

**THE RELEVANCE OF COMMUNITY-BASED  
DEVELOPMENT TO POVERTY REDUCTION IN  
ETHIOPIA**

*(A CASE STUDY ON THE EXPERIENCE OF ESRDF IN THE AMHARA REGION)*



**BY :  
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## ACRONYMS

|          |                                                                                           |
|----------|-------------------------------------------------------------------------------------------|
| ADA      | Amhara Development Association                                                            |
| ADLI     | Agricultural Development Led Industrialization                                            |
| ANRS     | Amhara National Regional State                                                            |
| BoPED    | Bureau of Planning and Economic Development                                               |
| CA       | Credit Agreement                                                                          |
| CAS      | Country Assistance Strategy                                                               |
| CBD      | Community-Based Development                                                               |
| CBDA     | Community-Based Development Approach                                                      |
| CF       | Community Facilitator                                                                     |
| CIDA     | Canadian International Development Agency                                                 |
| CL       | Community Latrine                                                                         |
| CO       | Central Office                                                                            |
| CoSAERAR | Commission for Sustainable Agriculture and Environment<br>Rehabilitation in Amhara Region |
| CPC      | Community Project Committee                                                               |
| CSA      | Central Statistics Authority                                                              |
| DCA      | Development Credit Agreement                                                              |
| ECA      | Economic Commission for Africa                                                            |
| ED       | Earth Dam                                                                                 |
| ERO      | Emergency Relief Organization                                                             |
| ERR      | Economic Rate of Return                                                                   |
| ESRDF    | Ethiopian Social Rehabilitation and Development Fund                                      |
| ESRF     | Ethiopian Social Rehabilitation Fund                                                      |
| FDRE     | Federal Democratic Republic of Ethiopia                                                   |
| GDP      | Gross Domestic Product                                                                    |
| GNP      | Gross National Product                                                                    |
| HC       | Health Center                                                                             |
| HH       | Household Head                                                                            |
| HP       | Health Post                                                                               |
| HUS      | Health and Urban Sanitation                                                               |
| IDA      | International Development Association                                                     |
| MEDaC    | Ministry of Economic Development and Cooperation                                          |
| MTR      | Mid-Term Review                                                                           |
| OM       | Operation Manual                                                                          |
| ORDA     | Organization for Relief and Development in Amhara                                         |
| PA       | Peasant Association                                                                       |
| PFP      | Policy Framework Paper                                                                    |
| PO       | Project Officer                                                                           |
| PVO      | Private Voluntary Organization                                                            |
| PVS      | Primary Village School                                                                    |
| RD       | River diversion                                                                           |
| RO       | Regional Office                                                                           |
| RWS      | Rural Water Supply                                                                        |
| SAR      | Staff Appraisal Report                                                                    |
| SIA      | Social Impact Assessment                                                                  |
| SSI      | Small-Scale Irrigation                                                                    |
| SU       | School Upgrading                                                                          |



|       |                                                    |
|-------|----------------------------------------------------|
| TGE   | Transitional Government of Ethiopia                |
| UDA   | Urban dwellers' Association                        |
| UNDP  | United Nations Development Program                 |
| USAID | United States Agency for International Development |
| WB    | World Bank                                         |
| WMS   | Welfare Monitoring System                          |

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## ABSTRACT

*By any standard Ethiopia is the least developed country in the world. The feature of poverty in Ethiopia is complex and multidimensional. Almost half of its people are living under the absolute poverty line. In addition to income poverty, majority of the people have been suffering from lack of basic social and economic services such as education, health, safe drinking water, and housing. The prevalence of these aspects of chronic poverty has been attributed both to manmade and natural factors; intermittent draught, protracted war and policy distortion of the previous régime are often cited as the major ones. The centralized and top-down development planning system that prevailed for years so has been condemned for its inability to reduce poverty and bring development in the country.*

*This led Ethiopia to enact a new long-term development and poverty alleviation strategy. This strategy emphasizes the adoption of a bottom-up and participatory development approach with the primary focus of poverty reduction and sustained economic growth to be achieved through a combination and mutually reinforcing programs at various fronts. The strategy is believed to generate significant payoffs by removing central bottlenecks, fostering community participation and ownership, and improving the efficiency of development program implementations. This is the essence and objective of community-based development (CBD). Currently, (CBD) strategies are being widely applied by governmental and non-governmental organizations. These agencies translate CBD strategies into action programs through the implementation of development projects*

*Despite varying arguments on the application of CBD, the approach is universally recognized as the best means to fight poverty in its full dimensions and to ensure sustainable development. For this reason the Government has established an independent CBD facilitating agency called the "Ethiopian Social Rehabilitation and Development Fund-ESRDF" to operate throughout the Country. ESRDF has come through a pilot test, which was reported to be effective in promoting CBD. Moreover, reports show that this agency is bringing significant changes upon the lives of poor rural communities by financing various demand driven development projects. Such success reports can draw the attention of researchers or*

*commentators to prove whether CBD approach is worthwhile to the development needs and realities of Ethiopia.*

*Accordingly, this research was intended to test the validity of this widely propagated approach by taking the experience of ESRDF in the Amhara Region. For this purpose, primary and secondary data have been collected through fieldwork from various sources. Results of obtained information have been analyzed in line with basic theoretical and conceptual arguments of the subject. The points of references employed for the assessment of the relevance of CBD approach mainly include the proper application of popular participation and empowerment, and other embodiments of these core concepts.*

# CHAPTER ONE

## INTRODUCTION

### 1.1. BACKGROUND

By any standard, Ethiopia is considered as one of the poorest countries in the world. Poverty has long been its picture and manifestation. The national economy and population growth lack compatibility. Currently, the total population size of Ethiopia is estimated to be 61,672,000 with an average annual growth rate of 3% (CSA, 1998:331), while the average per capita income is \$110 with the annual average growth rate of GDP at 5.6% (FDRE; 1998:30). The complex patterns and sources of poverty in Ethiopia are revealed by the country's social standards. According to the study of the World Bank (1992), factors contributing to the prevalence of poor social conditions in Ethiopia are viewed in terms of five interconnected broad categories; i.e., overcrowded housing, lack of safe drinking water, inadequate nutrition and poor infant feeding, low education and literacy, and poor conditions of basic social services.

The 1994 population and housing census of Ethiopia (1998: 277) indicate that average life expectancy for Ethiopia is 50.7 years, and the infant mortality rate is 116 per 1000 live births. Health services cover only 45% of the population. Only 25% of the total population (about 12% of the rural and 80% of the urban population) has access to safe drinking water. The current gross enrollment rate of school-age population in primary education is not more than 22% (CSA, 1996:155-177; UNDP, 1997:127). Road infrastructure is poorly developed, i.e. 15.2 km per 1000 km<sup>2</sup>, which is the lowest road density in Sub-Saharan Africa (FDRE, 1998:30). Malnutrition is also rampant with an average daily per capita calorie supply of 1554, which is well below the minimum daily requirement of 2200 recommended by World Health Organization. A recent assessment of the poverty situation in Ethiopia reveals that about 50% of the population in the country cannot meet its daily minimum nutritional requirement and about 46% of the population is living under the absolute poverty line (MEDAC, 1999: 11-17).

Both manmade and natural factors such as intermittent drought, natural resource degradation, protracted war, and wrong government policies have been cited as the major causes for the prevalence of those features of poverty. Government reports in general



attribute the recurrent problems to the policy distortions and inappropriate development strategies of the former government. They stress that the practice of central planning and top-down development strategy did not address the main problems at the local level, nor brought about improvements in the lives of the poor. All these have contributed to the stagnation of the economy and to the prevalence of the worst features of poverty across the nation.

As noted above, the pervasiveness and severity of poverty calls for reexamining the overall development strategy of the country. Hence, experiences from the failure of the central planning and top-down development strategy to address the deep-rooted and multidimensional social problems and to foster economic growth led Ethiopia currently to adopt a new development approach. Accordingly, the current Ethiopian Government has established a long-term development and poverty alleviation strategy and a series of Policy Framework Papers (PFPs) that stipulate the main actions to be taken. In broad sense, the long-term development strategy of the country, which was enacted in 1993, aims to improve the productivity of the agricultural sector and industrialization of the economy, known as "Agricultural Development Led Industrialization" (ADLI).

Sustained poverty reduction is the main goal of the government's development strategy to be achieved through a combination and mutually reinforcing programs at various fronts. The development and poverty alleviation strategy focuses on promoting popular participation and facilitating decentralization of economic management to Regions. There are theoretical bases that strongly corroborate the idea of placing "regionalization" (decentralization) at the forefront of the development process. The fundamental argument here is that regional or local agents have better links with the grassroots to materialize local development through community participation.

For this reason, regionalization and community-based development became the core elements embedded in the long-term development and poverty alleviation strategy of Ethiopia. In this regard, Ethiopia has launched a far-reaching process of regional devolution, which is cited as the most important political event influencing development programs and project implementations. In this respect Tegegne G/egziabher (1996:696) noted that Ethiopia's decentralization reform is in the right direction. A World Bank paper written on the development issues of Ethiopia says, "...It is recognized that regionalization will generate significant payoffs by empowering the concerned communities to undertake

development efforts for themselves” (WB, 1995:7). The paper emphasizes the need to establish institutional links with the grassroots by changing the previous top-down approach to a participatory one.

In sum, the regional and CBD strategy that is being exercised in Ethiopia today is believed to be the right approach to bring development and reduce poverty. By taking responsibility for managing the development process, Regional Administrations are expected to foster community participation and ownership, and to improve the efficiency of implementing development programs by removing central bottlenecks. This CBD strategy is being translated into action programs through development projects, which involve communities at large. Accordingly, a number of CBD facilitating agencies (both Governmental and Non-Governmental) are established in the Country. The Ethiopian Social Rehabilitation and Development Fund (ESRDF) is the major one to be mentioned as the main actor of CBD activities that operate throughout the Country. It is established by the Government to finance and facilitate CBD programs with particular focus on poor communities and backward areas in all Regions where basic social and economic infrastructure and services are lacking.

Like in all other regions, ESRDF is engaged in promoting CBD programs in the Amhara Region, which is the subject area of this research. There are also other agencies that are specific to this Region but having similar duties. These include: the Commission for Sustainable Agriculture and Environment Rehabilitation in Amhara Region (CoSAERAR), Organization for Relief and Development in Amhara (ORDA), and Amhara Development Association (ADA). All claim to depend on active participation of beneficiary communities and to operate on the principles of community-based and bottom-up development approach.

Therefore, this research tries to investigate the relevance of CBD approach to long-term development and poverty reduction in Ethiopia by taking the experience of ESRDF in the Amhara Region. In this research emphasis is given to the core elements of community-based development approach (CBDA) such as participation, empowerment, poverty reduction, sustainable development, local self-reliance and so forth to see how they are being practiced in reality by ESRDF in the Region. The rest of the paper is organized as follows. Statement of the problem, objective, methodology and limitations of the research are presented under Chapter One. Chapter Two describes the profile of the Amhara Region, ESRDF and other development agencies operating in the Amhara Region, and Chapter Three reviews related literatures that provided theoretical and conceptual framework to the research. Chapter Four

discusses and analyzes empirical results or findings of the research followed by conclusion and recommendations presented in Chapter Five.

## **1.2. STATEMENT OF THE PROBLEM**

The lingering and exacerbating situations of poverty that make to suffer millions of people in Ethiopia is alarming that a wholly committed action against it should be taken. Being aware of the problems and sought to weather it away, the Government has adopted a long-term development strategy that accorded priority focus to poverty reduction and peoples' well being. To achieve the goal of poverty reduction, CBD has got due emphasis in the statements of development programs, and has come to be a widely applied approach in many governmental and non-governmental projects in the Country. There are various stakeholders currently acting to effectuate CBD in Ethiopia. In this respect, besides to the most common international NGOs, region specific indigenous (local) NGOs are emerging to take part in the development and poverty alleviation programs of the country.

For a country like Ethiopia, which is under transitional economy, the involvement of the government in development and poverty reduction activities is of paramount importance. Accordingly, apart from many conventional projects implemented through different ministries or public agencies, the Government established ESRDF as an independent funding agency to facilitate CBD activities allover the country. Qualitative as well as quantitative reports about the activities and achievements of ESRDF, as indicated in chapter two, can draw the attention of any researcher or critical evaluator to prove whether CBD approach is worthwhile to the development needs and realities of Ethiopia.

Yet, quantitative reports alone may not be sufficient to tell failures or achievements, nor to indicate tangible impacts that ESRDF- financed sub-projects have brought about on poor communities. Simply counting the number of people that are expected to be the beneficiaries of sub-projects cannot adequately show its actual contribution to poverty reduction. In other words, besides financing different economic and social infrastructure and services, its effectiveness in identifying and targeting the needy poor communities, in creating community awareness and a sense of achievement, in promoting community participation, in building local capacity and self-reliance, in mobilizing and using local resources, and in integrating various stakeholders in CBD endeavors need to be carefully investigated.



Theoretically, CBD approach encompasses broad concepts like participation, empowerment, poverty alleviation, sustainable development, and local self-reliance. However, there are two sides of arguments and debates on the essences, principles, practices, and applications of the above constitutive elements of the CBDA. Empirical evidences of success or failure stories of many countries that adopt this approach supplement most of the arguments and debates. Therefore, the activities of ESRDF have to be seen in line with those arguments discussed in chapter three. Another important point to be mentioned is that the multidimensional nature of poverty requires the integration of efforts and actions rather than doing in a piecemeal and chaotic manner if it has to be alleviated or reduced. In the case of ESRDF's activities, this calls for the integration of its various projects in specific communities in order to address poverty in its full dimension and to measure the extent of its reduction. However, limitation in this regard is expected since it is unlikely to find different types of projects working in a particular place.

Nonetheless, whatever single projects may be found in different locations, the available information leads to the assumption that ESRDF has the capacity to reach poor communities through its partners, and can significantly contribute to improve their living standards through its people-centered projects. From this it is possible to draw a reasonable proposition that, if it is implemented genuinely, CBD approach could offer concrete results to ensure local self-reliance and to reduce poverty in Ethiopia. These are the core issues in which the research is intended to find out and deal with. The central research questions are:

1. How does the current regionalization structure help to facilitate community-based development activities, which is being practiced, *inter alia*, by ESRDF?
2. Who are the main actors in ESRDF supported CBD programs or projects?
3. Is ESRDF successful, first of all, in identifying (targeting) the "poorest of the poor" communities? What mechanisms does it use to identify the poor, and to what extent is it addressing the problems and responding to the urgent needs of poor communities?
4. What practical changes did projects brought about reflected in the social conditions and living standards of target groups or communities? How are project benefits distributed among different geographical areas and income groups? What are the main indicators of improvements in the life of the poor?
5. What indicators are there to the responses of beneficiaries and to the future fate of ESRDF- financed projects? Are they sustainable?



6. Are there limitations in the Fund's CBD activities? What factors contribute to such limitations?

### **1.3. OBJECTIVES OF THE RESEARCH**

Until very recently, development programs in Ethiopia were formulated and projects were designed from the center through the national planning agency of the Government, which was basically a "top-down approach". The recurrent approach to address poverty problems and to implement development programs is changed, however, from central planning to decentralized (regional and local) planning by largely emphasizing the participation of poor local communities in all aspects. Bottom-up planning and participatory development approach is being widely advocated as a solution for the recurrent development problems. Among the mechanisms being used to realize such a CBD approach, establishing facilitating agencies that could reach the grassroots is the major step taken by the Government. It is with this perspective that ESRDF was established to finance demand-driven and development-oriented local projects with the ultimate goal of poverty reduction.

Therefore, the general objective of the research is to investigate the relevance of CBD approach to bring sustainable development and reduce poverty in Ethiopia by considering the experience of ESRDF in the Amhara Region. The specific objectives of the study are:

1. Investigate how CBD is working in terms of its basic elements such as participation, empowerment, and local self-reliance, and assess its relevance to long-term development and poverty reduction programs.
2. Evaluate the contribution of the regional and local structure in promoting participatory CBD, and to test the significance of the bottom-up approach.
3. To assess whether different programs or projects of ESRDF are yielding practical benefits to poor communities and to explore the reactions of the expected beneficiaries towards those projects?
4. To identify the internal and external factors that affect the performance of CBD programs and to locate the policy implications thereof.

### **1.4. METHODOLOGY**

#### **1.4.1. THE STUDY AREA, POPULATION, AND SELECTION RATIONALE**

Among a number of governmental and non-governmental organizations involved in CBD activities in Ethiopia, ESRDF is selected for this research due to its special nature. While it

is a government entity, its approaches and operational modalities seem to be quite different from the conventional public agencies. Besides, it has strong partnerships with many international and local NGOs, as well as regional sector departments, which facilitate or implement CBD ventures matching to its missions and operational frameworks. The diversified development activities it engaged in and the huge amount of money (\$242.4 million) it runs can also indicate its peculiarity. Hence, I suppose that the validity of CBD approach to Ethiopia can be tested better through ESRDF- financed local projects.

However, since it is impossible to deal with all geographical areas covered by ESRDF programs due to several constraints like time, finance, material and labor committed to the research, the Amhara Region is selected for the case study where the researcher has better access to acquire the necessary data. ESRDF has financed about 865 different projects with an expected capacity of benefiting 2,249,997 people in 11 zones and 94 Woredas of the Region as of July 7, 1999. All these indicate how large is the subject area and population. Therefore, it was found difficult to apply any sampling technique to select among projects for the study due to the fact that they are abundant in number and scattered in location. Hence, the research was decided to be a purposive case study based on the following steps.

1. The study area is narrowed down to 3 woredas, namely Belessa, Fogera, and Kemkem from which 4 projects (one each from small-scale irrigation, rural water supply, education, and health) are selected for the case study.
2. From these 4 projects, a total of 120 household head respondents were randomly selected and consulted.

#### **1.4.2. SOURCES AND METHODS OF DATA COLLECTION**

Pertinent data were collected both from primary and secondary sources through fieldwork by employing different methods. In order to acquire primary data, a questionnaire containing several parts was prepared for two groups of respondents, i.e. beneficiary households and project officers of facilitating or implementing agencies. The questionnaire contained both close-ended and open-ended types of questions so as to be able to capture sufficient information about the projects and targeted communities understudy (see Annex-9). Consequently, filled out questionnaires are collected from 120 household respondents and 10 project officers (8 from ESRDF and 2 from CoSAERAR). Moreover, primary data were obtained through structured and unstructured interviews and focus group discussions with

beneficiaries, project officers, local administrations, project committee members, and other stakeholders; as well as through personal observations in the study area.

Secondary data were also gathered both from authorized and non-authorized sources. Such sources include reports, project documents, manuals, research papers, newspapers, bulletins, professional journals, and books. For this purpose, NGOs and other public agencies identified as having a good stock of relevant information to the research were adequately consulted during the process of data gathering. These include, among others, ESRDF's Central Office and the Amhara Regional Office, ORDA, ADA, CoSAERAR, CSA, MEDaC, and Bureau of Planning and Economic Development of the Amhara Region.

### **1.4.3. DATA ANALYSIS**

Data matrices are prepared and cross tabulations are made to facilitate meaningful analysis and interpretations of the research findings. On that basis, the meanings and implications of outputs are described, defined, and explained by using simple but appropriate statistical tools like mean, ratio or percentage. As a whole, based on the results of statistical indicators and objective realities that cannot be readily quantified, the research is analyzed by applying more of exploratory, descriptive and qualitative methods.

## **1.5. LIMITATIONS OF THE STUDY**

This research was done under several constraints and challenges, particularly during the process of data collection. Time spent in fieldwork was 33 days, which was not sufficient to collect the necessary data from four projects that are situated at different locations. In addition to the time limitation, shortage of research fund that would be used for employing enumerators and thereby to collect sufficient data much hindered the research process. Absence of exhaustive list of beneficiary households, scattered settlement of beneficiaries, and reluctance of household respondents to provide information in the visited projects were also limitations of the research.

## CHAPTER TWO

### THE PROFILE OF THE AMHARA REGION AND COMMUNITY-BASED DEVELOPMENT AGENCIES IN THE REGION

This chapter provides a description of the salient features of the Amhara National Regional State (ANRS) and those organizations, which are involved in CBD activities in the Region, namely The Ethiopian Social Rehabilitation and Development Fund (ESRDF), The Amhara Development Association (ADA), Organization for Relief and Development in Amhara (ORDA), and Commission for Sustainable Agriculture and Environment Rehabilitation in Amhara Region (CoSAERAR).

#### 2.1. THE AMHARA NATIONAL REGIONAL STATE (ANRS)

The Amhara Region encompasses a wide part of the country's Northern, Northeastern, and Northwestern location stretched over an area of 168,000 km<sup>2</sup> that makes it the second largest state in Ethiopia. This Region has a plethora of natural sceneries or topography ranging from extreme highlands to contrasting lowlands. It is divided into 11 zones and 106 Woredas. ANRS is the Region with the highest population density in Ethiopia inhabited dominantly by Amharas (as the name implies) along with Oromos, Agaws, and other minority nationalities (ADA, 1995:10). In the 1994 Population and Housing Census of Ethiopia (CSA, 1998:334), the Region's population was projected to be 16,295,000 by the year 2000 with almost equal proportion of male and female 50.06% and 49.94% respectively. The same CSA census and ADA (1995:15) indicate that about 90% of the Region's population lives in rural areas eking out the minimum subsistence from eroded farmland.

Although, man-made and natural calamities posed hurdles and dampened the livelihoods of the people in the past several years, ANRS is known for diversified and untapped resource potentials. For example, it has about 4.6 million hectares of land that can be used for agricultural purpose. There are also about 51 major rivers and lakes that can be exploited for irrigation purposes. Nevertheless, due to absence of knowledge and technological capacity, people have not utilized this opportunity. This is not to underestimate the increasing trends of crop production in the Region since the last few years. For instance, major crop production through irrigation increased from 820,434 quintal in 1993/94 to 2,809,040 quintals in 1996/97 (BoPED, 1997). The Region is rich in livestock resources in spite of the



fact that the sector is not supported by modern breeding techniques and hence inadequately utilized. It is also endowed with abundant fish resources, notably Lake Tana and Haique (in Wollo) alone could offer 10,000 tones and 1,000 tones of annual fish catches respectively. Yet, this resource is also underutilized (ADA, 1995:11).

With regard to the mineral resources and mining potentials of the Region, the availability of coal, cement, marble, limestone, clay, mineral water, hot spring, salt, gypsum, and gym stone, *inter alia*, are ascertained so far. Moreover, tourism makes an important contribution to the Region's economy although it is poorly developed for reasons such as: security problems, shortage of transportation facilities, and promotional incapacities. All these being potentials and opportunities accrued to the ANRS, economic and social infrastructure are the typical shortfalls. Along with the intermittent drought that struck the Region, the protracted civil war which took place there exacerbated the problems and put its people marginalized and devoid of such facilities. The legacies of the war are still visible in damaged roads, schools, clinics, and the like that are not yet satisfactorily rehabilitated.

One can cite the disproportionate features of infrastructure to the geographical size of the Region and its people by using statistical evidences. Currently there are only 10 hospitals situated in urban centers, a mere 15.8% of the total population of the Region are served with potable water, over half of the woredas in the Region have no road communication. Concerning road networks, there are 5549 km roads in the Region the density of which is 0.34 km per 1000 people and 29 km per 1000 km<sup>2</sup> (ADA, 1999:18; BoPED, 1997). The prevalence of such poor social and economic conditions in the Region requires integrated and concerted efforts of those development agencies working in the Region to improve the livelihoods' of the people of the ANRS.

## **2.2. THE ETHIOPIAN SOCIAL REHABILITATION AND DEVELOPMENT FUND (ESRDF) AT THE NATIONAL LEVEL**

As it is stated in section 1.1, poverty reduction is the central goal of the Government's Development Strategy for Ethiopia. One poverty reduction measure taken by the Government was the establishment of an autonomous government entity called ESRDF, or alternatively the "Fund", on 13<sup>th</sup> of February 1996 (Pro.No.19/1996). Although it was legally established in the aforementioned time, it began operation as a pilot project under the name of the "Ethiopian Social Rehabilitation Fund" (ESRF) since December 1992, as a component of the Ethiopian Recovery and Rehabilitation Program (ERRP). ESRDF is functioning in a

decentralized structure with the objective of working closely and responding quickly to the demands of poor communities.

It is the central element of the World Bank's Country Assistance Strategy (CAS) focusing on key sectoral goals with the aggregate effect of national poverty reduction. As Table-1 shows, the Fund has a total of \$242.4 million five years' budget (1996-2001), and has established a financing plan for the same period. Of the total available fund, 75% is obtained from multilateral organizations like the World Bank and UNDP, and other donors, while the remaining 25% is to be covered from the Ethiopian Government Budget and community contributions (ESRDF-SAR, 1996 and OM, 1996). Generally, as it is stated in many documents, ESRDF is an expansion of the three years pilot ESRF (December 1992-November 1995) that was reported to be effective in CBD activities.

**Table-1: Summary of Source of Finance and Five Years' Financing Plan (US\$ million)**

| Source                  | Financing Plan Per Year (1996-2000) |                      |                      |                      |                      |               | Cost Sharing (%) |
|-------------------------|-------------------------------------|----------------------|----------------------|----------------------|----------------------|---------------|------------------|
|                         | 1 <sup>st</sup> Year                | 2 <sup>nd</sup> Year | 3 <sup>rd</sup> Year | 4 <sup>th</sup> Year | 5 <sup>th</sup> Year | Total         |                  |
| World Bank              | 14.86                               | 28.46                | 36.28                | 26.21                | 14.19                | 120.00        | 49.5             |
| UNDP & Other Donors     | 7.51                                | 14.65                | 18.69                | 13.49                | 7.46                 | 61.80         | 23.00            |
| Ethiopian Government    | 4.50                                | 8.62                 | 10.99                | 7.94                 | 4.30                 | 36.35         | 15.00            |
| Community Contributions | 3.50                                | 5.75                 | 7.33                 | 5.30                 | 2.87                 | 24.25         | 10.00            |
| <b>Total</b>            | <b>29.87</b>                        | <b>57.48</b>         | <b>73.29</b>         | <b>52.94</b>         | <b>28.82</b>         | <b>242.40</b> | <b>100.00</b>    |

**Source:** ESRDF- Staff Appraisal Report, 1996

According to its Operation Manual (OM) and Staff Appraisal Report (SAR), the special contributions of ESRDF to CBD and poverty reduction take a number of forms. It is aimed at building community self-reliance by providing poor communities in rural areas with economic and social assets that are vital to improving incomes, the quality of life and productive potential, knowledge, skill, and experience in managing their own development. While it aims to respond to any community initiative that is believed to be feasible, sustainable, and developmental, it gives special focus to sectors, which are identified as vital in the strategy of reducing chronic poverty. The Fund claims that participation of communities in identifying, planning, implementing, managing, as well as cost sharing of projects is its main operational tool. The process is to be supported by appropriate training of communities, local NGOs, local small private contractors and other facilitators of CBD.

The Fund's operation can be seen in two distinct phases. One is the pilot phase (ESRF), which went through the process of experimentation and feasibility test; and the other phase is the project (ESRDF) proper that took over the pilot ESRF since February 1996. As performance reports show, the Fund has been providing financial and technical support to

poor communities to construct or rehabilitate, and maintain basic economic and social infrastructure and services that they have prioritized and in which they are willing to invest. Consequently, a total of 2160 sub-projects are financed by both ESRF and ESRDF at the cost of Birr 441,367,872 as of July 7, 1999. A separate look at the performance, scope, and mission of the two phases of the Fund may provide relevant information about its contribution to the goal of CBD and long-term poverty reduction.

The aim of the pilot ESRF was to test whether the approach could be an effective way of giving poor communities greater control over their economic and social advancement (ESRDF-SAR, 1996:9). The Pilot has been operating in South Shewa, Addis Ababa and Tigray. Although it was not considered as pilot area, projects were also financed by ESRF in the Amhara Region. It had a \$13 million of three years' (1992-1995) budget obtained from the Transitional Government of Ethiopia (TGE), communities' contributions, the World Bank, and CIDA. It is reported that the Pilot was launched through a promotional campaign to inform communities about the Fund's facilities and procedures, to identify community needs, and to provide basic training in preparing and submitting project proposals. It had a maximum limit of \$250,000 to finance any single development sub-project with a minimum requirement of 10% contribution from communities. By December 30, 1995, it had received 1026 various types of project proposals from communities of which 219 were financed with a total cost of Birr 71,068,728 benefiting 2.1 million people (Table-2 and Table3).

**Table-2: Micro-projects Funded Under the Pilot ESRF by Sector and Region**

| Region       | Number of Projects | Types of Projects     |                         |                   | Percentage Share |
|--------------|--------------------|-----------------------|-------------------------|-------------------|------------------|
|              |                    | Social Infrastructure | Economic Infrastructure | Income Generating |                  |
| Addis Ababa  | 71                 | 23                    | 15                      | 33                | 32               |
| Tigray       | 61                 | 44                    | 11                      | 6                 | 28               |
| South Shewa  | 56                 | 27                    | 4                       | 25                | 26               |
| Non-Pilot    | 31                 | 12                    | -                       | 19                | 14               |
| <b>Total</b> | <b>219</b>         | <b>106</b>            | <b>30</b>               | <b>83</b>         | <b>100</b>       |

**Source:** ESRDF-General Information Leaflet, 1996

On the whole, it is reported that ESRF had produced results matching its establishment objectives. According to an independent consultant evaluation report (1994), ESRF was found efficient by social fund standards and compares favorably with the public sector cost of delivering project services showing 17.5% cost saving on average. The performance report of ESRF also shows that it has been able to make significant timesaving (about 50%



on average) in completing projects compared to similar projects delivered through public agencies.

**Table-3: Micro-Projects Financed Under the Pilot ESRF by Sector, Cost and Number of Beneficiary**

| Sub-Project Sector         | Number of Implemented Projects | Sub-Project Cost  | Percentage of Community Contribution | Number of Direct Beneficiaries |
|----------------------------|--------------------------------|-------------------|--------------------------------------|--------------------------------|
| Health                     | 33                             | 10,061,439        | 14.0                                 | 369000                         |
| Education                  | 36                             | 14,850,951        | 17.3                                 | 21600                          |
| Literacy & Skill Training  | 12                             | 6,575,867         | 48.6                                 | 387231                         |
| Urban Sanitation           | 22                             | 7,761,780         | 9.8                                  | 233701                         |
| Rural Water Supply         | 9                              | 3,231,616         | 12.1                                 | 66859                          |
| Small-Scale Irrigation     | 7                              | 4,729,293         | 55.9                                 | 11330                          |
| Feeder Road Rehabilitation | 7                              | 5,526,648         | 3.6                                  | 782712                         |
| Drainage                   | 7                              | 3,825,497         | 9.8                                  | 74590                          |
| Storage                    | 4                              | 724,711           | 7.5                                  | 145500                         |
| Conservation               | 2                              | 852,567           | 12.0                                 | 4087                           |
| Income Generation          | 80                             | 12,928,359        | 9.3                                  | 14787                          |
| <b>Total</b>               | <b>219</b>                     | <b>71,068,728</b> | <b>18.0*</b>                         | <b>2111397</b>                 |

**Source:** ESRDF-Staff Appraisal Report, 1996

\* Average.

The consultant's evaluation also confirmed that ESRF was successful in generating community commitment and leadership and fostering linkages between communities and local support groups, local government officials, NGOs, and private contractors. About 72% of ESRF projects were implemented through the direct responsibilities of community project committees (CPCs). Moreover, communities have covered on average 18% of the total sub-project costs, which the report considered as an indicator of community commitment and participation. Evaluation of the pilot test in general created the commitment of the Government to establish ESRDF to promote CBD programs in a more comprehensive and expanded manner.

The design of ESRDF was, therefore, based on the experience of the pilot ESRF and some 30 similar social funds and social programs financed by the World Bank mainly in Africa and Latin America (ESRDF -SAR, 1996: 13). According to the SAR statements, the Fund has learnt much from such experiences in that small-size CBD projects are manageable, cost effective, flexible, target-oriented, and sustainable than large and centrally managed ones. Moreover, African Technical Department's Study (quoted in ESRDF-SAR, 1996:14) show that small projects are most successful than big ones in terms of quality and sustainability, and their contribution to community efforts to increase incomes and improve their quality of life, and encourage community participation.



Besides, the Fund is designed along the regional institutional structure to easily stimulate CBD through the participation of beneficiary communities; to strengthen working relationships, and to build the capacity of all actors involved in participatory development endeavors. Currently, the Fund has 1 Central Office (CO) and 14 Regional Offices (ROs) in 11 Regions (two each in Amhara, Oromyia, and Southern Nations Nationalities and Peoples Regions). At the national level, there is a National Board, which is the highest policy level organ, composed of higher government officials chaired by the Prime Minister or his representative. There are also Regional Steering Committees in all Regions consisting of members from appropriate Regional Bureaus and institutions including the Presidents of the Regions being chairpersons of the respective steering committees(Pro. 19/1996, Articles 5-15).

By decentralizing its activities into the regional and community structures, the Fund strongly emphasizes the adoption of experimental approaches to ensure participation in CBD and thereby to empower local communities. It is generally said that the expanded ESRDF can respond to meet the development needs and realities of Ethiopia. Provided that it works according to the programs and prescriptions stated in various documents, it could help laying the foundation for sustainable economic growth and for long-term poverty reduction through its different project components. It has identified its project components and established financing plans for the year 1996-2001. The project components to be financed, or those that are being financed by ESRDF include health, education, rural water supply (RWS), urban sanitation, small-scale irrigation (SSI), welfare and monitoring system (WMS), training and capacity building (TCB), and other community initiated schemes.

On the whole, it is believed that by the end of its program period (December 31, 2000) ESRDF planned to bring direct benefits to an estimated number of 7.1 million people living in the poorest areas and communities of the country from the implementation of about 32,515 various demand-driven and community- based projects (see Table-4). Based on the project cost projections, the economic rate of return (ERR) of the ESRDF packages as a whole is estimated to be 22.6%.

**Table-4: Summary of Five-Year Plan by Project Type, Cost & Expected Beneficiaries (1996-2000)**

| Project:                     |              | Financing Plan (Costs in US\$ million) |                      |                      |                      |                      |               | No. of Beneficiaries |
|------------------------------|--------------|----------------------------------------|----------------------|----------------------|----------------------|----------------------|---------------|----------------------|
| Type                         | Number       | 1 <sup>st</sup> Year                   | 2 <sup>nd</sup> Year | 3 <sup>rd</sup> Year | 4 <sup>th</sup> Year | 5 <sup>th</sup> Year | Total         |                      |
| Rural Water Supply           | 13053        | 9.12                                   | 15.01                | 22.95                | 18.32                | 9.64                 | 75.04         | 3381500              |
| Small-Scale Irrigation       | 18715ha*     | 4.46                                   | 23.11                | 26.77                | 13.58                | 7.03                 | 74.95         | 439220               |
| Health                       | 357          | 2.95                                   | 5.74                 | 8.03                 | 7.75                 | 4.38                 | 28.85         | 3000000              |
| Education                    | 340          | 2.74                                   | 5.33                 | 7.46                 | 7.19                 | 4.08                 | 26.80         | 108000***            |
| Urban Sanitation             | 68           | 0.22                                   | 0.43                 | 0.61                 | 0.59                 | 0.33                 | 2.18          | 147000               |
| Study Fund                   | N/S**        | 0.16                                   | 0.16                 | 0.16                 | 0.16                 | 0.16                 | 0.80          | NS**                 |
| Training & Capacity Building | N/S**        | 4.07                                   | 3.30                 | 2.70                 | 2.17                 | 0.10                 | 12.34         | NS**                 |
| Welfare Monitoring           | N/S**        | 1.33                                   | 0.53                 | 0.52                 | 0.41                 | 0.34                 | 3.13          | NS**                 |
| <b>Total</b>                 | <b>32515</b> | <b>25.05</b>                           | <b>53.61</b>         | <b>69.2</b>          | <b>50.17</b>         | <b>26.06</b>         | <b>224.09</b> | <b>7075720</b>       |

**Source:** Adopted from ESRDF- Staff Appraisal Report (1996),

**Key:** ha\*=Hectare, NS\*\*=Not Specified, \*\*\*=Enrollment Per Year

Although ESRDF has established its five years plan as indicated in Table-4, its actual performance as of July 7, 1999 remained far behind the plan both in terms of fund utilization and the number of financed projects. During this time it has received 5941 project proposals from communities and financed only 1941 projects. Again, of the whole financed sub-projects, only 1336 are completed and handed over to concerned parties while 560 of them are under implementation and the rest 35 are abandoned for several reasons. The above mentioned projects are implemented or are being implemented at the cost of Birr 370,299,144 and are expected to benefit a total of 10,433,058 people, which is a number above from what was planned for the whole five years (see Annex-1 and 2).

### **2.3. ESRDF IN THE AMHARA REGION AND DESCRIPTIONS OF SELECTED PROJECTS FOR THE CASE STUDY**

This sub-section is an advance to describe ESRDF's activities in the Amhara Region. The Fund has two offices in the Amhara Region, one in Bahir Dar to serve six zones (North Gondar, South Gondar, East Gojjam, West Gojjam, Awi, and Bahir Dar Special Zones), and the other in Dessie to serve the remaining five zones (North Wollo, South Wollo, Wag Himra, Oromiya, and North Shewa Zones). Within the framework of the establishment objectives, guidelines, operational areas and modalities of the Fund as a whole, the aforementioned two offices in the Amhara Region have financed a number of CBD projects and programs.

In the past three years period ending July 07, 1999, the two offices have received a total of 1449 project proposals and financed 865 various sub-projects at the cost of Birr 139,719,545. A total of 2,249,997 people identified as poor are expected to gain benefits

from those projects in the Region. Regarding sectoral distributions, 105 education, 116 health, 584 rural water supply, 35 small-scale irrigation, and 25 other projects are financed.

These sectorally grouped projects have also different sub-groupings under each of them. Among the 105 education projects, for example, sub-divisions constitute 47 Primary village schools (PVS), 31 school upgrading (SU), 12 school expansions (SX), 12 school furniture and books supplies (SFBS), and 3 other types. From the health category, health post (HP) comprise 103 while health center (HC), communal latrine (CL), and hospital equipment are 7,5, and 1 respectively. Similarly, rural water supply (RWS) projects are divided into 379 hand dug wells (HDW), 151 spring development (SP), 25 shallow wells (SW), 12 distribution networks (DN), and 17 other types. This sub classification also applies to small-scale irrigation (SSI) projects as river diversion (RD) and earth dam (ED) schemes.

While the above figures provide information about ESRDF-financed projects in the Region in general, looking them separately according to their present status reveal a different picture. Of the total financed projects, 747 are completed, 98 are under implementation, and 20 are abandoned for various reasons. From the completed 747 projects that are potentially believed to benefit 1,950,527 people and costed a total of Birr 115,595,910, only 706 are operational at present of which 7 are operating below capacity. Cost sharing of communities in completed projects amounted to 11.37% of the total cost. Categorical classifications show that rural water supply (RWS) takes the lion share (530 projects) followed by health (97 projects) and education (77 projects). SSI and other projects constitute 20 and 23 projects respectively.

As a whole, those financed projects are distributed in all the 11 Zones and 94 Woredas of the Region with different degree of concentration. Whereas the Region has 11 Zones and 106 Woredas, about 50.17% of the total projects are located in 4 Zones namely, North Shewa, North Gondar, South Wollo and North Wollo in their respective density, and around 50.28% are found in 23 Woredas only. In terms of Woreda concentrations, Sekota, Artuma Jille, Batti, Belessa, and Wadla Woredas hosted large number of ESRDF-financed projects. For details see Annex-3 and 4). In addition, about 48 Training and Capacity-Building programs were financed in the Region during the past three years period at the cost of Birr 6,219,558 under which 179,173 people have gained the program benefits.



