On the other hand, the activities forbidden are encroachment of forestlands, hunting, settlement within the conservation area, grazing, charcoal making, planting improved varieties, slashing and setting fire within the conservation area.

The projects had carried out a coordinating role in protecting the boundary and monitoring the forest condition. Though the project offices do not have a role of coordination and setting or modifying rules, sanctioning of rule breakers by fines and punishments is carried out regarding the conservation areas. In addition, the project offices undertake sensitization and awareness creation activities about the importance of conserving the forest area. The communities can express their needs and concerns about the forest by sending written application or representatives of the community or by raising issues independently to the project office.

The community is participating in the activities of the project. The local people are employed to protect and guard the forests. It is also believed that the community will participate in implementing the planned project activities. The participation could be in the form of employment during the construction activities, development of infrastructures and seedling preparation. The other major area where the community participates is in using the revolving fund to create alternative income generating activities rather than depending on forest resources. In this regard the community is expected to be the major beneficiary from the revolving fund.

4.4 Monitoring and Evaluation System

According to the project document, project monitoring should be undertaken by the project coordinator, coffee, tea and spices development department of MoARD. However, monitoring of the project status had never been done formally and timely by the management and coordinating bodies of the project. In addition, regular forum of discussion between the project office and other cooperating bodies is not available. Evaluation system of the project is not established during the life period of the projects, as no substantial impact on beneficiaries (coffee growers) is expected during this period.

4.5 Challenges, Successes and Prospects in Terms of the Major Capacities

4.5.1 Challenges

1. For proper implementation of project activities, it is obligatory to have financial resource on time. The project offices had not received any allocated budget from the coordinating office except salaries of employees and rent expense for office and residential houses. This made the project handicapped to implement activities beyond guarding the area.
2. The unavailability of office and field equipments, transportation services and other infrastructure facilities is also a challenge for the project. Lack of vehicles has an impact on the implementation of the project, as it is not possible to go on walking long distances (walking by the employees of the project covers usually around 10 km) and perform activities effectively.
3. The unavailability of the technical staffs necessary for the implementation of the conservation and community development activities is a great problem. It was noticed, during discussions that, there is lack of institutional learning by the staffs (Kontir-Berhan) as the manager position is vacant; and losing accustomed experts has a negative impact on the performance of the project and attitude of the community. Lack of practical work because of poor budget flow and the poor infrastructure development are reasons that lead qualified personnel to look for other opportunities.

4. Poor monitoring and follow up system is also witnessed in the implementation of project activities. Lack of regular reporting mechanism between the project offices and the project coordinators and the project management unit is seen as a problem in the implementation of the project. Unavailability of regular discussion forums not only between project implementers, and project management unit and coordinators but also with stakeholders aggravated the problems.

The challenges faced are related with the organization and management of the project indicated in McGill (1996) as one of the contributors for the successfulness of a project. This includes leadership and human resource development, timely availability of resource, explicit feedback and monitoring mechanism and strong staff motivation. All the above challenges can be linked with the organizational arrangement of the project management and coordination bodies. The current arrangement does not allow the responsible bodies to undertake project activities giving the necessary emphasis. This is because they are given the responsibility of managing the project on top of the existing responsibilities and duties they have as employees of the organizations they are affiliated to. The project would have been in a better position if it was organized independently having its own project coordination office and full time responsible personnel.

4.5.2 Successes

The existence of the project sites, with all their challenges, can be taken as a success. This is due to the fact that their very existences in the area and some activities they have performed have changed the attitude of the community towards conserving and protecting the forest area. The participation by the community and the planned community development activity could be to the best of the forest conservation if implemented properly. In addition, the support the project had by the local leadership is a success factor for its implementation and acceptance in the project areas.

4.5.3 Prospects

The prospect for the projects could be related with the coordination, management and follow up capacity of the regional ARDBs. Besides, the expected reform on the plan of activities of CIP IV especially on conservation component, during the mid-term review planned at the end of project year two, can be taken as a prospect. In the coming project life span, information from the project management unit asserts, the plan is to complete the project according to the previously planned activities including the backlog even though it is now way behind schedule. There is also a preparation to discuss with the major stakeholders, coordinators and implementers of the conservation component regarding the plan on the implementation of the projects and their participation in the process.

Chapter 5 Overview of Mission and Objective statements and Role of the Institutions in Forest Resource Conservation

This chapter deals with three selected governmental institutions (MoARD, EPA and IBC) at the different hierarchical (federal, regional, zonal and woreda) levels. This includes review of mission and objective statements and the role of the institutions in forest resource conservation. This chapter is to answer what the objectives of the institutions are towards conserving the forest resource of the country.

5.1 Federal, Regional, Zonal and Woreda Level Agricultural Institutions

5.1.1 Mission and Objectives

All the agricultural institutions studied at different hierarchical level have mission and objective statements. The statements are prepared either by the strategic plan management team or a committee organized specifically to prepare the statements. The mission and objective statements are directly related with the nation's development objectives. The mission statements of the institutions are geared towards realizing food security and thereby emancipate the rural community from poverty by developing the productivity through transforming the outlook of the human power; bringing sustainable use of natural resources; introducing, developing and supplying new technologies; and introducing market oriented agricultural system (MoARD, 1997E.C.; OARDB, 2003; Illubabor zone ARDO, 2003; Yayu Woreda ARDO, 1997E.C.; SNNPR ANRDB, 1996 E.C.; Bench Maji Zone RDCmD, 1997E.C.; Sheko Woreda RDCmO, 1995E.C.; Kaffa Zone RDCmD, 1995E.C.; and Gawata Woreda RDCmO, 1996E.C.). The objectives depend on each specific situation the institutions exist.

The federal and regional level agricultural institutions have a mandate to prepare policy and draft laws on the conservation and utilization of natural resources. They are also engaged in following up and coordinating the implementation of policies and laws. Whereas the woreda level institutions are directly related with implementation of activities. The zone office are support provision institutions.

5.1.2 Role in Forest Resource Conservation

The MoARD's role in forest resource conservation includes preparation of policies, proclamations, strategies, guidelines, manuals and giving assistance to the regional bureaus and others. In line with this, the preparation of the Ethiopian Forestry Action Program (EFAP) which is helpful in any forestry action as a base data and indicators of actions needed (MNRDEP, 1994) and woody biomass studies can be

cited as the major documents prepared. Management plan for six national forest priority areas (NFPA)⁵ had been prepared and additionally three NFPA management plan preparations are underway. Besides, draft forest development and conservation proclamation with its policy and strategy has been prepared and is submitted to the Council of Ministers for approval. Regulations on forest products movement and transaction and agro forestry package has been prepared by the ministry and is implemented.

As the role of the regional bureaus is coordinating, monitoring and facilitating activities, they do not participate in actual implementation of the conservation activities. However, there are efforts to develop, conserve and protect forest resources of the region by participating the community. The SNNPR Agricultural and Natural Resource Development Bureau (ANRDB), as the coordinator of the two forest coffee conservation projects of the region plans to use the available rules and regulations regarding conserving and protecting the forest resources. It is also planned to organize the community in-group and give them the responsibility to protect the area in coordination with the project office to make the community feel responsibility and ownership of the resources. Technical information and information regarding new proclamations, rules and other important aspects of working conditions are provided to cooperating bodies and zone and woreda level organizational structures. In this regard awareness creation on the two proclamations which are related with natural resources had been undertaken. The proclamations are the State of Southern Nation, Nationalities and Peoples Land Administration Proclamation No.53/2003 and Southern Nation, Nationalities and Peoples' Regional State Forest Management, Development and Utilization Proclamation No.77/2004. The proclamation No. 53/2003 has implementation rule and regulation (Rule No.16/1996 E.C. and Regulation No.1/1997E.C.). However, the proclamation No.77/2004 is short of rule and regulation and is not applied practically and all the studied agricultural institutions in the region use forestry conservation, development and utilization proclamation No.94/1994. This information provision is in the form of written documents, discussions or trainings.

In Oromia region two proclamations had been issued regarding conservation of natural resources; forest proclamation of Oromia No.72/2003 and Oromia rural land use and administration proclamation No.52/2002. The community as well as the officials of the government had been made aware of the two proclamations by the Oromia Agricultural and Rural Development Bureau (OARDB). Beside, awareness creation about forest resources conservation is undertaken through the mass media, meetings and workshops and farmer's conference. Usually experts at woreda level pass on natural resource

⁵ NFPAs are priority areas for conservation of forest trees and other biodiversity. The six NFPAs with management plans are Sigmo Geba, Wof Washa, Menagesha Suba and Munessa Shashemene located in Oromia Region, and Belete-Gera and Tiro Boter Becho in SNNPR. The management plan includes technical standards and has to be updated every five years.

conservation and protection messages to the community. On the other hand, four forest conservation projects are being undertaken in different areas of the Oromia region. These are Adaba-Dodola forest, Belete Gera forest, Chillimo forest and Geba-Dogi forest conservation projects⁶. Besides, development teams consisting of 10-20 community members are organized at each kebele to ensure proper utilization of the forest resources.

The zone agricultural offices have a role in facilitating and creating awareness regarding natural resources conservation endeavor of the zone. In this regard, in the Illubabor zone Agricultural and Rural development Office (ARDO) afforestation programs in schools through natural resource clubs and plantations by GOs, individuals, NGOs and churches and mosques and applying control system regarding unwise use of forest resources are the strategies used to conserve the forest resources of the area. On the other hand, information specific to natural resources conservation and utilization is provided using workshops and informal trainings. Audiovisual film about forest protection has been broadcasted to all woredas of the zone. Moreover, posters are used as a means to pass on information to users. Experts of the office were participants during demarcation of the Geba-Dogi forest coffee conservation project site. Currently, after the transfer of the coordination responsibility from IBC to the OARDB, the office has been given a task of facilitating the implementation of the project.

Bench Maji and Kaffa zone Rural Development coordination main Departments (RDCmDs) participate in the efforts to change the attitude of the community about conserving forest resources during discussion forums. Besides the awareness creation, demarcating the forest area and allowing both the kebeles and the community handle the administration is used to create sense of ownership and make the community participate in the conservation process. The communities are also sensitized regarding proclamations, rules and regulations, which directly affect their livelihood and are concerned with natural resources. In addition to the stated roles there is a PFM practice in the Kaffa zone with the help of Farm Africa. Regarding the Boginda-Yeba and Kontir-Berhan conservation projects, experts from the zone office were participants during demarcation and the sensitization activity, which was done prior to the demarcation.

Awareness creation about forest resources conservation and proper utilization is done through discussion during meetings and other social forums by the woreda Rural Development Coordination main Offices (RDCmOs) of the Gawata and Sheko woreda. The Sheko woreda participated during the

⁶ Participatory Forest Management (PFM) is experienced in Chilimo forest (w. Showa), Belete Gera forest (Jimma) and Adaba Dodola forest (Bale) by Farm Africa, JICA and GTZ respectively. This approach is successful in making the community feel sense of ownership and responsibility in the conservation process.

demarcation of the Kontir-Berhan forest coffee conservation site and live fencing for 10,000ha of land had been done. Awareness creation is the major role played by the office regarding the necessity and the benefits of conserving the forest. Information is provided to the community using face-to-face discussion, trainings, farmers day and demonstration plots. Development agents have a great role in transmitting information to the users as they deal with the community in their day-to-day activities. In addition, there is information desk in the office which provides information to users. In areas where there is high deforestation, plantation of Eucalyptus trees has been undertaken so that it can be used for fuel wood and other needs of the local people. Furthermore, the natural resource desk of the Sheko woreda RDCmO gives education to natural resource club members, which are organized at schools, so that they in turn create awareness during formal or informal discussions to their families and to the community as a whole. The education includes use of forest, forest protection and conservation and why it has to be protected, etc.

On the other hand, in Gawata wereda, through forest and wild life development and conservation committee⁷ of each kebele, the RDCmO has a role in conserving, properly utilizing and developing the forest resources of the area. 25,000 and 14,000 hectares of state forests were demarcated during 2002 and 2004 respectively. These demarcated forest areas are protected and conserved by the community themselves using PFM practice. In the state forests; activities like charcoal making, expansion of agricultural land and cutting woods are forbidden while using beehives, cutting climbers, collecting coffee and spices and collecting dry and fallen woods are allowed. This PFM, which has awareness creation program as its main component, has changed the attitude of farmers towards forest conservation. In this regard, in areas where PFM is practiced, the community's participation in conservation and utilization is effective and has a basis towards sustainability.