From ESRDF financed projects in the Amhara Region four projects (one each from education, health, rural water supply, and small-scale irrigation) were selected for the case study. The following are descriptions of those visited projects.

### **2.3.1 SEWAK SMALL-SCALE IRRIGATION PROJECT**

Sewak Irrigation Project is found in North Gondar zone at Belessa Woreda. It is a river diversion irrigation project that is shared between two peasant associations (Diquana and Woneba). River Sewak is formed from three tributaries namely, Denkez, Gomenge, and Murang, which are 18.9 km, 16.65 km, and 14.4 km in length from their sources respectively. A study, which was undertaken by a consulting firm known as "Ethio-Forest Agricultural consulting service" (1999: 20) remarked that the water output of the scheme is quite dependable due to the presence of the above-mentioned rivers. This remark will, however, be commented in chapter four of section 4.4 later on the basis of the observations and information gained during the process of data collection for this research.

It was a common experience that farmers in both the two PAs have long been practicing traditional irrigation activities to supplement the shortfalls of seasonal rainfall and grow certain types of crops in dry seasons. The availability of the water source, the potential of the catchments area for irrigation, the common occurrence and the shortage of natural rainfall, and the traditional experience of farmers to use irrigation in that locality necessitated the development of Sewak irrigation project to enable them enhance their productivity.

According to the project document and a team study report (CoSAERAR, 1999:17), Sewak has a potential to irrigate about 80 hectares of land and to benefit around 320 household farmers. Accordingly, the structure is developed for 75 hectares by constructing weirs to effectively divert the river in its best use. However, only 22 hectares are being irrigated and only 55 household farmers are making use of the project. Crop production is the first most source of food and cash income for farmers seconded by livestock production. Average landholding, according to the development agent at the site, is 2.5 ha while the average currently irrigated landholding is 0.47 ha. The major crops grown in this area through irrigation include maize, chickpea, lentil, wheat (to some extent), potato, shallot, onion, and green pepper.

The nearest market, junior secondary school, and health facilities for the local people are found at Arbaya Town (the former capital of Belessa woreda), which is 8 km far from their



residence on average. Worahila and Ayseg (small towns that are nearly equally far from their residence by 6 km) are also alternative places where they can find market services and primary schools. Moreover, the source of water for drinking is unprotected stream that women use to collect after traveling 1-2 km on average (Ethio-Forest, 1999:20). Currently, the project is being managed by a CPC consisting of 7 members elected by beneficiaries with a close support by the development agent assigned to the Woreda.

### **2.3.2. GUHALLA WATER SUPPLY PROJECT**

Guhalla Water Supply Project is situated in a small town known as “Guhalla” or locally known as “Shiha”, which is designated as the capital of Belessa Woreda of North Gondar Zone since some four years ago. It is the second largest water supply project in terms of both distribution network and size of capital it costed (Birr 709,500). Guhalla had been serving also as the workstation of the lowest administrative unit (sub-woreda) in the previous two government systems (the Imperial and the Dergu régimes). Consequently, basic social infrastructure services like primary school and health post were set up there since 1971 though they did little due to war damage and security problems. After ceasing to provide services to the locality for several years, the school and the health post were rehabilitated and started operations properly at the end of 1992. Nonetheless, students who complete their primary education could only find the next level school at Ibinat Woreda of South Gondar Zone that is nearly 50 km far from Guhalla.

Guhalla had no potable water services until the establishment of the ESRDF-financed water project understudy. Albeit its official inauguration in December 1999, Guhalla Water Supply Project began providing pure drinking water before the completion of the structure. The project has seven distribution points situated at different corners of the town from which at least 3400 people are fairly estimated getting the project’s benefit. Water is drawn out from a 75-meter deep shallow, and a small generator is installed to pump water to distribution points with the capacity of 2.5 liters/ second. The project is currently run by the CPC (Water Committee) elected by the community and 7 trained employees. Of these employees, two each are caretakers, generator operators, and water distributors while the remaining one is guard of the main source.

Prior the establishment of the project, people of the town used to collect water for various purposes from a river that was by no means clean called “Shiha” after traveling 1.6 km on

average for a single trip. Many surrounding villagers such as Zuda, Shumadaye, Minara, Addis Mender and so on have also been commonly using this river. Other than Guhalla Water Supply Project, a number of similar RWS projects recently developed both by ESRDF (namely, Achikan HDW No. I, II, III; Zoz HDW), ADA and ORDA (such as Kuri HDW, Machivab HDW, and Tishkina Spring Development) are available in the adjacent areas. This helped ORDA to develop an irrigation scheme by diverting river Shiha at the cost of Birr 139,717 that currently irrigates 11 ha of land from which 44 household farmers are benefiting.

The area where Guhalla Water Supply Project is found is characterized as lowland with mean annual temperature that ranges from 25°C –33°C and short duration of seasonal rainfall. The area has been frequently beaten by severe draught and affected by epidemic diseases like malaria and meningitis. Given the blessing of adequate and timely rainfall, however, farmers could easily gain good harvest of major crops including teff, maize, chickpea, sorghum, and lentils among others. Livestock productions, and beekeeping to some extent, are another sources of life making for farmers in the project area.

### **2.3.3. BAMBIKO HEALTH POST (HP)**

Bambiko HP is found at Kemkem Woreda of South Gondar Zone, which is geographically adjacent to Fogera Woreda. The HP was completed in 1997 at the cost of Birr 125,800 and started operation since 1998. Although it was planned at the inception that about 5000 people would be benefiting out of it, the actual number of beneficiaries exceeded beyond expectation. The project is run by CPC (or Health Committee) comprising five members the technical aspect of which is left to the health worker assigned by the Zonal Department of Health.

Even if it is administratively referred to belong to Kemkem Woreda, its geographical feature is more alike to Fogera Woreda and virtually found in Fogera plain. Bambiko has a moderate climatic condition and plain landscape. Farmers in the locality often grow a variety of food and cash crops including pepper, onion, potato, maize, wheat, barely, rice, millet, lentil, “*guaya*”, whit-sorghum, sesame and other oilseeds. Being situated at Fogera Plain, Bambiko shares the well-known “Fogera Breed” in livestock production. Farmers of Bambiko find their market place at Yifag, Addis Zemen and Woreta Towns. Flood and malaria diseases are the most common problems of the project area. Un runoff water (flooding) often covers residential areas, farmlands and grazing lands during rainy seasons

that hamper any activity to take place. Malaria and waterborne diseases has long been affecting people living at and around the project area.

#### **2.3.4. WORETA SCHOOL UPGRADING (SU)**

Woreta SUG project is situated at the center of Woreta Town, the capital of Fogera Woreda. This project is an upgrading of the former elementary school that was constructed by the government. Formerly, it had an elementary school status (1-6 grade) accommodating about 2000 students per year and working in two shifts. But now it is being upgraded both in school facilities and status (1-8 grade) at the cost of Birr 868,000 with capacity of admitting 400 additional students. Although the project is not yet officially handed over to the CPC due to minor unfinished works, it has already began operation in two shifts and has accepted 432 additional students most of whom were transferred from other schools in the Town and other nearby towns like Amed Ber, while some (about 26) were dropouts for different reasons.

The upgrading work include the construction of 12 additional classrooms and rehabilitation of the former ones, provision of school furniture and pedagogical materials, the construction of a reading room and supply of text and reference books, the construction of separate latrines to boys and girls, one small teachers' assembly room and other facilities and services. The implementation of the construction work was mainly facilitated by an ad hoc committee composed of 7 members, six of which were represented from beneficiaries and one from the Education Office of the Woreda.

#### **2.4. THE AMHARA DEVELOPMENT ASSOCIATION (ADA)**

Due to the pervasive nature of poverty in the Amhara Region, efforts exerted by the government and foreign donor agencies alone couldn't alleviate the situation. Therefore, the idea that emerged sooner after the establishment of the Regional Government was mobilizing natives of the Region and promoting their commitment in a consolidated manner to alleviate poverty in the Region. Apparently, the Amhara Development Association (ADA) was founded with the aim of pooling the knowledge, labor and money of the people to activate development and improve the starkly poverty situation in the Region. ADA was set up in May 1992 as an indigenous non-governmental organization by harnessing the efforts and resources of voluntary members. The large share of finance for its operations is



obtained from monthly contributions of members followed by external donors and occasional grants or assistance of various bodies. Currently, it has more than 100,000 registered members contributing a minimum of Birr 2 per month while there is no contribution threshold as a rule of the Association.

The main goal of ADA is to promote development activities in rural areas. It believes that local people are the vanguard forces of sustainable development, which it pursues to achieve, and seeks their willing participation in a wider perspective (ADA, 1995:15-16). As a guiding principle, it also strongly seeks collaboration with governmental and non-governmental development agencies. To ensure people's effective participation in development, ADA has already launched the task of forming associations starting at the grassroots level. It has opened branch offices within the Region and other regions in the country as well as outside of Ethiopia such as in USA, Djibouti, Belgium, and Italy. Currently, it has over 300 permanent employees running its day-to-day activities. ADA has well defined objectives stated as follow:

- To promote grassroots level participatory community development, particularly to expand the role of women in the development process, and thereby to alleviate the poverty and backwardness of the Amhara people,
- To rehabilitate the devastated economy and social infrastructure and expand new ones like education, health, rural water supply, and road networks,
- To promote and support all-rounded development efforts of the Amhara people to attain self-reliance by providing financial, material and technical assistance,
- To collaborate with governmental and non-governmental organizations working to the betterment of the livelihood of the Amhara people, and to mobilize resources from within and outside of the Region.

Until 1998, ADA dwelt on tackling problems that encountered people and had no boundaries of operational areas and activities. Later on it realized that attempts to solve problems that are diversified in nature by scattering its limited resources would yield lesser results. Therefore, it identified priority areas and specified its interventions concentrating on the provision of health, education and basic skill training facilities since the mid of 1998. ADA has accomplished a number of different developmental activities such as construction and equipping PVSs and public libraries, expansion of teachers' training institutes, adoption of non-formal adult education, construction and equipping of HPs and clinics, provision of



basic skill training, construction of roads and bridges, installation of grain mills and similar social and economic services by expending over Birr 84 million during the past 8 years in the Region (ADA, 1999). For the year 1999/2000, it has formulated a Birr 23,000,000 budget to implement such development projects.

## **2.5. ORGANIZATION FOR RELIEF AND DEVELOPMENT IN AMHARA (ORDA)**

ORDA got its present name since 1997 with major changes in its former missions, scope and objectives. It was formed in 1984 (G.C) by the name known as the "Emergency Relief Organization (ERO)" as an indigenous non-profit making humanitarian organization to participate in the life saving of victims of natural and man-made disasters through a relief program. Its head office was located in the neighboring Sudan because it was difficult to make it inland due to the then security conditions of Ethiopia. Since its establishment, ERO, in collaboration with other international partners like OXFAM/UK, Christian Aid, German Emergency Doctors, CAFOD, Red Barna and Dutch Inter Church Aid, has made efforts that saved the lives of tens of thousands of compatriots in the draught affected part of the Amhara region, mainly in Wollo and Gondar.

ERO continued its humanitarian operation through its relief program, even after the downfall of the *Dergue*, as a short-term organization objective, and successfully addressed the immediate needs of the draught victims and war-displaced compatriots. However, ERO came to realize that development is a dream and self-reliance is impossible if the relief program is not supported with other sustainable development programs. Therefore, beginning from 1991, it expanded its operations on programs that could bring about sustainable rural development and build self-reliance of the poor in the region through environmental rehabilitation, agricultural development, rural water supply, income generating activities, and rehabilitation. As a result, ERO was renamed as "Organization for Rehabilitation and Development in Amhara (ORDA)" in May 1997 to better reflect its involvement in development and rehabilitation activities.

Along with its intervention areas, ORDA changed its approach from the mere provision of temporary relief to that of promoting sustainable development by involving local people from the inception. As reports show, people have been consulted to identify their priority needs and to ensure their active participation in every stages of projects. Communities participate in project implementations through "food for work" programs. ORDA largely

operates in 54 woredas in the Region identified as drought affected and food deficient in different aspects like rural water supply, small-scale irrigation, soil conservation, forest development, rural road construction, and credit service provision (see Annex-7).

## **2.6. COMMISSION FOR SUSTAINABLE AGRICULTURE AND ENVIRONMENT REHABILITATION IN AMHARA REGION (CoSAERAR)**

The five-year plan of the Amhara National Regional State (ANRS) puts water-harvesting mechanism as one of the development packages for drought-prone areas. Emphasis was thus placed on irrigation development to offset the effects of rain failure on agriculture. Apparently, the Regional Government found it necessary to establish an organ, which is responsible to study, plan, design, construct, monitor and evaluate irrigation schemes in the Region. CoSAERAR emerged as a result of this consensus in October 1995 with full responsibility of undertaking the above-mentioned irrigation-related works.

CoSAERAR is therefore one of those organizations involved in facilitating CBD and poverty alleviation ventures, but that differs from ADA and ORDA in two respects; i.e. type of ownership and scope of operation. First, it is a government entity accountable to the ANRS; second its operation is in the development of small-scale irrigation schemes. In the past four years, it has completed the design work of 37 small-scale irrigation (SSI) projects, implemented 12 new ones, and improved a number of old schemes that existed since 20 years ago either being unfunctional or inefficient. The newly erected and handed over 12 projects alone have the capacity to irrigate 3947 hectares of land and to benefit 9,424 households though the actual beneficiaries are below the stated figure.

In order to ensure the efficiency and effectiveness of SSI projects, CoSAERAR recognizes the participation of farmers as an important strategy. For this reason, the schemes were highly labor-based and implemented through the mobilization of a large number of people. Even though beneficiaries are said to be involved in all phases of projects, their participation is mainly visible in the implementation stage. This can be ascertained by 2,469,653 man-days that were mobilized to construct those 12 new projects alone. CoSAERAR uses “food for work” mechanism for two-third of the labor contributed by communities based on individual performance, while one-third of the labor is delivered freely.

In general, we can see how ESRDF and those three organizations described above that are identified as its major development partners in the Region are engaged in implementing or facilitating basic development activities crucial to reduce poverty and improve the lives of the poor. All of them claim that their interventions are purely oriented towards poverty alleviation and are fundamentally demand-driven, community-based, and participatory in nature. Thus, it is possible to conclude that they have the same objectives and approaches despite differences in scope of operations and implementation modalities.

## **2.7. SUMMARY**

This chapter has dealt with describing the salient features of the ANRS and those organizations involved in CBD activities in the Region, namely ESRDF, ADA, ORDA, and CoSAERAR. While the last three agencies are operating only in the Amhara Region, the first one covers all regions. For this reason, a country level and region specific background of ESRDF including the pilot phase is briefly reviewed. ESRDF and CoSAERAR are government agencies while ORDA and ADA are local indigenous NGOs. ANRS is the second largest state in Ethiopia comprising 11 zones and 106 Woredas. The Region's population is estimated as 16.3 million 90% of which living in rural areas.

Although the Region is potentially rich in water, mineral, livestock, fish, tourism, and other resources, several natural and manmade calamities have constrained its people from using those opportunities. Besides, social and economic infrastructures are poorly developed in the Region. Because of these reasons the rural people of the Amhara Region have been suffering for long from food insufficiency, disease, illiteracy, and other aspects of poverty. The multidimensional nature of poverty in the Region has called for integrated action among various parties, hence led to the formation of the aforementioned agencies in the Region.

ESRDF was established by the Government in 1996 to promote CBD throughout the country and thereby to alleviate poverty. Its operational mechanism is different from other conventional government agencies and is more similar to NGOs. The Fund has passed through a pilot test, which was reported to be appropriate and effective to facilitate CBD in the country and continued financing demand-driven projects. The major components of projects that are being implemented through the support of the Fund include SSI, RWS, Education, Health and Urban Sanitation, and Training and Capacity Building (TCB). In

general, the Fund has financed 2160 different projects in 11 zones at the cost of Birr 441,367,872 since the pilot phase.

ESRDF has two offices in the Amhara Region through which 865 projects with expected capacity of benefiting 2.25 million people are financed at the cost of Birr 139,719,545. These projects are implemented in piecemeal and are located in 11 zones and 94 Woredas at different degree of concentration. In addition to the Fund, ADA, ORDA, and CoSAERAR are largely engaged in CBD activities. What is unique to the CoSAERAR is the fact that it only studies, designs, and implements SSI projects in the Region.

ESRDF provides fund to these three agencies for the implementation of projects in the Region. Furthermore, like that of the Fund, activities of these agencies are highly participatory in nature at all levels and in all aspects of projects. From ESRDF supported projects in the Region, four representing SSI, RWS, Education, and Health sectors were selected for the case study. Visited schemes are found in North and South Gondar Zones, two at Belessa Woreda and one each at Kemkem and Fogera Woredas.



## CHAPTER THREE

### THEORETICAL AND CONCEPTUAL FRAMEWORK

In recent development literatures we see often concepts and arguments all, or almost all, coming under one-book title. These may include poverty (and poverty alleviation), sustainable development, people-centered development, participatory development, self-reliant development, empowerment, human welfare, and so on. As far as these concepts are the results of the emerging concerns in the recurrent development issues, this part of the paper is devoted to highlighting in brief basic arguments and essences of the concepts.

#### 3.1. POVERTY AND POVERTY ALLEVIATION

Because of the fact that the issue of development is inseparable from poverty alleviation and human welfare, it would be imperative to reexamine what poverty is all about, how it is defined, measured, and approached so that one can draw a complete picture about the two concepts. Poverty is first of all a relative term, which unless contextually defined or specifically addressed may create entanglement in understanding its meaning. Poverty has many faces and dimensions so that it has been defined in different ways over the years, mainly from the income perspective, from the basic needs perspective, and from the capability perspective. As Alcock (1997:67) noted, many commentators do not agree on what the problem of poverty is, and it has no unanimous, correct, scientific, and agreeable definition. Arguably, it is the issue of definition that lies at the heart of the task of understanding poverty and thus proposed actions against poverty vary depending on the underlying assumptions or interpretations of different commentators.

Although poverty is a contested concept, to use Alcock's expression, organizations, academics and politicians continue to seek appropriate definitions in a way that their approach is the correct one. Oppenheim and Harker (1996), quoted in Alcock (1997:3), provided inconclusive definition of poverty: "Poverty means going short materially, socially and emotionally. It means spending less on food, on heating, and on clothing than someone on average income" They also explained the effects of poverty as "...poverty takes away the tools to build the blocks for the future...it steals the opportunity to have a decent life....". The 1997 Human Development Report (UNDP, 1997:2) also describes poverty as follows:

*"... It is much more than low income. It also reflects poor health and education, deprivation in knowledge and communication, inability to exercise*

*human and political rights and the absence of dignity, confidence, and self-reliance... From a human development perspective, poverty is seen as a denial of choices and opportunities for living a tolerable life... poverty manifests itself in the deprivation of lives of people"*

The word "poverty" projects a particular image: lack of money, living below the breadline, being in need, being helpless, or powerless. As Wuyts, et al (1992:18-19) put it; this image of poverty focuses our attention on some questions and deflects our attention away from others. For many people, poverty may be looked as a question of inequality in income distribution only, but for others the term may go one step further to include certain characteristics of the poor: their education and skill levels, their occupations, their rural and urban location, their fertility and mortality, etc. According to Menendez (1991), poverty is not just only lack of physical resources for development, but also implies powerlessness or the inability to exert influence upon the forces, which shape one's livelihood.

The above explanations and definitions indicate the complexity and relativity of the concept of poverty. Because it is too complex and relative in nature, it has been defined, perceived, and measured in different ways and it cannot be reduced to a single dimension of human life. Though it has been common for many countries to establish an income-based or consumption-based poverty measures, the method is criticized for its limitation to reflect all aspects human poverty. Quantitative measures provide a rather limited picture of the extent of poverty in a society. As a concept, human poverty includes many aspects that cannot be measured. Therefore, qualitative measures could better tell what a volume of statistics could never do how poverty is measured in real life terms (Alcock, 1997:114-115). Attempts of some people to define poverty in terms of the inability of the poor to meet basic needs; i.e. those things that an individual must have in order to survive as a human being; is still found incomplete since there are always perceived needs even after basic needs could be satisfied (Burkey, 1993:3-4).

The whole purpose of attempting to define poverty is to be able to measure its extent within or across societies. In this respect Alcock stressed that we must first know what poverty is before we try to identify where and when it is occurring or to measure it, and before we can begin to do any thing to alleviate it. Despite the absence of single or universal definition of poverty, there is a consensus that it is not to be suffered in silence by the poor, nor to be tolerated by those who have the power to change it.

In this regard, an optimistic message in the 1997 Human Development Report indicated that poverty is no longer inevitable. "The world has the material and natural resources, the know-how and the people to make a poverty free world, a reality in less than a generation". It added, "...Eradicating absolute poverty in the first decade of the 21<sup>st</sup> century is feasible, affordable and a moral imperative...The challenge now is how to mobilize the action-state by state, organization by organization, individual by individual" (UNDP, 1997:iii and 12). Moreover, the report suggests priorities for actions as a strategy of poverty reduction. This includes empowering people and ensuring their participation, gender equality, pro-poor economic policy, and enabling environment. Including the poor in the growth process, which goes beyond their passive sharing of the benefits from projects and programs, is considered as the major component of antipoverty strategy (Lipton and Van der Gaag, 1993:22). One influential view argues that economic growth in itself is the most direct way to alleviate poverty (Wuyts, et al, 1992:14).

Many commentators believe that putting local initiatives and community actions at the center of poverty eradication strategies is an effective means to ensure a people-centered development. However, there are two major approaches in alleviating poverty: macro and micro level. At the macro -level approach, poverty alleviation is attempted through policy adjustments and over all economic growth with emphasis to equity and social development. Micro-level approaches, on the other hand, refer to actions at the project level (Menendez 1991:12). At the micro-level approach, targeting is taken as an important task in alleviating poverty. Unless beneficiaries are properly identified, projects will end up benefiting the non-poor.

Besley and Kanbur (1993:75) emphasized the importance of targeting in an effort to alleviate poverty. According to them targeting has come to be seen as a panacea in poverty alleviation. Identifying who is poor can help to direct benefits toward that group. Several mechanisms are being used by governments, NGOs, and other actors to identify who is poor. In developing countries where income is very difficult to measure at the household level, targeting by geographical area is recommended. Under such a scheme all individuals within an area or neighborhoods identified as poor are treated identically.

Although it could be expensive, household income and expenditure surveys can be also used to evaluate poverty characteristics and to identify the poor. Other than targeting on the basis of indicators, self-targeting or self-regulatory schemes may help to screen the poor. "Work



fare" and "transfer in kind" are usually used under this scheme. Workfare is a mechanism of making the poor to give labor time in exchange for an income transfer while work requirement may discourage the non-poor from claiming poor relief. Transfer in kind, which is of different in quality, can also help to distinguish the poor from the non-poor on the basis of the quality choice (Besley and Kanbur, 1993; Kakwani 1993). The whole issue here revolves around how to identify who is poor, how to direct development towards the needy ones and make it people-centered, and how to alleviate poverty. This will take us to the understanding of the notion and goal of "development" itself.

### **3.2. THE CONCEPT OF DEVELOPMENT: DEFINITIONS, MEASURES AND OBJECTIVES**

Before the 1970s, development has been understood as the capacity of the national economy to show an annual increase in its GNP, or the ability of the nation to expand its output at a rate faster than the growth rate of its population. Such measurements and assumptions of development had very little to do with changes in the living standards of the poor. Despite progress in the levels of per capita GNP in many developing nations, disparities in living conditions between rich and poor countries and between the richest and poorest people within developing countries continue to widen and the absolute number of the poor increases overtime (Rondinelli, 1993:1).

Starting from the 1970s, however, economic development came to be redefined in terms of the reduction or elimination of poverty, inequality and unemployment, and that "redistribution from growth" became a common slogan. This is a shift away from the earlier understanding of the meaning, measurement and objective of development. Many development theorists termed this departure as a "paradigm shift" to mean, according to Chambers (1993:2), "...a new, coherent, consistent sets of ideas about development, and mutually supporting patterns of concepts, values, methods and actions amenable to wide application".

With the changing approaches, therefore, scholars and practitioners provided a new version to the concept of development. In recent years, there has come a wide consensus in that development should primarily mean, and be measured in terms of an improvement in the general welfare situation of people through poverty reduction. According to Todaro (1981:), development must be conceived as a multi-dimensional process involving major changes in social structures, popular attitudes, acceleration of economic growth, the reduction of



inequality and the eradication of absolute poverty. In other words, development came to be seen in terms of the satisfaction of basic human needs rather than simply growth maximization. Therefore, recent arguments emphasize that the target and purpose of development should be the well-being of people.

In this context, Wen (1976: 355) argued that, "...development will not have moral as well as practical validity or justifications unless it is firmly subordinated to overriding social objective, namely, the preservation of humanity and improvement in the quality of life of the poor". Hence, development as a process involves integration of social and economic objectives. Since the ultimate purposes of development is providing opportunities to all people for a better life, securing equitable distribution of income and wealth, raising the level of employment, expanding and improving facilities for education, health, nutrition, housing and social welfare are considered to be its essential components (Jones and Inaba, 1997:10)

This implies that the term "development" goes beyond a material conceptualization of the common good. Moreover, pure economic measurements of development alone, which have been conventionally used until fairly recently, cannot adequately demonstrate the actual living standards of people. In a reverse situation, there have been cases where development itself is recognized as one of the most important events affecting the poor. This was witnessed in many countries, for example, in Pakistan in the 1960s, in USA in the 1970s, and in Brazil since 1980s (Lipton and Van der Gaag 1993:22). Despite rapid economic growth in many countries, reports of the World Bank (1992) and UNDP (1993) also attest to the increasing number of people who are in absolute poverty.

The rethinking of development in line with its consequences to poor people is based on factual reasons. Existing realities indicate that unless growth pattern includes the poor, economic policies, which foster growth may not reduce poverty. Therefore, the primary objective of development, as Titi and Singh (1995:9) noted, should be to overcome poverty and to protect or broaden human options. The Human Development Report (UNDP, 1993:1) similarly stated, "Development must be woven around people, not people around development..." This entails that appropriate development policy should be formulated in order to achieve the "new" objective of development. According to Wuyts (1992:1-3) "development policy" means a deliberate action of the government or public institutions seeking to promote development. In almost all countries, developed and developing alike,

development policies are being adopted in the face of a new philosophy and approach known as "people-centered development" or "community-based development".

### **3.3. COMMUNITY-BASED DEVELOPMENT**

#### **3.3.1. EVOLUTION AND DEFINITIONS**

CBD is a new line of development paradigm advocated by those who try to redress the meaning and purpose of development in the context of human welfare. The approach has its own historical roots and involves several broad concepts, arguments, perspectives, and justifications. CBD as an alternative development approach is a relatively recent phenomenon that emerged as a result of the failure of other approaches. In the 1950s and 1960s thinking about and action on development were dominated by the modernization approach, which focused on rapid economic growth and capital formation (Hulme and Tubner, 1990: 34; Webster, 1990:43). This was the period characterized by output maximization irrespective of the distributional effects and persistently growing poverty, inequality, and rampant unemployment that had marginalized people.

As a result of the failure of the modernization paradigm, the Basic Needs Approach (BNA), which gave due consideration to poverty eradication, employment creation, income distribution, and the provision of basic services to people, took the turn of dominance in the development discourses and practices since the mid 1970s. According to Chambers (1994:53), this period has been marked by shifts of development approaches from top-down to bottom-up, from centralized standardization to local diversity, and from blueprint to a learning process. This fundamental shift is variously referred to in the literature as "another development" "alternative development", "people-centered development" (Oakley, et. al. 1991:3).

Within the Basic Needs Paradigm, a new development strategy known as "self-reliant development" has been evolved over the past decade. Having a variety of synonyms including "endogenous development" and "development from below", it concentrates on the local level and aims to eliminate excessive dependent relations between and within countries. Self-reliant development is widely recognized by many commentators and organizations as the effective way of creating local confidence and improving the lives of the poor. Goonerante and Mbilinyi (1992:1), for example, considered it as development on the

basis of the country's (region's) own resources, involving its populations, basing on the cultural values and traditions, thus "... the only way for survival".

Self-reliant development strategy is inseparable from a people-centered approach guided by certain basic principles and objectives like provision of basic needs, revival of inward-oriented economic growth, encouragement of grassroots organizations and citizens involvement, and avoidance of gender discrimination. The conclusion made by Goonerante and Mbilinyi (1992:8-9) was that local self-reliance approach is relevant to African Countries since externally induced development strategies from donors and national planners didn't comply with local realities and often have shown failure rather than success. However, these authors emphasized that the concept of local self-reliance requires careful assessment when applied to the poor or disadvantaged groups. According to them, local self-reliance is not "local self-sufficiency". The importance of self-reliant development for economic recovery and transformation was reaffirmed in the African Charter for Popular Participation in Development and Transformation (ECA: 1990).

Generally, CBD is the result of an evolutionary paradigm shifts in development approaches necessitated by the failure of the modernization approach and top -down strategies to meet human needs and improve the standard of living in a wider perspective. It is an approach seeking development to occur in its fundamental meaning and to have more human element. CBD is a comprehensive strategy aimed at ensuring sustainable development and realizing poverty alleviation. It focuses on actions and stresses on operationalizing the idea of development at the community level and implementing plans that further the welfare of the poor. In this regard, Jones and Inaba (1997:24-25) wrote about locality-based or CBD as capable of providing the opportunity to define and measure the social aspect of progress in a community, neighborhood, or household.

Hope (1996:195-196) viewed CBD in a broader sense, referring it as a process that involves social and economic actions for solving community problems by combining efforts and resources from governmental and non-governmental bodies. It is a process that passes through sequential and continuous stages both in knowing the reality and taking actions. It demands, first and foremost, understanding of the basic social and economic problems of a community. The central pivot of CBD, as discussed by Hope, is about progress, growth, the generation of wealth and the use of resources on a continuous and sustainable basis. Fussell (1996:47) also discussed about the interconnection between community and development.



He underscored that the fundamental unit of development is the community so that the output of the development process is an increased sense of human well-being; i.e. the enhancement of the quality of life as measured in terms of felt needs identified by the community.

### **3.3.2. MAJOR ACTORS OF COMMUNITY-BASED DEVELOPMENT**

There are different arguments between and among development theorists and politicians concerning the questions of who should play the major role and what should be the instruments of development in the context of its new meaning and objective. People who underestimate the role of government in development try to justify their argument simply by referring to failure stories of government interventions rather than clearly showing why it failed so. To the proponents of "state-free" development approaches, NGOs are the best actors of CBD. Many of those who favor NGOs suggest that they are the type of development agent that best suited to the new paradigm (Wuyts, et al 1992:118). Fowler (1988), as quoted in Wuyts et al (1992:134), noted that NGOs have better ability than governments and identified two distinctive features of "comparative advantages" in ensuring CBD. The first advantage is their relations with the intended beneficiaries on the basis of voluntarism principle rather than controlling method. Secondly, unlike the government, NGOs are organized in non-bureaucratic structure with the guiding principle of flexibility, responsiveness, experimentation, and learning-by-process.

Korten (1987), a scholar who dealt much with NGOs, listed three typical "generations" classified on the basis of the types of activities or focus areas and the period they operated. These first, second, third generation NGOs are or have been engaged in relief and welfare, small-scale self-reliant development, and sustainable systems development respectively. However, Korten is reluctant to accept the overriding advantages of NGOs than governments in real development activities. In general, many commentators have demonstrated their beliefs in their writings against the role of the government in the development process and commented that CBD can be successful only when there is the right balance between government intervention and particular interests of the community. Chambers (1993:106), postulated recommendations made by development theorists on what the role of the state in the 1990s ought to be. "...The state, besides protector and provider, should also be liberator and enabler for the poor, permitting and promoting for them both diversity and choice".



Friedman (1992) criticized the doctrinal belief of "alternative development" which defines the state as the enemy, bureaucratic, corrupt, and unsympathetic to the needs of the poor, and which assumes community actions as distinctly sufficient for the practice of CBD. According to him, although alternative development must begin locally, it cannot end up there. Unless the state continues to play a major role, the lot of the poor cannot be significantly improved. For this reason, Friedman (1992: 8) argued that alternative development is not primarily a set of technical prescriptions, but an ideology and thus not complete on its own.

Schraeder (1995:73) on his part noted, "Development is not an autonomous process independent from cultural and political factors. It always occurs in the context of the state system and political leadership committed to development". Rondinelli (1993:159) also supports the above argument by expounding the fact that actors of development are not beyond the scope of politics. He noted, "No system of development can be effective that ignores or discounts the political dimension of decision-making. Ultimately, all development plans are political statements and all attempts to implement them are political acts....". So, both Schraeder and Rondinelli do not agree with the Weberian tradition of political liberalism in the development process. Others like Titi and Singh (1995), Hope (1996), and Wen (1976) also argued in favor of the role of government in CBD activities.

In spite of the fact that NGOs are generally acknowledged to have several advantages in poverty alleviation and CBD activities, the role of government cannot be by-passed even within the framework of the activities of NGOs. Menendez (1991: vi), after explaining the three major actors in development initiatives to alleviate poverty (governments, NGOs, and multilateral and bilateral organizations), gave more emphasis to the role of government and said, "governments can alleviate the worst aspects of poverty by directing public expenditure to the most vulnerable groups and by creating an environment within which the initiatives of other actors can develop and flourish". These commentators, which gave high credit to the role of the state, spell out that there should exist a compromise between the level of government intervention and the degree of freedom in the operation of development projects.

Although still debatable, a number of writers also acknowledged the role of aid agencies, particularly that of the multilateral donors which over the years have disbursed an increasing proportion of development assistance. Unless the role of multilateral donors is at place,

community-based development could be difficult to be undertaken in poor countries since government budgets that would be allocated for the implementation of development projects are often limited. Therefore, these institutions can be considered as important actors in the changing climate of development options (Irvin, 1978). On the other hand, there are practical reasons, which uncover the limitations of donors to bring the desired result due to standards and prescriptions they provide prior to the implementation of projects.

Another major actor of CBD is the community itself. Advocates of this approach believe that without the involvement of local people, development activities cannot achieve the goal of poverty alleviation. It has been proved that governments at all levels have limited capacities to provide full-fledged program solutions to community development. Therefore, the emerging idea of CBD as an alternative approach to poverty alleviation takes the community as a unit of solution. It is generally based on the belief that problems in communities have solutions in communities so that people should participate in matters that affect them at the community level (UNDP, 1997:6; Checkoway, 1995:3-4).

Although CBD approach calls for the involvement of the community at large, others who have different views and experiences challenge the idea. Arguments and counterarguments on the role of local people in CBD will be discussed in the last section of this chapter.

### **3.3.3. PROJECTS AS TOOLS OF COMMUNITY-BASED DEVELOPMENT**

CBD emphasizes the adoption of needs-oriented approach with the establishment of small-scale projects which can increase social and economic access for the disadvantaged groups, and which can be easily managed and duplicated. Furthermore, CBD approach presupposes projects to be adoptable to local conditions (in terms of knowledge, skill, technology etc.), community-owned and directed so that they can create local self-reliance (Robinson 1995; and Hyman, 1989). As Menendez (1991:17) said, to think realistically about projects as instruments of CBD, they should be demand-driven and be targeted toward poverty issues. Community development projects have been established by National Governments, NGOs, Private Voluntary Organizations (PVOs), and International Organizations and have been widely used as a panacea for poverty and underdevelopment.

Although community development retains relevance in both developed and developing countries as a primary vehicle through which social changes are enacted at the local level, there are both success and failure stories of development projects. There are also debates on

the merits and demerits of projects as instruments of development interventions. During the 1960s and 1970s projects were used as a primary means through which governments of developing countries translated their development policies and strategies into programs of action. Until fairly recently projects aimed at improving the socio-economic conditions of the poor tended to be initiated, designed and implemented from the top without systemic consultation and involvements of the intended beneficiaries. The basic idea, according to Burkey (1993:xxi), was that the introduction of modern technology would automatically bring development and improve the living standard of the poor.

However, development projects during these periods were not successful in developing countries for many reasons. The first, and probably the most important, reason is the rationalistic planning and management techniques adapted by governments and international organizations. Such planning and management techniques, as discussed by Rondinelli (1993:6), were of limited use in coping with the uncertainty and complexity of development problems, and in responding to the needs of the people in developing countries. They lacked flexibility, experimentation, and social learning that are essential to help the intended beneficiaries achieve their objectives.

Counter to the arguments of donors on the advantages of project-tied aids, Webster (1990:154-158) has tried to demonstrate how both funding agencies and local political elites misuse funds gained from external sources or how money flows back to where it was by saying "a considerable proportion of any aid package is swallowed up in payments to technical experts, the field-staff of the donor countries, or on costly housing, transport, and diet arrangements made for them in the host country". He also argued that projects suffered from misdirection of funds and "creaming off" of monies by members of local political elite in developing countries. Due to misdirection of funds, development projects end up benefiting the rich rather than the poor. Generally, the results of projects and programs financed by bilateral and multilateral organizations have been disappointing. Assessments by US Agency for International Development (USAID) indicates that out of 95 Less Developed Countries assisted by USAID, only 19 maintained consistent economic growth from 1950-1987. Furthermore, project sustainability was extremely low. For instance from a sample of 212 projects, only 11 were found to have a probability of being sustained after aid was terminated, and a review of 62 completed health projects showed that more than 50% of them had failed (Rondinelli, 1993:12).



On the basis of its past experiences, the International Development Association (IDA) has changed its funding modality in such a way that the benefits can filter down to the majority of the poor. At least as an objective, it gives now the highest priority to activities that can directly improve the lives of the poorest people. To this effect, the World Bank (1990b: 134-137) argued that donors, including by implication itself, should assist only governments of developing countries, which have serious antipoverty policies. The World Bank report also concluded that governments in developing countries could best make sustainable progress against poverty by following a twin-track strategy. The first is growth-oriented policy that uses the most abundant asset of the poor (labor), and focuses on strengthening institutions, infrastructure, and market incentives, distributing information, and adopting appropriate technology. The second element is the provision of basic social services to the poor.

Whether it is the result of the Bank's prescription or own experiment, there are indications or trends where poverty-focused community development projects can be relevant. The application of CBD to developing countries can be effective under specific circumstances. Studies in India and Nigeria show that community development approach is successful in granting social and economic development, to improve quality of life, to meet specific and clearly defined goals (Econg and Sokoya, 1982; Kolawole, 1982). Thus, since the mid 1980s there have been increasing evidences of resurgence of interests in, and support for CBD projects in developing countries (Abbot, 1995:161).

### **3.3.4. ELEMENTS OF COMMUNITY-BASED DEVELOPMENT**

As it is briefly discussed above, recent years have seen a return to favor CBD interventions as a potential means for poverty alleviation almost unanimously all over the world. To make the system more successful, different actors or facilitators have established principles, set preconditions, and designed strategies. CBD approach is basically made up of interconnected key elements used both as principles and instruments for successful goal achievement. "Empowerment" and "participation" are major elements of CBD, which may probably need elaborated discussions. Many commentators have provided definitions to, and argued on these broad concepts.

#### **3.3.4.1 EMPOWERMENT**

The concept of empowerment has been at the center of the reconceptualization of development (paradigm shift) and the development of strategies for poverty alleviation and



sustainable development. It has become a central concept concerned with changing the pattern of control of resources and political power, as well as the attainment of self-reliant development by disadvantaged groups. Wuyts (1992:132) noted that "empowering the poor" has come to be almost a universal slogan. It is stated as a desired process by which the poor are to take direct control over the circumstances of their own lives, so that they are in a position to become their own development agents in the future. Chambers (1993:11), similarly indicated that "empowerment means that people are enabled to take more control over their lives, and secure a better livelihood with ownership and control of productive assets as one key element".

Within the development discourse, the concept of empowerment evolved concurrently with the "bottom- up" approach to development. This entails that the central purpose of empowerment strategy is building power at the grassroots. In this respect, as Titi and Singh (1995:14) put it, empowerment has been used to imply the promotion of community development through self-help; the process of enabling collective decision-making and collective action; transformation of economies to self-reliant, endogenous, and human-centered development with good governance. The above prescriptions of empowerment affirm the need to build the capacity of communities to respond to the changing environment. Yeraswork (1995:52) saw empowerment as one aspect or dimension of people's participation in the development process that will be discussed in the last section of this chapter. Macpherson (1973), quoted in Yeraswork, related the idea of empowerment not only to getting access to resources but also with the notion of increasing political power.

Empowerment at the generic level signifies strengthening the meaning and reality of the principles of inclusiveness, transparency and accountability held in common with the notions of democracy and sustainable development. Empowerment as a strategy for poverty alleviation and sustainable development has to be a multifaceted and multidimensional process involving the mobilization of resources and people's capacity. Due to this complex feature of the concept of empowerment, Titi and Singh (1995:15) commented that attempts to define it in precise terms might not yield any significant insight into the concept and its utility.

Therefore, even supporters of the empowering strategy agree with the difficulty of providing a precise definition to empowerment except describing its basic features, elements, and goals. Checkoway (1995:4) viewed empowerment as a multilevel process in which a person

or community gives or gets power from another. The notion here is that power originates from outside. However, this perception is seen wrong by others. For example, Sharp (1996:46) suggests that empowerment may need to mean the struggle of the disadvantaged to achieve it rather than waiting for it to be granted from authorities. He added, "Empowerment is enabling people to understand not only why they are poor or disenfranchised, but also what they can do about it."

Others have discussed the concept of empowerment with little differences but with a common denominator; i.e. "enabling disadvantaged communities". Schuftan (1996:260) explained empowerment as not an outcome of a single event, rather as a continuous process that enables people to understand, upgrade and use their capacity to achieve better control over resources. Similarly, Barr (1995) argued that empowerment might be seen as the degree to which or process by which disadvantaged communities define their own needs and determine their life requirements.

Titi and Singh (1995:15) have tried to identify elements or necessary conditions for empowerment in order to understand its concrete manifestations. According to them, local self-reliance and autonomy in the decision making process of communities; space for cultural assertion and spiritual welfare; experimental social learning including the articulation and application of indigenous local knowledge; access to resources and social services; access to income, credit facilities, skill training, appropriate technology and information; ability to achieve food self-sufficiency are considered the crucial ones. As a multilevel process empowerment best includes three levels i.e., individual involvement, organizational development, and community change (Checkoway, 1995:4).

From the empowerment point of view, the purpose and goal of CBD is enabling poor people to achieve all life necessities. The general belief is that through empowerment individuals, communities and nations could obtain collective responsibility for their own future and become managers of their own development.

#### **3.3.4.2 PARTICIPATION**

Notwithstanding the fact that participation in development is still myth than reality, "... it is now almost reactionary to propose a development strategy which is not participatory..." (Oakley. et.al. 1991:6). Although many people have tried to define participation in their own perceptions, Bamberger (1988:2) and Oakley et al, (1991:6) acknowledged that Paul (1987) has contributed a broadly accepted definition that can be taken as a representative one in

understanding its essence. "In the context of development, community participation refers to an active process by which beneficiary or client groups influence the direction and execution of a development project with a view to enhancing their well-being in terms of income, personal growth, self-reliance or other values they cherish".

Bamberger (1988:5) extended the definition beyond the project level. According to him, community participation should be seen as an evolutionary process in which activities at the project level can create the conditions for further popular participation in development programs at the local, regional, or national levels. Moreover, he suggested that a complete definition of community participation should take the following into consideration:

- Involving agents or organizational groups ("instruments"),
- Using mediums or methods like formal leadership training, learning by doing, consciousness raising, etc,
- Identifying the stages of the project in which beneficiaries are involved,
- Identifying the scope or level of the program,
- Identifying who participates, and ascertaining that the underprivileged groups are involved, or whether the project is being influenced by powerful economic, political or cultural groups to exclude certain groups of intended beneficiaries,
- Identifying the intensity of participation in terms of the number of people involved and the duration of regularity of their participation as well as in terms of information sharing, consultation, and decision-making,

According to Vivian (1992: 53), true popular participation goes much beyond the mere provision of labor and other inputs into projects initiated from outside the community; it further involves decisions being taken and plans being formulated at the local level. Wen, (1976) added that participation implies not only that people be employed to contribute to the development effort, but also that they should receive an equitable share of the fruits of development. Therefore, participation is not to be understood as a specific level involvement of people. Encouraging participation enables people to voice their demands so that projects reflect the actual needs of the group they attempt to help, and ensures acceptance and collaboration at the local level.

There are also varying perceptions in understanding participation as a means or an end. According to Oakley et.al (1991:8) participation as a means implies using it to achieve some predetermined goals or objectives. In other words, it is a way of harnessing the existing



physical, economic and social resources in order to achieve the objective of development programs and projects. In this case, participation takes a passive form and becomes a short-term exercise. On the other side, participation as an end is essentially a dynamic process which unfolds over time and whose purpose is to develop and strengthen the capabilities of people to intervene more directly in development initiatives.

Yeraswork (1995) aggregated the various definitions of participation given by Oakley and Marsden (1984) into three strands of thought namely: the mobilist model, the instrumentalist model, and the radical model. This categorization is based on the way participation is perceived. The mobilist model conceives people's participation in development in terms of their material and labor contributions. This model is aligned with the earlier approaches to development, thus disregarded by the recent participatory development paradigm. For this reason, Yeraswork left aside the mobilist model and dealt much with the rest of the two models, which look participation itself in the "means" and "end" dichotomy.

The "means-end" dichotomy of participation differ in their perceptions of the way it can be realized or manifested on the one hand, and the extent and nature of people's involvement in decision-making on the other. According to instrumentalists, popular participation is to be sought in its instrumental value in raising efficiency and the probability of success of development projects and programs. The argument here is that participation increases efficiency, encourages people to make good use of resources provided by the government, and raises their motivation to improve their own condition. In the instrumentalists' view, the involvement of people is limited to providing information and expressing felt needs and preferences. In this category of view, participation in decision-making doesn't go beyond consultation and seen as a "means" only (Yeraswork, 1995:45-49).

To the radical model on the other hand, participation goes beyond the efficiency and success of projects and programs. Here, "participation is seen as a process by which the position of rural people in terms of access to scarce resources and institutions of political power is significantly altered and their present state of dependency is overcome" (Yeraswork, 1995:45). For those who have a radical agenda, decision-making requires power so that participation should imply organized action to bring structural changes and should be taken as a process of empowering people. In general, instrumentalists see participation as a means to be realized through consultation, while for advocates of the radical model it is an end in itself manifested by empowering people.



The means-end argument of participation is also discussed well by Bamberger. He started his discussions first by raising crucial questions on the purpose of development (to achieve social justice or to increase the economic level?) within the context of the participatory approaches. If social justice is the objective of development, then participatory approach should be educational and empowering, and be seen as an end in itself. If the objective of development is defined in terms of economic development, then participatory approach should be assessed in terms of people's contributions to project efficiency and be considered as means (1988:6). As many experiences show and Bamberger commented the World Bank and most bilateral and multilateral donors use participatory approaches exclusively in pursuit of efficiency objectives. Others argue that "means" and "end" objectives are complementary stages in a long-term evolutionary strategy. In general, Paul (1987) proposed five objectives to which community participation might contribute, namely: project cost sharing, increasing project efficiency, increasing project effectiveness, building beneficiary capacity, and increasing empowerment.

Traditionally, many development projects have been designed by donors in consultation with central government officials and the budgets and time tables were planned rigidly that made difficult for communities to play significant roles. Such development projects designed and implemented without the full involvement of the intended beneficiaries have had high rate of failure. Aid agencies have drawn lessons from such experiences of failures and sought to incorporate participatory principles into their projects (Sharp, 1996: 40). For this reason, Bamberger (1988:9) suggested that wise and prudent development planners and managers should be concerned to ensure that beneficiaries are adequately consulted and involved from the beginning of the project. There are varying arguments, however, on the potential benefits and costs of community participation in the development process. Those who argue in favor of the participatory approach often cite the following as advantages that could be reaped from the system:

- More accurate and representative information about the needs, priorities, attitudes or opinions and capabilities of people can be collected, more reliable feedback on the impact of government initiatives and programs can be obtained,
- Involvement of the community at any significant level may enable to take full advantage of using local technology and knowledge,

- Community involvement can generate new ideas, ensure a project's social acceptability, build constituency support, or increase the likelihood of beneficiaries commitment to the project,
- Community participation may help to ensure more equitable distribution of benefits and that politically or economically weak groups have access to the project services and benefits,
- Community participation in all project stages can make easier the mobilization of scarce resources to be employed more efficiently to meet local conditions,
- Community participation is usually an essential condition for the sustainability and higher cost recovery rates of the project,
- It can help to reduce mistakes in program or project design and implementation, to detect irregularities in implementation, and to reduce the cost of program administration.

All these advantages could be gained only when politicians, planners, and managers are made aware of the benefits of participation and are anxious to use it.

Unfortunately, there is another line of argument made against the participatory approach. From the point of view of officials, planners, and administrators, the participation of the public may delay the process of planning and implementation. Because, in their view, the villager is lazy, ignorant, unresourceful, irresponsible, and inexperienced while the professional is the expert and knows everything. Because of this thinking, some government agencies use participation for administrative ends without significant transfer of power. In this way, participation becomes a form of deconcentration rather than decentralization (Checkoway, 1995: 9-10). Therefore, despite an apparent widespread recognition of the importance of participation in development, planners would argue quite differently. In their perception there are potential risks and costs implicit in greater people's participation. Such risks and costs attributable to popular participation, mainly mentioned in Oakley et al (1991:14) and Bamberger (1988:10) include:

- Delay in project start-up by negotiations with people,
- Increases staff required for promoting participation and thereby increase cost of the project
- The possibility that, when consulted, people might oppose a project,
- Unpredictable participatory methodologies,
- Over-involvement of less experienced people,

- Increase high and unrealistic people's expectations,
- Unnecessary diversion of project activities different from the establishment.

On the basis of current practices many writers criticize that local people's participation is strong in rhetoric than in practice. As a result, some writers see participation as being merely "popular faddishness" and emotional commitment. In this regard, Uphoff (1986) convincingly explains the fact that in many projects participation is more of illusory than a reality. Another line of argument suggests that local people are not ignorant, idle or apathetic, but are resourceful, knowledgeable and hard working. From this standpoint, proponents of popular participation emphasize that it would be wrong to assume arguments for greater people's participation in development are based purely on idealistic, humanitarian, or egalitarian grounds. Rather, there are substantive arguments for participation as an essential ingredient in development projects. Many authors such as Uphoff (1986: 425-426), Wen (1976: 357-358), and Checkoway (1995: 8-9) noted that governments or other facilitating agencies might gain some net benefits from promoting participation.

In line with the above arguments presented in favor of participation, Oakley et. al. (1991: 17-18) enumerated a summary of advantages stemming from participation which would otherwise be a major loss if people were not involved. These are:

- A. Efficiency:** - it helps to use resources available to development projects more efficiently, to minimize misunderstanding or possible disagreements, thus reduces time and energy.
- B. Effectiveness:-** it can make projects more effective as instruments of community development and ensures successful completion of objectives.
- C. Self-reliance:-** it helps people to break the mentality of dependency, to promote self-awareness and confidence, to examine problems and think about solutions, to increase a sense of control over issues which affect their lives, and to learn how to plan and implement.
- D. Coverage:** - it will bring more potential beneficiaries within the direct influence of development activities.
- E. Sustainability:** - it can ensure that local people maintain the continuity of projects- the maintenance of an acceptable flow of benefits from the project after its completion.

However, Oakley et al (1991: 14) didn't underestimate the possible obstacles that could hinder participation. These include, *inter alia*, administrative obstacles (centralized

government structure), structural obstacles (ideology, political and legal system), and social obstacles (mentality of dependency, culture, and tradition). People who support popular participation and recognize the existence of such obstacles have their own propositions. They believe that in order to give people an opportunity to participate in the development process, there should exist a decentralized government structure.

For these people, decentralization increases popular participation, and helps to formulate realistic and locally relevant plans, which will result in efficient implementation. Decentralization increases flexibility and responsiveness in the management of development projects, because decisions to correct mistakes or to adjust to changing circumstances can be made at the local level (Wen, 1976; Sharp, 1996). In the majority of countries, the popular participation argument has led to the establishment of a system of village- and ward- level development committees and the terminology used to describe these grass-roots organs of participation has been remarkably uniform in many cases (Nainson, et .at. 1996:79).

Generally, whatever counterarguments have been made, participation today appears to be a question of necessity at the development project level, and the term "participation" is increasingly influencing CBD practices across the board. Participation is the order of the day throughout the world. Hence, done with skill and commitment, participation can create change. This is what the paradigmatic approach model of community participation tells us.

### **3.4. SUMMARY**

Recent development literatures hold comprehensive and interconnected concepts and arguments, which are related to the emerging concerns of the recurrent poverty alleviation and development issues. These include poverty (and poverty alleviation), sustainable development, people-centered development, participatory development, self-reliant development, empowerment, human welfare, and so forth. Writers have tried to provide different definitions to each concept depending on their perceptions and arguments, and suggested actions to be taken in a way they sought or they believed is appropriate. Poverty and development are complex as well as relative terms so that both have been defined, interpreted, measured, and argued in different ways over the years. Both poverty and development have no unanimous, concrete, and agreeable definitions and measures due to their nature of relativity and complexity. Recent writers and even some international



organizations like UNDP criticized those who narrowly defined and measured poverty and development mainly on the basis of national economic growth and income or consumption.

Poverty, viewed from broad perspectives, is not only going short materially or low income, but further extends to include other social, political, psychological, and environmental aspects of human life. Poverty reflects certain characteristics of the poor like poor health, education, skill, occupation, and location. It is lack of knowledge and information, powerlessness to exercise human and political rights, absence of dignity, confidence and self-reliance. It is generally lack of access by the poor, denial of choices and opportunities for living tolerable or decent life. All these show that poverty cannot be reduced into a single dimension of human life. Measurements of the extent or degree of poverty also vary in accordance to these aspects. Both quantitative and qualitative measures are being adopted to measure poverty although the former is criticized for its limitations to reflect the extent of poverty in a society since there are other aspects that cannot be statistically explained

Despite differences in definitions and measurements, there is a consensus that poverty should not be suffered in silence by the poor nor to be tolerated by those who can alleviate it. For this reason, poverty alleviation strategies have been developed both at macro and micro levels (at policy and project levels). To realize the tasks of poverty alleviation, targeting or identifying the poor and directing benefits toward that group is recognized as a prerequisite by many development theorists and practitioners. Targeting helps to promote local initiatives to poverty eradication and putting local initiatives at the center of poverty alleviation strategies is believed the best way to ensure people-centered development.

Likewise poverty, development has been solely understood as the capacity of the national economy to show an annual increase in its GNP at a rate faster than the population in the pre 1970s. Despite progress in the level of per capita GNP in many developing countries, disparities between rich and poor countries and between richest and poorest people within the developing countries have continued to widen. Since the last three decades however economic growth came to be redefined in terms of elimination of poverty, inequality and unemployment through "growth with equity" principle. In other words, development came to be seen and measured in terms of human welfare; the satisfaction of basic human needs and improvements in the quality of life of the poor rather than simple growth maximization. Experiences of many countries and existing realities show that unless growth pattern include the poor economic policies that foster growth alone cannot reduce poverty. In this

understanding development policies are being adopted in the context of new approach known as “people-centered” or “community-based” development.

CBD is a relatively new paradigm that emerged with the rethinking of development objectives and strategies. The pre 1970s modernization approach that focused on rapid economic growth and capital formation didn't help to alleviate poverty since it had little to do with the distribution of wealth. As a result of the failure of the modernization paradigm, the basic needs approach came to exist with more emphasis to poverty alleviation, avoiding dependency and creating self-reliance. Proponents of CBD approach argued that bottom-up development strategy is relevant to African Countries since externally induced strategies by donors and national planners do not often comply with local realities and hence shown frequent failures rather than success. The bottom-up approach provides opportunities to know the basic social and economic problems of local poor communities, to mobilize local resources and labor, to build local communities' support and thereby implement sustainable development projects.

While CBD needs integrated efforts and actions among stakeholders or role-players, differences have been observed among politicians, administrators, development theorists and practitioners concerning the issue of who should be the major role player. Some people argue that government should not intervene in development activities since it often uses rationalistic planning and management techniques and lacks flexibility. For this reason governments have failed for years to bring development and to alleviate poverty. People who recommend that government should withdraw its hands from development interventions prefer NGOs as capable and efficient for promoting CBD. However, commentators such as Friedman, Chambers, Schraeder, and Rondinelli recognize the role of the state in community-based development. Both of them criticized people that underestimate the role of the state and tried to demonstrate the missing realities. Development is not an autonomous process independent from political factors, nor actors are beyond the scope of politics, thus no system of development can be effective that discounts the political dimension of decision-making. Others like Menendez further argue that government can alleviate the worst aspects of poverty by establishing appropriate policies and by creating enabling environment within which other actors can contribute, as well as by directing public expenditure to the most needy or vulnerable group or community.

Although there were failure experiences of development projects due to wrong applications in the 1960s and 1970s, there have been increasing evidences of resurgence of interests in,

and encouraging results from development projects to promote CBD since 1980s. This success came through reversing former approaches in using projects; i.e. initiated, designed, implemented, and managed by communities. This shows the importance of empowering communities and ensuring their participation beyond their passive sharing of benefits from projects to achieve the goal of poverty alleviation and sustainable development. Advocates of CBD considered communities as units of solutions to poverty alleviation provided that they are given the chance to participate and decide on matters that affect them.

Empowerment and participation are considered as the basic elements of CBD with still differences in defining and understanding their essences. The concept of empowerment is generally understood as enabling the disadvantaged at the grassroots to respond to the changing environment that concerns their lives. This include being able to control and own productive assets, to define their own needs and determine their life requirements, to decide on matters that affect or improve their livelihoods. In addition to getting access to resources and improvements in the material life of the poor, the idea of empowerment is related with the notion of political power. From the empowerment point of view, the purpose of CBD is enabling poor people to achieve all life necessities and to be managers of their own development.

Another related and important concept in CBD is participation, which is defined and perceived in different forms. The aspects, levels and objectives of participation are argued and debated from various perspectives. For some people participation is the involvement of people to achieve a predetermined goal or objective and thus become a means to an end. For others, participation is a multilevel process that goes beyond the mere provision of material, labor and other inputs into projects and taken as a process of empowering people. In addition to the “means-end” arguments, debates on advantages and disadvantages of popular participation have also dividing lines of ideas and perceptions. However, whatever arguments have been made participation is persistently influencing CBD practices. There is a strong belief that participation could create change if applied with skill and commitment.

In general, all concepts and arguments discussed in this chapter are relevant to this research and can serve as conceptual constructs for the analysis of results. Since the main objective of the research is to examine the relevance of CBD to the Ethiopian situation, debates and arguments on the approaches (bottom-up) and elements (participation, empowerment self-reliance) of CBD approach are used as important basis of analysis of the research results.



## **CHAPTER FOUR**

### **EMPIRICAL RESULTS**

Both primary and secondary data, for this research were obtained from various sources mainly through fieldwork in the Amhara Region. During the fieldwork an attempt has been made to examine empirical conditions in relation to the theoretical and conceptual constructs discussed in Chapter Three concerning CBD. Therefore, this chapter provides the research findings and related analysis or interpretations of empirical results. The first section (4.1) contains a summary description of the background characteristics of HH informants. Section 4.2 and sub-sections under it discuss efforts exerted, mechanisms used, and results gained by ESRDF and other CBD promoting agencies in addressing poor communities. In this regard, issues like targeting, priority identification, promotion, and so forth are examined and analyzed. Prospects, challenges and limitations of the participation and empowerment aspects of communities in ESRDF supported projects are also briefly discussed, analyzed and interpreted in section 4.3 and 4.4, section 4.5 summarizes the Chapter.

#### **4.1. CHARACTERISTICS OF RESPONDENTS**

The primary data for the study was collected from two categories of respondents; i.e. household beneficiaries and representatives of facilitating or implementing agencies including those mainly ESRDF Project Officers (POs) and to some extent people from ADA, ORDA, and CoSAERAR. However, this sub-section refers only to the first category of respondents. As it is described in chapter one, the total number of household head (HH) respondents taken from four visited projects is 120 of which 45 (37.5%) are women. Women's representation is high in Guhalla Water Supply (WS) and Woreta School Upgrading (SU) projects accounting for 54.29% and 56.67% respectively. Regarding age distribution, the minimum and maximum number of respondents (2.26% and 39% respectively) are found in less than 26 years and between 26 and 40 years. Those who are within the range of 26-40 and 41-55 years are nearly equal (seeTable-5).

Concerning the marital status of HHs, those who are married constituted the majority (51.7%), followed by divorced (20.8%). From 13.3% of the HHs that reported to be never married (Table-6), only 1.7% are male while the rest are female, which all were from Guhalla WS and Woreta SU projects. From 120 HHs formally consulted with structured questionnaire and oral interviews, 112 (93.4%) belong to the Amhara nation while 5.2% and



1.4% of them are Tigrie and Agaw respectively. Respondents' background in terms of religion shows 87.5% Orthodox Christian, 10.8% Muslim and 1.7% Protestant. Muslim and Protestant informants are found at Guhalla WS and Woreta SU whose locations are urban (see Table-6).

**Table-5: Sex and Age Distribution of Household Head Respondents in Visited Projects**

| Visited Project | NR         | Sex (in %)    |               |            | Age Range of Respondents (in %) |              |              |              |              |            |
|-----------------|------------|---------------|---------------|------------|---------------------------------|--------------|--------------|--------------|--------------|------------|
|                 |            | Male          | Female        | Total      | <26                             | 26-40        | 41-55        | 56-70        | >70          | Total      |
| Sewak SSI       | 25         | 84.00         | 16.00         | 100        | 0.00                            | 36.00        | 40.00        | 20.00        | 4.00         | 100        |
| Guhalla WS      | 35         | 45.71         | 54.29         | 100        | 5.71                            | 40.00        | 31.43        | 20.00        | 2.86         | 100        |
| Woreta SU       | 30         | 43.33         | 56.67         | 100        | 3.33                            | 46.67        | 30.00        | 16.67        | 3.33         | 100        |
| Bambiko HP      | 30         | 83.33         | 16.67         | 100        | 0.00                            | 33.33        | 46.67        | 13.33        | 6.67         | 100        |
| <b>Total</b>    | <b>120</b> | <b>62.50*</b> | <b>37.50*</b> | <b>100</b> | <b>2.26*</b>                    | <b>39.0*</b> | <b>37.0*</b> | <b>17.5*</b> | <b>4.22*</b> | <b>100</b> |

\* = weighted average, NR= Number of Respondents (absolute).

Regarding educational background of HHs, 37.2% and 36.5% are illiterate and read and write only respectively. Most of the respondents under these categories are found in Sewak SSI Project and Bambiko HP Project, which are rural locations (see Table-7). Farming is the main occupation of the majority of respondents (55.9%), followed by homemade small business (20.1%) from which 100% of HHs in Sewak SSI and Bambiko HP reported their occupation belonging to the former whilst all who responded their occupation is the later are found in Guhalla WS and Woreta SU projects. Therefore, it is the obvious fact that occupations or main activities are mattered by settlement types; i.e. farming to rural areas and business activities to urban areas.

**Table-6: Distribution of HH Respondents by Marital status, Ethnicity, and Religion**

| Project       | Marital Status |             |             |             |            | Ethnicity   |            |            |            | Religion    |            |             |            |
|---------------|----------------|-------------|-------------|-------------|------------|-------------|------------|------------|------------|-------------|------------|-------------|------------|
|               | NM             | MA          | WD          | DD          | TL         | Amhara      | Agaw       | Tigrie     | Total      | Orthodox    | Protestant | Muslim      | Total      |
| SSSI          | 4.00           | 76.0        | 12.0        | 8.00        | 100        | 96.0        | 0.0        | 4.0        | 100        | 100.0       | 0.0        | 0.0         | 100        |
| GWS           | 22.9           | 28.6        | 17.1        | 31.4        | 100        | 88.6        | 5.7        | 7.7        | 100        | 85.7        | 0.0        | 14.3        | 100        |
| WSU           | 23.3           | 36.7        | 10.0        | 30.0        | 100        | 90.0        | 0.0        | 10.0       | 100        | 66.6        | 6.7        | 26.7        | 100        |
| BHP           | 0.0            | 73.3        | 16.7        | 10.0        | 100        | 100.0       | 0.00       | 0.00       | 100        | 100.0       | 0.0        | 0.0         | 100        |
| <b>Total*</b> | <b>13.3</b>    | <b>51.7</b> | <b>14.2</b> | <b>20.8</b> | <b>100</b> | <b>93.4</b> | <b>1.4</b> | <b>5.2</b> | <b>100</b> | <b>87.5</b> | <b>1.7</b> | <b>10.8</b> | <b>100</b> |

\*= Weighted Average, NM= Never Married, MA= Married, WD= Widowed, DD= Divorced

SSSI= Sewak Small-Scale Irrigation, GWS= Guhalla Water Supply, WSU= Woreta School Upgrading, BHP= Bambiko Health Post

The average family size of respondents is 4.8, albeit this number varied in individual households the minimum and maximum size as reported by HHs being 3 and 9 respectively.

The minimum and Maximum HH size was obtained in urban and rural locations in their order of presentation.

**Table-7: Distribution of HH Respondents by Education Level and Main occupation**

| Project       | Educational Level (%) |             |             |            |            |            |            | Main Occupation (%) |            |             |            |            |            |            |
|---------------|-----------------------|-------------|-------------|------------|------------|------------|------------|---------------------|------------|-------------|------------|------------|------------|------------|
|               | Never RW              | RW          | 1-6 Gr      | 7-12 Gr    | CD         | Other      | Tot.       | HMB                 | FB         | Farming     | GE         | Pensioner  | Other      | Tot.       |
| SSSI          | 52.0                  | 36.0        | 12.0        | 0.0        | 0.0        | 0.0        | 100        | 0.0                 | 0.0        | 100.0       | 0.0        | 0.0        | 0.0        | 100        |
| GWS           | 20.0                  | 40.0        | 22.9        | 14.3       | 0.0        | 2.8        | 100        | 37.1                | 8.6        | 17.1        | 14.3       | 8.6        | 14.3       | 100        |
| WSU           | 16.7                  | 36.7        | 26.7        | 13.3       | 3.3        | 3.3        | 100        | 43.3                | 13.3       | 6.7         | 16.7       | 10.0       | 10.0       | 100        |
| BHP           | 60.0                  | 33.3        | 6.7         | 0.0        | 0.0        | 0.0        | 100        | 0.0                 | 0.0        | 100.0       | 0.0        | 0.0        | 0.0        | 100        |
| <b>Total*</b> | <b>37.2</b>           | <b>36.5</b> | <b>17.1</b> | <b>6.9</b> | <b>0.8</b> | <b>1.5</b> | <b>100</b> | <b>20.1</b>         | <b>5.5</b> | <b>55.9</b> | <b>7.8</b> | <b>4.7</b> | <b>6.0</b> | <b>100</b> |

\*= Weighted Average, RW= Read & Write, Gr= Grade, CD= College Diploma, HMB= Home-Made Business (includes preparation of *tella*, *arequi*, local bread etc for sale), FB= Formal Business (any licensed business activity for which tax is paid), GE= Government Employee

## 4.2. ADDRESSING POOR COMMUNITIES

According to the Establishment Proclamation, the SAR, and the OM, ESRDF was established specifically to support community-based projects, which target poor people particularly women and communities at the grassroots level with no or little access to basic social and economic infrastructure and services. In most instances such people are expected to live far from urban centers where road, education, health, potable water, and other basic infrastructure and services are barely available. To enable such people to have access to basic services and to play meaningful role in poverty alleviation, ESRDF must be capable of targeting the needy ones. This in turn depends on the one hand on the Fund's ability to properly target and identify the poorest of the poor and on the other hand, on the promotional tools and schedules it uses. The question, therefore, should be to what extent is ESRDF committed to identify and target poor communities as a commencing step towards the achievement of its stated objectives. This issue will be presented and discussed in the following two sub-sections

### 4.2.1. TARGETING POOR COMMUNITIES AND IDENTIFYING PRIORITIES

Many development practitioners agree that targeting is a much more complex and difficult task than directly implementing projects in the process of poverty alleviation measures. Knowing who are the poor, where they are located, and what they really need, require an exhaustive and well-documented sources of information, money and manpower, as well as scientific techniques. Data collected through questionnaires, interviews, focus-group discussions with ESRDF POs of the Amhara Region supplemented with information

gathered from other primary and secondary sources may provide an insight into the achievements of the Fund in this respect.

All the Fund's project components that are being implemented in the Amhara Region in general, are nationally identified as the priority areas where the worst aspects of poverty are manifested. The things that could make differences to the generally accepted role of such development interventions in poverty alleviation are whether projects are placed in the right locations as per the priorities of a particular community (group) or not; whether they are truly demand-driven and pro-poor or not; and whether they are accessible to those who need them at most.

In this regard, data generated through questionnaires filled out by POs reveal that projects implemented in the Region under the Fund's program are situated in the range of 0-75 km away from towns and 0-70 km from roads of any kind constructed before the installation of projects. While all SSI projects are found within the ranges of 0.5 km and 35 km distances from towns, the remoteness of health, education, and RWS projects show contrasting variations (0-75 km). Since many projects in these sectors are also implemented in "towns", their minimum distances from towns and roads begin from zero. The average detachments of implemented projects in all categories are also found to be 31.17 km and 25.31 km from the immediate nearest towns and roads respectively (see Table-8).

The most important thing worth mentioning is that "towns" and "roads" used as points of references to indicate where Fund supported projects are available should not be viewed as they are referred only to the well developed towns and all-weather roads. Any duty station where the lowest government structure or unit is available is considered as a town, and any dry weather road that would let vehicles to pass on is considered as a road. Whatever the size or type of town and road are used as points of references; they are believed to be inaccessible to the rural poor communities. In other words, while about 90% of the Region's people are living in the rural areas and the road density is low (0.34 km/1000 people or 29 km/1000 km<sup>2</sup>), ESRDF-financed projects that are situated at 31.17 km and 25.31 km away from towns and roads on average respectively can be referred as relatively located near to towns and roads.



**Table-8: Location of ESRDF-supported Projects in the Amhara Region From Towns and Roads (in km)**

| Project Type                                                   | Number of Projects in Ranges of Locations From Towns and Roads (in km) |       |       |       |       |       |       |       |           | Average Distance in km From |              |
|----------------------------------------------------------------|------------------------------------------------------------------------|-------|-------|-------|-------|-------|-------|-------|-----------|-----------------------------|--------------|
|                                                                | 0-10                                                                   | 11-20 | 21-30 | 31-40 | 41-50 | 51-60 | 61-70 | 71-80 | Tot. Prj. | Town                        | Road         |
| <b>RWS</b>                                                     |                                                                        |       |       |       |       |       |       |       |           |                             |              |
| <i>From Towns</i>                                              | 16                                                                     | 28    | 77    | 162   | 139   | 63    | 66    | 33    | 584       | 42.09                       |              |
| <i>From Roads</i>                                              | 24                                                                     | 36    | 109   | 205   | 116   | 55    | 31    | 8     | 584       |                             | 36.68        |
| <b>SSI</b>                                                     |                                                                        |       |       |       |       |       |       |       |           |                             |              |
| <i>From towns</i>                                              | 2                                                                      | 13    | 12    | 5     | 0     | 0     | 0     | 0     | 32        | 21.25                       |              |
| <i>From Roads</i>                                              | 3                                                                      | 25    | 4     | 0     | 0     | 0     | 0     | 0     | 32        |                             | 15.31        |
| <b>EDUCATION</b>                                               |                                                                        |       |       |       |       |       |       |       |           |                             |              |
| <i>From Towns</i>                                              | 21                                                                     | 15    | 11    | 9     | 24    | 21    | 4     | 0     | 105       | 32.52                       |              |
| <i>From Roads</i>                                              | 24                                                                     | 19    | 22    | 11    | 17    | 12    | 0     | 0     | 105       |                             | 26.33        |
| <b>HEALTH</b>                                                  |                                                                        |       |       |       |       |       |       |       |           |                             |              |
| <i>From Towns</i>                                              | 12                                                                     | 14    | 23    | 32    | 20    | 15    | 0     | 0     | 116       | 31.81                       |              |
| <i>From Roads</i>                                              | 17                                                                     | 21    | 31    | 22    | 16    | 9     | 0     | 0     | 116       |                             | 27.24        |
| <b>OTHER</b>                                                   |                                                                        |       |       |       |       |       |       |       |           |                             |              |
| <i>From Towns</i>                                              | 1                                                                      | 2     | 13    | 6     | 3     | 0     | 0     | 0     | 25        | 28.12                       |              |
| <i>From Roads</i>                                              | 2                                                                      | 9     | 11    | 3     | 0     | 0     | 0     | 0     | 25        |                             | 21.0         |
| <b>Average Distance of All Categories From Towns and Roads</b> |                                                                        |       |       |       |       |       |       |       |           | <b>31.17</b>                | <b>25.31</b> |

To put it differently, the fact that many projects are found relatively in short distances away from towns and roads compared with the wide geographical coverage of the Region indicate the situation that the grassroots are not yet adequately targeted and accessed with basic social and economic infrastructures and services. Moreover, quite a number of projects, with the exception of RWS schemes, are concentrated in the capitals of the Region, Zones, and Woredas and along roadside locations. Although the point may not be directly applicable to the case of ESRDF, the existing reality reminds us of Chambers' arguments of the "spatial biases"; i.e. urban, tarmac, and roadside biases, among others, in observing the situation of rural poverty (1983:13). From the above location indicators, one can evidently argue that the rural poor communities residing in the remotest areas are not yet adequately targeted.

Equally important point when discussing the issue of targeting poor communities is the mechanisms used by the Fund to identify who are the very poor and what their felt needs are. On the whole, what is observed from the ongoing and implemented projects is that the mechanism being used by ESRDF is targeting by geographical area. This mechanism, as discussed by Besley and Kanbur (1993), is often recommended for and widely applied in developing countries where individual or household income level targeting is very expensive and difficult. Therefore, the Fund's approach of targeting by geographical area is the result of mainly two factors; i.e. the difficulty of targeting the poor at the household or individual level, and the nature of interventions (project components).



ESRDF supported projects are communal in nature. A school, health, and RWS project, for example, cannot be implemented on the basis of individual income assessment. Rather, they are usually undertaken on the basis of the requirements of a given community or group of communities identified as lacking these services. For the same token, what matters for the implementation of a SSI project is the availability of the water source and the potential land to be irrigated in a locality where poor communities are found. However, individual or household level targeting of the poor could be appropriately applied in schemes like credit provision, though this scheme has not been supported by ESRDF in the past three years.

In general, the group or geographical area targeting approach is being rightly and appropriately used by ESRDF. In other words, the Fund cannot be blamed for not using household level poverty targeting mechanism. A Mid-term Review Report of implemented projects (1999) indicated that addressing the needs of the poor had been a difficult task for ESRDF especially at the initial stages. This is mainly because “there is no poverty mapping of the country that clearly indicate the location, magnitude, and severity of poverty”. This also being true, however, some CBD facilitating agencies have developed their own poverty map. ORDA, for instance, has identified 54 woredas in the Amhara Region as draught-prone, hence as its intervention areas (see Annex-7).

As indicated in Table-9, achievements in properly targeting the poor can also be seen from another angle; i.e. from social groups who are most benefiting from implemented projects as well as from the methods used and factors considered to distribute project benefits. Analysis of data collected from primary and secondary sources in the ESRDF Office of the Amhara Region indicate that amount or size of benefits gained from implemented projects vary at different levels. It is only in 28.6% and 31% of the cases, for example, that benefits are distributed uniformly at target area level and household level respectively. High uniformity of benefits’ distributions is seen at individual level in 75.7% of the cases (see Table- 9).

In other words, benefit distribution at target area level varies highly due to the different degree of concentration of the various components of ESRDF financed projects. As it is described in section 2.1.3 above, about 50% of implemented projects are situated in 4 zones and 23 woredas of the Region, which implies variations among geographical areas in benefiting from the Fund’s support. Variation at household level within a given target area is also significantly high for a number of different reasons, which can be elaborated better with the help of specific examples.

**Table-9: Summary of POs' Responses to Projects' Benefit Distribution and Coverage**

| Subject         | % of Respondents | Conditions of Distribution at Different Levels As Responded by POs (%)             |          |        |                    |          |           |                     |         |       |
|-----------------|------------------|------------------------------------------------------------------------------------|----------|--------|--------------------|----------|-----------|---------------------|---------|-------|
|                 |                  | At Target Area Level                                                               |          |        | At Household Level |          |           | At Individual Level |         |       |
|                 |                  | Uniform                                                                            | Varying  | Total  | Uniform            | Varying  | Total     | Uniform             | Varying | Total |
| Benefit Dist.   | 87.5             | 28.57                                                                              | 71.43    | 100    | 31.07              | 68.93    | 100       | 75.72               | 24.28   | 100   |
| Subject         | Ditto            | Factors Considered For Benefit Distribution and Weights Given (%)                  |          |        |                    |          |           |                     |         |       |
|                 |                  | HN                                                                                 | IN       | HI     | II                 | HC       | IC        | HS                  | Other   | Total |
| Ditto           | 75.00            | 8.33                                                                               | 25.00    | 16.67  | 0.0                | 16.67    | 0.0       | 0.0                 | 33.33   | 100   |
| Subject         | Ditto            | Major Social Group of Benefit Recipients and Weights Given as Responded by POs (%) |          |        |                    |          |           |                     |         |       |
|                 |                  | Women                                                                              | Children | Youths | Elders             | Disabled | All Group | Other               | Total   |       |
| Benefit Receipt | 87.5             | 20.33                                                                              | 22.14    | 0.00   | 0.00               | 0.00     | 53.96     | 3.39                | 100     |       |

**Key:** HN=Household Need; IN=Individual Need; HI=Household Income; II=Individual Income; HC=Household Contribution; IC=Individual Contribution; HS=Household Size.

Evidences show that (Table- 21) in a target area where SSI projects are available, the size of irrigable landholdings vary with households hence benefits gained from the scheme among actual beneficiaries cannot be equal. As we can see from Table-9, distribution of benefits at individual level appeared uniform in 75.7% of the cases, which is the highest from the other preceding two levels. This is simply because, for instance, any individual who seeks medical examination or treatment, or that enrolled in the school project is entitled to get all services equally with others.

Regarding factors considered in distribution of benefits among beneficiaries, only 75% of POs were able to provide their opinion. Summary of their responses indicate that factors considered include: HN, HN, and HC as well as IN and IC and others. When the above factors are considered separately, IN constitute the highest proportion (25%), although the sum of different factors included under "other" constitute 33.3%. Whether these factors are really taken into consideration or not is a matter that needs further investigation. Concerning the proportion of benefits' recipients, children were found the most privileged social group, followed by women from implemented projects comprising 22.14% and 20.33% on average respectively (Table-9). Women and children identified as getting particular advantages is not a surprising result since they have been targeted and identified by ESRDF as needing special support in rural areas.