The Yayu woreda agricultural and Rural Development Office (ARDO) played a role during the demarcation of the forest coffee conservation site of the project as well as the NFPA as a whole. In Yayu woreda, as a member of the Environment Development and Protection Committee⁸ of the woreda, the agricultural and rural development office played a role in creating awareness and sensitizing the community about the benefits of the forest protection and demarcation. Currently, the office participates

⁷ Forest and wild life conservation committee is composed of representatives from different governmental institutions including the agricultural office and two elders from the community. The committee has a mandate to conserve, protect, develop and properly utilize the forest and wildlife resources of the area.

⁸ Members of the committee at woreda level are the woreda administrator as a chairman, 6 committee members who are heads of different governmental organizations in the woreda including the ARDO head and a secretary who is expert of natural resource from the woreda ARDO. The Committee is organized at woreda and kebele level with a mandate of protecting and conserving the natural resource from eradication and distortion and facilitating wise use of the natural resource of the woreda.

in protecting the NFPA including the forest coffee conservation site. Discussion with the dwellers, implementation of forest proclamation of the region and devising and implementing own rules helped in the minimization of illegal cutting of trees, prevention of expansion of farmland into forest areas and expansion of holdings for coffee plantation within the forest area. The rules created at woreda level include deciding who is authorized to use the forest resources and what kind of resources and uses can be made of the forest.

5.2 Federal and Regional Environment Protection Institutions

5.2.1 Mission and Objectives

The federal and the two region's environment protection institutions have their own mission and objective statements. The statements are prepared or amended by the institutions themselves. The mission statements vary depending on the hierarchy they are in and the region they are located. In this regard the mission of EPA is to promote the use of environmental resources in an optimum way to bring about sustainability into development and thus ensure the best environment possible for present and future generations of Ethiopia. The objective of EPA is to formulate policies, strategies, laws and standards, which foster social and economic development in a manner that enhance the welfare of humans and the safety of the environment sustainably, and to spearhead in ensuring the effectiveness of the process of their implementation. The basis is the mandate of the authority, to address national environmental problems and to contribute or initiate and coordinate the implementation of global conventions or treaties in which Ethiopia is a party. The environmental protection council⁹ reviews proposed environmental policies, strategies and laws, and advises EPA on environmental policy implementations. Directives, guidelines and environmental standards prepared by the authority are also reviewed by the council.

The mission of Oromia Environment Protection Office (OEPO) is to bring paradigm shift to the current Oromia environment by devising mechanisms, which harmonize environment and development. The objectives of the office are to bring sustainable ecological balance, reduce environmental pollution effects and promote public awareness on environmental protection (OEPO, 2003). Whereas the mission of the Environment Protection and Land Administration and Utilization Authority of SNNPR (EPLAUA) is to contribute to the region's economic and social development by devising a just and equitable land administration and scientific utilization of resources. By so doing, the authority expects to

⁹ Members of the Environment Protection Council are the Prime Minister or his designate (chairman), members to be designated by the Federal Government, a representative designated by each National Regional State, a representative of the Ethiopian Chamber of Commerce, a representative of local environmental non-governmental organizations, a representative of the Confederation of Ethiopian Trade Unions and the Director General of the Authority.

ensure farmers and pastoralists secure land holdings adhering to environmental protection principles (EPLAUA, 1997 E.C.).

5.2.2 Role in Natural Resources Conservation

EPA involves in carrying out studies mainly targeted towards the preparation of guidelines and standards. In this regard, ecosystem approach is used where forest conservation issues are entertained together. In draught affected districts, EPA is involved regarding conservation of forest resources. Moreover, even though it is not on regular basis, information is provided to users regarding the environmental impact assessment guidelines, procedures, proclamations and policy and strategy documents using website, newsletters and brochures. In addition, awareness creation, conducting pilot projects and resource mobilization, preparing and disseminating guidelines and taking proactive measures are used when there is a need to protect and rehabilitate the environment.

EPA in collaboration with EARO, IBC and the former Coffee and Tea Authority has prepared the forest coffee conservation project proposal. The three forest coffee conservation project sites (Boginda-Yeba, Geba-Dogi and Kontir-Berhan) were selected depending on the recommendation and selection of the proposal preparing team.

As the OEPO is not directly involved in the implementation of activities, it has a major role in monitoring or regulatory and awareness creation activities. Although it is not on regular basis, information provision and awareness creation activity is done using workshops, trainings, public meetings and panel discussion regarding environmental impact assessment, general condition of the environmental and any information related to environmental problems of the region. Technical advice is also given to concerned bodies.

Study in areas of disturbed ecosystem including natural forest resources are undertaken by the OEPO. Problem assessment in collaboration with local stakeholders starting from the grass root level is done and based on the result of the assessment made, the office formulates plan of action and project proposals to rehabilitate degraded environmental situations. In addition, although it is not effective, there is a system established to assess the impact of public and private projects on the environment. Due to the requirement of additional cost, in most cases, project holders are resistant to conduct the impact assessment study.

The department of environment protection in the EPLAUA is involved in carrying out studies about conserving the natural resource of the region. Information to the concerned bodies is provided through publications, trainings and discussion meetings regarding the environment and the situation of the environment and factors that lead to the current situation and the measures to be taken. Likewise, awareness creation activity is done to experts of zone and woreda RDCmDs and RDCmOs on newly issued proclamations and regulations and guidelines of implementation of the proclamations. Training is also given to leaders of environmental clubs of high schools to create awareness about the concepts of environmental protection and the current situation.

The environment protection department in EPLAUA provides support when there exists a need to rehabilitate and protect the environment. In line with the objectives and responsibilities of the department, technical and financial support is provided and the department participates in research and study activities of the area. In addition, if the investment authority of the region sends projects to the office, environmental impact assessment is undertaken.

5.3 Institute of Biodiversity Conservation

5.3.1 Mission and Objectives

The Institute has a charter of mission and objectives prepared by the SPM committee. The mission of the institute is to devise and implement strategies, in collaboration with concerned bodies, to conserve and develop the biodiversity of the country thereby utilize resources appropriately for environmental protection, agriculture, health, agriculture-led industries and for socio-economic development activities. The objective of IBC is to ensure the appropriate conservation and utilization of the country's biodiversity (IBC, 1996 E.C.). According to Proclamation No. 381/2004, the Institute's responsibilities include initiating policy and legislative proposals on the conservation of the country's biodiversity and upon approval enforce and follow up their implementation. The institute has a mandate to ensure the conservation of the country's biodiversity using *ex-situ* and *in-situ* conservation methods.

5.3.2 Role in Forest Resource Conservation

The Institute is nationally mandated to ensure the conservation and sustainable use of the country's biological resources, including forest genetic resources. For this about 50 orthodox seeded accessions of about 15 tree species have been collected and conserved under in door cold rooms at IBC. In addition, the IBC had a role in the establishment and coordination of the three forest coffee conservation sites (currently the coordination is passed onto the regional agricultural bureaus). Moreover, through the medicinal plants project financed by the World Bank, IBC is involved and has a coordination role in

conservation of the Bale Mountains National Park and in the community based *Podocarpus falcatus* forest conservation site in Setema, Jimma zone.

In summary, the role of the institutions studied is different regarding their mission and objectives and their hierarchical level. The EPA at federal level and the regional environmental protection agencies play a regulatory role whereas the IBC and the MoARD have a support provision and implementation role. The regional agricultural bureaus and the zone agricultural offices have a coordination and support provision role. The woreda agricultural offices play an implementation role.

Chapter 6 Linkages and Comparative Analysis of Institutions

The first part of this chapter deals with the linkages that exist between IBC, EPA and MoARD at different hierarchical levels. In addition, the linkage that exists between the three institutions and the FCCPs was reviewed. The second part deals with the structure of the institutions and the comparative analysis of the institutions in terms of the three major capacity items (human resource, financial resource and infrastructure facilities). The third part deals with the monitoring and evaluation systems that exist in the institutions studied. Finally, challenges, successes and prospects of the institutions in terms of the major capacity items are presented. In general, this chapter attempts to answer the research questions dealing with the capacities and linkages between institutions.

6.1 Linkages between the Institutions

6.1.1 Linkage between IBC, EPA and MoARD at Different Levels

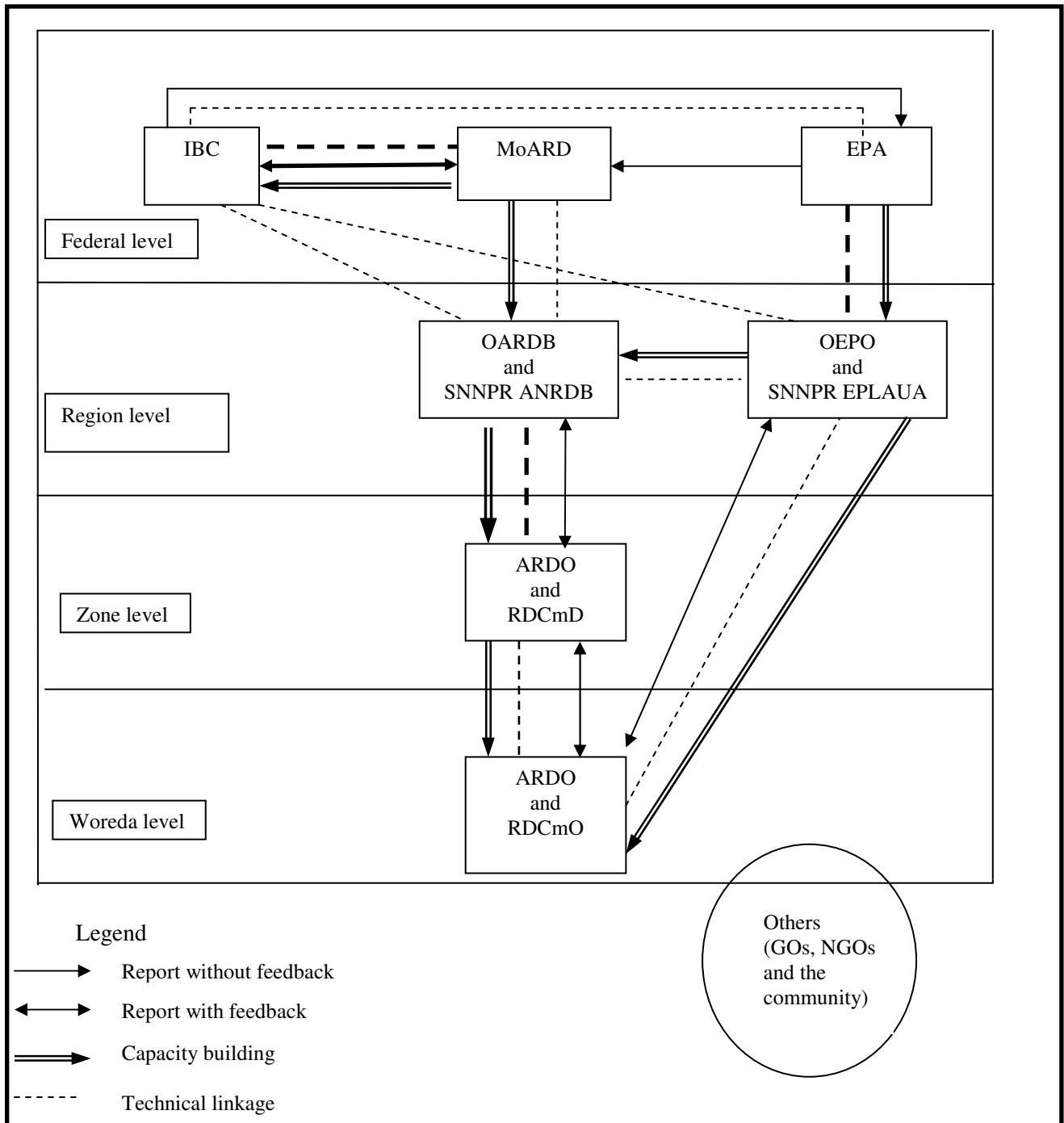
The institutions experience horizontal as well as vertical linkages (Figure 1). The horizontal linkage, as described by Young (2002), exists within the same level of organizational setup, i.e., within federal or regional setup. The vertical linkage is the one that exists between different levels of the organizational setup i.e., federal, regional, zonal and woreda levels. The linkages are seen in terms of technical support depending on the activity and the institutions, reporting (with or without feedback) and capacity building (financial and facility support and trainings).

The horizontal linkage between IBC and MoARD at federal level is strong (shown in the chart in bold line) in terms of reporting, capacity building and technical linkage. Their linkage strength is due to the accountability of IBC to MoARD since the new restructuring of the organizations. On the other hand, the horizontal linkage of IBC with EPA is seen with respect to technical and reporting aspects. However, reporting, which is basically about projects implementation, is without feedback. The other horizontal linkage at federal level is between EPA and MoARD. The linkage of the two institutions is seen only in terms of reporting. Although EPA is not supposed to send reports to the MoARD, this has changed since the ministry is reorganized as MoARD after MoA. Moreover, there is a poor coordination and linkage within the departments of the institutions.

The horizontal linkage at regional level is between the regional environmental protection agencies and the regional agricultural bureaus. The two institutions are linked regarding technical aspects and capacity building in terms of financial support flowing from the environment protection agencies to the agricultural bureaus. The financial linkage is apparent as the environment protection agencies do not

have organizational structures at lower levels. The environmental protection activities are performed through the natural resources development and conservation desks and the recently established environment protection and land administration desks at woreda level agricultural offices. Different from the case of Oromia, reports are sent in SNNPR to the pool planning service at ANRDB to be compiled and submitted to the RDCB of the region. Moreover, poor linkage and coordination is apparent within the regional agricultural bureaus.

Figure 1: Linkages between the Institutions



All the three organizations experience vertical linkage. Although the IBC has no structure at lower levels, its vertical technical linkage is with the regional agricultural bureaus and EP agencies; whereas the MoARD's and EPA's vertical linkage with the regions is apparent in terms of technical aspects and capacity building. The linkage between federal EPA and regional environmental protection agencies in terms of capacity building (training, financial and material support) is not up to the expectation of the regional agencies, though, technical linkages are provided as per request made by the regions. Even though due to the federal structuring, the regional agencies are not obliged to send physical activities implementation reports to the federal institutions, reports are mandatory for those activities funded by EPA through projects. These reports are sent regularly and sometimes feedback is provided during discussion forums.

The other vertical linkage is between the regional environmental protection agencies and woreda agricultural offices. This linkage is in terms of technical support and capacity building. In addition, there is a reporting linkage with the environmental protection, land use and administration desk of the zone and woredas in SNNPR and natural resource development and conservation and rural energy team in Oromia regional state woredas as the implementers of environmental protection activities are the above-mentioned desks.

Similar to the EPA's linkage with the regional agencies of environment protection, the linkage between the MoARD and the regional agricultural bureaus is based on technical support provision, financial support through projects, trainings and facility provision. For those activities funded by the MoARD, performance and financial reports are provided. Reports based on the general performance of the regional bureaus are not sent to the ministry because of the federal structuring of the organizations.

The other vertical linkage is between the regional agricultural bureaus and the zone and woreda agricultural offices. The technical linkage between the three levels is apparent as the lower level is directly accountable to the next higher level technically. However, the technical support provided by the zone office or main departments, especially in Oromia region is weak as the capacity of the zone office (structural capacity) is too small to provide the support. There is also capacity building (trainings, facilities and budgetary support) linkage especially in SNNPR and regular report flow between the three levels. In Oromia region budget for the zonal agricultural office is provided by the regional government whereas in SNNPR budget for zone RDCmD is from the zone administration office which leads the

accountability of the zone offices to the regional ANRDB be only technically. As a result, the budget support from the regional ANRDB is seen as a supplement in SNNPR. On the other hand, woreda level offices of the two regions secure their budget from the woreda administration and are only technically accountable to the zone RDCmD and ARDO. Feedback on reports is sometimes provided during discussion forums, which are programmed to take place regularly but not usually carried out in time.

On top of the aforementioned linkage between the institutions, other GOs, NGOs and the community have linkages with the institutions in one way or another as indicated while describing the stakeholders of the institutions.

It is clear from the above discussion that institutions have strong linkage with institutions to which they are accountable. Due to the federal system of the country, regional bureaus are not obliged to send reports to the federal organizations. This system has created information gap as to where the status of the agricultural and rural development and the environmental situation in the country stands. According to interviewed officials, this is a great challenge in data accessing and knowledge sharing and taking actions on time whenever there is a need. Usually information is provided from the regions to the federal organizations based on the good will of the provider. The other issue that can be drawn from the discussion is that feedback is not provided on time. As stated in Young (2002) the linkages between the institutions should promote the common objectives of the institutions and therefore linkages need to be both ways to fully meet the objectives.

6.1.2 Linkages between Institutions and the Forest Coffee Conservation Projects

From the studied institutions, EPA and the regional environment protection agencies do not have active linkage with the FCCPs (Figure 2). However, EPA had participated during the initial survey, identification and demarcation of the three project sites and the formulation of the project document. In addition, the authority had participated during the initial sensitization of the communities as well as other institutions in and around the respective conservation sites.

IBC was coordinator of the conservation sub-component of CIP IV prior to the transfer of the responsibility (before August 2004) to the respective regional agricultural bureaus. Currently, even though it is not actively undertaken, the role of IBC is to provide technical assistance, trainings, and to prepare and provide guidelines and manuals through the regional agricultural offices. This weak linkage is a major problem while undertaking the *in-situ* conservation activity. This is because the IBC is responsible to ensure the conservation of the country's biodiversity using *ex-situ* and *in-situ*

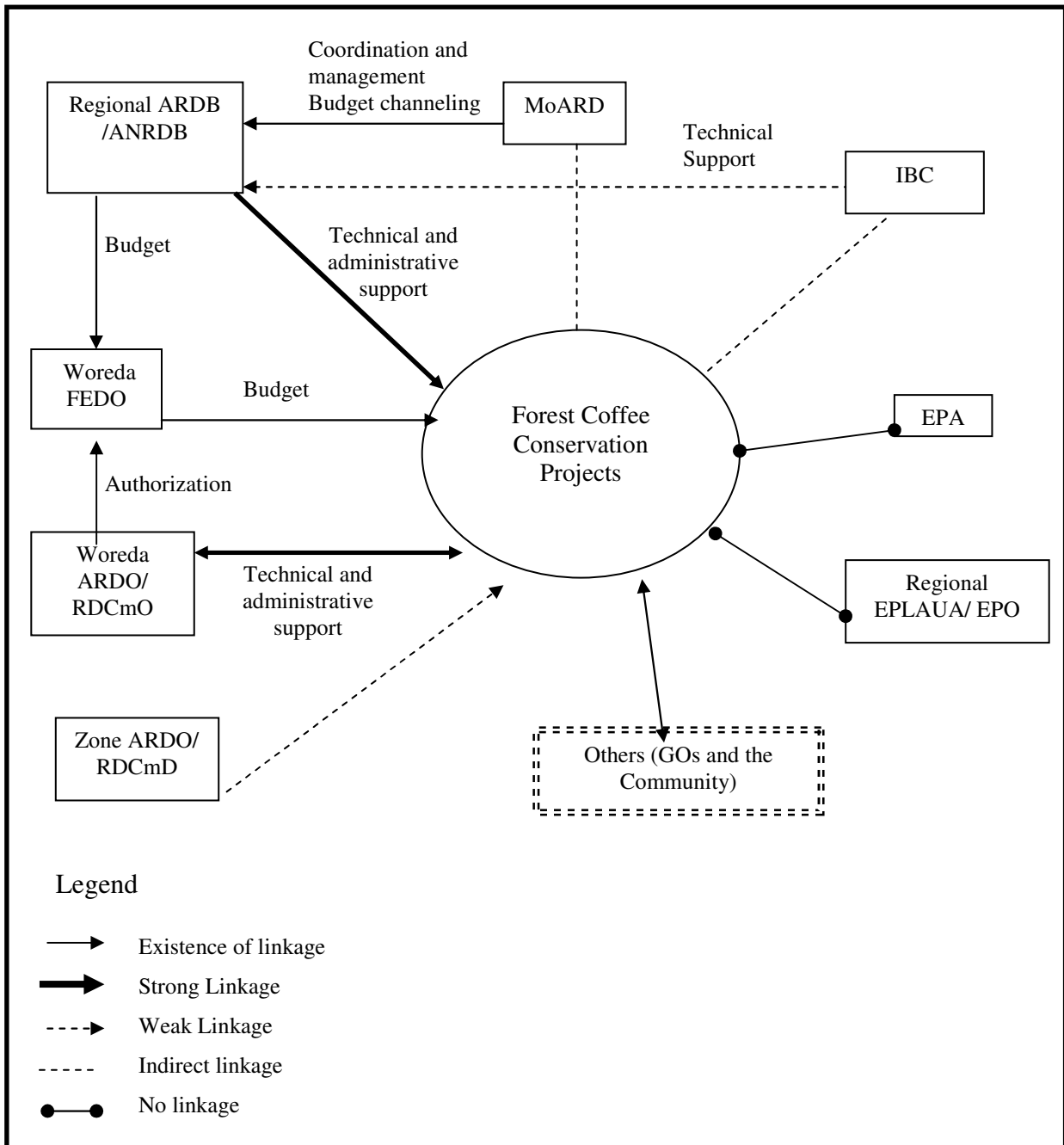
conservation methods and is responsible to implement, in cooperation with the concerned bodies, treaties on biodiversity to which Ethiopia is a party (Proclamation No.381/2004). In addition, the Institute could be a good back up in technical aspects in implementing especially the *in-situ* conservation methodology.

MoARD as the overall coordinator of the CIP IV, through its department of coffee, tea and spices development, undertakes the planning, coordinating and monitoring aspects of the components of the CIP IV. In its activity, the MoARD is directly linked with the regional agricultural bureaus which are the coordinators of the conservation projects. The project management unit channels budget to the respective regional agricultural bureaus to be distributed to the project sites. The monitoring aspect of the projects is very weak, as there is no reporting linkage and field visits as well as regular discussion forums. It can be drawn from the figure that the MoRADs' linkage with the projects is through the regional agricultural bureaus.

Regional agricultural bureaus, as coordinators of the conservation projects in their respective regions have administrative as well as technical linkage with the projects. The administrative linkage includes budget channeling as per the transferred amount from the project management unit. Currently, there is no reporting system established from the project offices to the coordinating body. However, the plan is to mainstream monitoring system within the project offices. Moreover, field visits and regular monitoring activities are planned by the coordinating bodies.

Woreda level agricultural offices (ARDO/ RDCmO) are located nearest to the project offices (Yayu woreda and Gawata woreda agricultural offices are located within 10 km distance from the conservation sites whereas Sheko woreda agricultural office is located within 20 km distance). It is also worth mentioning that the project sites are located within the NFPA, in which the woreda agricultural offices are responsible to protect and manage. The woreda agricultural offices are strongly linked with the project offices technically and administratively including the authorization of budget. As indicated in figure 5, the budget from the project management unit is transferred through the regional agricultural bureaus and the woreda Finance and economic development offices. The budget transferred can be utilized by the project offices after the authorization of budget release is received from the woreda agricultural offices. The woreda offices are given the responsibility of supporting, monitoring and follow up of the project implementation. The linkage is very strong especially in Geba-Dogi FCCP. On the other hand, the linkage of the project offices with the zone agricultural offices is not strongly established and clearly defined in both regions.

Figure 2: Linkages between the institutions and the forest coffee conservation projects



Source: Developed by the author, 2005

6.2 Organizational Structures and Major Capacities of the Institutions

This part reviews the organizational structures of the institutions and gives a comparative analysis of the institutions based on the basic capacities under study namely; human and financial resources and infrastructure facilities.

6.2.1 Organizational Structure

6.2.1.1 Federal Institutions

Ministry of agriculture and Rural Development

In the past five years, the Ministry had been restructured two times and three Ministers were appointed as well. The Ministry obtained its current structure since January 2004 by Proclamation No.380/2004. In this structure, five development organizations are merged to create the Ministry and nine independent organizations are made directly accountable to the Ministry¹⁰.