The main purpose of targeting as a starting step towards poverty alleviation is to allocate scarce resources where they can be efficiently utilized. Therefore, placing projects where they are needed at most and where they could be socially and economically productive should be the most important consideration to enable the poor extracting the maximum possible benefit. In this context, it might be helpful to examine ESRDF financed projects in

the Region in sub-classifications, as described in section 2.2.3, in order to comment on whether sector projects are appropriately placed or not.

Concerning the physical placement of projects, ESRDF in the Region looks more effective in the health sector. Unlike health centers (HCs) and community latrines (CLs) whose locations are mostly urban areas, HPs are basically designed to rural areas. Therefore, the fact that 103 (88.8%) from financed health projects are HPs imply about half a million rural people have got access to health services. Locations of many education projects however seemed urban centered since about 41% of them are expansion and upgrading of formerly constructed schools. Only 44.7% are primary village schools (PVS) that are expected to be rural-located in most of the cases. The case of RWS is self-explanatory for it's being rural-based, which indeed 93.2% are situated in relatively remote rural areas. But location assessment might only help to see how the poor was targeted before projects were implemented, not the extent of actual benefits gained by the poor. This is because their physical presence alone cannot indicate actual benefits for reasons discussed in section 4.4.

Evidences of targeting problems were obtained in SSI projects, which have been the major source of debate for concerned authorities and stakeholders in the Region. Discussions with people from concerned organizations, especially from CoSAERAR, and relevant study documents made clear that there had been targeting problems in some SSI schemes that were financed by the Fund and implemented by the above-cited organization. Despite the fact that SSI projects have been implemented at high costs, returns from them were found below expectations or perceived results in terms of outputs as well as in coverage of irrigable land size and number of beneficiaries.

In many of the SSI projects, which are completed and handed over to beneficiaries, significant variations have been registered between the expected irrigable lands for which structures are developed and those actually irrigated on the one hand, and between planned and actual number of beneficiaries on the other hand, for a number of reasons. A study team that was headed by one of the informants of this research assessed causes of the current steadily decreasing efficiency of SSI projects and major deviations between expectations and actual results.

The team reported that actual number of beneficiaries, irrigated land size, and productivity from irrigated lands has fallen far short of plans and expectations. According to the study



team's comment (CoSAERAR, 1999:17), these all are the combined results of inadequacy of consultation to local people, paucity of baseline data collected for project planning as well as faulty and ambitious assumptions used before implementations. Absence of study on soil nutrients in most of the irrigable areas, and absence of capacity assessments of beneficiaries to purchase and apply inputs have contributed to low yields from SSI projects.

Informants from CoSAERAR uncovered that low soil fertility of some SSI project areas have come to be the sources of debate and controversy among concerned parties and commentators after evaluation reports on projects' returns were submitted for discussion. Monitoring and Evaluation Service Head of CoSAERAR in particular emphasized two lines of arguments that are being made on the location of projects as follows.

*Some people say that instead of wasting scarce resources on those naturally debilitated farmlands, it would have been better to place some of the SSI projects in the most productive areas like in Gojjam and feed people living wherever, who are in short of food supply. People from the other side argue that the above approach is another form of a relief program rather than trying to bring sustainable development. It has little to do with empowering poor communities and reducing poverty since it creates dependency syndromes, loss of self-reliance and confidence, out migration and similar consequences. It is only by placing projects at target areas where people identified as poor are found that the objectives of empowerment and poverty reduction can be achieved.*

In general, location of projects and their low productivity of level are becoming the important sources of debates in relation to targeting and empowering the poor in the Region.

#### **4.2.2. PROMOTIONAL TOOLS AND SCHEDULES USED TO ADDRESS POOR COMMUNITIES**

The fact that ESRDF officially follows a bottom-up development approach and facilitates CBD, which is fairly a recent phenomenon in Ethiopia, implies that it needs to involve target communities from the start. Its target beneficiaries are low income or poor communities located in isolated areas and are supposed having little opportunity to know the existence of the Fund's program, which is designed to help them. Therefore, it was in principle necessary for the Fund to establish an effective and realistic promotional program to disseminate information about its objectives and facilities, to build the capacity of beneficiaries and partners in identifying and prioritizing needs and formulating projects. Besides informing the hitherto inaccessible poor people about the way of tackling poverty, the task of promotion is aimed to bring attitudinal and behavioral changes among such people.



For this purpose, the Fund has developed a handbook and OM that guide how to address and get informed target groups, identified promotional tools, and established organizational units responsible to undertake promotion and training services both at the CO and ROs. The promotional tools identified in the OM include radio and television, publications (such as newspapers, leaflets, brochures and posters), documentary films, direct contacts, seminars and workshops. Accordingly, agreements and arrangements have been made with Radio Fana, Walta Information Center, national and regional newspapers to transmit news and other programs about the Funds working mechanisms and activities. Any attentive attendant can witness that he/she might have heard news concerning the performances of ESRDF, particularly the inaugural ceremonies of completed projects in almost every other day, if not exaggerated.

The question remained here is that does the transmission of such news which mainly pertain to past performances or achievements, have a lot to do with informing local poor communities about what is available in the hands of the Fund and what is required from them to get benefits? In this regard, field observations, interviews, and focus group discussions with beneficiaries and POs in the Amhara Region indicate that all the promotional tools mentioned above have been used to varying degrees. Promotional works have been done directly by the Fund and its development partners (government departments, NGOs, local organizations and facilitators) in the past three years. Whatever the appropriateness of some of the promotional medias or tools and schedules are subject for debate, ESRDF in general claims that it is in the right track and has done much to facilitate its CBD objectives. Nevertheless, it would be difficult to be confident on the effectiveness of the promotional tools particularly with that of the radio, TV, publications, and documentary films to convey the desired message to rural poor communities.

If the prior objective of promotion were to get informed grassroots communities and thereby to make them main actors of development, it would be unrealistic to think that these medias are relevant in absolute terms. Hence, the point that needs to be clear first is that how many of rural poor communities have accesses to watch TV, to listen radio, and to read newspapers or other dispatches so that we can use them as appropriate promotional tools? In fact it cannot be denied that these medias may possibly be relevant to address the urban poor and development partners that are equally supposed to be informed.

POs who filled out the research questionnaire have put their reply in percentage that show the order of priority or magnitude on the issue of whether promotional works are adequately done before the implementation of projects. Discussions with POs in the ESRDF office of the Amhara Region indicate that only in 65.83% of the financed projects were beneficiaries informed about the Fund's objectives and facilities. Such results imply that much remains to be done in this regard if arguments are put from the standpoint of the importance of promotion.

Promotion is an important task if an organization aims at implementing demand-driven and community initiated projects. As all consulted POs in the Amhara Region and in the CO agreed, the success or failure of the Fund's activities as a whole might depend on the extent and effectiveness of the promotional work, and that it should be done prior to all other activities. A Social Impact Assessment Report (NEK, 1999) reveals also that despite major achievements, the promotion work lags behind especially among the rural poor that could not be easily reached. The report further stated that ESRDF started financing projects shortly after its establishment without making adequate promotional work.

**Table-10: Ranking of POs' Responses to Promotional Tools and Agents Used to Inform Communities**

| Tools Used        |            |                 | Agents Used           |            |                 |
|-------------------|------------|-----------------|-----------------------|------------|-----------------|
| Promotional Tool  | (%)        | Rank            | Promotion Agent       | (%)        | Rank            |
| Radio             | 18.17      | 3 <sup>rd</sup> | ESRDF                 | 33.66      | 2 <sup>nd</sup> |
| Television        | 4.17       | 5 <sup>th</sup> | Sector Department     | 35.17      | 1 <sup>st</sup> |
| Newspaper         | 5.83       | 4 <sup>th</sup> | NGO                   | 19.50      | 3 <sup>rd</sup> |
| Documentary Film  | 2.22       | 6 <sup>th</sup> | Volunteer Group       | 5.00       | 5 <sup>th</sup> |
| Field Explanation | 47.63      | 1 <sup>st</sup> | Local Government Unit | 6.67       | 4 <sup>th</sup> |
| Seminar/Workshop  | 22.07      | 2 <sup>nd</sup> | Employed Promoter     | 0.00       | -               |
| Other             | 0.00       | -               | Other                 | 0.00       | -               |
| <b>Total</b>      | <b>100</b> | <b>-</b>        | <b>Total</b>          | <b>100</b> | <b>-</b>        |

When data was tabulated it was found that there were no major differences in the responses of POs in putting which promotional tool was actually being used more intensively. A cumulative result in this regard (Table-10) shows about 47.63% and 22.07% of the promotion work has been done through direct contacts and seminars or workshops respectively that put them the 1<sup>st</sup> and 2<sup>nd</sup> best instruments to inform or educate the inaccessible poor. Radio programs also played important role in this respect covering 18.17% of the work done, while Television, Newspapers, and Documentary Films in sum comprise about 12.22%. To the question of who make the promotion work, respondents from the Fund related 35.17% to Sector Government Agencies followed by ESRDF's direct involvement covering 33.66%.

NGOs took the 3<sup>rd</sup> place with 19.5% contribution to the overall promotion work while Local Government Administrative Units (officials) and Volunteer Groups have covered the remaining part.

Finally, almost all informants during face-to-face discussions commented on the limitations of using TV, radio and newspapers to deliver the required information to rural communities, and instead suggested organizing seminars, workshops, and training programs as better means of doing promotion. Based on their past experiences, they put more emphasis on the effectiveness of fieldworkers to undertake promotion in public gatherings and other occasions. The CO and ROs have accepted this idea to correct past shortcomings and do better for the future. Because of this, 145 community facilitators (CFs) are deployed since recently in all regions, except in Addis Ababa and Tigry, through whom the level and magnitude of community awareness is reported boosting within short time (ESRDF, 1999:3). Proportionately, data obtained from the Region show that 17 CFs are engaged in promotion work through direct contacts with local administrations and grassroots communities in the Amhara Region.

Concerning the promotion aspects, HH respondents in the visited projects have also indicated the means through which they were informed about what is available in the hands of ESRDF (See Table-11). About 38.88% of HH respondents indicated that they have been informed about the Fund's facilities, development objectives and operational modalities as well as what is expected from them before projects were implemented. The rest (61.12%) confirmed that they didn't have any idea until they were requested to contribute labor and other resources for the implementation of projects.

Moreover, as Table-11 shows, from the informants who replied positively that they had information before the inception of projects, about 31.11% and 28.69% confirmed that they were informed through fieldworkers' direct contacts and PA or UDA leaders respectively. CPC members, seminars and training programs, and local government authorities have also played important roles in informing about 17.50%, 12.46% and 10.24% of them respectively. None of the HH respondents however did mention the formal mass media they knew or realize through which they were informed. This happened to be the major difference between the answers of the two groups of respondents on the same issue.



**Table-11: HHs' Responses To the Question of Promotion Before Project Implementation and the Means (Tools) Through Which They Were Informed**

| Visited Projects       |            | Responses to Being Informed (%) |             | Means Through Which "Yes" Respondents were Informed(%) |             |             |                |                  |            |            |
|------------------------|------------|---------------------------------|-------------|--------------------------------------------------------|-------------|-------------|----------------|------------------|------------|------------|
| Name                   | No. HH R   | Yes                             | No          | Fieldworker                                            | LG Autho    | CPC Members | PA/UDA Leaders | Seminar Training | Other      | Total      |
| Sewak SSI              | 25         | 36.0                            | 64.0        | 44.5                                                   | 0.0         | 0.0         | 33.3           | 22.2             | 0.0        | 100        |
| Guhalla WS             | 35         | 42.9                            | 57.2        | 13.3                                                   | 26.7        | 20.0        | 26.7           | 13.3             | 0.0        | 100        |
| Woreta SU              | 30         | 46.7                            | 53.3        | 0.0                                                    | 14.3        | 50.0        | 21.4           | 14.3             | 0.0        | 100        |
| Bambiko HP             | 30         | 30.0                            | 70.0        | 66.7                                                   | 0.0         | 0.0         | 33.3           | 0.0              | 0.0        | 100        |
| <b>Total (Average)</b> | <b>120</b> | <b>38.9</b>                     | <b>61.1</b> | <b>31.1</b>                                            | <b>10.2</b> | <b>17.5</b> | <b>28.7</b>    | <b>12.5</b>      | <b>0.0</b> | <b>100</b> |

**Key:** LG Autho=Local Government Authorities; CPC=Community Project Committee; PA/UDA=Peasant Associations/Urban Dwellers Associations.

NEK-International Consultancy (1999:25) had come with a little different investigative outcome concerning ESRDF's achievements in addressing poor communities. According to this report, about 35% of the poor interviewed in various regions have realized as they have been informed by the Fund. The study team commented that ESRDF had made substantial efforts to reach remote and inaccessible communities and had achieved encouraging results in this respect.

#### **4.3. PARTICIPATION OBSERVED: PROSPECTS, CHALLENGES AND LIMITATIONS**

In general promoting community participation is the core element of Ethiopia's development and poverty alleviation strategy. Today, community participation is given priority and is placed at the forefront of the development programs and action strategies of many governmental and non-governmental organizations in Ethiopia. For ESRDF in particular, ensuring community participation is both an objective on its own and an operational tool to achieve the goal of poverty reduction among poor communities and to attain sustainable development. In this respect, annual reports, mid-term reviews reports, social and environmental impact assessment reports, and similar other documents produced by the Fund and independent consultants confirm that significant results have been achieved both at the national and regional levels. This section examines how "participation" is understood and practiced by the Fund, as well as by its facilitating or implementing partners and beneficiary communities. Analysis of the levels or phases in which participation is observed in projects financed by ESRDF will also be presented under this section.



On the Fund side, it is well recognized that poverty reduction is unthinkable without active participation of communities and development partners so that it places great emphasis towards making participation the core element of its support. Discussions with and information gathered from POs of ESRDF, concerned individuals from CoSAERAR, ADA, ORDA, and some sector bureaus of the Amhara Region indicate that there had been an encouraging trend of community participation in various forms at different stages of projects.

Unlike some questions included in the research questionnaire but left unanswered by the Fund respondents, issues related to the participation of communities were better accommodated in their responses. They provided a comparative evaluative judgment to project-related activities or phases where the participation of target communities has been better observed rather than stating in quantifiable terms. For this reason the only way used in this research to explain the level of participation is ranking project phases or activities according to the extent where people involvement is reported (Table-12).

The overall assessment by POs is that beneficiary communities have shown their enthusiasm towards the Fund supported projects by fully and willingly participating at all stages except in the feasibility study phase. Summary of the responses of POs shows that high community participation has been observed especially at the need identification stage followed by generating project ideas. The degree of people's participation in implementing and managing or controlling projects is also reported to be high taking third and fourth ranks respectively.

**Table-12: Ranking the Degree of Community Participation Observed at Different Phases of ESRDF Financed Projects (Based on POs' Responses)**

| Participatory                                        |                 | Non-Participatory                         |                 |
|------------------------------------------------------|-----------------|-------------------------------------------|-----------------|
| Project Phase or Activity                            | Rank            | Reason For Not Involving Communities      | Rank            |
| Project Idea Generating                              | 2 <sup>nd</sup> | The Process is Time-Taking                | 2 <sup>nd</sup> |
| Need Identification and project Proposal preparation | 1 <sup>st</sup> | Local people are Inexperienced            | 3 <sup>rd</sup> |
| Feasibility Study                                    | 8 <sup>th</sup> | Shortage of Staff to deal With People     | 1 <sup>st</sup> |
| Project Design                                       | 5 <sup>th</sup> | Consultation is Costly                    | 4 <sup>th</sup> |
| Implementation                                       | 3 <sup>rd</sup> | Local People are inaccessible             | 5 <sup>th</sup> |
| Managing and Controlling                             | 4 <sup>th</sup> | Local People Reject Projects              | 6 <sup>th</sup> |
| Ex-Post Evaluation                                   | 6 <sup>th</sup> | Local People are Unwilling to Participate | -               |
| Benefit Sharing                                      | 7 <sup>th</sup> | Other Reason                              | 7 <sup>th</sup> |

High participation especially in generating project ideas and identifying needs is directly related with efforts exerted in promotion works, which meant ESRDF is successful in this

regard. This is said because participation in implementing projects (usually free labor service, money or other contributions), for example, might have been achieved simply by mobilizing communities regardless of the question of wish. A simple example is that communities' participation in implementation cost sharing is in reality a predetermined case from outside; i.e. by the World Bank. The Credit Agreement Document signed by the Ethiopian Government and the World Bank (1996:22) clearly stipulated that the minimum amount expected from communities to be 10% as an eligibility criteria for community-initiated projects to be financed.

Therefore, contribution of this stated amount by its own might not be sufficient to judge communities' participation in its true sense. In fact, contributions of beneficiaries to the actual implementation cost of completed projects alone has shown exceeding little from the minimum standard; i.e. 10.1% or Birr 170.33 per household at the national level (see Annex-1), 11.37% or Birr 266.69 per household in the Amhara Region (Annex-3) and 10.16% in visited projects as indicated in Table-13. Even more was seen during the Pilot Phase that community contribution rose to 18% (Table-3). On the basis of these references one could say, like ESRDF do, implementation cost sharing that is a little above the minimum requirement itself is an indication to communities' participation and commitment. However, to give such a conclusive comment, it is paramount important to make sure whether this is achieved on voluntary basis or through imposition. This will be commented after awhile.

**Table-13: Implementation Cost Sharing scheme in the Visited Projects of the Amhara Region**

| Visited Project | No. of HH Beneficiaries | Cost Sharing Per HH (in Birr) | Implementation Cost of Projects by Source in Birr |                 |                  |               |
|-----------------|-------------------------|-------------------------------|---------------------------------------------------|-----------------|------------------|---------------|
|                 |                         |                               | ESRDF Share                                       | Community Share | Total            | % of CC       |
| Sewak SSI       | 320                     | 640.00                        | 1,787,936                                         | 205,032         | 1,992,968        | 11.47         |
| Guhalla WS      | 240                     | 268.75                        | 645,000                                           | 64,500          | 709,500          | 9.09          |
| Woreta SU       | 400                     | 217.00                        | 781,200                                           | 86,800          | 868,000          | 10.0          |
| Bambiko HP      | 1042                    | 12.09                         | 113,200                                           | 12,600          | 125,800          | 10.06         |
| <b>Total</b>    | <b>2002</b>             | <b>284.46*</b>                | <b>3,327,336</b>                                  | <b>368,932</b>  | <b>3,696,268</b> | <b>10.16*</b> |

Source: ESRDF Office of the Amhara Region, Each Project's File.

\* In the Table Refers to. Average

On top of the explicitly known implementation cost sharing, communities also contribute to cover operating and maintenance costs in some projects. Nonetheless, little evidences are available to education and health projects in this regard. Data collected through questionnaire from POs show that in those projects where operating and maintenance costs are shared, communities cover on average about 56.57% in direct contribution and in the

form of user-fee charges. Maintenance cost sharing is found to be high when compared with the operating cost (see Table-14).

**Table-14: POs Response to Operating and Maintenance Cost Coverage by Source and Proportion**

| Type of Cost       | Cost Covered by (in %)   |                       |                 |            |
|--------------------|--------------------------|-----------------------|-----------------|------------|
|                    | Other Than Beneficiaries | Beneficiaries through |                 |            |
|                    |                          | Direct Contribution   | User-Fee Charge | Total      |
| <b>Operating</b>   | 52.50                    | 25.00                 | 22.50           | 100        |
| <b>Maintenance</b> | 34.37                    | 36.26                 | 29.37           | 100        |
| <b>Average</b>     | <b>43.43</b>             | <b>30.63</b>          | <b>25.94</b>    | <b>100</b> |

Another point that is worth mentioning at this juncture is related to the forms of cost contributions and beneficiaries' capacities. It is made clear from the responses of POs that in about 45.9% of the cases cost sharing to and user-fee or service charges by projects are uniform among beneficiaries while in 54.1% the situations are different or varying (see Table-15). Similarly, in about 58.9% of the projects the method of cost sharing depended on the individual beneficiary capacity to pay principle, while in the rest it was done on the basis of willingness to pay. As to the proportion of the type of cost sharing, 31.3% is contributed in the form of free labor service preceded by financial (46.6%) and followed by material and other forms of contributions constituting 19.2%, and 2.9% respectively (see Table-15).

Coming to the capacity of beneficiaries and cost sharing as part of communities' participation, sufficient information was not provided by respondents from the Fund. Such reluctance to articulate views towards the issue of beneficiaries' ability to cost sharing was also observed even among those who tried to give their views. Results of POs' valuation as shown in Table-15 indicate that contributions by about 31.9% of the beneficiaries were fairly comparable to their paying ability while for 49.5% of them it was beyond their capacity. Finally, respondents from this group indicated that they were able to judge during appraising project proposals that 18.6% of beneficiaries have contributed below their capacity.

**Table 15 : POs' Responses to Methods and Type of Contributions, and Contributions vs. Beneficiaries' Paying Capacities**

| Type of Cost          | Method of Contribution     |      |                         |      | Proportion of contributions |       |          |      | Contribution Vs. Capacity |                        |                |
|-----------------------|----------------------------|------|-------------------------|------|-----------------------------|-------|----------|------|---------------------------|------------------------|----------------|
|                       | Uniformity Vs. Variability |      | Ability Vs. Willingness |      | Money                       | Labor | Material | Land | Beyond Capacity           | Compatible to Capacity | Below Capacity |
|                       | Uni                        | Va   | Abi                     | Wil  |                             |       |          |      |                           |                        |                |
| <b>Implementation</b> | 37.3                       | 62.5 | 62.5                    | 37.5 | 15.62                       | 51.25 | 25.0     | 8.13 | 63.75                     | 21.88                  | 14.37          |
| <b>Operation</b>      | 44.1                       | 55.9 | 58.3                    | 41.7 | 48.0                        | 32.6  | 16.0     | 3.4  | 37.50                     | 37.5                   | 25.0           |
| <b>Maintenance</b>    | 36.7                       | 63.3 | 73.4                    | 26.6 | 23.0                        | 41.4  | 35.6     | 0.0  | 56.10                     | 32.0                   | 11.9           |
| <b>User-Fee</b>       | 65.5                       | 34.5 | 41.3                    | 58.7 | 100.0                       | 0.0   | 0.0      | 0.0  | 40.80                     | 36.2                   | 23.0           |
| <b>Total</b>          | 45.9                       | 54.1 | 58.9                    | 41.1 | 46.6                        | 31.3  | 19.2     | 2.9  | 49.50                     | 31.9                   | 18.6           |



From the Fund's point of view, communities' attendance of discussion meetings, which is registered as taking place for about 13 days on average in each project, is also taken as an indication of the commitment and concern of beneficiaries. Data generated from records of the Fund and further verified by POs indicate that about 340 (240 male and 100 female) beneficiaries have been attending each discussion-meeting day.

Although, according to the Fund's assessments, community participation has been encouraging, interviewed POs didn't hide the fact that there had been cases in some projects, especially in the education and health sectors, where few beneficiaries were reluctant or unable to contribute the predetermined minimum amount (10%) of implementation cost sharing. Similar evidences of failure or unwillingness of beneficiaries to contribute for maintenance costs of projects and to provide free labor services in group-work days was also reported by a team that studied the performance of SSI projects in the Amhara Region (CoSAERAR, 1999).

On the extreme side, even there were some individuals who claimed cash payments or grain supplies in return of their labor service provided during project implementation. Reasons for such few incidences, as the Fund's officials claimed, are absence of standard or uniform working mechanism among different facilitating or implementing agencies in the same intervention areas and the capacity of beneficiaries. In other words, the existence of development activities around ESRDF's intervention areas that were, or are being, implemented through "food for work" mechanisms by other agencies has contributed for the failure of few individuals to contribute or even to claim payments for their labor services.

Results of the analysis of data obtained from filled out questionnaires reveal that in addition to advantages gained from directly involving local communities in various aspects of decision-making, planning and implementing projects, information about priorities, potentials, topography, weather condition, cultural values, demographic structure and so forth were easily collected and efficiently utilized as a baseline data in all project intervention areas. Moreover, POs' responses affirmed that participating local communities has produced successful results to easily mobilize and utilize available local resources, knowledge, technology and labor; to complete projects effectively and efficiently in terms of cost and time plans; and to ensure the social acceptability and continuous support of projects.



However, it was made clear through discussions with POs in the Amhara Region that there have been some evidences where beneficiary communities were not fully involved in few projects. Reasons for not involving local people in some aspects and stages of projects as shown in Table-12 include: shortage of staff, much time required to approach and convince people, lack of experience by local people, and costliness of consultation among others.

ESRDF's CBD programs cannot be evaluated only through the participation of beneficiary communities. There are a number of stages and activities taking place both before and after it finances a particular project under which different actors are involved. The participation of these different partners (stakeholders) in performing several tasks in ESRDF's CBD programs is also recognized as important as that of direct beneficiaries' participation. Ranking of the degree of participation of these agencies in different activities is also made based on the information provided by POs (see Table-16).

ESRDF Office of the Amhara Region identified that Sector government Bureaus and Departments in the Region are taking the major share in participating at different stages of various activities. According to the evaluation of POs, government agencies are ranked as first in assisting to generate project ideas for the most needy communities, in preparing project proposals, and in supervising projects after implementation. They are also found to be the second important role players in identifying, implementing, operating, managing, and maintaining ESRDF financed projects.

**Table-16: Ranking of the Participation of Different partners in Different Aspects of ESRDF Supported Projects Based on POs' Responses**

| Activity                    | Role played by  |                 |                 |                 |                 |                 |                 |                 |                 |                 |
|-----------------------------|-----------------|-----------------|-----------------|-----------------|-----------------|-----------------|-----------------|-----------------|-----------------|-----------------|
|                             | ESRDF           | RSC             | SGA             | LGU             | NGO             | Cot             | VG              | DR              | LCO             | CPC             |
| Generating Project Ideas    | -               | -               | 1 <sup>st</sup> | 7 <sup>th</sup> | 4 <sup>th</sup> | -               | 5 <sup>th</sup> |                 | 3 <sup>rd</sup> | 2 <sup>nd</sup> |
| Identifying Projects        | -               | -               | 2 <sup>nd</sup> | 5 <sup>th</sup> | 4 <sup>th</sup> | -               | 6 <sup>th</sup> | -               | 3 <sup>rd</sup> | 1 <sup>st</sup> |
| Preparing Project Proposals | -               | -               | 1 <sup>st</sup> | 5 <sup>th</sup> | 2 <sup>nd</sup> | -               | 4 <sup>th</sup> |                 | 6 <sup>th</sup> | 3 <sup>rd</sup> |
| Appraising Proposals        | 1 <sup>st</sup> | -               | 2 <sup>nd</sup> | -               | -               | -               | -               | -               | -               | -               |
| Approving Proposals         | 2 <sup>nd</sup> | 1 <sup>st</sup> | -               | -               | -               | -               | -               | -               | -               | -               |
| Implementing Projects       | -               | -               | 2 <sup>nd</sup> | -               | 3 <sup>rd</sup> | -               | -               | -               | 4 <sup>th</sup> | 1 <sup>st</sup> |
| Managing/Handling Projects  | -               | -               | 2 <sup>nd</sup> | -               | -               | -               | -               | -               | 3 <sup>rd</sup> | 1 <sup>st</sup> |
| Supervising Projects        | 3 <sup>rd</sup> | -               | 1 <sup>st</sup> | -               | 4 <sup>th</sup> | -               | -               | 4 <sup>th</sup> | -               | 2 <sup>nd</sup> |
| Running/Operating projects. | -               | -               | 2 <sup>nd</sup> | -               | -               | -               | -               | -               | 3 <sup>rd</sup> | 1 <sup>st</sup> |
| Evaluating Projects         | 1 <sup>st</sup> | -               | 2 <sup>nd</sup> | -               | 6 <sup>th</sup> | 3 <sup>rd</sup> | -               | -               | 5 <sup>th</sup> | 4 <sup>th</sup> |
| Maintaining Projects.       | -               | -               | 2 <sup>nd</sup> | -               | 3 <sup>rd</sup> | -               | -               | -               | 4 <sup>th</sup> | 1 <sup>st</sup> |

**Key:** RSC=Regional Steering Committee, SGA=Sector Government Agencies, LGU=Local Government Unit, Cot=Consultant, VG=Volunteer Group, DR=Donor Representative, and LCO=Local Civic Organizations.

Beneficiaries' role through individual contributions and CPCs in an organized form compares favorably with other partners mainly recognized as the first one in identifying,

implementing, managing, operating, and maintaining projects, followed by being the second important unit in generating project ideas and supervising implemented projects. As it can be seen in Table-16 other partners such as NGOs, Volunteer Groups, Local Government organs, Private contractors and so forth are identified as participating in different aspects at degrees.

In general, in spite of the fact that primary and secondary data obtained from the Fund are, for most of the cases, indicators to significant payoffs achieved from its participatory approach, some limitations that came out of excessive and inappropriate community participations are also reported by respondents from facilitating and implementing agencies. Informants from other agencies also supported some of the negative consequences that occurred due to inappropriate community participation identified by POs of ESRDF during interviews and discussions.

Delays to start implementing appraised projects as well as to complete construction works within the agreed time have been seen in some projects mainly because rural communities use to celebrate many religious holidays, which were included in the work calendar of projects at the beginning. Involvement of end users had also a bearing to increased costs of some projects and to the implementation of projects that are below the standard quality. More importantly, beneficiaries' involvement has created high and unrealistic expectations of projects' returns. This in turn created disappointment on beneficiaries as net benefits from projects came out to be below their expectations.

According to the information obtained through discussions with people from CoSAERAR, the problem of quality that emanated from wrong use of inexperienced rural communities has been quite common in SSI projects. Because 50% of the construction works of SSI projects were based on community labor, dams started suffering from breakage of weirs and leakage of water before providing any substantial services. In addition to absence of knowledge by rural people in the construction of dams or river diversions, carelessness of none-beneficiary participants who come from neighboring areas and provide labor services for grain supports has also contributed a lot to the quality problems of the schemes. Therefore, the above-mentioned organization is obliged to reexamine project stages where the participation of local people can be appropriately used.

Information about participation was also gathered directly from beneficiaries in four projects selected for the case study to complement what is gained from or provided by the Fund's Office and consulted staff of other CBD facilitating or implementing agencies in the Amhara Region. Quite contrarily, HH respondents in the visited projects confirmed without variation that what all know at most about their participation is their free-labor services and financial contributions during the implementation of projects. Results of data collected through questionnaire and focus group discussions with HHs show that it was only in the implementation phases of projects that beneficiaries were able to realize their participation. About 97.5% of HH respondents confirmed their involvement during the implementation of respective projects. Most of them explained their participation in terms of cost sharing through the provision of free labor, finance, material and other forms of contributions. Beneficiaries also expressed that they have attended several discussion meetings and shared their views towards projects, provided relevant information of various contents to facilitating and implementing agencies.

As it is shown in Table-17, the degree of participation even within the implementation stage varies from scheme to scheme. Therefore, participation was observed to be high in Sewak SSI and Guhalla WS projects than in Woreta SU and Bambiko HP projects. Participation in need identification and project management activities seemed particular assignments given to CPC members (who are mostly trained by ESRDF) at large than individual beneficiaries. Among the 18.3% and 22.5% of the HH respondents who positively replied as has been participating in identifying their priority needs and in managing projects after completion respectively, almost all are members of the CPC.

According to HH respondents, participation has hardly existed in feasibility studies of projects and was low in project initiation or idea generating, design and planning, and ex-post evaluation activities. On average, only 25.4% of respondents in the visited schemes had participated at all stages of projects. Despite low level of beneficiaries' participation in many of the project phases, except in the implementation stage, most of them have been involved voluntarily as verified by about 78% of the HHs. Moreover, about 61% of the respondents attributed the success of projects to their active participation. The highest and lowest levels of voluntary participation were observed in Guhalla WS and Woreta SU projects constituting 91.4% and 66.7% respectively (see Annex- 5).



Table-17: HHs Responses to the Aspects and Levels of Participation in Visited Projects

| Project Stage/ Activity where People Participate | Percentage of HH Respondents by Type of Responses to participation |             |             |             |             |             |             |             |             |             |
|--------------------------------------------------|--------------------------------------------------------------------|-------------|-------------|-------------|-------------|-------------|-------------|-------------|-------------|-------------|
|                                                  | Sewak SSI                                                          |             | Guhalla WS  |             | Woreta SU   |             | Bambiko HP  |             | Average     |             |
|                                                  | Yes                                                                | No          | Yes         | No          | Yes         | No          | Yes         | No          | Yes         | No          |
| Idea Generation/Initiation                       | 12.0                                                               | 88.0        | 22.9        | 77.1        | 20.0        | 80.0        | 0.0         | 100         | 14.2        | 85.8        |
| Need Identification                              | 16.0                                                               | 84.0        | 28.6        | 71.4        | 20.0        | 80.0        | 6.7         | 93.3        | 18.3        | 81.7        |
| Feasibility Study                                | 0.0                                                                | 100.0       | 11.4        | 88.6        | 0.0         | 100.0       | 0.0         | 100.0       | 1.7         | 98.3        |
| Design and Planning                              | 8.0                                                                | 92.0        | 17.1        | 82.9        | 20.0        | 80.0        | 6.7         | 93.3        | 13.3        | 86.7        |
| Implementation                                   | 100.0                                                              | 0.0         | 100.0       | 0.0         | 96.7        | 3.3         | 93.3        | 6.7         | 97.5        | 2.5         |
| Managing/ Controlling                            | 44.0                                                               | 56.0        | 31.4        | 68.6        | 10.0        | 90.0        | 6.7         | 93.3        | 22.5        | 77.5        |
| Ex-Post Evaluation                               | 16.0                                                               | 84.0        | 14.3        | 85.7        | 10.0        | 90.0        | 0.0         | 100.0       | 10.0        | 90.0        |
| <b>Total</b>                                     | <b>28.0</b>                                                        | <b>72.0</b> | <b>32.2</b> | <b>67.8</b> | <b>25.2</b> | <b>74.8</b> | <b>16.2</b> | <b>83.8</b> | <b>25.4</b> | <b>74.6</b> |

It may be imperative to underline the issue of voluntary participation to judge whether projects are really demand driven and community priorities irrespective of who initiated or identified them. This will be discussed in the next sub-section of this chapter. From the perspectives of CBD agents, the success or failure of projects or programs is much related to the degree of involving or disregarding the end users (beneficiary communities). For this reason, primary and secondary data collected from local NGOs and governmental organizations in the Region also divulged achievements in realizing community participation.

People from CoSAERAR, for instance, confidently disclosed that they have been able to mobilize target communities' labor for the construction of SSI schemes regardless of limitations in their efficiency after completion. Discussions and oral briefings in this regard were supplemented by secondary data that portray the total mobilized labor, which was 2,469,653 man-days for 12 irrigation projects. Nonetheless, only two-third of this mobilized labor was rendered freely while for the rest (823,218 man-days) CoSAERAR provided grain support under its "food for work" program. Similarly, ORDA and ADA claimed using community participation at large mainly through labor mobilization, the former with the provision of grain support as part of its relief program and the later in the form of free labor service.

Nevertheless, whatever these organizations said that they are successful in promoting community participation, beneficiary communities do have different understanding or fact



about their involvement. One can see such variations between the two groups of respondents on the same subject simply by comparing Table-12 (responses of POs) and Table-17 (responses of HHs). At least two possible scenarios can be drawn about the differences, which came out of these informants. The first scenario is related to a factual problem in that information released from the Fund side about the participation of beneficiary communities is exaggerated. The second scenario lies on the misunderstanding of participation among poor communities in that they realize their participation only in terms of contributions in cost sharing and underestimate the other aspects of their actual involvement in any sort at different stages of projects or programs.

To conclude, most of the consulted agencies mainly sector organizations in the Region as well as impact assessment reports of consultants indicate that ESRDF has placed great emphasis and exerted strenuous efforts towards community participation through which encouraging results have been achieved at some stages. However, some observers didn't escape commenting that ESRDF has to do a lot to further strengthen the participation of beneficiary communities in every aspects and to ensure their commitment at all stages. Similarly, impact assessment report of NEK-International Consultancy (1999: 26-28) indicated that ESRDF has made a good start to promote community participation and its staff is much committed towards this end. According to its findings, however, the degree of participation is intense in the implementation stage of projects and the forms of community participations are usually confined to free labor and cash contributions. It further added, CPCs established in almost all schemes are strong and active enough to facilitate direct community participation without denying the fact that their role is so much limited at some stages, which the Fund is supposed to correct and reinforce in its future endeavor.

#### **4.4. EMPOWERMENT OF COMMUNITIES**

As it is briefly discussed earlier in Chapter Three, empowerment is the most important ingredient in which CBD approach both as a concept and an act is built upon. Proponents of CBD condemn the orthodox top-down approach for its inability to bring changes in the lives of the poor. This in turn is attributed to the denial of people at the grassroots to decide on what they want and on what affect their livelihoods in development processes. Therefore, what makes the CBD approach the reversal of the previous approaches is its recognition of the empowerment of the poor as an antidote of poverty.

In broad sense, the concepts of poverty and empowerment seem to stand in an irreconcilable position, because poverty is lack of access by the poor to basic needs and empowerment is enabling the poor to win the evils of poverty. Empowering the poor ultimately means making them able to escape from poverty, which is demonstrated, among others, through the capacity of individual households to increase their income. From this perspective therefore one could cogently argue that ESRDF is moving in the right direction. The fact that the Fund's support is directed against poverty to be realized through concerted efforts eventually means empowering the poor. In the case of the Fund, empowerment can be observed in various forms. The most direct and measurable aspect of empowerment is whether it has enabled the poor to increase their productivity and raise their income level or not.

The Fund tries to bring meaningful changes in the productivity and income level of the poor through the provision of basic economic infrastructure like SSI and RWS schemes, and other facilities like basic skill training. Meanwhile, it is also generally agreed that creating access to basic health and education facilities have direct contributions to raising the productivity and income level of the poor in the long run. Empowerment can be also seen from another dimension; i.e. from communities' entitlement and ability of making decisions on matters that affect their livelihood.

In this regard results of data collected from different sources could provide an insight about the practicality of the issue. Before going to see what valuable changes are being brought about by ESRDF interventions to empower poor communities, it would be imperative to start with briefly examining some of its fundamental aspects that should be implemented before the inception of projects; i.e. ensuring access to information about development programs or interventions and access to related basic training. Enabling the poor to have access to information and thereby creating awareness and bringing attitudinal changes directly depends on the effectiveness of promotion works done. It means effective promotional work is the key for the gradual empowerment of communities.

Although efforts have been exerted by the Fund, rural communities are not yet adequately informed and much is remained to be done or strengthened in this regard. The main reason for shortcomings in informing the poor in remote areas was inadequacy of time given for promotion work from the start. In other words, ESRDF started financing projects sooner after the Credit Agreement (CA) was signed with the World Bank, and the CA didn't give flexible room to prolong the financing aspect of the Fund's activity and to do first adequate promotional works. The CA document provided that the two parties have reached at a

consensus on the available fund to be released on annual performance basis and the financial plan was designed to be disbursed across the five years operation period which is counted right from the month the CA was signed. Due to these cases, the Fund started financing projects before adequately publicizing its programs that put most of the remotest poor to remain detached from the privileges that ESRDF has been offering.

Consequently, although gradual improvements have been seen through time, project proposals submitted from communities for financing were of relatively small in number since they lacked information to do so. Hence, financial and physical performance of the Fund lagged behind plans and expectations in the first two years. This can indicate how information is an important aspect of empowerment by itself and a prerequisite to advance to the next stages. Concerning empowerment of communities by getting access to basic training that focus on enabling to generate income and effectively utilize the opportunities provided by the Fund, data showed that attempts have been made and encouraging results were achieved. Since poverty reduction is the main objective of the Fund, supporting basic skill training schemes that could generate employment and income for the poor is its operational agenda. It is also clearly indicated in its OM that the beginning work would be helping communities to establish CPCs and providing the necessary training to members to enable them how to identify projects, prepare financing proposals, implement, maintain and manage projects

Accordingly, data collected in the Amhara Region both from primary and secondary sources depict positive results. The RO for example has realized the formation of CPCs in all communities where projects implemented. Likewise, about 48 training and capacity building programs were held in the Region. Among those training programs, most of them were project specific and were given to CPC members in accordance to the OM. Equally important and visible work done in this respect was basic skill training, such as basic construction, blueprint reading and quantity surveying, artisanship, etc provided to young jobseekers in the Region, which was believed essential in generating self-employment and income.

In addition to jobseekers, local private contractors, local employees of sector departments or bureaus, local micro-entrepreneurs and local government authorities who have direct relation to ESRDF financed projects were trained. Respondents from the Fund itself and beneficiaries in visited projects also support this documented evidence. Almost all CPC members consulted in the visited projects indicated that they have been trained especially in



project implementation and post-implementation related activities (see Annex-5). In general, considerable attempts are being made to empower communities through the formation of local development organizations (CPCs) and through the provision of training to community members. By doing so, CPCs became able to prepare and submit project proposals and manage implemented projects. This doesn't however mean that beneficiaries are sufficiently trained to operate and maintain projects in all schemes since there are tangible failures in this respect, particularly in SSI projects.

Empowerment of target communities was also assessed in terms of decisions that have been passed on matters related to ESRDF supported projects. Both HH and PO respondents were asked similar questions through formal questionnaires and focus group discussions to spell out who determined the amount, method and type of cost sharing as well as user-fee or service charge rates, and benefit distributions after projects are being implemented and handed over, and on other similar cases.

Results of responses from both sides differ from case to case (see Table-18 and-19). Summary of the information given by POs, for example, indicate that in 38.12%, 31.25% and 23.13% of the cases decisions about cost sharing related matters were made by beneficiaries' consensus or rule of vote, mutual agreements between community representatives (such as CPCs) and facilitating or implementing agencies, and solely by facilitators or donors request in their respective order. In 75% of the cases, decisions have been made on the basis of individual beneficiary's consent, which seems little convincing (Table-18). In sum, it means that it is only in 23.13% of the cases that decisions were made by outsiders.

**Table-18: Summary of POs' Responses to Project Related Decisions in Proportion of the Cases**

| Decision Case       | Decision Made by Or According to in Proportion of the cases (%) |                         |             |                     |                      |                              | Total |
|---------------------|-----------------------------------------------------------------|-------------------------|-------------|---------------------|----------------------|------------------------------|-------|
|                     | Individual Consent                                              | Beneficiaries Consensus | CPC Members | Government Agencies | Facilitator or Donor | Mutual Agreements Among B&F* |       |
| Cost Sharing        | 7.50                                                            | 38.12                   | 0.00        | 0.00                | 23.13                | 31.25                        | 100   |
| User/Service Charge | 0.00                                                            | 60.62                   | 22.14       | 17.24               | 0.00                 | 0.00                         | 100   |
| Benefit Sharing     | 0.00                                                            | 73.75                   | 21.25       | 5.00                | 0.00                 | 0.00                         | 100   |
| Average             | 2.50                                                            | 57.50                   | 14.46       | 7.41                | 7.71                 | 10.42                        | 100   |

\* **B&F** in the table Refers to Beneficiaries and Facilitators

An average result of the 120 HHs' responses in the visited schemes for the same question is not in general that much different from that of the POs'. They identified CPC members as the main deciding bodies of cost sharing related issues, the weight given to them being



28.3%. In 15.8% and 11.7% of the cases beneficiaries themselves (majority vote) and PA/UDA leaders respectively made decisions. On the other hand Sector Government Agencies and ESRDF are cited by HHs deciding on 25% and 14.2% of cost sharing cases respectively, whereas 5% remained unknown (Table-19). Moreover, HH responses show that Sector Government Agencies do decide on 45% of the cases pertaining to user-fee or service charges followed by “others” (22.5%) whom they failed to identify (see Table-19). The decision-making role of CPCs and beneficiaries as a whole with regard to user fee or service charges amounted to 19.2% and 13.3% of the cases respectively. On the same table we see CPCs deciding on 40.8% and beneficiaries as a whole on 15% of the cases associated with benefit sharing or distribution

**Table-19: HHs’ Responses in Visited Projects to Project Related Decisions in Proportion of the Cases**

| Decision Case        | Decision Made by or According to (in %) |             |                |                     |       |       | Total |
|----------------------|-----------------------------------------|-------------|----------------|---------------------|-------|-------|-------|
|                      | Beneficiaries’ Consensus                | CPC Members | PA/UDA Leaders | Government Agencies | ESRDF | Other |       |
| Cost Sharing         | 15.80                                   | 28.30       | 11.70          | 25.00               | 14.20 | 5.00  | 100   |
| User/ Service Charge | 13.3                                    | 19.20       | 0.00           | 45.00               | 0.00  | 22.50 | 100   |
| Benefit Sharing      | 15.00                                   | 40.80       | 5.80           | 34.20               | 0.00  | 4.20  | 100   |
| Average              | 14.70                                   | 29.50       | 5.80           | 34.70               | 4.7   | 10.6  | 100   |

According to HH informants, beneficiary communities had the power to decide on exactly 50% of project related cases since decisions that were made by CPC and PA/UDA members can be aggregated in to communities’ role. However, similar aggregate indicator on the basis of POs responses to the role of beneficiaries in decision-making rose to 74.46%, which is much higher than that of witnessed by HHs (Table-18). In general, communities’ empowerment from the decision-making point of view is found to be encouraging although the decision cases are not much technical and complex.

Empowerment has to be also evaluated from the point of view of actual benefits gained from implemented projects in general and from currently operational projects in particular. Benefits are of two types; i.e., those that are more tangible, quantifiable, and short turn (immediate), and those whose impact are seen in the long run and measured in more qualitative terms. The components of ESRDF financed projects comprise characteristics of both the above-mentioned types of beneficiaries. Regarding these issues, observations were made on Fund supported projects in the Region in general on the basis of information gained from documents of the Regional Office and POs responses, and from HH informants.

Results of data collected from POs are described in terms of percentage of respondents rather than the extent of benefits gained from or impact produced by projects. This happened simply because respondents were unable to put such benefits or impacts in quantitative terms other than stating in order of importance. In this regard, about 87.5% of consulted POs indicated that income and productivity have increased among HH beneficiaries, mainly in SSI project areas, and explained such increases as being demonstrated through improvements in the living conditions of individual HHs.

Income rise was explained in terms of improvements in daily meal quantity and quality, clothing and housing conditions, and saving rates. Increase in productivity is on the other hand valued in terms of output per person, input, land, and a certain time as compared to the pre-project implementation years. Distribution of POs responses concerning income and productivity increases in HHs due to the interventions of projects is shown in Table-20.

Similarly, POs indicated that improvements in the health conditions of beneficiaries have been observed in areas where Health Projects are situated in terms reduction in the rate of illness and gains in quick immunization and physical strength, *inter alia*. By the same token, POs tried to point out communities' gains from the establishment of school projects through increases in the rate of girls' enrollment, improvements in skill and knowledge, consciousness level, confidence, job opportunity, participation of various sorts, reduction in underage marriage and traditional harmful practices, etc. Due to the installation of other projects such as RWS and Grain Mill services, important returns are reported in timesaving and easing the burden of women's and girls' drudgery.

Data collected from POs about the empowerment of target communities in terms of tangible economic and social services or actual benefits from projects seemed scanty and were given based on subjective judgments. On the other hand information received from beneficiary HHs might be more concrete. Increases in income or productivity are better illustrated through the responses of HHs in Sewak SSI Project. In spite of the fact that significant variations were observed both in irrigable and irrigated landholdings as well as in the productivity of farmers on similar size of irrigated land, most of them confirmed that they have been able to produce additional crops by using the irrigation scheme for three consecutive dry seasons.

**Table-20: Summary of POs' Responses to HH Benefits Gained Due to the Existence of Projects By Percentage of the Number of Respondents**

| Income Gains            |             | Productivity Gains  |             | Health Service Gains |             | Education Ser. Gains       |             | Other Gains             |             |
|-------------------------|-------------|---------------------|-------------|----------------------|-------------|----------------------------|-------------|-------------------------|-------------|
| Explained Through       | No. of Res. | Explained Through   | No. of Res. | Explained Through    | No. of Res. | Explained Through          | No. of Res. | Explained Through       | No. of Res. |
| Meal Quantity *         | 37.5        | Per Person*         | 62.5        | Illness Rate**       | 62.5        | All Enrolment*             | 50.0        | Timesaving*             | 75.0        |
| Meal Quality & Variety* | 62.5        | Per Unit of Input*  | 0.0         | Death Rate**         | 37.5        | Girls' Enrolment*          | 50.0        | Work Burden**           | 62.5        |
| Saving Rate*            | 37.5        | Per Plot of Land*   | 37.5        | Quick Immunization*  | 62.5        | Underage Marriage**        | 37.5        | Mental Satisfaction*    | 12.5        |
| Housing Condition*      | 37.5        | Per a Certain Time* | 25.0        | Physical Strength*   | 50.0        | Harmful Practices**        | 57.5        | Environment Protecting* | 50.0        |
| Clothing Condition*     | 50.0        | -                   | -           | Workman days*        | 50.0        | Job Opportunity*           | 50.0        | -                       | -           |
| Physical Condition*     | 25.0        | -                   | -           | Productivity*        | 50.0        | Skill and knowledge*       | 50.0        | -                       | -           |
| Other*                  | 25.5        | -                   | -           | Other                | -           | Awareness*                 | 62.5        | -                       | -           |
| -                       | -           | -                   | -           | -                    | -           | Confidence*                | 50.0        | -                       | -           |
| -                       | -           | -                   | -           | -                    | -           | Participation of Any Sort* | 50.0        | -                       | -           |

Note: \* & \*\* in the Above Table refer to Increase or Improvement and Decrease or Reduction Respectively

Table-21 shows that irrigable and irrigated landholdings among the 25 HH informants in Sewak SSI Project vary between 0.33-1.45 and 0.14-1.15 hectares respectively. The average irrigable landholding is calculated as 0.41 ha while the size of land that is actually being irrigated currently is 0.35 ha per HH. Crop harvested in each dry season also varied between interviewed HHs showing 7.20-13.08 quintal per ha for cereals, 5.82-10.5 quintal/ha for pulses and 36.1-55.81 quintal/ha for vegetables. The average productivity of the 25 HH, on the other hand amounted 9.65, 7.84, and 46.93 quintals/ha for cereals, pulses and vegetables respectively.

**Table-21: Irrigable and Irrigated HH Landholdings and Average Crop Yields in One Dry Season In Sewak SSI Project (Quintal/Hectare)**

| Landholding Indicator | Size of Landholding in Hectare |           | Average Crop Harvest in Irrigated Land By Major Type of Crop (Quintal/hectare) |            |             |
|-----------------------|--------------------------------|-----------|--------------------------------------------------------------------------------|------------|-------------|
|                       | Irrigable                      | Irrigated | Cereals                                                                        | Pulses     | Vegetables  |
| Range of Variation    | 0.33-1.45                      | 0.14-1.15 | 7.20-13.08                                                                     | 5.82-10.50 | 36.10-55.81 |
| Average               | 0.41                           | 0.35      | 9.65                                                                           | 7.84       | 46.93       |



Those figures shown in Table-21 are obtained after individual household productions are converted into a common unit (one ha), hence simply show productivity level per ha, not actual productivity by individual HHs. Average HH crop harvest is as shown in Table-22, is 5.29 quintal per ha in one dry season. Of this amount households used 69.43% for current consumption, 19.85% for sale, and 10.72% for seed. The only marketed crop is found to be vegetables that mainly include tomato, potato, onion, cabbage, and to some extent green pepper. The large shares of cereals and pulses (84.91% and 87.94 % respectively) were used for current consumption and none is reserved for future use, which imply that people are not still producing surplus. Average household irrigated land allotment by major crop type shows 0.11ha for cereals, 0.18 ha for pulses and 0.06 ha for vegetables.

**Table-22: Average HH Crop Production in One Dry Season Through Irrigation in Sewak SSI Project**

| Major Crop Type | Average HH Irrigated Land Allotment By Major Crop (ha) | Average HH Production in Quintal | Percent of Produced Crops Used For |                         |               |               |
|-----------------|--------------------------------------------------------|----------------------------------|------------------------------------|-------------------------|---------------|---------------|
|                 |                                                        |                                  | Current Consumption                | Reserve for Future Uses | Sale (Market) | Seed          |
| Cereals         | 0.11                                                   | 1.06                             | 84.91                              | 0.00                    | 0.00          | 15.09         |
| Pulses          | 0.18                                                   | 1.41                             | 87.94                              | 0.00                    | 0.00          | 12.06         |
| Vegetables      | 0.06                                                   | 2.82                             | 35.46                              | 0.00                    | 59.54         | 5.00          |
| <b>Total</b>    | <b>0.35</b>                                            | <b>5.29</b>                      | <b>69.43*</b>                      | <b>0.00</b>             | <b>19.85*</b> | <b>17.72*</b> |

\* In the Table refers weighted average.

Consulted HHs were asked why they didn't irrigate all their irrigable land and why there existed productivity differences among themselves from a given plot of land. Shortage of improved seeds and other inputs, absence of oxen, shortage of labor, lack of experience, need for fallowing, etc were often cited as major reasons. Very few respondents complained on CPC members, alternatively called "Yewuha Abat", for restricting them from using the irrigation structure for long hours not due to the scarcity of water at present but because of personal contradictions. Nonetheless, they didn't hide their fear on the future reliability of the water source of the project since there is a fluctuating trend in the volume of the water depending on the extent of rain that occurred in the wet season.

A study report on the existing operation and maintenance modalities of handed over irrigation projects (CoSAERAR, 1999:18) indicated that while the structure of Sewak SSI scheme is developed to irrigate 75 ha and to benefit 320 household farmers, currently only 22 ha is being irrigated by 52 households. According to the report, the project is working for 16 hours a day but it is still underutilized due to low experience of farmers not because of restrictions from using or scarcity of water. Differences are observed between the results of



the aforementioned study (CoSAERAR, 1999) and this research on the average obtained yield level in Sewak SSI Project. According to the above mentioned study, the minimum and maximum output that were obtained for cereals and vegetables in Sewak SSI scheme were 9-16 quintal/ ha and 50-80 quintal/ ha respectively.

Although the level of output observed through the team's study is quite high as compared to results of in this research, the report still considered the yield as low. Although outputs have been below expectations and potentials, the project has enabled farmers to produce 5.3 quintals per HH in one dry season on average (see Table-22). So SSI projects are the most important interventions to make the rural poor food self-sufficient if they are appropriately placed and properly utilized. Self-reliance in food supplies is the most tangible and meaning full aspect of empowering the poor.

Another study undertaken by Ethio-Forest Agricultural Consulting Center (1999) is also in agreement with the findings of this research with respect to communities' empowerment through increasing food productivity and trends to self-sufficiency. According to this study, in addition to enabling the rural poor to produce food crops, SSI projects have started contributing to community empowerment in terms of running and managing their own projects as well as establishing development institutions (CPCs). Some of the results being the immeasurable aspects of community empowerment, Ethio-Forest reported increases in the household incomes of the Amhara Region by referring to 45% of HH respondents who positively replied. Furthermore, the report confirmed that because communities in all ESRDF financed SSI project areas, including Sewak, were able to produce larger quantities, they attracted small businessmen from nearby towns and sell their produces at better prices.

However, when discussing with HH respondents in Sewak SSI Project, many of them complained that they were not offered encouraging prices for their marketable products. Furthermore, since many of those marketed products were vegetables, farmers were obliged to sell at any price, which would otherwise be easily perished and out of use.

As respondents from the two categories (POs and HHs) invariably agreed and other studies show, the provision of RWS is the most effective aspect of ESRDF's interventions in terms of physical performance (number of financed project) as well as in empowering rural communities. RWS constituted 67.5% of the completed and 71% of the financed projects in the Amhara Region with relatively low cost of implementation comprising 18.52% of the

completed and 16.88% of the financed projects as compared to other categories (Annex-3). POs indicated that it was in RWS projects where high beneficiaries' interest and commitment had been observed. They all disclosed that people who have been using to collect water from unsafe sources are now gaining tremendous but immeasurable benefits from the establishment of RWS schemes.

Secondary data gathered from ESRDF Office of the Region supplemented by information obtained from POs indicate that the average distance traveled to reach the former water sources was 3.2 km while the shortest and longest distances were recorded as 1.8 km and 6.5 km respectively. The average time spent, often by women and girls, to fetch water for one-round trip was 2.7 hours. But after project implementation, the average distance between homes and water sources and the average trip time spent for one round trip to collect water are reduced by 65% and 71.5% respectively.

Nevertheless, results from a study by NEK- International Consultancy (1999:8) show some variation from those reported above. Accordingly, it reported the average distances of the former water sources as had been 2.5 km away from home, and the average time spent as 2.4 hours while these are currently reduced by 56% (1.4 km) and 62.5% (1.5 hours) respectively as a result of the existences water supply projects. This shows a 9% difference between the two reports in the reduction of both average distances traveled and hours spent. These imply net average gains from RWS projects in terms of the above two measures are 9% less in the findings of NEK to that of reported in this research. The two sources; i.e. NEK's report and ESRDF's documents and POs' firsthand information from Amhara Region, reveal the same fact that RWS projects have surmounted problems that were chronic to the rural poor and produced significant positive results. In addition to relieving the burden of women and saving their time, RWS projects have contributed to the reduction of the incidences of waterborne diseases among beneficiary communities.

Primary data was also collected from 35 household beneficiaries at Guhalla Water Supply Project through questionnaire, oral interviews, and discussions. From all visited projects, Guhalla WS Project was found to be unique in that all interviewed beneficiaries have unanimously replied that they have gained much from the project. The project is run by a CPC, what beneficiaries specifically call it as "Water Committee", consisting of 6 members with close follow up and monitoring by the Woreda administration executive committee. Beneficiaries witnessed to the CPC members' courage and relentless effort, and the CPC

members in turn appreciate the concern about and involvement in every cases of the project each beneficiary has.

On top of the concerted efforts made by the aforementioned bodies, trained caretakers are employed for the day-to-day operational aspect of the project. Discussions and interviews with these parties made clear that there is a common understanding to periodically maintain the existing structure and construct additional distribution points in order to meet the future requirement or demand of water as the town is getting expanded. Hence, all consulted beneficiaries expressed their willingness and commitment to contribute for the maintenance and expansion works.

With regard to the tangible positive impacts created by the project, almost all respondents mentioned the availability of potable water in short distances thus saving the time and energy of women as the main advantages gained from the project. As Table-23 shows women and girls on average were traveling 2.1 km and spending 1.6 hours for a round trip to fetch water from different sources including: rivers, springs, ponds, and few from well. Each household had been collecting water from these unprotected and distant sources 2.7 times per day on average and about 4.32 hours had been spent per household to get water. But now the project makes available potable water at 0.34 km distance from home on average for a round trip and reduced the time spent to 0.42 hours.

Similarly, although most of the HHs have failed to state the average daily consumption of water in terms of liter both before and after the project, the frequency of collecting water from the project rose to 3.6 times per day in each household on average that implies an increase in daily per capita consumption by 33.33%. The availability of water distribution points in short distances make the daily total average time spent 1.51 hours per household. Discussion with two health workers in Guhalla HP revealed the reduction of waterborne diseases particularly among children.

**Table 23 : Summary of the Responses of HHs to the Actual Benefits From Guhalla Water Supply Project**

| Subject of Comparison                      | Average        |               | Measuring Unit | Percentage |          |
|--------------------------------------------|----------------|---------------|----------------|------------|----------|
|                                            | Before Project | After Project |                | Increase   | Decrease |
| Distance of Water Source From Home         | 2.10           | 0.34          | Km             | -          | 83.81    |
| Time Spent For One Round Trip              | 1.60           | 0.42          | Hour           | -          | 73.75    |
| Water collection Frequency Per Day in a HH | 2.70           | 3.60          | Frequency      | 33.33      | -        |
| Total Time Spent to Collect Water/Day/HH   | 4.32           | 1.51          | Hour           | -          | 83.22    |

Members of the CPC and Woreda Administration Executive Committee disclosed also evidences of improvements in small home-based business activities, such as local drinks; i.e.



“tella”, and “araqi”, local bread, and tea as a result of the existence of the Water Project. This happened because women have adequate time saved from going long distances to get water and concentrate on such income generating activities. However, informants were unable to state income increases in monetary terms other than simply explaining the existence of such benefits. In general, community empowerment is tangibly seen in Guhalla Water Supply Project and in the case of Sewak SSI scheme.

Beneficiaries’ empowerment is also assessed through other interventions of ESRDF namely, health and education. To look what poor communities have gained from the establishments of the two categories of infrastructures, data were gathered from POs and beneficiary HHs. POs responses to this issue is already described briefly and summarized in Table-20. Mid-Term Review (MTR) and Social Impact Assessment (SIA) reports produced by separate and independent consultants are also in agreement with that of the Fund’s claim of being effective in empowering low-income people through the provision of education and health services.

NEK-International Consultancy in particular emphasized achievements of ESRDF in the education sector and enumerated several points. According to it’s finding in this regard, about 98.7% of interviewed HHs confirmed that education projects are their priorities. Children who had no access to attend school due to non-existence, remoteness, and limited absorption capacities of these structures became highly enrolled in the school projects. Apart from higher enrollment rates, the projects helped to decrease dropout and repetition rates, and saved children from traveling long distances. According to the findings of NEK (1999:13), the facilities and efficiencies of ESRDF supported schools are better than the national average.

These being the remarks of the above-cited body, primary data collected from beneficiary HHs at Woreta SU project tell facts of the same content with little variation of beneficiaries’ attitudes, concerns, and knowledge about the project. From all HH informants in four visited schemes, it was in this project where relatively negative answers to project related questions were observed. As indicated in Annexes-5 and 6 for example, only 54% of the interviewed HHs have responded positively to issues related to their voluntary participation, concern and attitude toward the school project. Yet, many of them were found reserved to provide specific answers or give comments for many queries included in the questionnaire.



Comparative summaries of HHs' responses about the before and after the school project situations are shown in Tabl-24 and Table-25.

**Table-24: Summary of HHs' Responses to Ranges of Distances of Woreta SU Project and Other Schools From Beneficiaries' Residences.**

| Ranges of Distances<br>Between<br>Schools and Homes (in km) | Respondents in Each Range of Distances From |      |                          |      |
|-------------------------------------------------------------|---------------------------------------------|------|--------------------------|------|
|                                                             | Other Similar Schools                       |      | Woreta SU Project        |      |
|                                                             | Respondents in<br>Number                    | In % | Respondents in<br>Number | In % |
| 0-1.0                                                       | 6                                           | 20.0 | 13                       | 43.3 |
| 1.1-2.0                                                     | 11                                          | 36.7 | 15                       | 50.0 |
| 2.1-3.0                                                     | 10                                          | 33.3 | 2                        | 6.7  |
| 3.1-40                                                      | 3                                           | 10.0 | 0                        | 0.0  |
| Total                                                       | 30                                          | 100  | 30                       | 100  |

From Table-24 it is possible to understand that distances between residences of respondents and similar schools other than the school project, didn't exceed 4 km, while for 70% of the respondents the schools were situated between 1.1 and 3.0 km. On the other hand the school project is situated within 3 km radius from all residences of similar informants. Therefore, comparison of the school project with other similar projects in terms of remoteness can enable us to make a modest assessment of the net benefits gained from the project. This is to say that even other schools are not too far from homes and therefore educational situation of beneficiary households in the pre-project period was not seriously hampered by remoteness. However, Assistant Director of the school project had pointed out during discussions that there are many students coming from rural areas from an approximate range of 10-15 km away from the school. Still this might not be sufficient to qualify the importance of the project since students from rural areas are not relieved from traveling long distances to reach the project.

The most important aspect of the benefits gained from the project is upgrading of its level both in enrollment capacity and grade. This enabled new entrants and former dropouts to be admitted who previously had no access due to limited capacity of other schools. Improvements in school facilities including enough space and ventilated classrooms, standardized school furniture, reading rooms and sufficient books, and availability of other pedagogical materials are some of the important aspects brought by Woreta SU project that contributed to improve the quality of education. The Assistant Director also gave comparative statistical explanations to the facilities of the project as classroom-student and teacher-student ratios are 1: 56 and 1:42 respectively, which are quite below other schools in the town.

Respondents were asked to provide a comparative evaluation between the project and other schools. About 25% of the respondents at Woreta SU project were unable or reluctant to give answers, to those questions (see Table-25). This might have emanated from the mismatches of priorities of target communities in that area. In the first place, the school is serving all without considering the income level of individual beneficiaries. Secondly, since there are alternative schools of whatever status and capacity at Woreta Town, upgrading of the former school might not be the top priority of poor people. Another possible scenario for the failure of providing answers might be HHs have no adequate information about the school that show their less concern.

**Table-25; Comparative Summary of HHs' Responses to School Conditions in Woreta SU Project and Other Schools in the Town.**

| Comparison Point        | Number of HH Provided Comparative Judgments |     |     |            | Remarks                                                                      |
|-------------------------|---------------------------------------------|-----|-----|------------|------------------------------------------------------------------------------|
|                         | A>B                                         | A<B | A=B | No Comment |                                                                              |
| School Furniture        | 26                                          | 0   | 0   | 4          | "A" represents Woreta SU Project, while "B" stands for other similar schools |
| Classrooms              | 26                                          | 0   | 0   | 4          |                                                                              |
| Reading Rooms and Books | 26                                          | 0   | 0   | 4          |                                                                              |
| Pedagogical Materials   | 21                                          | 0   | 0   | 9          |                                                                              |
| Drinking Water          | 19                                          | 0   | 0   | 11         |                                                                              |
| Latrines                | 19                                          | 0   | 0   | 11         |                                                                              |
| Annual Related Expenses | 16                                          | 0   | 5   | 9          |                                                                              |
| Other                   | 20                                          | 0   | 0   | 9          |                                                                              |

In general the empowerment aspect of beneficiaries is not that much visible in Woreta SU Project. The implication is therefore empowerment of poor communities is more realistic and meaningful when there is proper alignment of priority needs and development interventions aimed to satisfy such identified needs. On the other hand, project implementation without priority consideration under conditions where there are other unsatisfied urgent needs might contribute less to empower people.

Empowerment of the poor is finally examined in health projects. Community empowerment in ESRDF supported health projects have been realized in various forms. Discussions with POs in the Amhara Region and pertinent documents available in the Office reveal the effectiveness of the Fund in health services provision by getting closer to the most needy communities. From the total of 116 health projects implemented in the Region, for example, 103 are Health Posts (HPs) that are in most cases situated far from towns in relative terms, while the remaining 13 are Health Centers and Communal Latrines all found in urban centers. This can indicate how appropriate efforts are being made to help the rural poor who had no access to modern health services.

HPs are making today significant impacts through rendering curative as well as preventive services. They are acting as schools of health promotion how to prevent epidemics, HIV AIDS, and other contagious diseases, as well as how to implement family. Rural women and husbands to a lesser extent are now becoming aware of the use of contraceptives through these HPs. Reports both from the Fund's Offices and Consultancy offices (NEK and Ethio-Forest, for example) also emphasize the positive impacts of health projects in terms of saving the rural poor from traveling long distances to get such services, and in terms of significant reduction in medical related expenses. Although not widely practiced in many HPs for a number of reasons, some are helping rural women during pregnancy and delivery.

Such and other qualitative explanations of POs from the Fund on how the rural communities are benefiting from health projects was also supplemented by primary information obtained from beneficiaries through discussions and interviews. One health project known as "Bambiko Health Post" was taken for the case study and 30 HHs were asked through formal questionnaire and oral interviews. Besides, personal observation was conducted coupled with discussion with one Health Assistant assigned there that helped much to obtain relevant information. HHs were asked comparative questions about distances, medical facilities, household health conditions and similar other issues by referring to health institutions which beneficiaries used to visit before the project and the project itself. Responses of HHs to the "before and after" situational questions are summarized and presented in Table-26 and Table-27. As shown in Annex-5, about 28 from 30 HHs (84%) indicated that the HP was their priority.

**Table-26: Distribution of HH Respondents According to Distances to Health Institutions (Before and After Bambiko HP Project Implementation)**

| Ranges of Distances to Health Institutions (km) | HH Respondents |      |        |      |
|-------------------------------------------------|----------------|------|--------|------|
|                                                 | Before         |      | After  |      |
|                                                 | Number         | %    | Number | %    |
| 0-5.0                                           | 0              | 0.0  | 22     | 73.3 |
| 5.1-10                                          | 0              | 0.0  | 8      | 26.7 |
| 10.1-15                                         | 3              | 10.0 | 0      | 0.0  |
| 15.1-20                                         | 8              | 26.7 | 0      | 0.0  |
| 20.1-25                                         | 10             | 33.3 | 0      | 0.0  |
| 25.1-30                                         | 6              | 20.0 | 0      | 0.0  |
| 30.1-35                                         | 3              | 10.0 | 0      | 0.0  |

Regarding distance comparison, as Table-26 shows, people in the target area were obliged to travel from 10-35 km (22.17 km on average) to get modern medical services before the establishment of Bambiko HP. However the situation significantly changed after the project



that the same respondents could find the newly established HP after walking for not more than 3.83 km on average from their home.

Concerning medical facilities, beneficiary health conditions, and other related points, gains from the HP are stated in simple comparison since it was difficult for respondents to express in quantifiable terms. Of all comparative questions, large number of HHs failed to suggest their judgments to those pertained to the quality of health services and the rate of death situations. In reality, it might have been difficult for respondents to give comparative evaluation regarding the quality of health services since the subject itself is more of technical in nature, which requires adequate knowledge and exposure (see Table- 27).

**Table-27: Comparative Summary of HHs' Responses to Health Facilities Before and After HP**

| Point of Comparison                  | Number of HHs by Their Respective Replies |      |      |               |       |
|--------------------------------------|-------------------------------------------|------|------|---------------|-------|
|                                      | A>B*                                      | A<B* | A=B* | No Suggestion | Total |
| Medical Expenses                     | 0                                         | 21   | 2    | 7             | 30    |
| Frequency or Rate of Illness         | 0                                         | 19   | 3    | 8             | 30    |
| Time Taken to Get Health Services    | 0                                         | 24   | 2    | 4             | 30    |
| Quality                              | 0                                         | 0    | 6    | 24            | 30    |
| Quick Immunization                   | 12                                        | 3    | 4    | 11            | 30    |
| Rate of Death                        | 0                                         | 8    | 2    | 20            | 30    |
| Availability of Prescribed Medicines | 7                                         | 9    | 8    | 6             | 30    |

\* A and B in the Table Represent Bambiko HP and Other Health Institutions Respectively

In addition to beneficiaries, discussion was held with the Health Assistant who was the only one serving in the HP at that time. He portrayed the services being provided and actual benefits gained from the HP in an apparently exaggerated manner. According to the Health Assistant, about 85 people coming from different PAs are served per day on average, which makes the job beyond the ability of one person to manage. When the HP started operation there were three health workers of the same qualifications but two of them left soon to urban centers. He didn't deny however the heartily cooperation from members of the CPC (Health Committee) though their assistance is limited to lining up patients and other labor services.

Most of the patients often come on weekends and religious holydays that exacerbate the problem of service provision, but again CPC members are trying to convince beneficiaries not to wait for these holydays if they want to come to the HP and such traditions are being improved. There are also few individuals, as the Health Worker complained, who wrongly understood their ownership to the HP claiming to be served any time they come and want.



Moreover few instances were there at the beginning in that patients resisted paying for medicines prescribed to them because they perceived that they have already paid for it during the implementation of the HP.

The Health worker and CPC members disclosed that in addition to shortage of health workers, absences of prescribed medicines disappoint beneficiaries in many cases. In spite of all these operational problems, communities are benefiting much from the project. Patients who take continuous treatment are peculiarly gaining tremendous benefits. Consulted beneficiaries themselves, CPC members and the health worker said there were a number of death reports among tuberculosis (TB) patients that was an epidemic to the area before the project simply because they couldn't go daily long distances to take the injection. This explanation was found true through physical observations. The day when this discussion was undertaken, 16 TB patients were counted following their treatment. In general, the presence of the HP is found quite helpful to that community who had been suffering from those epidemics like malaria, TB, typhoid fever, and so on.

Until this stage, discussions in this sub-section were highlights of the empowerment of communities as measured or evaluated in various forms by different parties. It would be also essential to underscore observed limitations of the empowerment and some disempowerment cases. Empowerment is not simply making communities contribute something for the successful completion of projects from which they are entitled to benefit in the future. Handing over completed projects to beneficiary communities alone cannot be considered as empowerment either. For empowerment to be perceived meaningfully, people have to get concrete benefits from projects that can bring changes to their livelihoods.

In this respect serious limitations were observed in due course of the research process. Many projects are not working at full capacity or are not as efficient as they were expected to be for a number of reasons. Primary and secondary sources, for example, indicate that quite many schools and HPs have acute problems of manpower during operation. Unfortunately, health and education projects need manpower other than beneficiary communities for their operation although most of them are not staffed with the required number and level of professionals. In the visited HP, for example, there is only one health worker overwhelmed by large number of patients per day. Nonetheless, if the situation persists with the current trend of shortages in health workers, it would be difficult to maintain such services unless timely corrective measures are taken.

Shortage of manpower is not a problem only to the visited HP, but also a problem faced by many other institutions in the Region and elsewhere in the country. NEK-International Consultancy had reported on this by saying “most of the health posts, particularly in the Amhara Regional Government suffer from lack of health workers. Quite considerable number of them has been closed due to lack of health personnel” (1999:101). This should be an alarming issue to concerned bodies to take measures ahead of the problems happened at worst. Otherwise, the physical presence of projects has nothing to do with empowering poor communities. Such interventions indeed require well-planned, organized, coordinated or integrated efforts with sector government organizations.

Likewise the health and education projects, NEK also found out problems in RWS projects. Although communities themselves are supposed to operate RWS projects, the reality is not found as simple as it is sought to be due to inadequacy in the technical skills of assigned community members. Therefore, sustainability and community management of RWS schemes, as reported by NEK (1999:49-51), is the most worrisome issue. Interviewed POs in the Region have also the same idea in particular with those motorized pumps, which are beyond the technical abilities of local caretakers. Nevertheless, this issue was not mentioned as a problem at Guhalla WS project both by CPC members and employed caretakers.

Incompleteness of empowerment is more visible in SSI projects that indeed bothered much regional authorities and various stakeholders. Most of the completed and handed over projects, including the visited one, are currently operating below expectations for many reasons. For example, in the visited project (Sewak) irrigation structure is developed to irrigate 75-80 ha from which 300-320 households were expected to benefit. However, the size of land actually being irrigated remained 22 ha and number of household beneficiaries downed to 52. Similar many projects in the Region that were financed both by the Fund and other agencies exist under the same status of underutilization and low productivity.

A team established to assess the existing situations in SSI projects (CoSAERAR,1999) found out that many schemes have fallen far short of expectations. In addition to low economic efficiency, premature deterioration and high implementation costs before giving substantial benefits to farmers were observed. The major causes reported for such premature collapses of projects are indicated as design and construction quality problems. In addition to wrong design and poor construction works, absences of close follow up, regular monitoring and evaluation of handed over projects by concerned institutions exacerbated the

rapid dilapidations of those projects. However, measures are being taken since recently by deploying resident workers who will undertake periodic monitoring and evaluation of the physical conditions of projects and identify maintenance needs before any substantial damage occurred on the schemes.

Furthermore, many SSI projects have been less productive since farmers were not supplemented with other services. In majority of the schemes low outputs are the results of lack of experiences of farmers to use such modern structures. Shortages or nearly absences of credit services for farmers to purchase agricultural inputs, lack of extension packages, wrongly applied or used watering systems, have also accounted for the prevalence of low yields from irrigated plots. In other words, beneficiary communities of SSI projects are not provided with integrated and accompanying services such as appropriate training how to efficiently utilize the schemes, credit services, and demonstrations.

All these made incomplete the empowerment aspect of CBD activities taking place in the Region. People who shared the cost of projects with the expectation of high benefits might turn out to be disappointed with the non-functionality or low productivity of projects. In other words, unless projects provide the poor with perceived economic and social services after being handed over, they would bring losses to communities' confidence and hope. On top of such limitations of completed projects in providing expected benefits to beneficiary communities; there have been also some cases of disempowerment or negative impacts created as a result of the coming into existence of projects.

In this regard, some informants from the Fund's staff of the Amhara Region have noted that such negative symptoms have been observed in few projects. POs specified those project related consequences in terms of cost sharing that little number of beneficiaries couldn't afford (cost burden), displacement from farmland and grazing land, prohibition from customary uses of natural resources, and disagreements between beneficiaries and non-beneficiaries as well as among beneficiaries.

Discussions with beneficiary HHs in two visited projects (Sewak SSI and Bambiko HP) revealed similar results of negative effects. Individuals in Sewak SSI Project have complaints for being denied their previous irrigable landholdings due to land redistribution. Although information obtained in this respect seemed somewhat distorted in that land



redistribution was implemented three years earlier the inception of the project, complaints had their own reasons for saying this. Reason given by one respondent is quoted as follows:

*"The practice of irrigation is not new for us, it is rather ancestral tradition. We used irrigation through our own mechanism since many years ago and returns were better than what we get now. The Woreda authorities knew that modern irrigation structure was going to be developed sooner or later; hence they took unjust land redistribution actions benefiting themselves and their relatives, while we ended up being victims".*

Households including CPC members in this project also mentioned disagreements created between beneficiaries and non-beneficiaries due to the existence of the project. Particularly, former downstream users are most affected by substantial decrease in the volume of water that would reach them since River Sewak was diverted to the project area and changed its normal course of flow.

A study on the existing situations of SSI projects (CoSAERAR, 1999) has also indicated a rather serious conflict among local communities due to the existence of the schemes. These conflicts emanated mainly from absence of clear demarcations between target and non-target farmers and absence of strong legal water users associations as well. This in turn created problem of accountability and exacerbated wrong use of water and fast deterioration in the structure of projects. The most worrisome aspect of the problem related to SSI projects is that non-beneficiary farmers have started claiming for equal redistribution of irrigable lands, which is an issue that cannot be easily managed and implemented. Furthermore, studies indicate incidences of health and environmental problems in some SSI project sites, like water pollution and malaria disease due to unfilled quarries and stagnant water (Ethio-Forest, 1999 and CoSAERAR, 1999). Death and physical damage of human and animal due to drowning into the earth dams have also occurred in SSI intervention areas. Zana Earth Dam construction and Sewak River Diversion projects are typical examples for these incidences.

Discussion with beneficiary HHs in Bambiko HP revealed that there have been incidences of displacement and disagreement likewise described above. An old man who was the owner of the land where the HP is now built on was interviewed and stated despondently what he felt about the farmland he gave up and what happened before and after the erection of the project as follows:

*"In the first instance CPC members and PA leaders tried to convenes me that the project is going to be established for public benefit and it was my land which they found the right site for the project to be erected. Besides, they promised me that they would give me the same size and equally productive*



*land sooner. I believed their promise and I agreed with that offer. Then the construction work of the project was started before they give me the equivalent. What these people gave me was a swampy small plot, which has not been ever used and cannot be used in the future either for crop farming. I lately realized that I was deceived, and now here I am being dispossessed my land without compensation”.*

Nevertheless, one CPC member who was one of the informants in the HP disclosed differently that the claimant was already given same size of even better quality plot and it was effected before the start up of the project. In general, it was proved that the project has created such a disagreement whichever is the fact from the statements of the two persons.