The ministry consists of the Minister, and three State Ministers. It is organized with three sectors, two coordination bureaus, three departments, one bureau and one office which are directly accountable to the Minister. The three sectors which are accountable to the State Ministers are

- 1 Agricultural marketing and inputs sector consisting of seven departments;
- 2 Agricultural development sector consisting of seven departments, two centers an institute; and
- 3 Natural resources sector consisting of four departments.

The two coordination bureaus are the food security bureau and the planning, administration and finance coordination bureau. The audit, legal and women affairs departments, the information and public relation bureau and the civil service reform office are directly accountable to the minister.

The departments are located in eleven different places. This is a challenge regarding support services provision as the support service provider (namely the administration and finance coordination bureau), is located at the Head Quarter. In addition, the ministry is too big for appropriate and sufficient service provision.

¹⁰ The five development organizations which are merged during the current reorganization of the Ministry are (1) Ministry of Agriculture; (2) Coffee and Tea Authority; (3) Livestock Marketing authority; (4) National Agricultural Input Authority; and (5) Wildlife Conservation and Development Authority. And the nine independent organizations accountable to the MoARD are (1) the Disaster Prevention and Preparedness Commission; (2) the Cooperatives Commission; (3) the Ethiopian Agricultural Research Organization; (4) the Institute of Biodiversity Conservation; (5) the Ethiopian Social Rehabilitation and Development Fund; (6) the Ethiopian Rural Energy Development and Promotion Center; (7) the National Veterinary Institute; (8) the Ethiopian Seed Enterprise; and (9) the Ethiopian Grain Trade Enterprise (proclamation No. 380/2004).

Environmental Protection Authority

In the past five years, the Authority had been restructured once and had only one Director General ever since its establishment. Three years have elapsed since the authority obtained its current structure. However, the current structure of the authority is planned to be revised and amended after revising the SPM of the authority.

Currently, the authority consists of the Environmental Protection Council and the Director General, Deputy Director General and the staffs. The authority is organized with six departments, six services, one information center and one regional coordinating service. The five departments accountable to the Deputy General Manger are the ecosystem department, environmental policy and legislation department, environmental education department, environmental economics and social affairs department and pollution control department. Women's affairs department is the sixth one which is directly accountable to the General Manager. Audit Service, administration and finance service, impact assessment service and planning and programming service are directly accountable to the General Manger. The regional environmental coordination service and laboratory service are accountable to the Deputy General Manager. The environmental information center is also accountable to the Deputy General Manager.

Institute of Biodiversity Conservation

In the past five years, the institute was restructured twice and two General Managers had been appointed. The institute consists of General Manger, Deputy General Manager and the staffs. Policy and legal service department, audit and inspection service, planning and programming service and information service are directly accountable to the General Manger. The administration and finance service and plant genetic resources center are accountable to the Deputy General Manager. Plant genetic resources center is organized with five departments and a herbarium and cold store services. The other five departments accountable to the Deputy General Manager are animal genetic resources department, microbial genetic resources department, ecosystem conservation and research department, ethnobiology department and biotechnology and biosafety department.

6.2.1.2 Regional Institutions

Oromia Agricultural and Rural Development Bureau (OARDB)

In the past five years, the bureau had been restructured three times and had two different heads. The bureau head and the deputy head positions are appointment positions by the cabinet of the regional government. The cabinet also has the right to remove the higher managing bodies of the bureau. The

bureau is directly accountable to the president of the Oromia regional government. The current structure was organized by integrating three autonomous organizations together and five autonomously organized bodies are accountable to the bureau¹¹.

The bureau is organized with three divisions, four departments, three services, and a civil service implementing body directly accountable to the head. The four departments are the planning and project department, the administration and finance department, the training department and the rural women department. The services are the audit service, the information, documentations and public relations service and the legal service. The three divisions are the agricultural development division incorporating three departments, the input supply and marketing division with two departments and the rural land administration and natural resource and irrigation division with five departments.

Oromia Environmental Protection Office

In the past five years, the office has been restructured twice and two heads were appointed as well. The head of the office is appointed by the President of the regional government and approved by the council of the region. Three years have elapsed since the office obtained its present structure.

The office is organized with two departments and two services. The two departments are pollution study and control department and environmental impact assessment and ecology study department. Finance and administration service and planning and programming and public relations service are the two services in the office. All the departments and services are directly accountable to the head of the office.

SNNPR Agricultural and Natural Resources Development Bureau

In the past five years, the bureau had been restructured once and one bureau head was appointed since then. The head is appointed by the council of the region and can be removed by the council as well. The office had the current structure since 2004. The structure consists of the bureau head, the deputy head, the supportive staff center and technical staffs. The supportive center consisting of administration service, finance service, planning and programming service and audit team is directly accountable to the head. This center provides service to three different organizations namely; ANRDB, EPLAUA and Agricultural Input Authority of the region. The technical wing is directly accountable to the deputy head

¹¹ The three autonomous organizations which are merged during the current reorganization of the Bureau are (1) Oromia Bureau of Agricultural Development (2) Oromia Irrigation Development Authority and (3) Oromia Rural Land and Natural Resources Administration Authority. And the five independent organizations accountable to the OARDB are (1) Oromia Pastoralist Development Commission (2) Oromia Disaster Prevention and Preparedness Commission (3) Oromia Rural Roads Authority (4) Oromia Institute of Agricultural Research and (5) Oromia Cooperative Promotion Bureau.

and is organized with three departments. These are agricultural development department with four teams, agricultural extension department with two teams and natural resources development and conservation department with two teams. In addition to the above-mentioned three departments, the agriculture, technical, vocational and educational training coordination is accountable to the deputy head of the bureau.

SNNPR Environmental Protection, Land Administration and Use Authority

The authority was organized independently by the proclamation No. 52/2003 of the region. Ever since its establishment, one head had been appointed. The regional government appoints the head of the authority and has the power to remove the head. The authority is organized with two departments and a service. The two departments are environment protection department and land administration and use department whereas legal service is the only support service in the authority. Both departments and the service are directly accountable to the head of the authority. Each of the two departments incorporates three teams accountable to the departments. The three teams under the environment protection department are agro-ecology and biodiversity study and protection team, environmental impact assessment and pollution control team and environment education and public participation team. Finance and administration service and planning and programming services are provided within the pool office in ANRDB of the region.

6.2.1.3 Zone level Institutions

Oromia Region Illubabor Zone Agricultural and Rural Development Office

In the past five years, the office was restructured three times and terminated from July 2002 until October 2003 because of the decentralization process undertaken in the country. The office had six heads in the past five years. The office assumed its current structure as of December 2004. In this structure, the Finance and economic development office of the zone is responsible for controlling, checking and undertaking every financial transaction of the office. Similarly, the administration part of the organization is handled by the zone administration office.

The technical departments in the office are crop production and protection team, agricultural input supply team and natural resources development and conservation team. The only support service in the structure is the planning team. In addition, two independent offices namely; food security office and cooperatives office are directly accountable to the ARDO.

SNNPR Bench Maji and Kaffa Zones Rural Development Coordination main Departments

In the past five years, the organizations had experienced three different structures. Three heads in Bench Maji zone and five heads in Kaffa zone were appointed during the five years periods. The Council Office of the zone, which is the higher authority, has the mandate of appointing and removing the head of the coordination main departments.

The current structure, which commenced function beginning from July 2004, consists of five desks, two units and services and one program which are all directly accountable to the coordination department head. The five desks are agricultural and natural resource development desk, environment protection and land administration desk, water resource development desk and rural energy development desk. The two units and the program are agricultural input supply and distribution unit and community road coordination unit and food security and pastoralist area development program. The two support wings are planning and programming service and administration service. The pool office in the FEDCmD of the zone handles all financial transactions of the organization.

6.2.1.4 Woreda level Institutions

Oromia region Yayu woreda Agricultural and Rural Development Office

In the past five years, the office had been restructured three times and had three different heads appointed. The woreda council has the right to appoint and remove the head of the office. The current structure was implemented since October 2004. In this structure, the administrative and the finance parts are handled by pool offices established in the Administration Office and the FEDO of the woreda respectively.

The office is organized with nine technical teams and one technical desk and one support provider unit and cooperative development office. The technical teams are crop production and protection team, animal health team, coffee and horticulture team, rural land administration and use team, irrigation team, agricultural marketing team, natural resource development and conservation and rural energy team, agricultural input supply and credit team, and community road team. Women's affair desk is a technical desk whereas planning unit is the support wing in the office.

SNNPR Sheko and Gawata Woredas Rural Development Coordination main Office

In the past five years the offices had been restructured three times and four heads in Sheko woreda and three heads in Gawata woreda had been appointed. The woreda Council office appoints head of the office and has the right to remove the head. The current structure was commenced in July 2004. The

structure is composed of one office, five desks, one unit and two support provider services directly accountable to the head of the coordination main office. Agricultural and natural resource development and conservation office incorporates animal production desk, crop production and protection and technology dissemination desk, coffee and other exportable products desk and natural resource development and conservation desk. The five desks directly accountable to the head are cooperatives development desk, water resources and rural energy desk, land use and administration desk and agricultural input supply and credit service desk and food security desk. Community road is the only unit in the office. The two support providers are administration service and planning service. However, the food security desk does not exist in the Gawata Woreda. The financial aspect is handled by the pool office in the FEDmO of the woredas.

6.2.2 Major Capacities of the Institutions

6.2.2.1 Human Resource Capacities

Availability

At federal level, existence of professional staffs against the requirement is high at MoARD (61%) and low in EPA (48%) (Table 2). The reason for this situation is the unavailability of qualified and experienced personnel in the labor market. On the other hand, the share of professional staffs from the total working force is the lowest in MoARD and highest in EPA, whereas the total vacant position is the highest in EPA and lowest in MoARD (Table 3).

At regional level institutions, the share of professional staffs is almost similar except in the case of EPLAUA (Table 3). The existence of 85% professional staffs in EPLAUA of SNNPR is due to the unavailability of support provider services or departments where most of non-professional staffs are employed. The support service is handled by the support center within the regional ANRDB. The very low availability of qualified professionals in each of the institutions is indicated (Table 2) at all regional levels except in the case of SNNPR ANRDB which accounts for 75%. The main reason for the very low availability of professional staffs (<40%) at regional environmental agencies is the recent restructuring of the agencies as an autonomous entity whilst the reason for the existence of only 48% professional staffs at OARDB is the unavailability of qualified personnel in the labor market.

Table 2: Availability of Professional Staffs

Institution	Professional staff ¹ Positions allowed	Existing Professional staffs	Existing Professional staffs (%)
Federal Level Institutions			
MoARD	411	250	61
EPA	104	50	48
IBC	92	50	54
Region Level Institutions²			
OARDB	210	100	48
SNNPR ANRDB	60	45	75
OEPO	28	11	39
SNNPR EPLAUA	47	17	36

¹ Professional staffs are those with first degree and above.

² The region level institutions data does not include zone and woreda offices information.

Note: Data about institutions below region level is not available.

Source: 2004/2005 data from respective institutions.

Although the vacant positions are almost similar, the availability of professionals at Bench Maji zone is much smaller than the other two zones (Table 3). The turn over rate is also very high in Bench Maji zone compared to the other zones as well as the three institutions studied at different hierarchical level. In all the institutions, most of the employees who left the office upon their request are professionals. In addition, the availability of professional staffs at woreda level is very poor and the vacant positions range between 10% and 20% (Table 3).

Table 3: Human Resource Status

Institution	Professional staffs ¹ (%)	Vacant positions (%)	Turn over rate ² (%)
Federal Level Institutions			
MoARD	19	18	X ³
EPA	37	41	4
IBC	23	24	4
Region Level Institutions			
OARDB	31	26	9
SNNPR ANRDB	35	21	3
OEPO	33	41	8
SNNPR EPLAUA	85	61	0
Zone Level Institutions			
Illubabor zone ARDO	30	44	X
Bench Maji zone RDCmD	12	42	16
Kaffa Zone RDCmD	30	41	2
Woreda Level Institutions			
Yayu woreda ARDO	0	20	X
Sheko woreda RDCmO	1	16	0
Gawata woreda RDCmO	1	11	X

¹ Professional staffs are those with first degree and above.