#### **4.5. SUMMARY**

This chapter has dealt with discussing the empirical findings of the research. An attempt has been made to analyze the results of data collected through fieldwork and to interpret their implications. Primary data was mainly obtained from two categories of respondents; i.e., 120 beneficiary HHs and 10 POs (8 from ESRDF and 2 from CoSAERAR) through formal questionnaires and discussions. The analysis also included results of information gathered through discussions with the staff of ESRDF development partners, CPC members and local government authorities up to the Woreda level in the Amhara Region as well as relevant secondary data that were collected from various sources. The Chapter started by describing the background characteristics of HH respondents that were drawn from four different sector projects financed by the Fund.

Major issues that are related to CBD (targeting, promotion, participation, empowerment, etc) are analyzed in lights of the theoretical and conceptual frameworks of the subject discussed in Chapter three. Due to the communal nature of its project components, the Fund has been using “targeting by geographical area” mechanism to identify poor communities and their priority needs. This approach is highly recommended by many commentators for developing countries where information about household or individual income is hardly available. Therefore, ESRDF was found employing the right mechanism in placing its projects.

Another point considered for analysis in relation to targeting was the location of implemented projects from towns and roads in the Amhara Region. Distances of implemented projects from towns and roads varied from 0 to 75 km, the minimum distance (0 km) refers to those projects situated in towns. Although the main targets of ESRDF are communities living in the remotest rural areas, many of the financed projects in the Region

are found to be near to towns and roads, in relative terms. Available data in this regard showed that, despite 90% of the Region's people are living in the rural areas and road density (both per population and km<sup>2</sup>) is extremely low, the average distance of implemented projects from towns and roads are found to be 31.17 km and 25.31 km respectively. This implies that rural poor communities are not yet adequately addressed; hence ESRDF has to strengthen its effort in this regard.

Regarding promotional works done and tools used by ESRDF to inform beneficiary communities, information provided by the two categories of respondents showed differences. Whereas POs indicated that about 65.8% of the beneficiaries were informed about the Fund's objectives and operational mechanisms before the implementation of projects, only 38.9% of the HHs have responded accordingly. Differences are also observed between the two groups of respondents on the type of promotional tools and agencies used to inform communities. Direct contact was found the most important means to inform the rural people than the formal mass media. Analysis of the available information in general indicates that promotional work has lagged behind and should be strengthened through appropriate tools and agencies.

Since participation and empowerment are the basic elements of CBD as well as the operational tools and objectives of ESRDF, information in this respect was collected and results indicated that important achievements, challenges, and limitations have been practically observed in implemented projects in the Region. Respondents from the Fund indicated that since projects were priorities of communities, voluntary participation of people has been high in many of the project phases. POs have ranked project phases according to the degree of people's involvement and the result showed that participation was high in identifying needs, generating project ideas, and implementing projects. Results of HH responses however indicate that high beneficiaries' participation has been observed in the implementation phases of projects mainly in the form of cost sharing. Moreover, the degree of community participation varied from one scheme to the other.

Although advantages gained from involving beneficiary communities were emphasized by respondents from CBD facilitating agencies, some limitations were also mentioned. Delays in project implementations, unrealistic expectations of project returns by beneficiaries, quality problems of projects, etc were reported as the limitations of excessive and inappropriate involvement of communities.

Empowerment and disempowerment cases of communities were also assessed in the context of project related decision-making roles or abilities, and project benefits and impacts. Empowerment through creating organizational ability was found to be the important aspect of achievement as reported by almost all respondents of the two categories. Communities in all project areas have established their own CPC through which enormous local development initiatives and activities are being realized and various decisions including cost sharing and benefit distributions are being exercised. Tangible improvements in various social and economic conditions of beneficiaries are also reported by both groups of respondents. Improvements in household incomes, health conditions, skills, psychological and moral satisfactions, etc are indicated as some of the manifestations of empowerment of communities ensured from the existence of projects.

Nevertheless, disempowerment cases are also observed in some project sites. These include: cost burden, displacement from previous land uses and absence of compensation for losses, prohibition from customary uses of natural resources, contradictions among local communities or members of communities, physical damage and death incidences both on human and livestock, and health hazards. However, these are instances observed in very few projects as indicated by both categories of respondents.

## CHAPTER FIVE

### CONCLUSION AND RECOMMENDATIONS

In the preceding chapters we have attempted to present major problems encountering the poor majority of the Ethiopian people, the extent and dimensions of poverty, and the actions that have been taken both by different governmental and non-governmental bodies in the Country. The relevance of community-based development (CBD) approach to poverty alleviation has been assessed with particular reference to the experience of ESRDF in the Amhara Region. The main findings of a purposive case study undertaken on Fund financed projects in the Region have been also discussed in line with the theoretical and conceptual framework of CBD principles, concepts, arguments, and goals. This chapter, therefore, brings the research report to an end by providing a concise picture of issues, ideas and facts about the subject under study.

Section 5.1 provides concluding remarks by reiterating core points that have been discussed in the preceding four chapters with more emphasis to the research findings. Finally, some recommendations are presented in section 5.2 that can help decision-makers and CBD agencies to reconsider past shortcomings and undertake corrective measures for the success of future undertakings. Finally, the recommendations will highlight the critical contributions of the research findings to the CBD efforts of the Amhara Region and we believe that they can be further considered for a countrywide application.

#### 5.1. CONCLUSION

It is a well-known fact that Ethiopia is one of the least developed countries in the world by any standard. Poverty has long been one of the manifestations of the country from which the majority of its people have been suffering. The complex patterns and dimensions of poverty in Ethiopia are revealed in various aspects such as food insecurity, lack of safe drinking water, low and inadequate education and health services, poor and overcrowded housing conditions, and shortages or absences of other basic social and economic infrastructures and services. All measures, as briefly indicated in Section 1.1, reveal the prevalence of low standard of living and the worst aspects of poverty in the Country. The economy is not diversified and is largely based on the agriculture sector, which is characterized by subsistence farming, low level of technology, and almost wholly dependent on unreliable rainfall.



In addition to the low level of technology, both man-made and natural factors have contributed for the majority of the people to remain victims of chronic poverty. Intermittent drought, protracted war, and environmental degradation have been the major causes of poverty in Ethiopia. Studies and official reports also indicate that policy distortion and the top-down development strategies prevailed in the pre-1990s have also constrained the socio-economic development of the Country and hindered the improvement of the living standards of the rural poor people. All these have contributed to the decline features of the economy and to the pervasiveness and severity of poverty across the nation.

The failure of central planning and top-down development strategies led Ethiopia to adopt a reversed (bottom-up) development approach since recent years. Accordingly, the Government has enacted a long-term development and poverty alleviation strategy that emphasizes the promotion of popular participation and decentralization of development management. The current decentralized structure is believed to facilitate sustainable local economic development and poverty reduction mainly through community participation. In other words, the regional and local structure is recognized for its potential to remove central bottlenecks, to improve the efficiency of the implementation of development programs, and to empower grassroots communities to undertake and manage their own development. For this reason, CBD became the core element of the long-term development and poverty alleviation strategy of the Ethiopian Government.

Conceptually CBD approach presupposes an integrated effort by different stakeholders including the government. Although there are several arguments both in support and against the role of government in development, the widely accepted and recognized fact is that for developing countries like Ethiopia the involvement of the government in development and poverty alleviation activities is of paramount importance. Practically, CBD strategies are being translated into action programs through various governmental and non-governmental development projects that involve local communities at large. In view of this, the Government has established ESRDF as an independent funding agency to achieve the goal of poverty reduction by facilitating CBD activities all over the country. Accordingly, several reports indicated that the Fund is making enormous contributions in promoting CBD activities by financing demand driven local projects. Therefore, the purpose of this research has been to assess the relevance of CBD approach to the development needs and realities of Ethiopia through empirical investigation in one of the Fund's intervention areas.

Assessment of the relevance of CBD has not been made only through the physical and financial performances of the Fund, but also in terms of its basic operational principles and elements namely, targeting, participation, and empowerment of poor communities, among others. Hence, it would be imperative to briefly review the profile of the Fund at the national and regional level before proceeding to the summary of major findings of the research.

As it is stated in the establishment proclamation and other documents, ESRDF was established as one of the Government's poverty reduction measure and has been supporting CBD projects since its pilot phase. The Fund is an expansion of the three years pilot ESRF (December 1992-November1995) that was reported to be effective in realizing CBD activities. The fact that the Fund has passed through a pilot phase is also mentioned as an evidence for its operation to depend on experimental approach. In the pilot phase a total of 219 different projects were financed in three regions at the cost of over Birr 71 million from which over 2 million people were expected to gain benefits.

On the basis of significant tests made through the pilot, the Fund further expanded its operations in all regions in the Country since 1996. Currently, it has 1 CO and 14 ROs in 11 regions (two each in Amhara, Oromyia and Southern Nations, Nationalities and Peoples Regional States). It has a total of \$242.4 million five years' (1996-2001) approved budget obtained from various internal and external sources. In the past three years (1996-1999), the Fund has financed about 1941 different types of projects at the cost of Birr 370,229,144 throughout the Country, which have the capacity to benefit 10.43 million people. The components of Fund supported projects include rural water supply, small-scale irrigation, health and urban sanitation, education and grain mills, veterinary clinic, and other projects. Skill training and capacity building programs have been also supported by the Fund in the past three years. However, performance both in terms of fund utilization and number of financed projects is well below the plan.

The Amhara Region, which is the study area of this research, is the highest benefiting Region from the Fund support. ESRDF has two offices in the Region (in Bahir Dar and Dessie) in order to quickly respond to community financing requests. In the past three years (1996-1999) the Two Offices have received a total of 1449 project proposals and financed 865 at the cost of Birr 139,719,545 from which about 2.45 million poor people are expected to gain benefits. Regarding sectoral distribution, RWS constitute the largest number (584) followed by health and education (comprising 116 and 105 projects respectively). SSI and other

projects constituted the remaining 35 and 25 projects respectively. In addition, about 48 training and capacity building programs were financed at the cost of Birr 6,219,558 and about 179,173 people were beneficiaries of these programs.

There are also sub-classifications under each these major sectors. Out of the 584 RWS projects, for example, 379 are hand dug wells and 151 spring development while the remaining are shallow well and distribution networks. Similarly, among the health projects HPs, CHs, and CLs constitute 103, 7, and 6 respectively. Of the 105 school projects 47 are PVSs, 31 school upgrading, 12 school expansion and the remaining 15 are school furniture, public libraries and other. SSI projects are also divided into earth dam and river diversion. From all financed projects in the Region, only 747 are completed and only 706 of them are currently operational. As a whole, those financed projects are found in 11 zones and 94 woredas of the Region with different degree of concentration. These projects are implemented in a piecemeal rather than in an integrated manner. It is uncommon to find different sectors of projects in a particular target area. Whereas the Region has 11 zones and 106 woredas, 50.17 % and 50.28% of the projects are located in 4 zones and 23 woredas alone respectively.

In addition to ESRDF, there are also other CBD facilitating and implementing agencies, which are both governmental and local NGOs. ADA, ORDA and CoSAERAR are the major ones of which the first two are local indigenous NGOs while the later is a government institution formed by the Regional Government with the specific responsibility of studying and implementing SSI projects. Both of them are partners of the Fund not only because they are engaged in similar activities, but also they are recipients of finance from the Fund to implement CBD projects in rural areas. Besides, their operational modalities and target communities are more or less similar. ADA and ORDA, for instance, implement all types of projects (except SSI to the ADA), which ESRDF has identified as priorities of rural poor communities. Their operational mechanism is more or less similar in that they are based on the participation of beneficiary communities and utilization of local resources. However, while participation of local people in the implementation of ESRDF and ADA financed projects is based on free labor services, ORDA and CoSAERAR provide grain for a certain proportion of contributed labor. Discussions held with staff of these agencies emphasized significant achievements gained in the efforts of promoting CBD among poor rural



communities in the Region. Results of information collected through fieldwork are briefly summarized and presented as below.

As stated earlier, targets of ESRDF are poor communities located in remote and isolated areas that have been denied basic economic and social infrastructures and services and with little chance of getting information about the availability of development interventions. Therefore, carrying out promotional works to inform local communities about its facilities and working mechanisms as well as about the roles and responsibilities of beneficiaries was a major task for ESRDF. For this purpose the Fund has been using various promotional tools and agencies. The promotional tools include radio, TV, newspapers, various publications, direct field contacts and communications, seminars/workshops etc. The agencies involved in promotional work were sector government departments, NGOs, local government units, volunteer groups and ESRDF itself.

Data obtained from the Fund's office and staff of the Amhara Region indicate that beneficiaries in about 65.8% of the financed projects were informed before the inceptions of projects. However, HHs' responses indicted that only 38.9% of them were informed while the rest didn't have any idea until they were asked to contribute resources for the implementation of projects. POs and HHs also indicated that about 48% and 31% of the promotional work was performed through field explanations in different public gatherings respectively. As far as promotion agencies are concerned, responses of PO and HH informants showed that sector departments of the Regional Government and CPC members have played important roles and covered large shares of the work performed. Limitations are observed however both in the appropriateness of the promotional tools used and coverage of the work.

Although it is generally believed that the degree of reaching the most needy people in the remotest areas depends much on the extent of the promotional work, using formal mass medias can help little. For this reason, previous studies and analysis of information obtained in this research revealed the fact that promotional work is not adequately undertaken and much is yet expected to be worked out. The Fund seemed aware of the limitations in this respect and is trying to improve its promotional work by assigning 145 community facilitators allover the country and 17 facilitators in the Amhara Region.



Concerning the location of projects and identifying the needs of poor communities, data collected from the Fund's office of the Region indicate that implemented projects on average are situated 31.17 km and 25.31 km away from towns and roads respectively. This shows that their concentration is relatively near to towns and roads as compared to the majority of the people of the Region living in rural areas (90%) and to the poorly developed road infrastructure in the Region. The distribution of implemented projects also showed variation among zones and woredas of the Region. As described earlier, about 50% of the projects are concentrated in 4 zones and 23 woredas.

With respect to the participation of beneficiary communities, all CBD facilitating agencies in the Region emphasized positive achievements. Information gathered from various sources confirmed that ESRDF has been able to ensure the participation of various stakeholders such as sector government agencies, NGOs, local government authorities, volunteer groups, and communities at large. Particularly, PO informants from the Fund indicated that communities have showed their concern and commitment towards projects in terms of voluntary participation at different phases and in different aspects. According to POs, participation has been realized in generating project ideas and identifying priority needs, as well as in implementing and managing projects. On the beneficiaries' side, however, participation was realized and well understood during the implementation of projects mainly expressed through cost sharing in the form of money, material, free labor and other resource contributions. Understanding of participation in terms of mobilizing labor and other resources is also observed in other CBD agencies (like CoSAERAR) in the Region.

Despite major advantages gained from involving beneficiaries, interviewed staff of the Fund and other agencies disclosed some shortcomings. This include, among others: delays to start and complete the implementation of approved projects within the time plan, increases in the costs of projects, quality problems in implemented projects, and unrealistic expectations of project returns by beneficiaries. What both groups of the respondents indicated was that implemented projects were priorities of communities.

The ultimate objective of CBD is empowering people. As far as empowering is convincingly understood to mean enabling the poor to gain basic necessities and further to decide on and manage development activities, assessment of the endeavors of ESRDF in this respect is found to be encouraging. Building of local capacity in problem identification, priority setting planning, implementing and managing are the core elements of the empowerment process in

the Fund's intervention areas. Apparently, it has enabled all communities in project intervention areas to form their own CPCs that can initiate development activities and negotiate with funding agencies, mobilize local labor and resources, organize and direct community actions, and manage implemented projects. Data obtained in the fieldwork from primary and secondary sources indicated that CPCs are playing major roles in this regard. Empowerment in terms of project related decision-making abilities (such as on cost and benefit sharing) are also observed more evidently in CPCs that are representatives of communities.

Regarding empowerment in terms of bringing significant changes in the social and economic living conditions of poor communities, ESRDF has achieved tangible results through its demand-based projects. Analysis of information collected from different related studies and reports, as well as from PO and HH respondents showed that improvements have been observed in the income level, education and health conditions of beneficiaries. Especially, SSI projects have started enabling poor farmers to produce additional food and cash crops during dry seasons. Due to the existence of the irrigation scheme, beneficiaries in the visited project (Sewak SSI), for example, have on average produced 5.29 quintals of crops per HH in one dry season. However major shortfalls are observed in the productivity of farmers from using SSI projects. A number of factors attributed to such low productivity of farmers that include: lack of adequate skill to use modern irrigation and inability to use the scheme at full capacity, absence of improved seeds and fertilizers, lack of demonstration and extension packages etc.

Quite a large number of rural people are getting significant benefits from the implementation of RWS projects. The availability of pure drinking water at the vicinity of residences are reported producing tangible results in terms of relieving the burden of women and girls and reducing waterborne diseases. Similarly, health projects are helping rural poor communities by providing nearby health services. The benefits gained from health projects, as perceived by beneficiaries, is not limited to improvements in the health conditions, but also include significant time, money and energy saving. Likewise, Fund supported school projects, particularly that of PVSs, have increased school enrollments, especially of girls in rural areas, and decreased dropout and repetition rates. However, there are limitations in health and school projects in terms of the availability of manpower. In the Amhara Region alone, about 41 Fund supported health and education projects, which are situated in rural areas, are

not currently operational mainly due to absence of manpower. This problem is observed also in the visited project (Bambiko HP) where only one Health Assistant is deployed to serve over 85 people per day.

Despite visible achievements in the empowerment aspect of communities, few incidences of disempowerment cases are observed in some ESRDF financed projects. Such disempowerment cases occurred in terms of relatively high cost sharing (cost burden), displacement from previous landholdings, prohibition from customary uses of natural resources, health hazards due to water pollutions, physical damage and loss of both human and animal life, contradictions among beneficiary and non-beneficiary local communities, and absence of compensations for negative consequences of projects. Nevertheless, if comparison has to be made between the before and after project situations on the one hand, and between the positive results and negative impacts of projects on the other hand, the conclusion would be that implemented projects have brought about improvements in the lives of the majority of the poor.

## 5.2. RECOMMENDATIONS

Results of information obtained from various sources lead us to conclude that CBD is an appropriate approach to realize the objective of long-term development and poverty alleviation in Ethiopia provided that major weaknesses and shortcomings, which have been observed in the process so far, are properly recognized and corrected. On the basis of the research findings the following recommendations are therefore forwarded for considerations and applications in future CBD endeavors. In addition, since ESRDF has been involving various stakeholders such as regional and local governmental organizations, local and international NGOs, beneficiary communities etc, limitations that are identified in its interventions and the recommendations given can accordingly be used as important lessons to be applied by other CBD facilitating and implementing agencies.

1. It is generally acceptable both in principle and practice that promotion is the basis of all tasks in any sequentially undertaken development interventions. Before advancing to other phases, target people need to be adequately informed about the objectives and working mechanisms of intended development programs. This can certainly help to scrutinize which community or group needs at most what type of project and thereby to ensure the commitment, concern and support of beneficiaries on a continuous and sustainable basis. These being the likely results of adequate and appropriate promotion,



the Fund lacked to do it at most and needs to workout more in its future operation. Selecting the most efficient promotional tools should also be another important consideration. From past experiences, it would be appropriate to use direct contacts of target communities in different public gatherings rather than largely employing the formal mass medias. Therefore, the good start that has been made since recently by ESRDF in terms of deploying its own community facilitators has to be strengthened and be given due emphasis.

2. Regarding effectiveness in targeting and addressing the remotest rural communities as measured in terms of the location of implemented projects, the Fund so far seems limited to relatively nearby areas of towns and roads. Therefore, the Fund is expected to expand its interventions further to the remotest rural poor communities that are still lacking basic social and economic infrastructures and services and hence suffering from the various aspects of poverty. In addition, if the goal of CBD is to bring fundamental changes in the social and economic lives of the poor by reducing and ultimately eliminating poverty, it might be difficult to achieve such objectives unless poverty is to be fought in all its dimensions and aspects. While this remains to be a widely accepted development and poverty alleviation strategy, ESRDF supported projects have been implemented on a piecemeal rather than integrated basis. One can rarely find different types of ESRDF supported projects in a given target community. Therefore, the Fund needs to reconsider its financing modality and shift from a piecemeal to an integrated development intervention approach.
3. As relevant data indicated, premature deterioration and low economic efficiency has been observed in few SSI projects that were financed by the Fund with relatively high cost. The causes were identified as inadequate baseline studies, faulty designs, and poor quality of construction works. To mitigate such setbacks, the Fund needs to adopt rigorous appraising methods and give due consideration to the economic and social feasibility of projects before approving financing requests so as to ensure that committed resources would generate expected results on a sustainable basis.
4. Another important finding of this research is related to the practices and understanding of community participation. From the implementing and facilitating agencies side, the participation of communities seemed exaggerated in that most of them reported high involvement of communities at all stages and in all aspects of projects. Whereas



information obtained from beneficiaries themselves indicate that their involvement has been limited to certain phases, mainly in the implementation of projects. Beneficiaries recognized their participation in terms of cost sharing in the form of material, financial, free labor and other resources contributions.

Thus, the Fund needs to give more emphasis in changing the attitudes and understanding of beneficiaries about their participation. Rural people need to be educated and encouraged that their participation should advance from the mere contribution of labor and resources for the implementation of projects to a level of decision-making and managing development programs. It is also important that facilitating or implementing agencies ought to identify appropriate phases and activities of projects whereby rural communities could fruitfully participate instead of mass involvement at every stage in which their participation would turnout to be a loss rather than gain. This is not suggested without reason, it is rather based on the experience of the failure of some SSI projects in the Amhara Region that were constructed largely by community labor and collapsed before giving any result.

5. It has been indicated that the sustainability of some projects is at risk due to lack of monitoring and follow up by government sector agencies or other responsible bodies after being completed and handed over to beneficiaries. Unless agencies are certain that they have built beneficiaries' capacities to efficiently manage projects and handle related problems by their own, CBD efforts would turnout to be defective and meaningless. Therefore, the importance of close support and periodic monitoring and evaluation of the status of projects by concerned agencies should be reconsidered.
6. The physical implementation of projects should be supplemented with other services and facilities. For example studies showed that in almost all SSI projects, farmers are not provided with credit services to purchase fertilizers and improved seeds, nor extension and demonstration services are available. For this reason, productivity of projects is hindered and falls far short of expectations. Hence, the provision of these basic services would be of paramount importance.
7. Related to the above-mentioned point, weaknesses in fulfilling corresponding services or basic requirements for the operation of projects have also been observed in health and education schemes. Many projects under these categories are suffering from shortage of

the required manpower, and some are rather not operating at all. In this respect it should be noted that the physical presence of projects alone has no any role in empowering poor communities. It would rather have a demoralizing effect in future development interventions in local communities. In order to overcome these problems the Fund has to establish coordination with the ministries and bureaus of health and education from the beginning. The Fund has to be certain before committing its resource that there would be the necessary manpower to be assigned in Fund supported projects.

8. Finally, although micro-credit financing is recognized to be one of ESRDF's support programs, it has not yet materialized due to delays of approval by the World Bank. Micro-credit financing can yield immediate results by generating income and employment and thereby play an important role in poverty reduction. Establishing micro-credit financing schemes could also solve problems associated with credit facilities in SSI projects mentioned earlier. However, micro financing should be preceded by appropriate training to potential beneficiaries and be closely monitored.

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**ANNEX-1: Summary of ESRDF-Financed Projects by Region, Status, Cost, and Beneficiary in Ethiopia (As of July07, 1999)**

| Region       | Status of Financed Projects |             |           |             | Cost of Projects by Source |                 |                  | No. of Beneficiaries |                |                 |
|--------------|-----------------------------|-------------|-----------|-------------|----------------------------|-----------------|------------------|----------------------|----------------|-----------------|
|              | Ui                          | Cm          | Ab        | Total       | ESRDF                      | CC              | Total            | M                    | F              | Total           |
| A/Ababa      | 24                          | 40          | 0         | 64          | 22095830                   | 2364253         | 24460083         | 492255               | 494491         | 986746          |
| Afar         | 13                          | 27          | 0         | 40          | 13476070                   | 1482367         | 14958437         | 48052                | 43468          | 91520           |
| Amhara       | 95                          | 747         | 20        | 862         | 102992230                  | 12603680        | 115595910        | 1108739              | 1141258        | 2249997         |
| Benish.      | 58                          | 36          | 1         | 95          | 9818370                    | 1050565         | 10868935         | 108899               | 121899         | 230798          |
| D/Dawa       | 34                          | 15          | 0         | 49          | 4286570                    | 458663          | 4745233          | 96668                | 83307          | 179975          |
| Gambe.       | 31                          | 31          | 1         | 63          | 17533950                   | 1753395         | 19287345         | 43462                | 47998          | 91460           |
| Hrari        | 11                          | 30          | 5         | 46          | 5262330                    | 563069          | 5825399          | 491318               | 473338         | 964656          |
| Oromiya      | 113                         | 189         | 2         | 304         | 63312010                   | 6964321         | 70276331         | 1748858              | 1689361        | 3438219         |
| SNNPR        | 73                          | 60          | 2         | 135         | 39400640                   | 4215868         | 43616508         | 370063               | 420181         | 790244          |
| Somali       | 45                          | 59          | 0         | 104         | 19588910                   | 2096013         | 21684923         | 265765               | 298192         | 563957          |
| Tigray       | 73                          | 102         | 4         | 179         | 35054090                   | 3855950         | 38910040         | 420205               | 425281         | 845486          |
| <b>Total</b> | <b>570</b>                  | <b>1336</b> | <b>35</b> | <b>1941</b> | <b>332821000</b>           | <b>37408144</b> | <b>370229144</b> | <b>5194284</b>       | <b>5238774</b> | <b>10433058</b> |

**Source: Adopted from ESRDF Annual Reports**

The abbreviations in Table-5 and Table-6 below denote the following:

- (i). RWS= Rural Water Supply, (ii). SSI= Small-scale Irrigation, (iii). H&US= Health and Urban Sanitation (iv). Edu.= Education, (v). Ui= Under Implementation, (vi). Cm= Completed, (vii). Ab= Abandoned, (viii).To= Total, (ix). ESRDF= Ethiopian Social Rehabilitation and Development Fund, (x).CC= Community Contributions, (xi). Ot= Others.

**ANNEX-2: Summary of ESRDF-Financed Projects by Sector, Status, Cost, and Beneficiary in Ethiopia (As of July 07, 1999)**

| Sector       | Financed Projects |             |           |             | Cost by Source (in Birr) |                 |                  | Number of Beneficiaries |                |                 |
|--------------|-------------------|-------------|-----------|-------------|--------------------------|-----------------|------------------|-------------------------|----------------|-----------------|
|              | Ui.               | Cm.         | Ab.       | To.         | ESRDF                    | CC              | Total            | Male                    | Female         | Total           |
| RWS          | 285               | 670         | 33        | 988         | 61636203                 | 6927773         | 68563976         | 888872                  | 919740         | 1808612         |
| SSI          | 23                | 53          | 0         | 76          | 82257850                 | 9245601         | 91503451         | 22341                   | 16782          | 39123           |
| HUS          | 113               | 264         | 1         | 378         | 83124816                 | 9343045         | 92467861         | 3543930                 | 3588592        | 7132522         |
| Edu.         | 127               | 297         | 1         | 425         | 97999086                 | 11014880        | 109013966        | 503600                  | 496171         | 999771          |
| Other        | 22                | 52          | 0         | 74          | 7803045                  | 876845          | 8679890          | 235541                  | 217489         | 453030          |
| <b>Total</b> | <b>570</b>        | <b>1336</b> | <b>35</b> | <b>1941</b> | <b>332821000</b>         | <b>37408144</b> | <b>370229144</b> | <b>5194284</b>          | <b>5238774</b> | <b>10433058</b> |

Source: Adopted from ESRDF Annual Reports

**ANNEX-3:** Summary of ESRDF Financed Projects by Type, Status, Cost, and Number of Beneficiaries in the Amhara Region (As of July 07, 1999).

| Types of Projects      | Financed Projects |            |           |            | Cost of Projects by Source (in Birr) |                   |                    |              | Number of Beneficiaries |                |                  |
|------------------------|-------------------|------------|-----------|------------|--------------------------------------|-------------------|--------------------|--------------|-------------------------|----------------|------------------|
|                        | UI                | Co         | Ab        | Total      | ESRDF                                | CC                | Total              | %CC          | Male                    | Female         | Total            |
| Education              | 28                | 77         | 0         | 105        | 30,555,269                           | 3,481,945         | 34,037,214         | 10.23        | 27,280                  | 30,026         | 57,306           |
| Health                 | 19                | 97         | 0         | 116        | 26,214,529                           | 2,651,070         | 28,865,599         | 9.18         | 488,701                 | 518,206        | 1,006,907        |
| Rural Water Supply     | 34                | 530        | 20        | 584        | 18,876,796                           | 2,530,798         | 21,407,594         | 11.82        | 163,166                 | 155,791        | 318,957          |
| Small-Scale Irrigation | 15                | 20         | 0         | 35         | 24,989,174                           | 3,586,224         | 28,575,398         | 12.55        | 13,586                  | 12,253         | 25,839           |
| Others                 | 2                 | 23         | 0         | 25         | 2,356,462                            | 353,643           | 2,710,105          | 13.05        | 283,057                 | 258,461        | 541,518          |
| <b>Total</b>           | <b>98</b>         | <b>747</b> | <b>20</b> | <b>865</b> | <b>102,992,230</b>                   | <b>12,603,680</b> | <b>115,595,910</b> | <b>11.37</b> | <b>975,790</b>          | <b>974,737</b> | <b>1,950,527</b> |

**SOURCE:** Adopted from ESRDF Office of the Amhara Regional State Three Years' Annual Reports

**Key:** Abbreviations in the table represent the following: **UI**= Under Implementation, **Co**= Completed, **Ab**= Abandoned, and **CC**= Community Contributions.

**ANNEX-4:** Summary of ESRDF Financed Projects by Zone, Category, Cost, and Number of Beneficiaries in the Amhara Region (As of July 07, 1999)

| Zone          | Number of Woredas | Number of Implemented Projects by Category |            |                  |                  |                     |            | Total Cost of Projects (Birr) | Total No. of Beneficiaries |
|---------------|-------------------|--------------------------------------------|------------|------------------|------------------|---------------------|------------|-------------------------------|----------------------------|
|               |                   | Education                                  | Health     | RWS <sup>1</sup> | SSI <sup>2</sup> | Others <sup>3</sup> | Total      |                               |                            |
| Agew Awi      | 5                 | 8                                          | 10         | 63               | 2                | 1                   | 84         | 11,000,489                    | 169,415                    |
| B/Dar Special | 1                 | 4                                          | 1          | 0                | 1                | 0                   | 6          | 801,821                       | 13,530                     |
| East Gojjam   | 12                | 8                                          | 12         | 22               | 0                | 2                   | 44         | 5,880,023                     | 99,218                     |
| North Gondar  | 16                | 18                                         | 15         | 76               | 6                | 3                   | 118        | 15,769,153                    | 266,083                    |
| North Shewa   | 17                | 13                                         | 16         | 93               | 3                | 5                   | 130        | 17,372,796                    | 293,143                    |
| North Wollo   | 9                 | 8                                          | 10         | 64               | 6                | 4                   | 92         | 12,294,594                    | 207,455                    |
| Oromiya       | 3                 | 6                                          | 8          | 53               | 1                | 4                   | 72         | 9,621,856                     | 162,356                    |
| South Gondar  | 9                 | 8                                          | 12         | 60               | 2                | 2                   | 84         | 11,225,499                    | 174,215                    |
| South Wollo   | 16                | 12                                         | 14         | 63               | 2                | 3                   | 94         | 12,561,868                    | 211,965                    |
| Wag Himra     | 3                 | 5                                          | 3          | 51               | 5                | 1                   | 53         | 7,082,755                     | 119,512                    |
| West Gojjam   | 11                | 13                                         | 15         | 51               | 5                | 0                   | 84         | 11,450,508                    | 224,615                    |
| All Zones     | 0                 | 2*                                         | 0          | 0                | 2**              | 0                   | 4          | 534,548                       | 9020                       |
| <b>Total</b>  | <b>102</b>        | <b>105</b>                                 | <b>116</b> | <b>584</b>       | <b>35</b>        | <b>25</b>           | <b>865</b> | <b>115,595,910</b>            | <b>1,950,527</b>           |

Source: Adopted from ESRDF Office of the Amahra Region.

**Key** \* and \*\* = books & furniture provided to different schools and ISS study fund provided to ORDA Bureau of Agriculture of the Amhara Region respectively; RWS= Rural Water Supply; SSI= Small-Scale Irrigation; Others= Grain mill, Input Store, and Veterinary Clini



**ANNEX:-5. Summary HHs' Responses to Participation, Empowerment, and Attitude Related Questions in ESRDF Financed Projects**

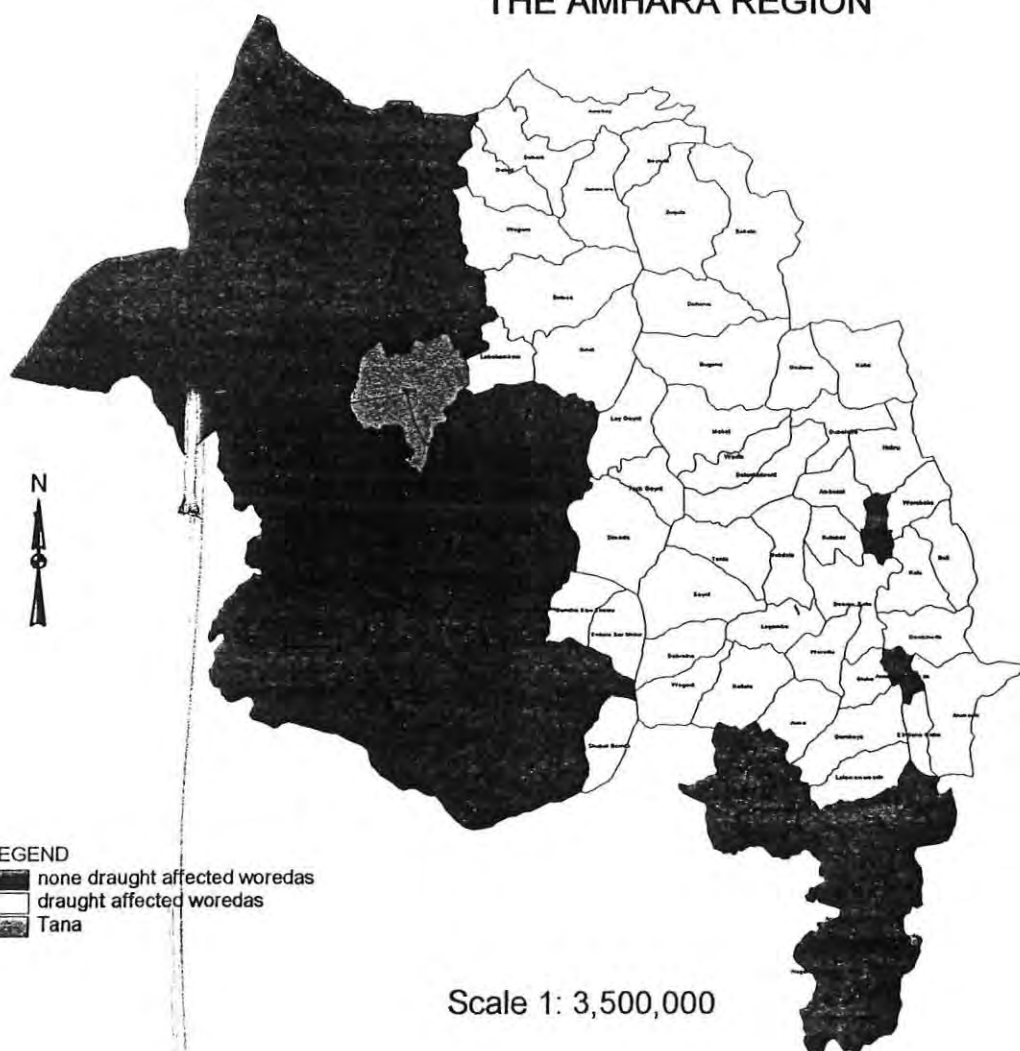
| NO | Questions                                                                                                  | SEWAR SSI |      |              | GUHALLA WS |      |              | WORETA SUG |       |             | BAMBIKO HP |       |             |
|----|------------------------------------------------------------------------------------------------------------|-----------|------|--------------|------------|------|--------------|------------|-------|-------------|------------|-------|-------------|
|    |                                                                                                            | Yes       | No   | No Responses | Yes        | No   | No Responses | Yes        | No    | No Response | Yes        | No    | No Response |
| 1  | Have you Participated in any phases of the project                                                         | 100       | 0.0  | 0.0          | 100        | 0.0  | 0.0          | 86.7       | 3.3   | 10.0        | 76.6       | 6.7   | 16.7        |
| 2  | Was your participation based on your willingness                                                           | 84.0      | 0.0  | 16.0         | 91.4       | 0.0  | 8.6          | 6.7        | 20.0  | 13.3        | 70.0       | 0.0   | 30.0        |
| 3  | Was your participation helpful for the present success of the project?                                     | 68.0      | 8.0  | 24.0         | 77.1       | 0.0  | 22.9         | 56.6       | 16.7  | 27.7        | 43.3       | 10.0  | 46.7        |
| 4  | Are you currently involved in the management of the project                                                | 32.0      | 24.0 | 44.0         | 28.6       | 42.8 | 28.6         | 10.0       | 73.3  | 16.7        | 16.7       | 50.0  | 33.3        |
| 5  | Are you a member of the CPC or any project related committee                                               | 16.0      | 84.0 | 0.0          | 17.1       | 82.9 | 0.0          | 10.0       | 90.0  | 0.0         | 6.7        | 93.3  | 0.0         |
| 6  | Are you a member of PA/UDA or any local Community argn committee                                           | 8.0       | 92.0 | 0.0          | 8.6        | 91.4 | 0.00         | 0.0        | 100   | 0.0         | 6.7        | 93.3  | 0.0         |
| 7  | Do you have strong concern project to the Pr.                                                              | 84.0      | 0.0  | 16           | 100        | 0.00 | 0.0          | 50.0       | 3.3   | 46.7        | 63.3       | 10.0  | 26.7        |
| 8  | Is the benefit you currently gain from the project satisfactory?                                           | 60.0      | 24.0 | 16.0         | 88.6       | 0.0  | 11.4         | 50.0       | 0.0   | 50.0        | 46.7       | 3.3   | 50.0        |
| 9  | Do you want the Project to be replicated or expanded                                                       | 68.0      | 16.0 | 16.0         | 85.7       | 0.0  | 14.3         | 43.3       | 0.0   | 56.7        | 46.7       | 16.7  | 36.6        |
| 10 | Was there any punishment for not participating or for any failure to meet project related requirements?    | 28.0      | 20   | 52.0         | 28.8       | 17.1 | 54.1         | 20.0       | 10    | 70          | 0.0        | 10.0  | 90.0        |
| 11 | Did the project Crete any displacement effect.                                                             | 4.00      | 68.0 | 28.0         | 0.0        | 71.4 | 28.6         | 13.3       | 36.7  | 50.0        | 23.3       | 16.7  | 60          |
| 12 | Did the project cause disagreements or contradiction among groups?                                         | 64        | 12.0 | 24.0         | 11.4       | 68.6 | 20.0         | 30.0       | 46.7  | 23.3        | 33.3       | 20.0  | 46.7        |
| 13 | Were we informed about the facilities of the fund before the inception of this project                     | 12.0      | 88.0 | 0.0          | 25.7       | 74.3 | 0.00         | 13.31      | 86.7  | 0.0         | 0.0        | 100   | 0.00        |
| 14 | Were you asked about your priority needs before the inception of the project                               | 20.0      | 80.0 | 0.0          | 31.4       | 65.7 | 2.9          | 10.00      | 90.00 | 0.00        | 6.70       | 93.3  | 0.0         |
| 15 | Is this project your priority                                                                              | 88.0      | 8.0  | 4.00         | 100        | 0.00 | 0.00         | 56.7       | 35.6  | 6.7         | 84.0<br>0  | 12.00 | 4.00        |
| 16 | Have any member of the HH been trained how to identify needs and implement , manage and maintain projects. | 0.0       | 100  | 0.0          | 11.4       | 88.6 | 0.00         | 10.0       | 90.0  | 0.6         | 0.0        | 100   | 0.0         |
| 17 | Was Implementation the cost sharing you contributed affordable to you?                                     | 64.       | 20.0 | 16.0         | 54.3       | 28.6 | 17.1         | 36.7       | 8.00  | 23.3        | 60.0<br>0  | 17.7  | 13.3        |

|    |                                                                                      |      |      |      |       |      |      |      |      |      |      |      |      |
|----|--------------------------------------------------------------------------------------|------|------|------|-------|------|------|------|------|------|------|------|------|
| 18 | Do you pay contribute for maintenance expenses?                                      | 100  | 00.0 | 0.0  | 100.0 | 0.0  | 0.0  | 80.  | 0.0  | 20.0 | 63.3 | 13.3 | 23.4 |
| 19 | Do you pay or r contribute for operating expenses                                    | 84.0 | 0.0  | 16.0 | 30.0  | 46.0 | 24.0 | 0.0  | 90.0 | 10   | 0.0  | 80.0 | 20.0 |
| 20 | Do you pay user or service fee                                                       | 0.0  | 88.0 | 12.0 | 100   | 0.0  | 0.0  | 100  | 0.0  | 0.0  | 100  | 0.0  | 0.0  |
| 21 | Is the user or service fee currently you pay, commensurable to the benefit your gain | 0.0  | 0.0  | 100  | 100   | 0.0  | 0.0  | 56.7 | 0.0  | 43.3 | 76.7 | 0.0  | 13.3 |
| 22 | Do you gain project benefits equally with other beneficiaries                        | 36.0 | 24   | 40   | 88.5  | 0.0  | 11.5 | 23.3 | 16.7 | 60.0 | 27.7 | 16.7 | 56.6 |

**ANNEX-6 : Summary of Pos' Responses to Participation, Empowerment, and Attitudes of Beneficiaries towards ESRDF Financed Projects and Other Related Questions**

| S/NO | Responses and Proportions                                                                                       |       |       |
|------|-----------------------------------------------------------------------------------------------------------------|-------|-------|
|      | Questions                                                                                                       | Yes   | No    |
| 1    | Do projects benefit from high use of local                                                                      |       |       |
|      | - Technology                                                                                                    | 59.29 | 40.71 |
|      | - Labor (skill)                                                                                                 | 96.88 | 3.12  |
|      | - Resource.                                                                                                     | 96.88 | 3.12  |
| 2    | Are communities or members of communities trained to identify, prepare, implement, manage and maintain projects | 70.00 | 30.00 |
| 3    | Are communities capable of evaluating project impacts?                                                          | 42.50 | 57.50 |
| 4    | Were people paid for their labor contribution?                                                                  | 25.00 | 75.00 |
| 5    | Were people adequately consulted & involved in various project phases?                                          | 55.63 | 44.37 |
| 6    | Do beneficiaries Contribute for implementation Costs?                                                           | 100%  | 0.00  |
| 7    | Do beneficiaries Contribute for Operating costs?                                                                | 48.8  | 51.20 |
| 8    | Do beneficiaries Contribute for Maintenance Costs?                                                              | 56.88 | 43.12 |
| 9    | Do beneficiaries pay user fee?                                                                                  | 54.53 | 45.47 |
| 10   | Were there promotional works done before projects startup                                                       | 68.75 | 31.25 |
| 11   | Were people fully and willingly attending discussion meetings                                                   | 61.38 | 38.62 |
| 12   | Did projects produce cost or debt burden?                                                                       | 23.00 | 71.00 |
| 13   | Did projects result in any displacement or prohibition effect to communities?                                   | 12.00 | 88.00 |
| 14   | Were people paid compensation for being displaced or prohibited?                                                | 38.33 | 61.67 |
| 15   | Did projects result in health, safety or environmental effect on residents?                                     | 13.00 | 87.00 |
| 16   | Did projects cause disagreements or contradictions among different groups?                                      | 32.00 | 78.00 |

# ANNEX - 7 DROUGHT PRONE WOREDAS IN THE AMHARA REGION



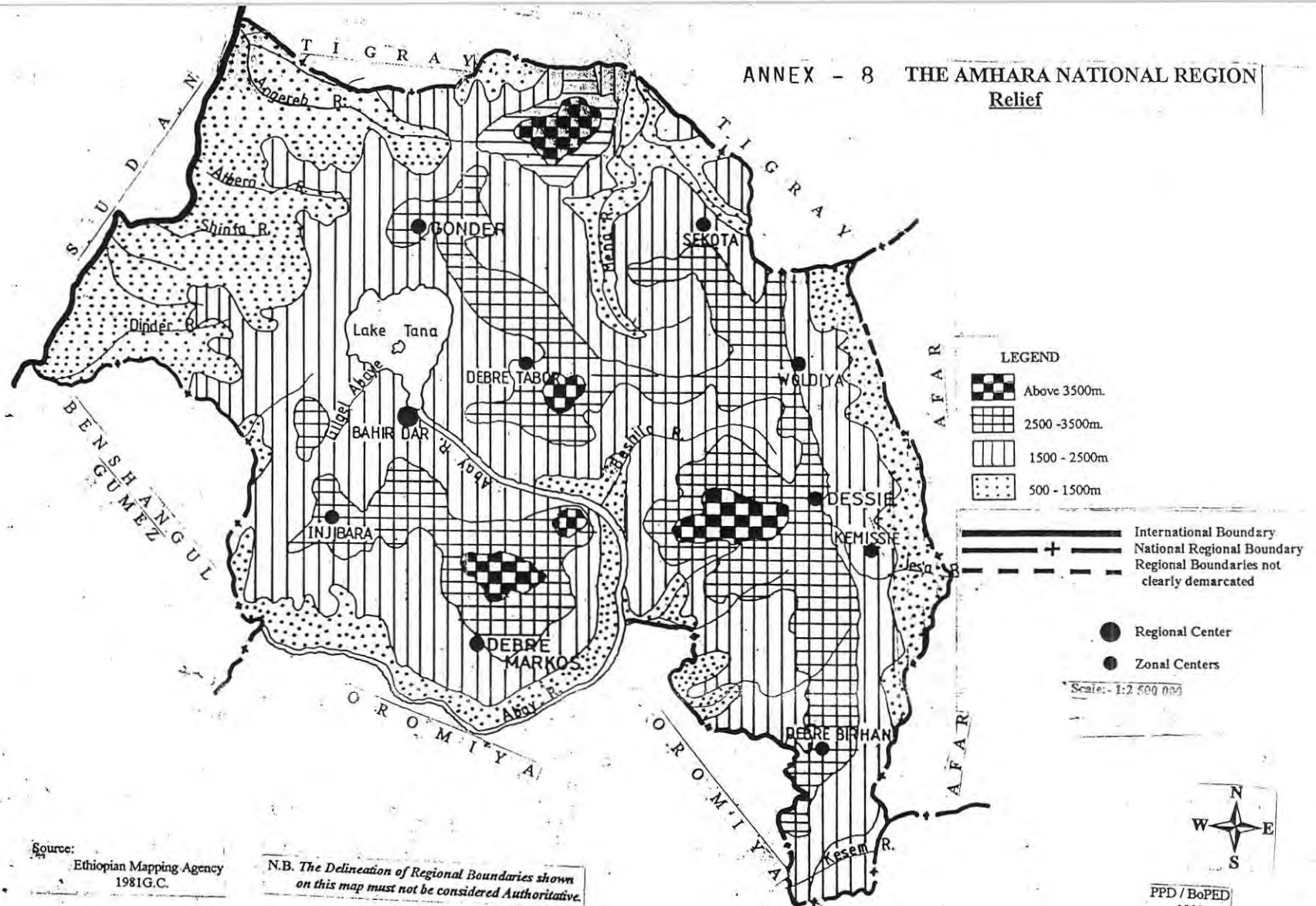
## LEGEND

- none draught affected woredas
- draught affected woredas
- Tana

Scale 1: 3,500,000



# ANNEX - 8 THE AMHARA NATIONAL REGION Relief



| Nº             | WOREDA         | WOREDA CENTER   | Nº          | WOREDA         | WOREDA CENTER |
|----------------|----------------|-----------------|-------------|----------------|---------------|
| NORTH GONDAR - |                |                 | NORTH WELLO |                |               |
| 1              | Adi Arekaye    | Adi Arekaye     | 27          | Bugena         | Lalibela      |
| 2              | Beyeda         | Dil Yibera      | 28          | Kobo           | Kobo          |
| 3              | Janamora       | Mekane Birhan   | 29          | Gidan          | Muja          |
| 4              | Debark         | Debark          | 30          | Meket          | Filakdt       |
| 5              | Dabat          | Dabat           | 31          | Wadila         | Kone          |
| 6              | Yegdie Armach. | Sanja           | 32          | Delanta Dawint | Wegel Tena    |
| 7              | Lay Aremachlho | Tikil Dengaye   | 33          | Guba Lafto     | Woldiya       |
| 8              | Wegera         | Amba Giorgis    | 34          | Habru          | Mersa         |
| 9              | Gonder Zuria   | Teda            | 35          | Woldiya T.     | Woldiya       |
| 10             | Dembta         | Kota Diba       | SOUTH WELLO |                |               |
| 11             | Chilga         | Aykel           | 36          | Mekedela       | Masha         |
| 12             | Metema         | Shehedl         | 37          | Tenta          | Ajibar        |
| 13             | Quara          | Tewodros Ketema | 38          | Kutaber        | Kutaber       |
| 14             | Alefa Takusa   | Shahura         | 39          | Ambasel        | Wuchalie      |
| 15             | Belesa         | Arabaya         | 40          | Tehulederie    | Haife         |
| 16             | Gonder Town    | Gondar          | 41          | Werebabo       | Bistima       |
|                |                |                 | 42          | Kalu           | Harbu         |
| SOUTH GONDAR   |                |                 | 43          | Dessie Zuria   | Dessie        |
| 17             | Ibenat         | Ibenat          | 44          | Legambo        | Akerta        |
| 18             | Libo Kemkem    | Adis Zemen      | 45          | Sayint         | Sayint AJ.    |
| 19             | Fegera         | Woreta          | 46          | Debre Sina     | Mekane S.     |
| 20             | Farta          | Debre Tabor     | 47          | Kelela         | Kelela        |
| 21             | Lay Gayint     | Nefas Mewcha    | 48          | Jama           | Degolo        |
| 22             | Tach Gayint    | Areb Gebeya     | 49          | Were Ilu       | Were Ilu      |
| 23             | Simada         | Wogeda          | 50          | Wogedie        | Wogedie       |
| 24             | Ertfe          | Mekane Eyesus   | 51          | Kombolcha      | Kombolcha     |
| 25             | Dera           | Ambesame        | 52          | Dessie Town    | Dessie        |
| 26             | Debre Tabor T. | Debre Tabor     |             |                |               |

| Nº          | WOREDA            | WOREDA CENTER  | Nº                 | WOREDA             | WOREDA CENTER |
|-------------|-------------------|----------------|--------------------|--------------------|---------------|
| AWI         |                   |                | EAST GOJJAM cont.. |                    |               |
| 53          | Dangila           | Dangila        | 80                 | Enarge Enawuga     | Debre Worke   |
| 54          | Banja Sheku.      | Injibara       | 81                 | Debre Markos Town  |               |
| 55          | Ankesha Guag.     | Agew Gmjabet   | NORTH SHEWA        |                    |               |
| 56          | Guangua           | Chagni         | 82                 | Bassona Worana     | Debre Birhan  |
| 57          | Fagita Lekoma     | Addis Kedame   | 83                 | Mida Woromo        | Meragna       |
| WEST GOJJAM |                   |                | 84                 | Merehabete         | Alem Ketema   |
| 58          | Bhir Dar Zuria    | Bahir Dar      | 85                 | Ensarona Wayo      | Deneba        |
| 59          | Achefer           | Dure Betie     | 86                 | Moretena Jiru      | Inewarie      |
| 60          | Yillemama Den.    | Adiet          | 87                 | Gera Keya          | Mehal Meda    |
| 61          | Mecha             | Merawi         | 88                 | Gishe              | Rabel         |
| 62          | Sekela            | Gishe Mariam   | 89                 | Antsoklya Gemza    | Mekoye        |
| 63          | Quarit            | Gebeze Mariam  | 90                 | Efratena Gidem     | Ataye         |
| 64          | Dega Damot        | Feres Bet      | 91                 | Lalo Mama Mider    | Molalle       |
| 65          | Dembecha          | Dembecha       | 92                 | Kewet              | Shewa Robit   |
| 66          | Jabi Tehaman      | Finote Selam   | 93                 | Angolelana Asagert | Chacha        |
| 67          | Burle Womberema   | Burle          | 94                 | Ankober            | Gorabel       |
| East GOJJAM |                   |                | 95                 | H/Mariamena Kesem  | Shola Gebeya  |
| 68          | Gozamin           | Debre Markos   | 96                 | Berebet            | Meteh Bila    |
| 69          | Bibugn            | Duga Tsion     | 97                 | Minjarena Shenkora | Arerti        |
| 70          | Hulet Eju Ene.    | Mota           | 98                 | Tarma Ber          | Debre Sina    |
| 71          | Concha Siso Enese | Gunde Wolne    | 99                 | Debre Berhan Town  |               |
| 72          | Enebsie Sar Mider | Mertole Mariam | Wag Himera         |                    |               |
| 73          | Enemaye           | Bichena        | 100                | Sekota             | Sekota        |
| 74          | Debaye Telatigne  | Kuye           | 101                | Zequala            | Tsitsika      |
| 75          | Machakel          | Amanuel        | 102                | Dabena             | Amede Worke   |
| 76          | Baso Liben        | Yejubie        | Oromiya            |                    |               |
| 77          | Awabel            | Lumamle        | 103                | Dawa Chefa         | Kemissie      |
| 78          | Dejen             | Dejen          | 104                | Bati               | Bati          |
| 79          | Shebel Berenta    | Yede Wuha      | 105                | Artuma Jilie       | Chefa Robite  |

### ANNEX-9 : RESEARCH QUESTIONNAIRE

I kindly request you to cooperate me in filling out this questionnaire as promptly as possible.

This questionnaire is designed for the sole purpose of collecting information for a thesis research being undertaken as a partial fulfillment of the Master's Degree. Therefore, I would like to confirm you that the information you provide me will be kept confidential and be put in use only for academic purpose.

Thank you in advance!

Nega Wubie

In charge of the research

1. Questionnaire No. \_\_\_\_\_
2. Name of the respondent \_\_\_\_\_ Project-related status \_\_\_\_\_
3. Name of the enumerator \_\_\_\_\_ Signature \_\_\_\_\_ Date \_\_\_\_\_

Questions under Part one should be addressed to concerned project officers.

1. Put your choices in the questionnaire in order of their importance in cases where there are more than one answers to the question.

#### **PART-I. ABOUT THE PROJECT**

##### **SECTION-1. GENERAL BACKGROUND.**

- 1.1. Project Type (Category)\_\_\_\_\_ 1.2. No. of Projects in the Category\_\_\_\_\_ 1.3. Projects Distributed in \_\_\_\_\_ Zones, in \_\_\_\_\_ Woredas, in \_\_\_\_\_ Kebeles or Peasant Associations
- 1.4. If projects are located in the rural areas, state their minimum and maximum distance in kilometer from:
  - 1.4.1. the immediate nearest town;\_\_\_\_\_
  - 1.4.2. the immediate nearest transport accessibility (road);\_\_\_\_\_
- 1.5. Total number of household beneficiaries in the category\_\_\_\_\_
- 1.6. Total number of direct beneficiaries in the category\_\_\_\_\_
- 1.7. Expected lifetime of projects in the category in year (put minimum and maximum range)\_\_\_\_\_



**PART -I****SECTION - 2 Basic Activities of the project****CODE (A)** Promotion done by

|                    |   |
|--------------------|---|
| ESRDF              | 1 |
| Sector Departments | 2 |
| NGOs               | 3 |
| Volunteer groups   | 4 |
| Other =            | 5 |
| Specify _____      |   |

**CODE (B)** Promotion work done through

|                            |   |
|----------------------------|---|
| News paper =               | 1 |
| Radio =                    | 2 |
| Television=                | 3 |
| Field workers=             | 4 |
| Trained community members= | 5 |
| Other=                     | 6 |
| Specify _____              |   |

**CODE (C)** Project idea generated by:

|                                                   |    |
|---------------------------------------------------|----|
| ▪ Elected project (development) committee members | 1  |
| ▪ ESRDF                                           | 2  |
| ▪ Sectoral Government Agencies                    | 3  |
| ▪ Peasant association committee members           | 4  |
| ▪ Urban dwellers association committee members    | 5  |
| ▪ Youth association                               | 6  |
| ▪ Women association                               | 7  |
| ▪ Volunteer groups                                | 8  |
| ▪ NGOs                                            | 9  |
| ▪ Consultants                                     | 10 |
| ▪ Other                                           | 11 |
| Specify _____                                     |    |

**CODE (D)** Project identified by:

- Repeat bodies listed under Code C

**CODE (E)** Project proposal prepared by:

- Repeat bodies listed under Code-C

**CODE (F)** Project appraised by:

|                                |   |
|--------------------------------|---|
| ▪ ESRDF Project Officer        | 1 |
| ▪ Sectoral government employee | 2 |
| ▪ Concerned NGO worker         | 3 |
| ▪ Regional Steering Committee  | 4 |
| ▪ Other                        | 5 |
| Specify _____                  |   |

**CODE (G)** Project Approved by:

|                               |   |
|-------------------------------|---|
| ▪ ESRDF Project Officer       | 1 |
| ▪ Sectoral government agency  | 2 |
| ▪ Concerned NGO               | 3 |
| ▪ Regional Steering Committee | 4 |
| ▪ Other                       | 5 |
| Specify _____                 |   |

**PART - I****SECTION - 2 Basic Activities of the Project**

| ID<br>CODE | 2.1 Were there<br>promotional works<br>done before project<br>start up?<br>Yes = 1 No = 2 | 2.2 Promotion<br>done by<br>(CODE-A) | 2.3 Promotion<br>done<br>through<br>(CODE-B) | 2.4 Project idea<br>generated<br>by:<br>(CODE C) | 2.5 Project<br>identified<br>by:<br>(CODE - D) | 2.6 Project<br>proposal<br>prepared by:<br>(CODE-E) | 2.7 Project<br>Appraised<br>by:<br>(CODE-F) | 2.8 Project<br>Approved<br>by:<br>(CODE-G) |
|------------|-------------------------------------------------------------------------------------------|--------------------------------------|----------------------------------------------|--------------------------------------------------|------------------------------------------------|-----------------------------------------------------|---------------------------------------------|--------------------------------------------|
| 01         |                                                                                           |                                      |                                              |                                                  |                                                |                                                     |                                             |                                            |
| 02         |                                                                                           |                                      |                                              |                                                  |                                                |                                                     |                                             |                                            |
| 03         |                                                                                           |                                      |                                              |                                                  |                                                |                                                     |                                             |                                            |
| 04         |                                                                                           |                                      |                                              |                                                  |                                                |                                                     |                                             |                                            |
| 05         |                                                                                           |                                      |                                              |                                                  |                                                |                                                     |                                             |                                            |
| 06         |                                                                                           |                                      |                                              |                                                  |                                                |                                                     |                                             |                                            |
| 07         |                                                                                           |                                      |                                              |                                                  |                                                |                                                     |                                             |                                            |
| 08         |                                                                                           |                                      |                                              |                                                  |                                                |                                                     |                                             |                                            |
| 09         |                                                                                           |                                      |                                              |                                                  |                                                |                                                     |                                             |                                            |
| 10         |                                                                                           |                                      |                                              |                                                  |                                                |                                                     |                                             |                                            |
| 11         |                                                                                           |                                      |                                              |                                                  |                                                |                                                     |                                             |                                            |

# **PART- I**

## **SECTION -3    Community Consultation and Involvement**

### **CODE (A) Project phase where target are people consulted (involved)**

- promotional phase        = 1
- need identification       = 2
- feasibility study         = 3
- project design            = 4
- implementation           = 5
- managing and controlling= 6
- ex-post evaluation        = 7
- Benefit sharing           = 8

### **CODE (B) Reason for not involving people**

- the process is time-taking       = 1
- local people is inexperienced   = 2
- local people is unwilling to involve = 3
- shortage of staff to deal with people = 4
- consultation is costly            = 5
- local people are inaccessible   = 6
- local people tend to reject       = 7
- Other                                = 8

Specify\_\_\_\_\_

### **CODE (C) Information gained from consulted or involved people**

- Information about priorities   = 1
- Information about potentials   = 2
- Information about topography = 3
- Information about weather     = 4
- Information about cultural values= 5
- Information about demographic structure = 6
- Other                                = 7

Specify\_\_\_\_\_

| ID<br>CODE | 11.1 Were target people adequately consulted and involved in the project phases?<br>Yes = 1<br>No = 2 | 3.2 If yes at which phase were people consulted or involved ?<br>(CODE -A) | 3.3 If no, what is the reason for not involving people?<br>(CODE-B) | 3.4 Information gained from consulted or involved people<br>(CODE -C) | 3.5 Were people fully and willingly attending discussion meetings?<br>Yes = 1 No= 3<br>Partly= 2 | 3.6 Number of meeting days with communities | 3.7 Number of people in each meeting (on average)<br>Male= 1<br>Female= 2 |
|------------|-------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------|---------------------------------------------------------------------|-----------------------------------------------------------------------|--------------------------------------------------------------------------------------------------|---------------------------------------------|---------------------------------------------------------------------------|
| 01         |                                                                                                       |                                                                            |                                                                     |                                                                       |                                                                                                  |                                             |                                                                           |
| 02         |                                                                                                       |                                                                            |                                                                     |                                                                       |                                                                                                  |                                             |                                                                           |
| 03         |                                                                                                       |                                                                            |                                                                     |                                                                       |                                                                                                  |                                             |                                                                           |
| 04         |                                                                                                       |                                                                            |                                                                     |                                                                       |                                                                                                  |                                             |                                                                           |
| 05         |                                                                                                       |                                                                            |                                                                     |                                                                       |                                                                                                  |                                             |                                                                           |
| 06         |                                                                                                       |                                                                            |                                                                     |                                                                       |                                                                                                  |                                             |                                                                           |
| 07         |                                                                                                       |                                                                            |                                                                     |                                                                       |                                                                                                  |                                             |                                                                           |
| 08         |                                                                                                       |                                                                            |                                                                     |                                                                       |                                                                                                  |                                             |                                                                           |
| 09         |                                                                                                       |                                                                            |                                                                     |                                                                       |                                                                                                  |                                             |                                                                           |
| 10         |                                                                                                       |                                                                            |                                                                     |                                                                       |                                                                                                  |                                             |                                                                           |

# **PART- I**

## **SECTION -4 Project Input and maintenance**

### **CODE (A) Inputs used in the implementation**

#### phase

#### **Technology**

- imported = 1
- country mode = 2\*
- local made = 3

#### **Material**

- imported = 4
- local primary = 5\*\*
- local secondary = 6\*\*\*

#### **Manpower (Labour)**

- Foreigner = 7
- Local skilled = 8
- Local semi-skilled = 9
- Local unskilled = 10

### **CODE (B) Inputs being used for operation**

#### **Technology**

- imported = 1
- country made = 2
- local made = 3

#### **Material**

- imported = 4
- local primary = 5
- local secondary = 6

#### **Manpower(skill)**

- Foreigner = 7
- local skilled = 8
- local semi-skilled = 9
- local unskilled = 10

### **CODE (C) Project maintenance requirement**

- external (foreign) professional = 1
- external (national) = 2
- local skilled manpower = 3
- local semi-skilled manpower = 4
- local unskilled " = 5

### **CODE (D) Material Requirement for project maintenance**

- imported = 1
- country produced = 2
- locally produced = 3
- local (natural) = 4

| ID<br>CODE | 4.1 Inputs used in<br>implementation<br>phase<br>(CODE-A) | 4.2 Inputs being used<br>for operation<br>(CODE-B) | 4.3 Skill required<br>for project<br>maintenance<br>(CODE -C) | 4.4 Materials<br>used for<br>maintenance<br>(CODE -D) | 4.5 Does the project benefit from high use of local: |                                  |                          |
|------------|-----------------------------------------------------------|----------------------------------------------------|---------------------------------------------------------------|-------------------------------------------------------|------------------------------------------------------|----------------------------------|--------------------------|
|            |                                                           |                                                    |                                                               |                                                       | Technology?<br>Yes= 1, No= 2                         | Labour (skill)?<br>Yes= 1, No= 2 | Resource?<br>Yes=1, No=2 |
| 01         |                                                           |                                                    |                                                               |                                                       |                                                      |                                  |                          |
| 02         |                                                           |                                                    |                                                               |                                                       |                                                      |                                  |                          |
| 03         |                                                           |                                                    |                                                               |                                                       |                                                      |                                  |                          |
| 04         |                                                           |                                                    |                                                               |                                                       |                                                      |                                  |                          |
| 05         |                                                           |                                                    |                                                               |                                                       |                                                      |                                  |                          |
| 06         |                                                           |                                                    |                                                               |                                                       |                                                      |                                  |                          |
| 07         |                                                           |                                                    |                                                               |                                                       |                                                      |                                  |                          |
| 08         |                                                           |                                                    |                                                               |                                                       |                                                      |                                  |                          |
| 09         |                                                           |                                                    |                                                               |                                                       |                                                      |                                  |                          |
| 10         |                                                           |                                                    |                                                               |                                                       |                                                      |                                  |                          |

\* made in Ethiopia \*\* local natural resource (material) used as an input by the project \*\*\* local produce by other sector, but used as an input by the project



**PART- I**

**SECTION -5 Project Management, Supervision and Evaluation**

**CODE (A) Project currently managed by**

- every beneficiary = 1
- elected beneficiary members (unpaid)= 2
- " " " (paid) = 3
- Sectoral government agencies = 4
- Donor representatives = 5
- NGO = 6
- Peasant Association leaders = 7
- Urban dwellers association leaders=8
- Voluntary Groups =9
- ESRDF =10
- Other =11

Specify \_\_\_\_\_

**CODE (B) Project supervised by**

- every beneficiary =1
- elected project committee members=2
- Sectoral government agency = 3
- Donor representative = 4
- NGO = 5
- Peasant association leaders = 6
- Urban dwellers association leaders = 7
- ESRDF Project Officer = 8
- Other = 9

specify \_\_\_\_\_

**CODE (C) Frequency of supervision**

- every month = 1
- every three month = 2
- every six month = 3
- every 12 month = 4
- every 24 month =5

**CODE (C) Project evaluated by**

- General assembly of the beneficiary community = 1
- elected project committee members = 2
- Sectoral government agency = 3
- Donor representative = 4
- NGO = 5
- Consultant = 6
- peasant association leaders = 7
- urban dwellers association leaders = 8
- ESRDF staff = 9
- Other =10

Specify \_\_\_\_\_

| ID<br>CODE | 5.1 Are communities or<br>members trained or<br>have skills of<br>managing the<br>project?<br>Yes= 1, No = 2 | 5.2 Who currently<br>manage the<br>project?<br>(CODE -A) | 5.3 Is the project<br>regularly<br>being<br>supervised?<br>Yes= 1<br>No= 2 | 5.4 Who<br>supervise the<br>project?<br>(CODE-B) | 5.5 How often<br>is the<br>project<br>being<br>supervised?<br>(CODE -C) | 5.6 Are communities<br>capable of<br>evaluating the<br>impact of the<br>project?<br>yes= 1, No= 2 | 5.7 Who<br>currently<br>evaluate the<br>impact of the<br>project?<br>(CODE-D) |
|------------|--------------------------------------------------------------------------------------------------------------|----------------------------------------------------------|----------------------------------------------------------------------------|--------------------------------------------------|-------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------|
| 01         |                                                                                                              |                                                          |                                                                            |                                                  |                                                                         |                                                                                                   |                                                                               |
| 02         |                                                                                                              |                                                          |                                                                            |                                                  |                                                                         |                                                                                                   |                                                                               |
| 03         |                                                                                                              |                                                          |                                                                            |                                                  |                                                                         |                                                                                                   |                                                                               |
| 04         |                                                                                                              |                                                          |                                                                            |                                                  |                                                                         |                                                                                                   |                                                                               |
| 05         |                                                                                                              |                                                          |                                                                            |                                                  |                                                                         |                                                                                                   |                                                                               |
| 06         |                                                                                                              |                                                          |                                                                            |                                                  |                                                                         |                                                                                                   |                                                                               |
| 07         |                                                                                                              |                                                          |                                                                            |                                                  |                                                                         |                                                                                                   |                                                                               |
| 08         |                                                                                                              |                                                          |                                                                            |                                                  |                                                                         |                                                                                                   |                                                                               |
| 09         |                                                                                                              |                                                          |                                                                            |                                                  |                                                                         |                                                                                                   |                                                                               |
| 10         |                                                                                                              |                                                          |                                                                            |                                                  |                                                                         |                                                                                                   |                                                                               |
| 11         |                                                                                                              |                                                          |                                                                            |                                                  |                                                                         |                                                                                                   |                                                                               |

## PART- I

### SECTION -6 Project construction cost sharing by beneficiaries and related issues

#### **CODE (A) Methods of contribution**

- is uniform all across = 1
- varies form person to person = 2
- is determined on the basis of ability to pay =3
- " " " " " " willingness to pay =4
- " " " " " " obligatory " 5

#### **CODE(B) Decision rule to contribute depends on:**

- the consent of the individual beneficiary=1
  - the majority vote of the community =2
  - the mutual agreements b/n beneficiaries & facilitators =3
  - the request by the facilitator (donor) =4
  - the request by the project committee =5
  - the request by the PA,or UDA leaders =6\*
  - Other =7
- Specify \_\_\_\_\_

#### **CODE (C) Decision rule in case of failure to contribute the stated amount due to incapacity**

- denying project benefits forever = 1
  - " " " " for specific time =2
  - allowing project benefits to share forever 3
  - " " " " " " for sometime=4
  - stop undertaking the project itself =5
  - other =6
- Specify \_\_\_\_\_

#### **CODE(D) Proportion (%) of the type of contribution**

- Money = 1
  - Labour = 2
  - Material = 3
  - Land = 4
  - Other = 5
- Specify \_\_\_\_\_

#### **CODE (E) Project cost Vs Beneficiary capacity comparison: cost is:**

- beyond the capacity to pay = 1
- a little higher to paying capacity = 2
- equivalent to paying capacity = 3
- below paying capacity =4

| ID CODE | 6.1 Amount of contribution (CODE-A) | 6.2 Decision rule to contribute (CODE-B) | 6.3 Decision rule in case of failure to contribute (CODE-C) | 6.4 Proportion (%) of the type of contribution (CODE-D) | 6.5 Project cost sharing vs Beneficiary paying capacity comparison. (CODE-E) |
|---------|-------------------------------------|------------------------------------------|-------------------------------------------------------------|---------------------------------------------------------|------------------------------------------------------------------------------|
| 01      |                                     |                                          |                                                             |                                                         |                                                                              |
| 02      |                                     |                                          |                                                             |                                                         |                                                                              |
| 03      |                                     |                                          |                                                             |                                                         |                                                                              |
| 04      |                                     |                                          |                                                             |                                                         |                                                                              |
| 05      |                                     |                                          |                                                             |                                                         |                                                                              |
| 06      |                                     |                                          |                                                             |                                                         |                                                                              |
| 07      |                                     |                                          |                                                             |                                                         |                                                                              |

\* PA= Peasant Association; UDA= Urban Dwellers Association

## PART- I

### SECTION -7 Project operating and maintenance cost condition

#### **CODE (A) Operating cost covered**

- Fully by other than beneficiaries =1
- Partly by " " " =2
- Fully by beneficiary contributions =3
- Partly " " " =4
- Fully by user fee charges =5
- Partly " " " " =6
- Fully by project's profit =7
- Partly " " " =8

#### **CODE(B) Amount of operating cost sharing**

- is beyond beneficiaries capacity = 1
- is equivalent to " " = 2
- is below " " =3
- is uniform all across beneficiaries =4
- varies from person to person =5

#### **CODE (C) Maintenance cost covered**

- Fully by other than beneficiaries =1
- partly " " " " =2
- fully by beneficiary contributions=3
- partly " " " " =4
- full by user fee charges =5
- partly by " " " =6
- fully by project's profit =7
- partly by " " " =8

#### **CODE(D) Amount of maintenance cost sharing**

- is beyond the beneficiaries capacity=1
- is equivalent to " " =2
- is below " " =3
- is uniform all across beneficiaries =4
- varies from person to person =5

#### **CODE (E) Amount of user-fee charges**

- are uniform across all beneficiaries =1
- vary according to utility rate or value =2
- are higher than the benefit gained =3
- are commensurable to the benefit gained=4
- are below the benefit gained =5

#### **CODE (F) Decision on the rate of user charges**

- is made by community consensus =1
- is made by project committee members =2
- is made by PA or UDA leaders =3
- is made by sectoral government agencies=4
- is made by donor or facilitating agencies=5
- is made by other 6

Specify \_\_\_\_\_

| ID<br>CODE | 7.1 Do<br>beneficiaries<br>contribute for<br>operating costs?<br>Yes= 1, No= 2 | 7.2 Who cover the<br>operating cost?<br>(CODE - A) | 7.3 Amount of<br>operating<br>cost sharing<br>(CODE-B) | 7.4 Do beneficiaries<br>contribute for<br>maintenance<br>cost?<br>Yes =1, No=2 | 7.5 Who cover the<br>maintenance<br>cost?<br>(CODE-C) | 7.6 Amount of<br>the<br>maintenanc<br>e cost<br>sharing<br>(CODE-D) | 7.7 Amount<br>of user-<br>fee<br>charges<br>(CODE-E) | 7.8. Who<br>determine<br>the rate of<br>user-fee<br>charges?<br>(CODE-F) |
|------------|--------------------------------------------------------------------------------|----------------------------------------------------|--------------------------------------------------------|--------------------------------------------------------------------------------|-------------------------------------------------------|---------------------------------------------------------------------|------------------------------------------------------|--------------------------------------------------------------------------|
|            |                                                                                |                                                    |                                                        |                                                                                |                                                       |                                                                     |                                                      |                                                                          |

# **PART- I**

## **SECTION -8 Benefit Distribution and coverage**

### **CODE (A) Decisions on the amount and methods of benefit sharing made by**

- beneficiary community =1
- project committee =2
- PA or UDA leaders =3
- government agencies =4
- donor agencies =5
- facilitating agencies =6
- other =7

Specify \_\_\_\_\_

### **CODE(B) Size of Benefit:**

- uniform at target area level =1
- " " household " =2
- " "individual " =3
- vary within target area locations =4
- " at household level =5
- " at individual level =6

### **CODE (C) Distribution method depends on**

- household needs =1
- individual needs =2
- household income level =3
- individual income level =4
- household contribution\* =5
- individual contribution =6
- household size =7
- other =8

Specify \_\_\_\_\_

### **CODE(D) The Time Dimension of Benefit Distribution**

- Benefit distributed daily =1
- " " weekly =2
- " " monthly =3
- " " yearly =4
- " " seasonally =5

reason why seasonal \_\_\_\_\_

- other =6

Specify \_\_\_\_\_

### **CODE (E) Prime Recipient of project Benefits**

- women =1
- children =2
- youths =3
- elders =4
- disabled =5
- all target social group =6
- none =7
- other =8

Specify \_\_\_\_\_

| ID<br>CODE | 8.1 Decision on benefit<br>sharing<br>(CODE-A) | 8.2 Size of benefit<br>(CODE-B) | 8.3 Method of benefit<br>distribution<br>(CODE-C) | 8.4 Benefit time frame<br>(CODE-D) | 8.5 Benefit recipient<br>social group<br>(CODE-E) |
|------------|------------------------------------------------|---------------------------------|---------------------------------------------------|------------------------------------|---------------------------------------------------|
| 01         |                                                |                                 |                                                   |                                    |                                                   |
| 02         |                                                |                                 |                                                   |                                    |                                                   |
| 03         |                                                |                                 |                                                   |                                    |                                                   |
| 04         |                                                |                                 |                                                   |                                    |                                                   |
| 05         |                                                |                                 |                                                   |                                    |                                                   |
| 06         |                                                |                                 |                                                   |                                    |                                                   |
| 07         |                                                |                                 |                                                   |                                    |                                                   |
| 08         |                                                |                                 |                                                   |                                    |                                                   |



# **PART- I**

## **SECTION –9. Positive Impact**

### **CODE (A) Income raised thus:**

- daily meal quantity =1
- daily meal quality & variety improved =2
- saving rate increased =3
- housing condition improved =4
- clothing " " =5
- household goods & furnitures improved =6
- physical strength gained =7
- other =8

Specify \_\_\_\_\_

### **CODE(B) Productivity**

- per person increased =1
- per unit of input increased =2
- per plat of land increased =3
- per a certain time " =4

### **CODE (C) Access to Health service created. Thus:**

- rate of illness reduced =1
- rate of death " =2
- quick immunization achieved =3
- physical strength gained =4
- number of work-man days increased =5
- productivity increased =6
- other =7

Specify \_\_\_\_\_

### **CODE(E) Other positive impacts**

- Time saving =1
- Lesson work burden =2
- environmental protection achieved =3
- other =4

Specify \_\_\_\_\_

### **CODE (D) Access to education created. Thus:**

- general school enrollment increased =1
- girls school enrollment increased =2
- underage marriage decreased =3
- traditional harmful practices decreased =4
- income level job opportunity increased =5
- skill and knowledge increased =6
- consciousness level developed =7
- self-confidence developed =8
- new technology and methodology developed =9
- participation of any sort increased =10
- problem solving ability increased =11
- other =12

Specify \_\_\_\_\_

| ID<br>CODE | 9.1. Income<br>(CODE-A) | 9.2. Productivity<br>(CODE-B) | 9.3. Access to Health<br>(CODE-C) | 9.4. Access to education<br>(CODE -D) | 9.5. Other impacts<br>(CODE-E) |
|------------|-------------------------|-------------------------------|-----------------------------------|---------------------------------------|--------------------------------|
| 01         |                         |                               |                                   |                                       |                                |
| 02         |                         |                               |                                   |                                       |                                |
| 03         |                         |                               |                                   |                                       |                                |
| 04         |                         |                               |                                   |                                       |                                |
| 05         |                         |                               |                                   |                                       |                                |
| 06         |                         |                               |                                   |                                       |                                |
| 07         |                         |                               |                                   |                                       |                                |
| 08         |                         |                               |                                   |                                       |                                |
| 09         |                         |                               |                                   |                                       |                                |
| 10         |                         |                               |                                   |                                       |                                |
| 11         |                         |                               |                                   |                                       |                                |
| 12         |                         |                               |                                   |                                       |                                |

**PART- I**

**SECTION –10. Negative Impacts**

**CODE (A) Cost or debt burden**

- high implementation cost sharing =1
- high operating cost sharing =2
- high maintenance cost sharing =3
- high membership contribution =4
- high user-fee charges =5
- high loan interest payment =6
- other =7

Specify \_\_\_\_\_

**CODE(B) Displacement and prohibition**

- displacement from settlement =1
- " " farmland =2
- " " grazing land =3
- " " business location =4
- " " employment =5
- " " other prior land-use =6

specify \_\_\_\_\_

- prohibition of natural resource utilization =7
  - prohibition of other customary uses =8
- Specify \_\_\_\_\_

**CODE (C) Health & environmental effects**

- water pollution problems =1
- air pollution problems =2
- voice " " =3
- ¼SX FÃ ~ÃÒ =4
- other related problems =5

specify \_\_\_\_\_

**CODE (D) Disagreement or contradiction**

- among families or household members =1
- among neighborhoods =2
- among beneficiary communities =3
- among beneficiaries & non-beneficiaries=4
- among PA or UDA leaders & communities =5
- among project committee members & communities =6
- among government authorities and communities =7
- other =8

Specify \_\_\_\_\_

| ID<br>CODE | 10.1 has project<br>produced cost<br>or debt burden<br>to<br>communities?<br>Yes= 1, No=2 | 10.2. type<br>of cost<br>burden<br>(CODE-A) | 10.3 has project<br>resulted in<br>displacement<br>or<br>prohibition<br>effect to<br>communities<br>?<br>Yes=1, No=2 | 10.4.<br>displaceme<br>nt or<br>prohibition<br>form<br>(CODE-B) | 10.5 if yes (2.3)<br>compensation<br>given:<br>- in kind=1<br>- in money =2<br>- no compensation<br>=3 | 10.6 has<br>the<br>project<br>health or<br>environm<br>ental<br>effect?<br>Yes=1<br>No=2 | 10.7 type of<br>health or<br>environmenta<br>l effect<br>(CODE-C) | 10.8 has<br>project<br>created<br>disagreement<br>or<br>contradiction<br>?<br>Yes =1<br>No= 2 | 10.9. disagree<br>ment among<br>(CODE-D) |
|------------|-------------------------------------------------------------------------------------------|---------------------------------------------|----------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------|--------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------|-------------------------------------------------------------------|-----------------------------------------------------------------------------------------------|------------------------------------------|
| 01         |                                                                                           |                                             |                                                                                                                      |                                                                 |                                                                                                        |                                                                                          |                                                                   |                                                                                               |                                          |
| 02         |                                                                                           |                                             |                                                                                                                      |                                                                 |                                                                                                        |                                                                                          |                                                                   |                                                                                               |                                          |
| 03         |                                                                                           |                                             |                                                                                                                      |                                                                 |                                                                                                        |                                                                                          |                                                                   |                                                                                               |                                          |
| 04         |                                                                                           |                                             |                                                                                                                      |                                                                 |                                                                                                        |                                                                                          |                                                                   |                                                                                               |                                          |
| 05         |                                                                                           |                                             |                                                                                                                      |                                                                 |                                                                                                        |                                                                                          |                                                                   |                                                                                               |                                          |
| 06         |                                                                                           |                                             |                                                                                                                      |                                                                 |                                                                                                        |                                                                                          |                                                                   |                                                                                               |                                          |
| 07         |                                                                                           |                                             |                                                                                                                      |                                                                 |                                                                                                        |                                                                                          |                                                                   |                                                                                               |                                          |
| 08         |                                                                                           |                                             |                                                                                                                      |                                                                 |                                                                                                        |                                                                                          |                                                                   |                                                                                               |                                          |

**PART- I**

**SECTION -11 Project status**

**CODE (A) Sustainability**

- currently at good physical condition =1
- currently at good operational condition =2
- periodically maintained =3
- expected to keep present condition in the future =4
- expected to be better in the future =5
- banned or dissolved at present =6
- physical condition deteriorating at present =7
- operational condition deteriorating at present =8
- currently operating under capacity =9
- likely to dissolve or ban in the future =10
- other =11

Specify \_\_\_\_\_

**CODE (B) Productivity or service provision**

- above expectation from the inception =1
- commensurable to plans from the inception =2
- below plans or expectations =3
- non-productive or functional =4

**CODE (C) Replicability or expansion**

- similar project created in the same area =1
- plan to establish same project =2
- no action or plan of replication =3
- available project is expanded =4
- plan to expand the available project =5
- no action or plan of expansion =6

| <b>CODE (D) <u>Cost recovery ID</u></b><br>CODE | 11.1 is the project sustainability operating?<br>yes= 1, No= 2 | 11.2 current and future sustainability condition<br>(CODE-A) | 11.3 productivity or service provision condition<br>(CODE - B) | 11.4 Replication or expansion condition<br>(CODE - C) |
|-------------------------------------------------|----------------------------------------------------------------|--------------------------------------------------------------|----------------------------------------------------------------|-------------------------------------------------------|
| 01                                              |                                                                |                                                              |                                                                |                                                       |
| 02                                              |                                                                |                                                              |                                                                |                                                       |
| 03                                              |                                                                |                                                              |                                                                |                                                       |
| 04                                              |                                                                |                                                              |                                                                |                                                       |
| 05                                              |                                                                |                                                              |                                                                |                                                       |
| 06                                              |                                                                |                                                              |                                                                |                                                       |
| 07                                              |                                                                |                                                              |                                                                |                                                       |
| 08                                              |                                                                |                                                              |                                                                |                                                       |
| 09                                              |                                                                |                                                              |                                                                |                                                       |
| 10                                              |                                                                |                                                              |                                                                |                                                       |
| 11                                              |                                                                |                                                              |                                                                |                                                       |
| 12                                              |                                                                |                                                              |                                                                |                                                       |

## PART-I

### SECTION-12 : ADVANTAGES AND DISADVANTAGES OF INVOLVING BENEFICIARIES

**CODE (A) Advantages Gained.** What tangible advantages are gained from involving beneficiaries in various phases of this project?