² Turn over rate is calculated considering those who left the institutions based on their request.

³ Data not available.

Source: 2002/2003-2004/2005 data from respective institutions.

Training

Long term training is not available in institutions below region levels except in Yayu woreda ARDO, whereas short-term trainings are available moderately (Table 4). Training opportunities get better and diverse as one moves up from woredas to regions and federal level.

Table 4: Availability of Trainings

Institution	Trainings Provided				
	PHd	MSc.	BSc.	Diploma	Short-term ¹
Federal Level Institutions					
MoARD	3	90	3	2	38
EPA	1	7	1	-	6
IBC	7	6	7	-	63
Region Level Institutions					
OARDB	-	41	19	1	14
SNNPR ANRDB	1	6	-	-	32
OEPO	-	-	-	-	6
SNNPR EPLAUA	-	-	-	-	-
Zone Level Institutions					
Illubabor zone ARDO	-	-	-	-	-
Bench Maji zone RDCmD	-	-	-	-	12
Kaffa Zone RDCmD	-	-	-	-	7
Woreda Level Institutions					
Yayu woreda ARDO	-	-	-	27	23
Sheko woreda RDCmO	-	-	-	-	25
Gawata woreda RDCmO	-	-	-	-	25

¹ Short-term trainings are those between 10 days and up to diploma level.

Source: 2002/2003-2004/2005 data from respective institutions

In summary, the professional human resource availability in each of the institutions is low being the worst at woreda level. The availability of professional and qualified human resource is mandatory to undertake the responsibilities vested on the institutions and to fulfill the missions and objectives of the institutions. In addition, as Gant (1993) affirmed, institutions must be able to survive adequately supported with the necessary personnel capability. For this training provision could be one means. However, training opportunities are not adequately available at lower levels where the implementation of activities is undertaken. In addition in some of the institutions discussed above the turnover rate is very high which should be given due consideration.

6.2.2.2 *Financial Resource*

Source

Most of the institutions studied have two budget sources: the government and aid budget through different projects (Table 5). Loan budget is available in IBC and MoARD at federal level and OARDB at Oromia region. The highest budget share in most of the institutions is government budget. In cases where loan budget is available, the second best share is from loan followed by aid. The exception is the case of OEPO where 69% of the total budget share is from UNDP in the form of aid. This situation raises the concern of depending too much on a single source, which may create problems if the budget cannot be sustained.

Table 5: Financial Resource Availability and Utilization

Organization	Budget share from different sources ¹			Budget utilization by source ²		
	(%)			(%)		
	Government	Aid	Loan	Government	Aid	Loan
Federal Level Institutions						
MoARD	88	4	8	100.4	35.8	165.1
EPA	73	27	-	76.2	85.2	-
IBC	47	23	30	66.1	82.5	31.8
Region Level Institutions						
OARDB	74	12	14	58	5	12
SNNPR ANRDB	79	21	-	78.6	13.7	-
OEPO	31	69	-	83.0	39.2	-
SNNPR EPLAUA	67	33	-	X ³	15.7	-
Zone Level Institutions						
Illubabor Zone ARDO	100	-	-	89.3	-	-
Bench Maji Zone RDCmD	68	32	-	98.4	49.7	-
Kaffa Zone RDCmD	100	-	-	88.8	-	-
Woreda Level Institutions						
Yayu woreda ARDO	90	10	-	100.0	27.3	-
Sheko woreda RDCmO	99	1	-	100.0	X	-
Gawata Woreda RDCmO	92	8	-	99.8	X	-

¹2002/2003 –2004/2005 data is used to calculate the budget share.

²2002/2003 and 2003/2004 data is used to calculate budget utilization percentage.

³ Data not available.

Source: 2002/2003-2004/2005 data from respective institutions

Financial Resource Utilization Capacity

Government budget utilization at woreda level is almost 100 % (Table 5). This is because almost the entire budget is recurrent budget, the highest share being salary payment for the employees. In addition, the possibility of transferring the allocated budget from one budget line to another, whenever needed, made the utilization percentage high (Approximately 100%). Although data about the requested budget amount is not available, discussions with officials and experts of the woreda offices revealed that allocated budget is chronically below what is required. On the other hand, utilization of the aid budget in Yayu woreda is very low although data about the utilization of the aid budget in the other two woredas is not available.

At zone level budget utilization from the government budget is above 88%, though the aid budget utilization capacity is only about 50% in Bench Maji zone of SNNPR (Table 5). On the other hand, at region level, excluding OARDB, the government budget utilization is 80% and above, whereas the percent utilization of aid budget is 14-40%. In OARDB budget utilization from all sources is very low (Table 5). The reasons as indicated by the bureau for the low utilization of aid and loan include late release of budget from the fund providers and late reporting of utilization of budget from zone and woreda agricultural offices. The low government budget utilization in OARDB is also related with the low utilization of the aid and loan budgets as 54% of the government budget is matching fund.

At federal level, the budget utilization is different in the three institutions as shown in Table 5. The government budget utilization is 100% in MoARD and 66% and 76% in EPA and IBC, respectively. Aid budget utilization is almost similar in EPA and IBC whereas it is very low in MoARD (36%). The reason indicated for the low utilization of aid budget is the poor awareness of the rules and regulations of the budget utilization process of donor agencies and lack of capacity to facilitate the utilization process by the implementing agency, MoARD. On the other hand, the budget utilization from loan is more than 160% in the MoARD and 32% in IBC. The high percent utilization of loan budget in the Ministry is due to late procurement of equipment, which should have been done before the years under consideration (before 2002/2003). In line with this, the utilization of government budget is almost 100% because of the increased amount of matching fund of the loan budget. On the other hand, the low utilization of loan by IBC is due to coordination problem as the budget is utilized by more than 14 stakeholders.

In summary, the diversification of budget source is high at the upper structure of the institutions whereas the utilization is different at different levels of the institutions. However, it can be concluded

that the utilization of budget from external sources is low in all the institutions at different levels and government budget utilization is very high at woreda and zone levels of the institutions. The difference in budget utilization of different hierarchical levels is linked with the availability of external budget sources. If external budget is not available then the total government budget is for the day to day activities of the institutions whereas if there is external source, the government budget includes a matching fund and its utilization will be low inline with the utilization of the external budget. Besides shortage of budget at zone and woreda level institution is the other reason for its high utilization percentage.

6.2.2.3 Infrastructure Facilities

The availability of office rooms for the employees in the institutions ranges between two and four at federal, regional and zonal institutions. On the other hand, the number of employees working in one office room at woreda level is four and above, the highest being at Gewata woreda which is six. The researcher has witnessed that the room space is also small at woreda level than the higher hierarchy of the institutions.

Infrastructure facilities are not available in Gawata woreda except vehicles, which are not sufficient. Although it is not sufficient, the other two woreda agricultural offices have telephone lines and vehicles. Likewise, except the availability of fax and computers, the zone offices are poorly supplied in terms of infrastructure facilities.

At region level, the agricultural bureaus are in a better position than the environmental protection agencies as indicated in the Table 6. Telephone service is available in each room whereas fax service and vehicles are sufficiently available in both regions. The ANRDB of the SNNPR is in a better position considering the existence of library that also serves the EPLAUA of the region.

The institutions at federal level are equipped with the infrastructures under consideration. However, Internet service is not sufficiently provided in each of the three institutions and computer is reported to be insufficient in MoARD. On the other hand, library service which was available previously at EPA is no more in operation due to lack of space. The vehicles available at MoARD are more than what is required as all the vehicles of the five merged institutions are currently the property of the Ministry.

In summary, institutions at federal level are better equipped with infrastructures than at lower levels. The latter either do not have infrastructure facilities or have very poor facilities. Hence, infrastructure

availability of institutions is directly related with the hierarchical setup of the institutions. Generally like Gant (1993) asserts, if the institutions are not equipped with the necessary capacities (financial resource, human resource and infrastructure facilities), they will not be able to accomplish their objectives adequately.

Table 6: Infrastructure Facilities Status

Institution	Employees in one room	Telephone service	Internet service	Library service	Computer	Fax	Vehicles
Federal Level Institutions							
MoARD	4	In each room	Not sufficient	Available	Not sufficient	Available	More than enough
EPA	2	Not in each room	Not sufficient	Not available	Sufficient	Available	Sufficient
IBC	2	In each room	Not sufficient	Available	Sufficient	Available	Sufficient
Region Level Institutions							
OARDB	3	In each room	Not available	Not available	Sufficient	Available	Sufficient
SNNPR ANRDB	2-3	In each room	Not available	Available	Not sufficient	Available	Sufficient
OEPO	3-4	Not in each room	Not available	Not available	Not sufficient	Available	Not sufficient
SNNPR EPLAUA	4	Not in each room	Not available	Not available	Not sufficient	Not available	Not sufficient
Zone Level Institutions							
Illubabor ARDO	3	Not in each room	Not available	Not available	Not sufficient	Not available	Not sufficient
Bench Maji RDCmD	2	Not in each room	Not available	Not available	Not sufficient	Available	Not sufficient
Kaffa RDCmD	3	Not in each room	Not available	Not available	Not sufficient	Available	Not sufficient
Woreda Level Institutions							
Yayu ARDO	4	Not in each room	Not available	Not available	Not available	Not available	Not sufficient
Sheko RDCmO	4	Not in each room	Not available	Not available	Not available	Not available	Not sufficient
Gawata RDCmO	6	Not available	Not available	Not available	Not available	Not available	Not sufficient

Note: Sufficiency of facilities depends on each institutions' perception.

Source: 2004/2005 data from the respective institutions

6.2.3 Planning, Budgeting and Monitoring and Evaluation Systems

6.2.3.1 Ministry of Agriculture and Rural Development

The capital and recurrent budgets¹² are requested independently from the MoFED. The request of budget is submitted to MoFED with the plan of action attached. After budget approval, if the approved budget differs from the requested one, the action plan will accordingly be modified. Afterwards quarter reports including both the budget and physical activity performance will be submitted to the MoFED.

Based on Proclamation No.380/2004, the Ministry is accountable to the Prime Minister Office. Accordingly, the Ministry sends quarter reports and during discussion forums feedback is provided. Besides, the House of Peoples' Representatives monitors the performance of the Ministry quarterly. The Ministry presents its reports to the Standing Committee of Agricultural and Rural Development and the House at large. Usually feedback is provided during the meetings. Evaluation of the Ministry's performance is not undertaken by the Standing Committee.

There is a monitoring mechanism within the Ministry, which is undertaken by the planning and programming department using regular reporting and discussion meetings. The department produces reports of the Ministry after assessing the reports of each department and section every month. In this monitoring process, the activity and budget performance are not monitored and assessed in a synchronized way. Unless demanded by external fund providers evaluation is not exercised.

6.2.3.2 Regional Agricultural Bureaus and Lower Level Agricultural Offices

The government budget request is submitted to the BoFED in the two regions. At region level, the capital budget request and approval is directly linked with the physical action plan where as the recurrent budget request and approval is not. In Oromia region zone level budget request and physical activity action plan approval is from the regional ARDB. On the other hand, in SNNPR the budget request is submitted to the zone administration office and the physical action plan approval is by the regional bureau. In both regions, the woreda offices budget is approved at woreda administration level whereas the physical activity action plan approval is by the zone agricultural offices/coordination departments. Sometimes, physical activity action plan is also forwarded from the regional bureaus to the zone and woreda offices of both regions.

¹² Capital budget is a type of budget which is usually allocated for project activities (eg, construction activities, matching funds for externally funded activities) whereas recurrent budget is allocated for day to day activities of the institutions including the salary payment of employees.

After approval of the budget and activity action plan, quarter report of performance is sent accordingly to budget approving bodies. Quarter reports are also sent to the bodies the institutions are accountable to. Sometimes discussion forums are exercised in both regions of all institutions.

At zone and woreda level offices, every financial transaction is undertaken in the FEDOs of the zone and woreda, as they are the pool financial service providers. In Oromia region, the pool finance offices do not provide financial status report to the zone and woreda ARDOs. This indicates the gap in monitoring the activity performance and budget utilization in an integrated manner.