- Accurate and representative information collected about the problems and priorities of communities ..... 1
- Relevant information provided by communities about cultural values, social organizations, demographic structure etc ..... 2
- Relevant information provided by communities about resource potential, landform, climate and other features of the area..... 3
- Accurate targeting of the most needy group realized..... 4
- Ensured social acceptability and built constituency support..... 5
- Reduced mistakes in project design and detect irregularities in implementation..... 6
- Available resource easily mobilized and employed efficiently..... 7
- Took full advantage of employing local technology and knowledge..... 8
- Avoided misunderstanding and disagreement, thus saved time and energy ..... 9
- Project implementation achieved successfully and timely as planned ..... 10
- Ensured community commitment in cost sharing and project management ..... 11
- Reduced the cost of program administration..... 12
- Project benefits reached the intended beneficiaries and ensured equitable distribution..... 13
- Local level organizations integrated for common goals..... 14
- Decisions passed and resources controlled by under privileged groups and women ..... 15
- Increased social consciousness, awareness, confidence, local capacity to plan and implement ..... 16
- Maintain dynamic operation and continues flow of project benefits ..... 17
- Other advantages..... 18

Specify \_\_\_\_\_

**CODE (B) Disadvantages** What disadvantages are resulted in from involving beneficiary communities?

- Project start-up delayed by negotiations with people..... 1
- Project implementation delayed beyond the plan because of frequent changes in methodology and people's opinion ..... 2
- Project cost increased because of too much consultation and discussion ..... 3
- Serious opposition and resistance against the project happened ..... 4
- Over involvement of less experienced people endangered the project's worth ..... 5
- High and unrealistic expectation of project returns ..... 6
- Unnecessary diversion of project activities different from the very objective of the establishment ..... 7
- Other major disadvantages..... 8

Specify \_\_\_\_\_



| ID<br>CODE | 12.1 Advantages gained<br>(CODE-A) | 12.2 Disadvantages<br>(CODE-B) |
|------------|------------------------------------|--------------------------------|
| 1          |                                    |                                |
| 2          |                                    |                                |
| 3          |                                    |                                |
| 4          |                                    |                                |
| 5          |                                    |                                |
| 6          |                                    |                                |
| 7          |                                    |                                |
| 8          |                                    |                                |
| 9          |                                    |                                |
| 10         |                                    |                                |
| 11         |                                    |                                |
| 12         |                                    |                                |
| 13         |                                    |                                |
| 14         |                                    |                                |
| 15         |                                    |                                |
| 16         |                                    |                                |
| 17         |                                    |                                |
| 18         |                                    |                                |

## PART-II. BASIC HOUSEHOLD INFORMATION

1. Part-II questions are to be addressed to household heads.

2. Put your choices in order of importance in cases where there is more than one answer for a single question. Also use percentage to indicate weights or proportions given to choices as may be necessary.

### SECTION-1. INFORMATION ABOUT SELECTED HOUSEHOLD HEADS.

1.1. Full Name \_\_\_\_\_ 1.2. Sex (male=1; female=2) \_\_\_\_\_ 1.3. Age (year) \_\_\_\_\_

1.4. Location: Region \_\_\_\_\_ Zone \_\_\_\_\_ Woreda \_\_\_\_\_

Town \_\_\_\_\_ Any Known or Local Name \_\_\_\_\_ House No. \_\_\_\_\_

1.5. Marital Status ( \_\_\_\_ ):

- Single (never married) =1
- Married.....= 2
- Widowed.....= 3
- Divorced.....=4
- Separated.....= 5

1.9. Education ( \_\_\_\_ ):

- .Illiterate (never attended).....=1
- .Read and Write Only.....=2
- .1-6 Grade.....=3
- .7-12 Grade.....=4
- .Technical and Vocational School Diploma....=5
- .College Diploma.....=6
- .University First Degree.....=7
- .Above University Degree.....=8

1.6. Relation to the Household ( \_\_\_\_ ):

- Father.....=1
- Father, Husband.....=2
- Mother.....=3
- Mother, Wife.....=4
- Brother.....=5
- Brother, Son.....= 6
- Sister.....=7
- Sister, Daughter.....=8
- Other.....=9

1.10. Are you currently attending school? ( \_\_\_\_ ):

- .Yes.....=1
- .No.....=2

Specify \_\_\_\_\_

1.7. Ethnicity ( \_\_\_\_ ):

- Amhara.....=1
- Oromo.....=2
- Tigrie.....=3
- Agaw.....=4
- Other.....=5

Specify \_\_\_\_\_

1.11. Reason for not (never) attending ( \_\_\_\_ ):

- .Family responsibility.....=1
  - .Absence of nearby school.....=2
  - .Cannot afford school expenses.....=3
  - .Health problem (physical disability).....=4
  - .Ignorance to the benefit of education.....=5
  - .Education is not paying.....=6
  - .Cultural constraints.....=7
  - .Other.....=8
- Specify \_\_\_\_\_

1.12. Housing Ownership ( \_\_\_\_ ):

- .Private (own).....=1
- .Rented from kebele.....=2

1.8. Religion ( \_\_\_\_ ) :

- None.....=1
- Orthodox.....=2
- Catholic.....=3
- Protestant.....=4
- Muslim.....=5
- Other .....=6
- Specify\_\_\_\_\_

- .Rented from rental houses administration.....=3
- .Rented from individual.....=4
- .Other.....=5
- Specify\_\_\_\_\_

1.13. Main Activity (occupational status) ( \_\_\_\_ ) :

- Household chores.....=1
- Home-made small business.....=2
- Registered (formal) private business.....=3
- Government employee.....=4
- Private organization employee.....=5
- International organization employee.....=6
- Association (of any kind) employee.....=7
- This project employee.....=8
- Pensioner.....=9
- Domestic servant (worker).....=10
- Farming (crop, livestock, bee, poultry etc.)...=11
- Daily labourer.....=12
- Student.....=13
- Job seeker.....=14
- Other.....=15
- Specify\_\_\_\_\_

**SECTION-2. INFORMATION ABOUT MEMBERS OF THE HOUSEHOLD.**

2.1. How many were/are the number of household members?

- . Before the project ( \_\_\_\_ ) =1
- . After the project ( \_\_\_\_ ) =2

2.2. Details of the household members

**CODE-A. Education level.**

- . Illiterate(never attended).....=1
- . Read and write only.....=2
- . 1-6 Grade .....=3
- . 7-12 Grade.....=4
- . Technical and vocational diploma.....=5
- . College diploma.....=6
- . University first degree.....=7
- . Above first degree.....=8

**CODE-B. Main activity (occupational status).**

- .Household chores.....=1
- .Home-made small business (informal).....=2
- .Formal private business.....=3
- .Government employee.....=4
- .Private organization employee.....=5
- .International organization employee.....=6
- .Association (of any kind) employee.....=7
- .This project employee.....=8
- .Pensioner.....=9
- .Domestic servant (worker).....=10

- .Farming (crop, livestock, etc)..... =11  
 .Daily laborer..... =12  
 .Student..... =13  
 .Job seeker.....=14  
 .Other..... =15  
 Specify\_\_\_\_\_

| Name | Sex    |          | Age (Year) | Education level<br>(Code-A) | Main activity<br>(Code-B) | Relation to the<br>head |
|------|--------|----------|------------|-----------------------------|---------------------------|-------------------------|
|      | Male=1 | Female=2 |            |                             |                           |                         |
|      |        |          |            |                             |                           |                         |
|      |        |          |            |                             |                           |                         |
|      |        |          |            |                             |                           |                         |
|      |        |          |            |                             |                           |                         |
|      |        |          |            |                             |                           |                         |
|      |        |          |            |                             |                           |                         |
|      |        |          |            |                             |                           |                         |
|      |        |          |            |                             |                           |                         |
|      |        |          |            |                             |                           |                         |

2.3. How many of the household members are dependent on your income? \_\_\_\_\_

2.4. What were the urgent needs of the household before the erection of this project?( \_\_\_\_\_ )

- Access to nearby and basic school facilities.....=1
- Access to nearby and basic health facilities.....=2
- Access to pure and nearby drinking water.....=3
- Access to irrigation services during dry seasons...=4
- Access to road infrastructure services.....=5
- Access to nearby grain mill facilities.....=6
- Access to credit facilities.....=7
- Access to nearby market areas.....=8
- Access to warehouse or storage facilities..... =9
- Access to basic training facilities.....=10
- Access to basic inputs (like fertilizers, pesticides, insecticides, improved seeds etc)..... =11
- Access to farmland.....=12
- Access to grazing land.....=13
- Other.....=14

Specify\_\_\_\_\_



2.5. Have you (or any member of the household ) ever tried to solve the problems you faced by your own initiation or effort before this project came to exist ?( \_\_\_\_\_ )

- Yes...=1, No...=2

2.6. If yes (2.5), what were the results of your attempt to solve the problems?( \_\_\_\_\_ )

- Completely successful...=1, Successful to a certain extent...=2, Completely not successful...=3

2.7. If no (2.5), what were the reasons for not doing so? ( \_\_\_\_\_ )

- Absence of knowledge.....=1
- Absence of the necessary technology.....=2
- Lack of adequate labour or physical disability.....=3
- Absence of local organization to coordinate the effort...=4
- Absence of power to influence those who can do so.....=5
- Other.....=6

Specify \_\_\_\_\_

2.8. Have you ever tried to let know your problems or urgent needs for those who have the capacity to solve or to share your problems before this project came to exist( \_\_\_\_\_ )

- Yes....=1, No.....=2

2.9. If no (2.8), what were the reasons for not doing so?( \_\_\_\_\_ )

- Because I know that they are not willing to share my problems...=1
- Because I do not know those with such capacity.....=2
- Because I do not know how to approach them.....=3
- Other reason.....=4

Specify \_\_\_\_\_

2.10. Have you ever been assisted by outsiders in solving your problems or satisfying your urgent needs before this project came to exist? ( \_\_\_\_\_ ).

- Yes.....=1, No.....=2

2.11. If yes (1.10), who are these parties that helped you before this project came to exist?( \_\_\_\_\_ )

- Government bodies (sectoral departments).....=1
- NGOs.....=2
- Local community organizations (like PA, UDA, etc)...=3
- Local traditional associations (like *Iddir*, *Eqube*, *Mhiber*, etc)...=4
- Local money lenders or usurers .....=5
- Others.....=6

Specify \_\_\_\_\_

2.12. Did such assistance which were realized before this project, minimized your urgent problems? ( \_\_\_\_\_ )

- Yes ( fully).....=1
- Yes (partially)...=2
- Not at all.....=3

### SECTION-3. GENERAL PROJECT-RELATED HOUSEHOLD INFORMATION

3.1. Were you informed about the facilities which were in the hands of the funding agency/ies prior to the inception of this project? ( \_\_\_\_\_ )

- Yes.....=1, No.....=2

3.2. If yes (3.1), through which means were you informed? ( \_\_\_\_\_ )

- Radio.....=1
  - Television....=2
  - Newspapers....3
  - Fieldworkers explanation..=4
  - Other.....=5
- Specify \_\_\_\_\_

3.3. Have you ever been asked about your priority needs or problems before the inception of this project? ( \_\_\_\_\_ )

- Yes.....=1, No.....=2

3.4. Was this project set up according to your interest or priority need? ( \_\_\_\_\_ )

- Yes.....1, No.....2

3.5. If no (to 3.4.), what kind of project or alternative did you propose or you would have proposed in stead?

( \_\_\_\_\_ )

3.6. Have you or any member of the household got the necessary training on how to identify, design, implement, maintain, manage, etc the project? ( \_\_\_\_\_ ). Yes...=1, No...=2

3.7. Have you ever participated in any phases of the project? ( \_\_\_\_\_ )

- Yes.....=1, No.....=2

3.8. Was your participation based on your willingness? ( \_\_\_\_\_ ). Yes.....=1, No.....=2

3.9. At what stage did you participate? ( \_\_\_\_\_ )

- Identification and initiation.....=1
- Pre-feasibility and feasibility study.....=2
- Design ( financing negotiation; method of implementation; time, labor, material, technology requirement etc).....=3
- Implementation.....=4

- Managing and controlling.....=5
  - Ex-post evaluation.....=6
  - Other.....=7
- Specify \_\_\_\_\_

3.10. In what aspects did you participate? ( \_\_\_\_\_ )

- Simply attending discussion assemblies about the project...=1
  - Attending discussion assemblies and actively expressing feelings, ideas, views etc in group discussion....=2
  - Acting as an informant.....=3
  - Voting either to support or reject.....=4
  - Contribution for cost-sharing.....=5
  - Other.....=6
- Specify \_\_\_\_\_

3.11. How many assembly days have you attended since the initiation of the project? ( \_\_\_\_\_ )

3.12. How many assembly days have you missed since the initiation of the project? ( \_\_\_\_\_ )

3.13. Explain the type of contribution you made for project cost-sharing in terms of: ( \_\_\_\_\_ )

- Money.....=1
  - Labor.....=2
  - Material.....=3
  - Land.....=4
  - Other.....=5
- Specify \_\_\_\_\_

3.14. Do you believe that your involvement ( participation) in appropriate stages of the project has contributed to its success? ( \_\_\_\_\_ ). Yes...=1, No...=2, I don't know...=3

3.15. Do you think that the project is not successful as it should be because you were/are not involved in appropriate phases? ( \_\_\_\_ ). Yes...=1, No...=2, I don't know...=3

3.16. Was there any punishment for not participating or failing to contribute the stated amount? ( \_\_\_\_\_ )

- Yes....=1, No.....=2, I don't know...=3

3.17. Specify the type of punishment as: ( \_\_\_\_\_ )

- Monetary fine.....=1
- Additional labor contribution.....=2
- Additional material contribution...=3

- Denial of project benefits.....=4
  - Imprisonment.....=5
  - Other.....=6
- Specify\_\_\_\_\_

3.18. How was the cost sharing which you already contributed determined? ( \_\_\_\_\_ )

- As per your consent.....=1
  - As per the majority vote...=2
  - As per the interest of the facilitators....=3
  - Through other ways.....=4
- Specify\_\_\_\_\_

3.19. Was such contribution affordable to you? ( \_\_\_\_\_ )

- Yes...=1, No.....=2

3.20. If it was not you who initiated or identified the project, who else did the job? ( \_\_\_\_\_ )

- Project or development committee members.....=1
  - PA or UDA leaders.....=2
  - Government sectoral agencies.....=3
  - Donors.....=4
  - Others.....=5
- Specify\_\_\_\_\_

3.21. Do you contribute for maintenance and operating costs of the project? ( \_\_\_\_\_ )

- Yes.....=1, No.....=2

3.22. If yes (to 3.21), what is the form of your contribution? ( \_\_\_\_\_ )

- Fixed amount on regular basis.....=1
- Varying amount as it happened necessary...=2
- Other.....=3

Specify\_\_\_\_\_

3.23. Do you pay user-fee charges? ( \_\_\_\_\_ )

- Yes...=1, No.....=2

3.24. If yes (to 3.23), how was the rate of user fee charges determined? ( \_\_\_\_\_ )

- By beneficiaries' consensus.....=1
- By project committee members.....=2



- By PA or UDA leaders.....=3
- By sectoral government agencies....=4
- By donors.....=5
- By facilitating agencies.....=6
- By others.....=7

Specify \_\_\_\_\_

3.25. Is the user-fee that you pay commensurable to the service or benefit you get? ( \_\_\_\_\_ )

- Absolutely yes .....=1, To some extent yes.....=2, No.....=3

3.26. Are you currently involved in the management of the project? ( \_\_\_\_\_ )

- Yes.....=1, No.....=2

3.27. Do you have a strong concern to the sustainability of the project? ( \_\_\_\_\_ )

- Yes....=1, No...=2, No suggestion....=3

3.28. Are you a member of: ( \_\_\_\_\_ )

- Project committee.....=1
- PA executive committee.....=2
- UDA executive committee..=3
- Other committee.....=4

Specify \_\_\_\_\_

3.29. Is the benefit you currently receive from the project ( \_\_\_\_\_ ):

- |                                             |                                                  |
|---------------------------------------------|--------------------------------------------------|
| • The same as your expectations.....=1      | .Equivalent to what you could have gained in the |
| • More than your expectation.....=2         | absence of the project.....=9                    |
| • A little more than your expectation....=3 | .More than you could have gained in the          |
| • Below your expectation.....=4             | absence of the project.....=10                   |
| • A little below your expectation.....=5    | .Below you could have gained in the absence      |
| • Commensurable to your contribution...=6   | of the project.....=11                           |
| • Beyond your contribution.....=7           |                                                  |
| • Below your contribution.....=8            |                                                  |

3.30. Do you receive project benefits equally with other target beneficiaries? ( \_\_\_\_\_ )

- Yes.....=1, No.....=2, I don't know....=3

3.31. If no (to 3.30), what are the basis of differences? ( \_\_\_\_\_ )

- Differences in the amount and type of contribution.....=1
- Differences in location or vicinity to the project.....=2
- Differences in the need of beneficiaries.....=3
- Differences in the political power of beneficiaries.....=4
- Differences in the wealth of beneficiaries.....=5
- Other.....=6

Specify\_\_\_\_\_

3.32. Who make decision on the size and method of benefit distribution? ( \_\_\_\_\_ )

- Beneficiaries.....=1
- Project committee .....=2
- PA or UDA leaders.....=3
- Government agencies.....=4
- Donor agencies.....=5
- Facilitating agencies.....=6
- Other .....=7

Specify\_\_\_\_\_

3.33. State the time dimension of when the project gives benefits or benefit distribution as :( \_\_\_\_\_ )

- Benefits distributed daily.....=1
- Benefits distributed weekly.....=2
- Benefits distributed monthly....=3
- Benefits distributed yearly.....=4
- Benefits distributed seasonally...=5
- Other.....=6

Specify\_\_\_\_\_

3.34. Had any member of the household worked with pay in this project during the construction phase? ( \_\_\_\_\_ )

- Yes.....=1, No.....=2

3.35. If yes (to 3.34):

- How many were they \_\_\_\_\_
- For how long they/ she/ he worked? (specify in months) \_\_\_\_\_

3.36. What was the status of the member of the household while working in the project during the construction stage? ( \_\_\_\_\_ )

- Contractor.....=1
- Daily labourer.....=2

- Other.....=3  
Specify \_\_\_\_\_

3.37. How much Birr was the total monthly income of the household earned from being employed in the construction phase of the project? ( \_\_\_\_\_ )

3.38. Is there any member of the household currently employed in this project to earn a regular monthly income? ( \_\_\_\_\_ )

- Yes.....=1, No.....=2

3.39. If yes (to 3.38), how many are they? ( \_\_\_\_\_ )

3.40. Specify the status as : ( \_\_\_\_\_ )

- Permanent employee.....=1
- Casual employee.....=2
- Shareholder/partner.....=3
- Other .....=4

Specify \_\_\_\_\_

3.41. How much Birr does the household currently earn per month from the project because of the privileges stated in No.3.40. above?( \_\_\_\_\_ )

3.42. Are there increases or decreases in the level of the household income in general after the existence of the project? ( \_\_\_\_\_ ). Yes, significantly...=1, Yes, to a certain extent...=2, Not at all....=3

3.43. If yes or no (to 3.42), state the increasing or decreasing aspects of your income level on average as:

. Increased by \_\_\_\_\_ %, or Decreased by \_\_\_\_\_ %.

3.44. Who benefit more among members of the household from the project? ( \_\_\_\_\_ ).

- My self.....=1      My daughter/s.....=5
- My wife.....=2      Others.....=6
- My husband.....=3      Specify \_\_\_\_\_
- My son/s.....=4

3.45. Explain how you /they / she / he peculiarly benefit more from the project \_\_\_\_\_

3.46. Do you want the project to be replicated or expanded? ( \_\_\_\_\_ ). Yes...=1, No...=2, No suggestion..=3

3.47. Had the project ever caused any resource redistribution? ( \_\_\_\_ ). Yes...=1, No...=2, I don't know...=3

3.48. Had the project ever caused the creation of new settlements? ( \_\_\_\_\_ ). Yes..=1, No..=2, I don't know....=3

3.49. If yes ( to 3.48), state any positive or negative effects resulted in from such settlements \_\_\_\_\_

3.50. Are there new activities around your home as a result of the existence of the project? ( \_\_\_\_\_ ).

Yes...=1, No...=2, I don't know...=3

3.51. If yes (to3.50), explain the type of new activity and its/their positive or negative effects on you or your neighborhoods \_\_\_\_\_

#### **SECTION-4. SPECIFIC PROJECTS-RELATED HOUSEHOLD INFORMATION.**

##### **4.1. APPLICABLE TO SCHOOL PROJECTS**

4.1.1. Was /were there school/s near to your home before the establishment of this project? ( \_\_\_\_\_ ).

Yes...=1, No...=2, I don't know...=3

4.1.2. If yes (to 4.1.1), how far was/is (in km) the immediate nearest school from your home ( \_\_\_\_\_ )

4.1.3. Explain the type of ownership of those schools as ( \_\_\_\_\_ ):

- Private.....=1      Mission.....=4
- Public.....=2      Other.....=5
- Government...=3      Specify\_\_\_\_\_

4.1.4. Have any member of the household ever attended in those schools before the establishment of this project? ( \_\_\_\_\_ ). Yes...=1, No...=2

4.1.5. Put estimates of average annual school fee and transport expenses ( if any) paid for a member of the household when attending in those schools ( Birr \_\_\_\_\_ )

4.1.6. How long is the school project far away from your home in km ( \_\_\_\_\_ )

4.1.7. Are there any member of the household currently attending school in this school project? ( \_\_\_\_\_ )

- Yes....=1, No...=2

4.1.8. If yes (to 4.1.7) :

**CODE-A.** Specify current attendants' educational background as:

- Never attending before in other school, but newly enrolled in this school...=1
- Dropout of other school, but rejoined this school.....=2



- Dropout of this school, but rejoined this school once again.....=3

**CODE-B.** Specify current attendants' age distribution as:

- Below 6 years.....=1
- 6-10 years.....=2
- 11-15 years.....=3
- 16-20 years.....=4
- 21-25 years.....=5
- 26-30 years.....=6
- 31-35 years.....=7
- 36-40 years.....=8

**CODE-C.** Specify current education level as:

- Nursery.....=1
- Kindergarten.....=2
- 1-6 Grade.....=3
- 7-8 Grade.....=4
- 9-12 Grade.....=5

| Name | Educational background (Code-A) | Age distribution (Code-B) | Current education level (Code-C) | Remark |
|------|---------------------------------|---------------------------|----------------------------------|--------|
|      |                                 |                           |                                  |        |
|      |                                 |                           |                                  |        |
|      |                                 |                           |                                  |        |
|      |                                 |                           |                                  |        |
|      |                                 |                           |                                  |        |
|      |                                 |                           |                                  |        |
|      |                                 |                           |                                  |        |

4.1.9. Are there other schools at present around your home, which are nearer than this school project ( \_\_\_\_\_ )

- Yes.....=1, No.....=2

4.1.10. If yes (to 4.1.9 ), specify the type of ownership as ( \_\_\_\_\_ ):

- Private.....=1      Mission.....=4
- Public.....=2      Other.....=5
- Government.....=3      Specify \_\_\_\_\_

4.1.11. Annual school fee (if any) currently paid for household members attending in:

- This school project ( Birr \_\_\_\_\_ )
- Other schools (Birr \_\_\_\_\_ )

4.1.12. Are there school-age household members currently not attending school? ( \_\_\_\_\_ ). Yes...=1, No... =2

4.1.13. What are the reasons for not currently attending school? ( \_\_\_\_\_ ).

- Cost of education is unaffordable.....=1      .Education is not paying.....=5
- Physical disability.....=2      .Ignorance to education.....=6
- School project is too far.....=3      .Other.....=7
- Engaged in other businesses.....=4      .Specify\_\_\_\_\_

## 4.2. APPLICABLE TO HEALTH PROJECTS.

4.2.1. Was/ were there health institutions near to your home before the establishment of this health project? \_\_\_\_ ( \_\_\_\_\_ )      Yes...=1, No...=2

4.2.2. If yes ( to 4.2.1), had any member of the household ever used those health institutions? ( \_\_\_\_ )  
Yes...=1, No...=2

4.2.3. If yes (to 4.2.2), how long (in km) did you/ they/ he/ she travel for a single trip to get health service? ( \_\_\_\_ )

4.2.4. If no (to 4.2.2), explain the reason for not using those health institutions as ( \_\_\_\_\_ ):

- They were expensive.....=1      .Ignorance of the availability of such facilities...=4
  - They were too far.....=2      .Ignorance of the use of such institutions.....=5
  - They were less helpful...=3      .Other.....=6
- Specify\_\_\_\_\_

4.2.4. Specify the type of ownership of those health institutions in which your household members have been served before this project came to exist as:

- Private.....=1      .Mission.....=4
- Public.....=2      .Other.....=5
- Government...=3      .Specify\_\_\_\_\_

4.2.5. Are there, other than this project, health institutions (hospitals, health centers, clinics, etc) around your home which your household members currently use to visit? ( \_\_\_\_\_ ). Yes...=1, No...=2

4.2.6. How long is the health project away from your home in km? ( \_\_\_\_\_ )

4.2.7. Does your household currently taking advantage of the existence of the health project? ( \_\_\_\_\_ ).  
.Yes, to the full extent...=1, Yes, to a certain extent...=2, Not at all...=3

4.2.8. If members of the household use both the health project and other health institutions, compare the cost of medical expenses that you pay to day in the health project from the cost of other health institutions as ( \_\_\_\_\_ ):

- 4.2.5>4.2.8.....=1
- 4.2.5<4.2.8.....=2

- 4.2.5.=4.2.8.....=3
- Other.....=4  
Specify\_\_\_\_\_

\*Note that “4.2.5” stands for institutes listed under No. 4.2.5. and “4.2.8” stands for the health project understudy.

4.2.9. Compare also service delivery in terms of speed, quality, hospitality, etc as ( \_\_\_\_\_ ):

- 4.2.5.>4.2.8.....=1
- 4.2.5.<4.2.8.....=2
- 4.2.5.=4.2.8.....=3
- Other.....=4  
Specify\_\_\_\_\_

4.2.10. Compare the frequency of illness in your household before and after the project as ( \_\_\_\_\_ ):

- Before > After.....=1
- Before < After.....=2
- Before = After.....=3
- Other.....=4 Specify\_\_\_\_\_

4.2.11. Have you ever used health services other than the modern health sector like traditional or religious treatments before the establishment of this health project? ( \_\_\_\_\_ ).

- Yes...=1, No...=2

4.2.12. Do you go today (after this project came to exist) for any alternative health service, apart from modern health institutions? ( \_\_\_\_\_ ). Yes...=1, No...=2

4.2.13. If yes (to 4.2.11 or 4.2.12 or both), where did /do you go? ( \_\_\_\_\_ )

- Traditional healer.....=1 .Witch doctor/ sorcerer.....=4
- Holly water.....=2 .Other.....=5
- Traditional herbalists...=3 Specify \_\_\_\_\_

4.2.14. Why did/ do you go there? ( \_\_\_\_\_ )

- To get better treatment and cure..... =1
- Because modern health services are expensive... =2
- Modern health facilities are too far... =3
- Other ( \_\_\_\_\_ ) =4

4.2.15. what was/were the most common disease/s to your household before the project?

- 4.2.16. What is the current situation to this/these disease/s? ( \_\_\_\_ ).  
Totally improved....=1, To some extent improved....2, Not improved at all....=3

#### 4.3. APPLICABLE TO SMALL-SCALE IRRIGATION PROJECTS.

4.3.1. How large is the size of your irrigable land (in ha)? ( \_\_\_\_ )

4.3.2. Do you irrigate the whole irrigable plot effectively and efficiently? ( \_\_\_\_ ). Yes...=1, No...=2

4.3.3. If no (to 4.3.2.), what is the reason for not doing so? ( \_\_\_\_ )

- Scarcity of water.....=1      .Physical exhaustion.....=5
- Scarcity of seeds.....=2      .Restriction from using the water...=6
- Scarcity of other inputs...=3      .Other.....=7
- Absence of oxen.....=4      Specify \_\_\_\_\_

4.3.4. Types, amount, and usage of crops produced per year through irrigation in the household:

| No | Crop Type | Production<br>in Quintal | Used for                   |                           |                      |                    |
|----|-----------|--------------------------|----------------------------|---------------------------|----------------------|--------------------|
|    |           |                          | For Current<br>Consumption | Reserve for<br>Future use | For Sale<br>(Market) | Other<br>(specify) |
| 1  |           |                          |                            |                           |                      |                    |
| 2  |           |                          |                            |                           |                      |                    |
| 3  |           |                          |                            |                           |                      |                    |
| 4  |           |                          |                            |                           |                      |                    |
| 5  |           |                          |                            |                           |                      |                    |
| 6  |           |                          |                            |                           |                      |                    |
| 7  |           |                          |                            |                           |                      |                    |
| 8  |           |                          |                            |                           |                      |                    |
| 9  |           |                          |                            |                           |                      |                    |

4.3.5. How many seasons do you currently harvest agricultural products through the irrigation project? ( \_\_\_\_ )

4.3.6. State particular benefits you get from the irrigation project compared to the without situation as ( \_\_\_\_ ):

- Enabled to secure food self-sufficiency.....=1
- Enabled to produce agricultural surplus.....=2



- Productivity per person increased.....=3
- Productivity per unit of input increased.....=4
- Productivity per plot of land increased.....=5
- Productivity per a given time increased.....=6
- Enabled to have adequate cattle feeding.....=7
- Avoided seasonal unemployment.....=8

4.3.7. Does the irrigation project work from year-to-year efficiently and effectively? ( \_\_\_\_\_ )  
Yes.....=1, No..... =2, I don't know....=3

4.3.8. Is the water source of the irrigation project reliable for future uses? ( \_\_\_\_\_ )  
Yes.....=1, No....=2, I don't know....=3

4.3.9. What other benefits have you got (other than agricultural productivity) from the irrigation project? \_\_\_\_\_  
\_\_\_\_\_

4.3.10. Does the construction of the dam or river diversion for the irrigation project create ( \_\_\_\_\_ )

- Soil erosion..... =1
- Siltation..... =2
- Craters/ quarries and stagnant pools..... =3
- Loss of human and animal life due to drowning... =4 .Specify\_\_\_\_\_
- Loss or reduction of water for downstream users... =5
- Flooding or abnormal course of flow.... =6
- Malaria or other related diseases..... =7
- Other..... =8

#### 4.4. APPLICABLE TO RURAL WATER SUPPLY PROJECTS.

4.4.1. Was drinking water a problem to your household before this water supply project came to exist? ( \_\_\_\_\_ ) Yes...=1, No...=2

4.4.2. If yes (to 4.4.1), what were the major reasons for the problem? ( \_\_\_\_\_ )

- Scarcity of water in the locality.....=1
- Water sources were unhealthy.....=2
- Protected sources were expensive...=3
- Sources to fetch water were far from the locality...=4
- Other.....=5  
Specify\_\_\_\_\_

4.4.3. Where have you been fetching or collecting drinking water before this water supply project came to exist? ( \_\_\_\_\_ )

- From pond.....=1
- From river.....=2
- From unprotected spring.....=3
- From protected spring.....=4
- From lake.....=5
- From unprotected well.....=6
- From protected well.....=7
- Other.....=8

Specify \_\_\_\_\_

4.4.4. How long (in km) did you travel to fetch or collect water before the project? ( \_\_\_\_\_ )

4.4.5. How many times did you collect water per day before the project? ( \_\_\_\_\_ )

4.4.6. How many man-hours have the household been spending to fetch water per day on average before this water project established? ( \_\_\_\_\_ )

4.4.7. Who is in charge of fetching water in particular in the household? ( \_\_\_\_\_ )

- Wife.....=1      .Servant.....=5
- Husband.....=2      .Other.....=6
- Girls (daughters)...=3      Specify \_\_\_\_\_
- Boys (sons).....=4

4.4.8. Have the household members been infected by water-born diseases prior to the creation of this water supply project? ( \_\_\_\_\_ ). Yes.....=1, No.....=2

4.4.9. How many days of illness per person per year were registered in the household on average? ( \_\_\_\_\_ )

4.4.10. What is the type of the water supply project currently being used? ( \_\_\_\_\_ )

- Hand dug well.....=1
- Motor pip distribution.....=2
- Spring development.....=3
- Other.....=4

Specify \_\_\_\_\_

4.4.11. How long (in km) is the water project understudy far from your residence? ( \_\_\_\_\_ )

4.4.12. How many times do you collect water from the project per day? ( \_\_\_\_\_ ).

4.4.13. Is there any restriction in time and amount to collect water from the project? ( \_\_\_\_\_ )

Yes...=1, No...=2

4.4.14. If yes (to 4.4.11), explain how you use the project to collect water as ( \_\_\_\_\_ )

- Through quota system.....=1      Other.....=3
- Through queue system.....=2      Specify \_\_\_\_\_

4.4.15. Is the water source of the project reliable for future uses? ( \_\_\_\_ ). Yes...1, No...=2, I don't know...=3

4.4.16. What particular advantages are being secured from the project? ( \_\_\_\_\_ )

- Saved women's time.....=1
  - Lessen women's burden.....=2
  - Decreased the rate of occurrence of water-born diseases .....=3
  - Supplied adequate pure water for drinking, cooking, washing, etc.....=4
  - Other....., =5
- Specify \_\_\_\_\_

4.4.17. What do members of the household who were fetching water from long distances currently perform in the time and energy saved as a result of the presence of the project?

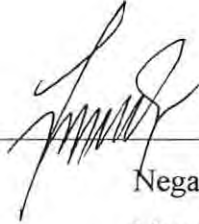
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## DECLARATION

This Thesis is my original work, has not been presented for a degree in any other university and that all sources of material used for the thesis have been duly acknowledged.

A handwritten signature in black ink, appearing to be 'Nega Wubie', written over a horizontal line.

Nega Wubie

May 2000

This thesis is submitted for examination with my approval as an advisor of the candidate

A handwritten signature in black ink, appearing to be 'Teketel Abebe', written over a horizontal line.

Teketel Abebe (Dr.)

May 2000