Internal monitoring system is available in the regional bureaus. Planning and programming department of the bureaus undertakes the monitoring exercise using reports and sometimes field visits and discussion forums. Regular management meeting is also used to monitor the performance of the bureau as a whole. In Oromia region, as the structure of the zone ARDO is small, field visit is not exercised where as in SNNPR the RDCmD undertake field visits to monitor the activity performance at woreda level. At woreda level agricultural institutions, monitoring activity is undertaken using reports, field visits and discussion meetings. In both regions, evaluation is not practiced regularly at all levels of the institutional set up unless demanded by fund providers or the regional government.

6.2.3.3 Environmental Protection Authority and Regional Environmental Protection Agencies

In both the federal EPA and the OEPO, the physical activity action plan and the request for recurrent and capital budget are prepared at the same time. Upon budget approval, if necessary, the physical action plan is modified. In the EPLAUA of SNNPR the physical action plan is prepared after the budget is approved.

In all the three institutions monitoring is practiced internally as well as by external bodies. The internal bodies are the planning and programming services. The monitoring activity is done every quarter using reports and discussions and finally report of the outcome of the monitoring is submitted to the higher management bodies of the institutions for the necessary actions. However, in all the institutions financial performance and physical performance are not monitored in a synchronized way as they are dealt independently.

The external monitoring bodies of the regional institutions are those in which the institutions are accountable to, the BoFED and EPA (for activities funded by projects through the Authority). Usually feed back during discussion forums is received even if it is not timely. In the case of EPA, although the

Authority is accountable to the Prime Minister reports are sent to MoARD. Feedback and discussion forums with MoARD are not available. In addition, regular reports are sent to the MoFED and project fund providers. The Natural Resources and Environmental Protection Standing Committee of the House of Peoples' Representatives monitors the performance of the EPA. In most cases reports, field visits and meetings are used as the major ways to do the monitoring activity. On the other hand, all the three institutions do not exercise evaluation activity unless requested by donors.

6.2.3.4 Institute of Biodiversity Conservation

Budget request (recurrent and capital) with the physical action plan is submitted to MoFED through MoARD. After approval, the action plan will be modified depending on the approved amount. Afterwards performance report is submitted to the MoFED quarterly. As stated in proclamation No. 381/2004, IBC is accountable to MoARD and hence report is sent to the Ministry every quarter and the Ministry gives feedback accordingly. There is also a discussion forum every month. Standing Committee of Agricultural and Rural Development in the House of Peoples' Representatives is also responsible to evaluate and monitor the performance of the Institute. Reports and performance assessment meetings are used as a monitoring means. Following the monitoring activity, the standing committee gives written feedback depending on the case. Otherwise, feedback is provided during the discussion meetings. Evaluation of the Institute is not performed in an organized manner by the Standing Committee.

There is a built in monitoring system within the Institute. The major role player being the planning and programming section, all department heads, project heads including the management participate in the activity. Management meeting, which is one way of monitoring, is undertaken monthly. In this monitoring process, planning and programming section produce reports. However, evaluation is not undertaken unless fund providers requested it.

In summary, in all the institutions studied, plans of financial and physical activities are prepared and submitted to the concerned bodies. Afterwards monitoring of activities using regular reporting mechanism is undertaken. However, the physical and financial performance reports are not seen in synchronized way. Provision of feedback based on the reports is not usually practiced. On the other hand, there is no system to see whether the reported performance of activities is really up to their standards in terms of quality. In all the institutions, evaluation is not practiced unless demanded by fund providers (donors). Discussion forums with all concerned parties including stakeholders are not practiced regularly. In general, planning, monitoring and evaluation functions which are considered the

major function interventions towards institutional development (McGill, 1996) are not undertaken in integrated way with the participation of stakeholders.

6.2.4 Challenges, Successes and Prospects in terms of the Major Capacities

6.2.4.1 MoARD, Regional Agricultural Bureaus and Lower Level Agricultural Offices

Challenges

- 1 The high turnover of employees especially professionals is a challenge for the institutions. In line with this, lack of staff retention mechanism in all the institutions can also be taken as a one of the factors for turnover of staffs and a challenge in the future.
- 2 The frequent restructuring is a challenge. This frequent restructuring has created instability on the employees, discontinuity of activities, problem in data management and effective utilization of resources.
- 3 Dealing with different organization heads in a short period was a challenge to the employees. This is due to difficulty in preparing and implementing detailed and continuous plans and difficulty to familiarize oneself with the system of leadership in a short period - as every leader has his/her own style of leadership. The other challenge especially at woreda level institutions is the appointment of heads by higher officials, considering only their political affiliation without taking into account their educational background and management capacity.
- 4 The current arrangements of all the agricultural institutions create overlap of activities, as the arrangement is based on commodity rather than function. This has forced the same function to be undertaken by different departments with the effect of wasting resources.
- 5 Shortage of skilled manpower, especially at woreda level, is a challenging issue for implementation of rural development policies and strategies. At woreda level, professional staffs almost do not exist.
- 6 Regarding infrastructure capacities, although computers are available their low capacity and poor utilization and management of the resources is a challenge faced. This is a challenge for the information technology advancement that is needed especially in data processing, data management and data communication systems. Generally, unavailability and insufficiency of computers, library and Internet services is a challenge, as the institutions need to be equipped with updated information and computerized data management system.

- 7 It is a fact that organizations should be fully equipped with the required human resource. However, this has to be accompanied by the necessary infrastructure facilities and budget to accommodate them appropriately. In this regard, the major challenge is the unavailability of office rooms. This problem is pronounced at woreda level, as the rooms are small to accommodate the necessary staffs especially at Gawata woreda.

Successes

1. The new structure created by merging five independent organizations in MoARD and three organizations in OARDB, which were striving towards similar objectives, is a success. In line with this, the accountability of the nine independent organizations to MoARD and the five independent organizations to OARDB is helpful to create a good linkage and relationship regarding planning, implementation and monitoring and evaluation of activities. This structure created a better information exchange between the organizations leading to minimization of overlapping activities and wastage of resources.
2. It has been noted that in the SNNPR, the organizational structure is location specific and dependent on the real situation. This is a good system which makes the structure flexible and suitable to specific situations.
3. In addition, provision of training opportunities to upgrade the capacity of experts as well as the institutions especially at federal and regional levels is a success. However, this has to be accompanied by a retention mechanism so that after being upgraded, employees wouldn't leave the institutions.
4. The better access of infrastructure facilities at federal level can be taken as a success.
5. Although the utilization capacity of the institutions is not as such appropriate, the acquisition of external budget from different sources in the form of aid and loan is a success.

Prospects

1. After the finalization of business process re-engineering, which is currently undertaken, at all levels of the agricultural institutions, it is expected that the challenges and problems faced previously especially regarding overlapping and conflicting activities and linkages will be discussed in detail

and actions will be taken accordingly. There is also the possibility of modifying the structure considering the problems faced.

2. The beginning of developing local area network in the MoARD, so that information exchange within the ministry and accessing Internet service would be easier. It is not only local area network but the plan is also to develop wide area network to link all the eleven offices of the ministry. Currently three offices of the ministry have local area network and access to Internet. However, training has to be provided to make the employees know and effectively utilize the service.

6.2.4.2 EPA and Regional Environmental Protection Agencies

Challenges

1. Shortage of manpower is a major challenge for the proper implementation of environmental policies and dealing with environmental problems. The high staff turnover is also another challenge faced in developing human resource of the institutions.
2. Shortage of office rooms is a challenge for the future, as the vacant positions have to be fulfilled by employing new staffs so that the responsibility could be accomplished and activities performed adequately. Establishing sufficient office compound including its infrastructure may be a challenge before fulfilling the vacant positions.
3. Unavailability of the organizational structure below region level is a major challenge to accomplish its mandates properly. This situation created a gap to fulfill the need to combat the existing environmental problems urgently as the implementation of activities is at woreda level rather than at region level.
4. All of the departments and two of the services of the EPA are lead by acting heads and this has created a dissatisfaction which may lead to turnover of professional staffs.
5. Unavailability and insufficiency of computers, library, fax and Internet services is a challenge, as the future should be based on computerized system for data processing, information exchange and data and information accessing worldwide and from e-library and reference materials.

6. In SNNPR, the department of environment protection being amalgamated with land use and administration department is a challenge due to the biased recognition against the environment protection department.
7. The budget share from the government treasury being only 31% shows the inappropriate allocation in OEPO. This kind of budget proportion could be a challenge if the aid is withdrawn from the office.
8. Low capacity to utilize the available budget from different sources is a challenge for the institutions at all levels.

Successes

1. Soliciting budget from external sources in the form of aid is a success. This budget is a right hand for the authority and the regional environmental agencies to undertake environmental projects that could have been impossible with the limited budget provided from the government treasury. However, the utilization capacity of the institutions must be given due attention.
2. Provision of trainings, although it is not up to the need, to promote the capacity of employees as well as the institutions is a success. However, this has to be strengthened and accompanied by a retention mechanism.
3. The establishment of environment protection agencies at regional level is a success to be mentioned.

Prospects

1. The subsequent result of SPM document preparation is a prospect for the EPA. As information from the authority reveal, it is planned to modify and revise the organizational structure to make it more appropriate and based on the real situation and the mandate and responsibilities of the departments and units of the authority. The mandate analysis which is undertaken in the SPM document is a prospect for the authority to amend the mandates of the departments and service so that there will be no overlapping responsibilities.
2. After the finalization of local area networking in EPA, it would be possible to exchange information and data in a computerized way which leads the organization to go hand in hand with the current

technological advancement in information technology. It is also an opportunity to provide Internet service to all the computers through networks.

3. The existence of environment protection and land administration desk at zone and woreda agricultural offices of SNNPR is a prospect for implementing environment-concerned activities appropriately and timely. Inline with this, in OEPO, there is a prospect if the proposition in the strategic plan management document, which is to have a focal point at zone level under proper coordinating body, is accepted. If approved, this could help the institution to accomplish its mandate properly.

6.2.4.3 Institute of Biodiversity Conservation

Challenges

1. Unavailability of the organizational structure below federal level is a challenge. This situation created shortage of capacity to accomplish its mandates properly and to fulfill the requirements of the regions on time.
2. Shortage of skilled manpower because of unavailability of experienced and professional personnel in the market is a challenge for the Institute.
3. Effectively utilizing the financial resources available from different sources is a challenge considering the experience of the Institute.

Successes

1. Soliciting budget from external sources in the form of aid and loan is a success. However, the utilization capacity of the institute must be given due consideration and make it more effective and efficient.
2. The provision of training for the employees in short term as well as long term has a positive effect in the capacity of the employees as well as the Institute. These trainings are also considered as retention mechanism in addition to the salary payment based on career structure.

Prospects

1. After the finalization of the started local area network system, it would be possible to exchange information and data in a computerized way through network which leads the institutions to

effectively utilize resources. It is also an opportunity to provide Internet service to all the computers so that access to updated information and reference materials would be easy.

2. The subsequent result of the business process re-engineering activity is a prospect for the Institute. After its finalization, the output is expected to modify and make more suitable the structure of the institute. On the other hand, based on the mandate analysis, there is a possibility of rearranging the institute so that overlapping responsibilities and activities would be abolished within the institute as well as with those which are accountable to MoARD.

Chapter 7 Conclusions and Recommendations

The first part of this chapter gives the summary of the main findings and conclusion of the research while the second part presents possible recommendations.

7.1 Summary of Findings and Concluding Remarks

This research has attempted to describe three governmental institutions (Ministry of Agriculture and Rural Development, Environmental Protection Authority and Institute of Biodiversity Conservation) at different hierarchical levels in terms of their capacities and the linkages they have between them. In addition, the three forest coffee conservation projects, which are funded by European Union, are assessed and their linkages with the aforementioned governmental institutions are discussed. Besides, the environmental policy of the country is reviewed briefly. Summary of major findings regarding capacities, linkages between the institutions and the environmental policy situation are presented in the next part.

The three institutions under study are found poorly capacitated in terms of human resource, especially professional ones. Likewise, upgrading the available human resource in terms of educational qualification is found very low at the lowest level of the institutions i.e., the woreda, where very limited number of professional staffs exist.

The frequent restructuring witnessed in agricultural institutions, has created instability on the employees, discontinuity of activities, problem in data management and effective utilization of resources. It is also a reason for the creation of unfinished activities and recurrent reshuffle of experts from one position to another creating mis-management of information and lack of institutional learning and ineffective utilization of resources. Likewise, frequent change and appointment of non-professional heads was a problem in most of the institutions especially at woreda level. On top, lack of management and related trainings for the management bodies of the institutions aggravated the problem.

In most of the institutions, capital and recurrent budgets are available; the sources of capital budget being aid and loan from external fund providers. However, the utilization of capital budget is very low. Unavailability and insufficiency of infrastructure facilities is seen in all the institutions especially at zone and woreda levels. The poor endowment of institutions in terms of computers, library and Internet service is a challenge, as the organization at different levels need to be equipped with updated information and computerized data management system so that planning, budgeting, monitoring and

evaluation and other activities be done in a systematized, integrated and appropriate way. Inline with this, the planning, monitoring and evaluation systems in all the institutions are poorly integrated. Moreover, unless activities are project funded and demanded by the fund provider, evaluation is not performed in all of the institutions.

The capacity of the three conservation projects is also assessed and results show that their capacity is poor. None of the budget allocated by the fund provider is utilized except salary payment, office rent and the local procurement of some equipment. The infrastructure facilities planned in the outset were never materialized even though half of the project lifetime is passed. Similarly, the projects are poorly equipped with the necessary human resources.

Regarding linkages that exist between the institutions and between the institutions and the forest coffee conservation projects, it is revealed that the studied institutions have horizontal as well as vertical linkages. However, the linkages are not strongly established in cases where there is no accountability relationship. Reporting and data exchange are not apparent between federal and regional level institutional arrangements. Provision of feedback is very poor regarding institutions with reporting linkage. The result also asserts that technical and capacity linkages are not strongly established.

The linkage of the forest coffee conservation projects with the regional agricultural bureaus and the woreda agricultural offices is not properly formulated. The environment protection agencies at federal and regional levels do not have linkage of any kind with the conservation projects and the linkage of the projects with IBC and zone agricultural offices is weak.

Based on the above summary of the main findings it is concluded that conservation projects, which started with the objective of conserving the forest coffee including the ecosystem, using *in-situ* conservation strategy, are not properly implemented. Lack of infrastructure facilities and flow of budget including proper professional personnel affected the performance of the projects. Lack of monitoring system and the poor follow up of the status of the projects by the coordinating and managing bodies has a negative impact on the performance of the projects. In addition, the transfer of responsibility of coordinating the projects from IBC to the regional agricultural bureaus made the projects handicapped during the transition period. The poor linkage and coordination between the institutions has also impacted the conservation activity of the projects.

7.2 Recommendations

Based on the above major findings the following recommendations are made.

1. The institutions should be fully equipped with the necessary capacity items so that they can undertake the responsibilities vested onto them. In addition, capacity building in terms of trainings should be done based on human resource development plan of each institution. The capacity building in terms of human resource, financial resource and infrastructure facilities should be strengthened at lower levels of institutions where the real implementation of activities is undertaken. Employee retention mechanism should also be devised.
2. The institutions linkages towards the management and protection of the environment and natural resources should be strengthened. The linkage and data exchange system between federal and regional institutions could be established by signing an agreement (could be memorandum of understanding) or other binding regulation so that periodical information flows and discussion forum exists. The horizontal linkage between the three institutions has to be strengthened and be frequent so that every institutions' independent effort could be integrated and make successful the conservation endeavor as all have functional interdependencies.
3. Data management of each of the institutions should be improved and computerized so that information exchange and availability would be easy and manageable. Similarly, institutional learning should be improved in all of the institutions. This can be made possible by devising mechanisms such as terminal report submission and formal data transmission whenever employees left or change their positions.
4. The organization and management of the conservation projects which includes the leadership and the human resource development need to contribute to the successfulness of the projects objectives. The feedback and monitoring mechanism should be strengthened and institutionalized to make the projects successful. The projects should get the necessary support and be equipped with the necessary capacity items, to make headway to the achievement of their objectives. In addition, the linkages regarding the technical and administrative support from the other cooperating bodies should be strengthened and facilitated.

5. The conservation projects have to make sure that sustainable benefit is available to the community and have to participate the communities in the activities of the project so that they would protect and conserve the area in a sustainable manner. The community should also be able to use the forest resources wisely in a way that it has no impact on the sustainability of the resource. Effective means has to be developed for the communities to express their interests properly to the project implementers.
6. In line with diversification of budget source, budget utilization capacity should be given due consideration. Improving the budget utilization capacity with performance of planned activities and creating awareness about the rules and regulations of the donors and loan providers to the implementing institutions is mandatory. Monitoring and follow up of performance of activities has to be done periodically so that timely amendments could be done.
7. Although restructuring of institutions cannot be escaped, it has to be done after in depth study and participation of all concerned. The secrecy of restructuring of institutions may have its own advantages but, at the end, before implementation, it has to be debated and discussed by staffs of organizations. The frequency of restructuring should also be given due consideration as it has negative impacts on the implementation of activities and the performance of the institutions as a whole.
8. Monitoring and follow up of activities should be given due consideration in order to tackle problems timely and devise ways to improve the implementation of activities properly. Regular discussion forums should also be mainstreamed in each of the institutions. Evaluation system should be established and mainstreamed in all the institutions. It is not only establishing the system but also making it go hand in hand in an integrated way with the planning, budgeting and monitoring of activities so as to improve the decision making, institutional learning and overall performance of organizations.

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Appendix I: List of Interviewee (key informants)

Yayu Woreda

1. Ato Habtamu H/Michale Head, woreda ARDO
2. Ato Temesgen Olli Leader, Rural land administration and use team,
3. Ato Kasahun Indris Head, Planning unit
4. Ato Degefaw Gedefa Head, Geba-Dogi FCCP

Illubabor Zone

5. Ato Daba Urgessa Head, Zone ARDO
6. Ato Adamu Abebe Leader, Planning team
7. Ato Tadele Akleweg Leader, NR, land administration and irrigation development team

Bench Maji zone

8. Ato Gedion Liben A/head, zone RDCmD
9. Ato Wondafrash Tedla Coffee development expert
10. Ato W/michael Yehuwala Project monitoring and evaluation expert

Sheko Woreda

11. Ato Teshome Wasyihun A/head, RDCmO office
12. Ato Desayalew Fantaye Forestry expert
13. Ato Nasir Nur Ahmed A/head, Kontir-Berhan FCCP

Kaffa Zone

14. Ato Beshir Abdela Head, Zone RDCmD
15. Ato Alemayehu Alemu Coordinator, NR development and conservation
16. Ato Tadesse Mengesha Plan expert
17. Ato Ayele W/Gebriel Head, EP, land administration and protection desk
18. Ato Alemayehu H/Giorgis Head, Payment and control department in FEDCmD

Gawata Woreda

19. Ato Kochito G/Yesus Forest development and conservation expert
20. Ato Tsegaye Berhe Head, Boginda-Yeba FCCP

OARDB

21. Ato Jemal Aliye Head, Planning and project department
22. Ato Siraj Kedir Ex-Head, Planning and project department
23. Ato Benura Forest Biometrician
24. Dr. Fikru Deksis Head, Forestry and wildlife conservation department

OEPO

25. Ato Ahmed Head, EIA and ecology study department
26. Ato Hussien Head, Planning and programming service

ANRDB

27. Ato Altaye Oberet Head, Planning and programming service
28. Ato Tsegaye Fekade Forestry expert
29. Ato Tesfaye Negash CIP IV coordinator

EPLAUA

30. Ato Tefera Mekuria Head, Environment protection department
31. Ato Kassa Oyicha Plant biodiversity expert

MoARD

32. Ato Seyoum G/Meskel Forest protection expert
33. Ato Alemayehu Teshome CIP IV coordinator
34. W/ro Aster Estifanos Head, Planning and programming department

EPA

35. Ato Yigzaw Ayalew A/Head, Planning and programming service
36. Ato Ababu Anage A/Head, Ecosystem department

IBC

37. Ato Zenebe Woldu Head, Horticultural genetic resource department
38. Ato Engdawerk Aklilu Head, Planning and programming service

House of Peoples' Representatives

39. Ato Muhammed Seid Chairperson, Rural Development Affairs Standing Committee

Appendix II: Questionnaire

QUESTIONNAIRE FOR FEDERAL INSTITUTES MINISTRY OF AGRICULTURE AND RURAL DEVELOPMENT

PART 1. Information on Respondents

1. Organization _____
2. Your Department _____
3. Your Position _____
4. Your area of Specialization _____
5. Academic Qualification
Certificate () Diploma () BA/ BSc ()
MA/ MSc () PhD ()
6. Year of Experience in the Organization _____
7. Year of Experience in this position _____

16. Does this Ministry provide information to users?

A. Yes

B. No (End of this part)

17. If “Yes” is it on regular basis?

A. Yes

B. No

18. What is the type of information provided to users?

19. What is the method used to disseminate information to users?

29. If “Yes”, is it on time?

- A. Yes (go to Q. 31) B. No

30. If the answer for Q. 29 is “No”, why not?

31. Is there a forum for MoARD and EPA to meet and discuss issues on timely basis?

- A. Yes B. No (End of this part)

32. If “Yes”, what is the frequency of meeting?

- A. Monthly B. Quarterly C. Every Six months
D. Every year E. Others (specify)

PART 8. CAPACITIES

1. How many people work for the Ministry?
Total _____ Full time _____ Others (Part time, Voluntary, Contracts, etc) _____
2. Are the working people enough to undertake the responsibilities vested on the Ministry?
A. Yes (go to Q. 4) B. No
3. If “No”, what are the problems faced because of shortage of human resource?

4. Are there open vacancies?
A. Yes B. No (go to Q. 7)
5. If “Yes”, how many?

6. What is the reason for having open vacancies?

7. What are the ways the Bureau use to retain its employees?

8. What types of activities do most of full time employees undertake?

9. What types of activities do most of part time, voluntary, contracts and other employees undertake?

10. Does the Bureau give trainings for employees?
A. Yes B. No (go to Q. 12)
11. If “Yes”, please state the types of trainings given?

12. Is every department of the Ministry located in one site?
A. Yes (go to Q. 16) B. No
13. If “No”, in how many different locations does the Ministry has its departments?

14. Is there any problem because of this situation?
A. Yes B. No (go to Q. 16)
15. If “Yes”, please state the problems.

16. Is the office space enough for the employees?
A. Yes B. No

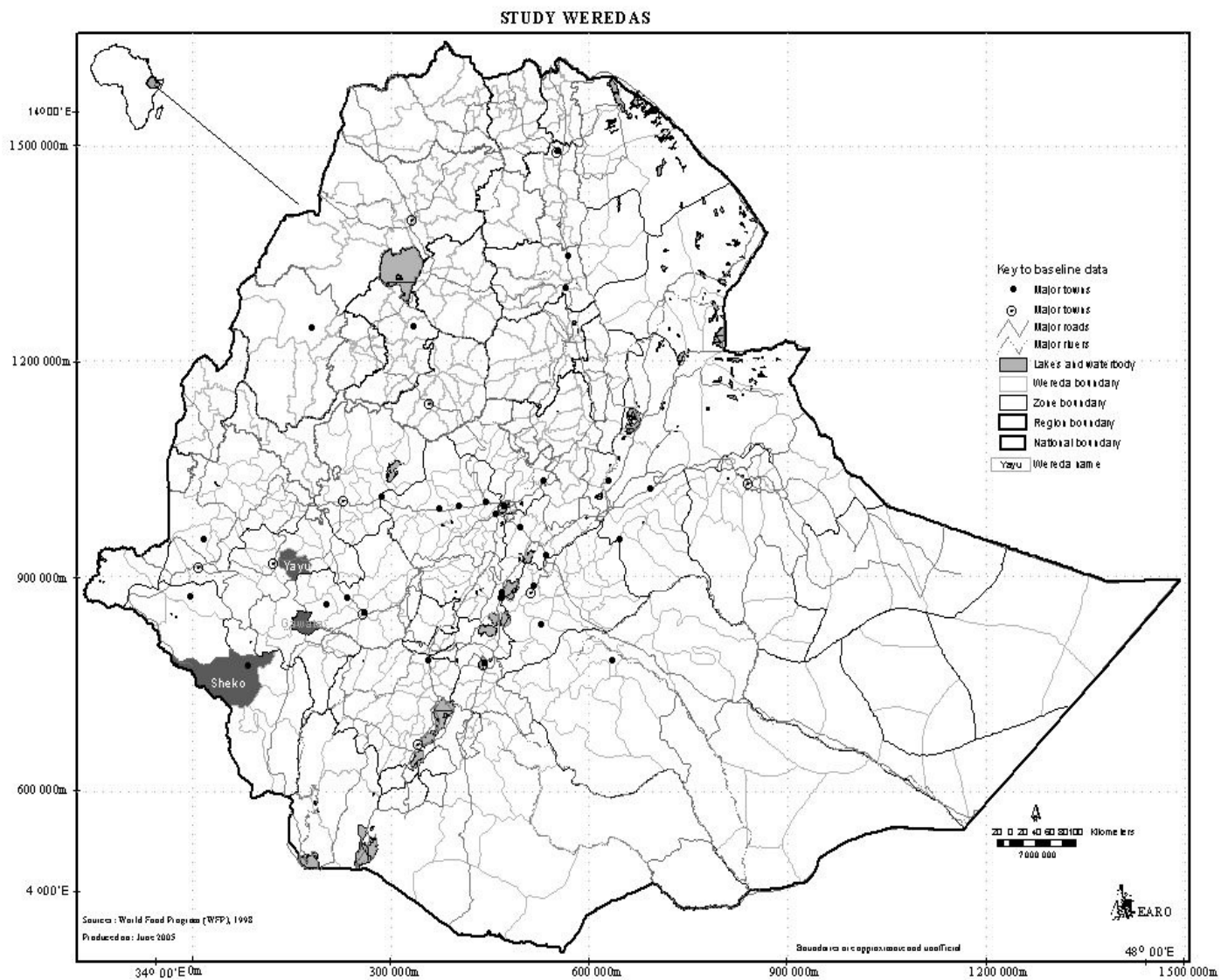
33. How many vehicles does the Ministry have?

34. Are the vehicles enough to undertake the activities of the Ministry?

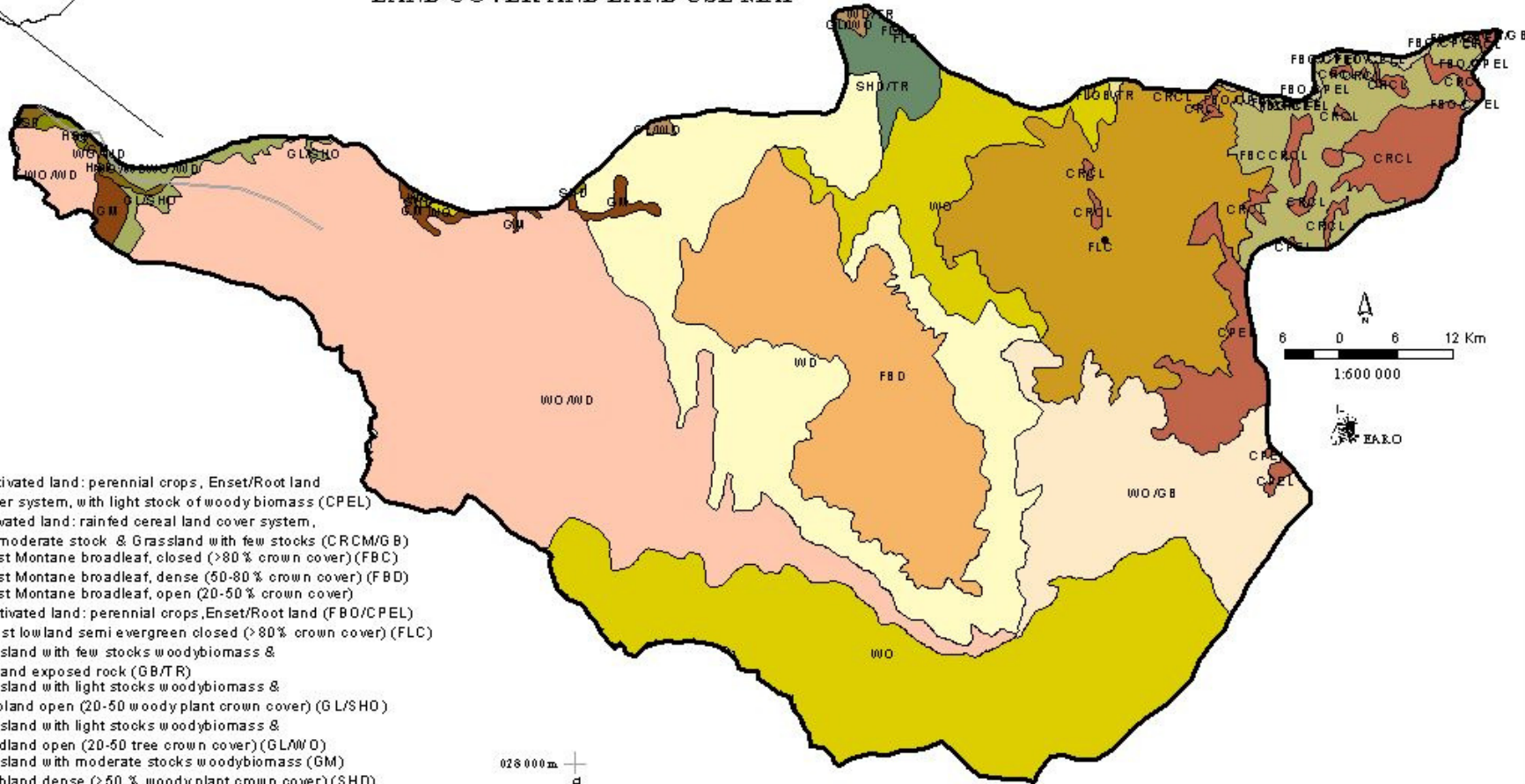
A. Yes (End of this part)

B. No

Appendix III: Maps



SHEKO WEREDA LAND COVER AND LAND USE MAP



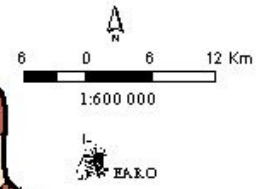
LEGEND

- Cultivated land: perennial crops, Enset/Root land cover system, with light stock of woody biomass (CPEL)
- Cultivated land: rainfed cereal land cover system, with moderate stock & Grassland with few stocks (CRCM/GB)
- Forest Montane broadleaf, closed (>80% crown cover) (FBC)
- Forest Montane broadleaf, dense (50-80% crown cover) (FBD)
- Forest Montane broadleaf, open (20-50% crown cover) & Cultivated land: perennial crops, Enset/Root land (FBO/CPEL)
- Forest lowland semi evergreen closed (>80% crown cover) (FLC)
- Grassland with few stocks woodybiomass & bareland exposed rock (GB/TR)
- Grassland with light stocks woodybiomass & shrubland open (20-50 woody plant crown cover) (GL/SHO)
- Grassland with light stocks woodybiomass & woodland open (20-50 tree crown cover) (GL/WO)
- Grassland with moderate stocks woodybiomass (GM)
- Shrubland dense (> 50% woody plant crown cover) (SHD)
- Shrubland dense (> 50% woody plant crown cover) & Bareland, exposed rock ((SHD/TR)
- Wetland, perennial swamp/marsh ((HSP)
- Wetland, seasonal swamp/marsh (HSS)
- Woodland dense (> 50% tree crown cover) (WD)
- Woodland dense (> 50% tree crown cover) & exposed rock (WD/TR)
- Woodland open (20-50 tree crown cover) (WO)
- Woodland open (20-50 tree crown cover) & Grassland with few stocks (WO/GB)
- Woodland open (20-50 tree crown cover) & Woodland dense (> 50% tree crown cover) (WO/WO)

Key to baseline data

- Major roads
- Lakes and water body
- Wereda boundary
- Land cover and use symbol

028 000 m
720 000 m

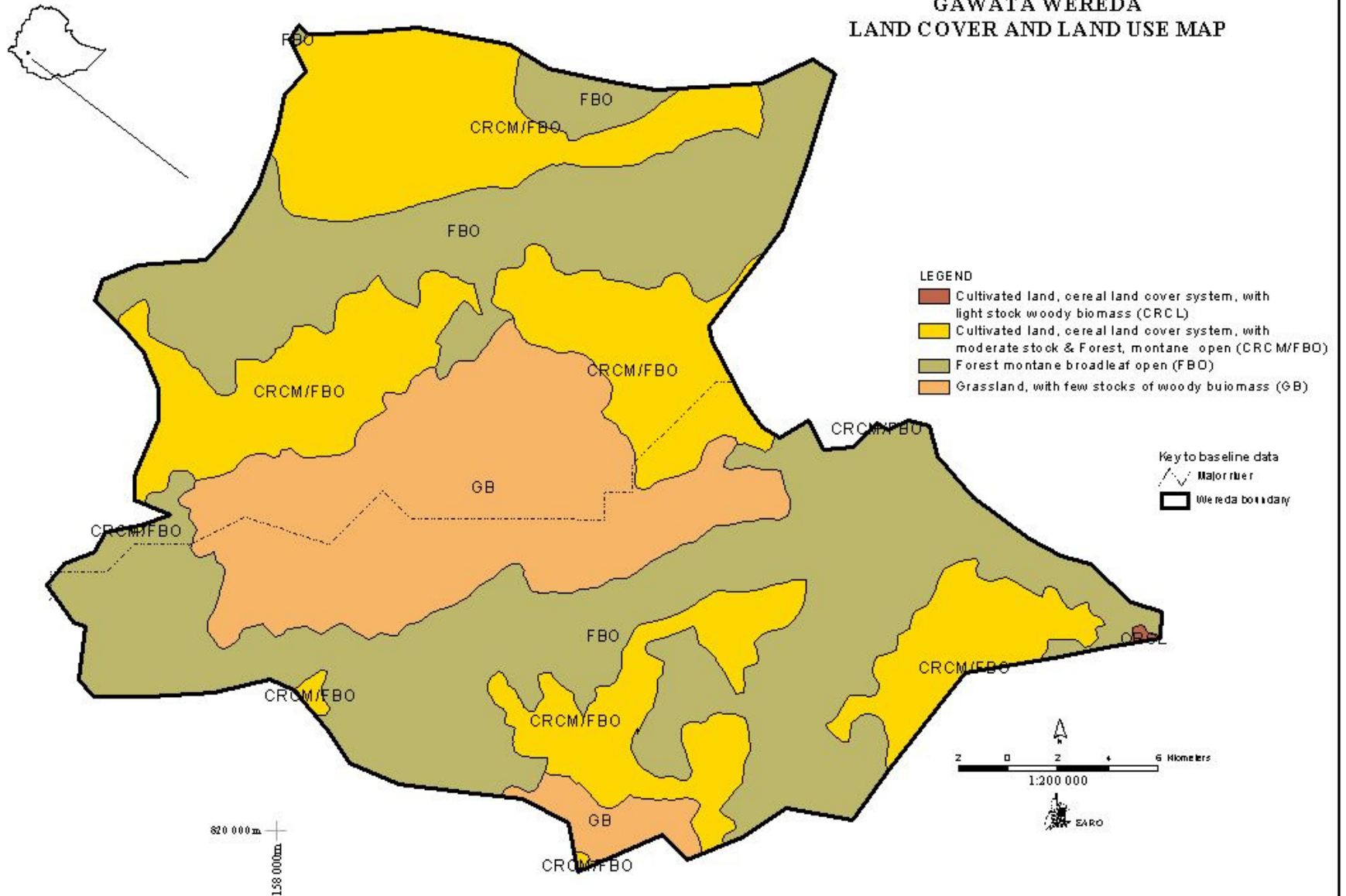


Sources: Woody Biomass Inventory and Strategic Planning Project (WBISPP), 2001

Produced on: June 2003

Boundaries are approximate and unofficial

GAWATA WEREDA LAND COVER AND LAND USE MAP



Source : Woody Biomass Inventory and Strategic Planning Project (WBI/SPP), 2001
Produced on : June 2005

Boundaries are approximate and unofficial

