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**ADDIS ABABA UNIVERSITY  
COLLEGE OF DEVELOPMENT STUDIES  
CENTER FOR FOOD SECURITY**

**FOOD SECURITY STATUS AND DETERMINANTS OF UPSNP BENEFICIARIES IN  
ADDIS ABABA**

**BY:**

**TSION TADELE**

**JUNE, 2019**

**ADDIS ABABA UNIVERSITY**  
**COLLEGE OF DEVELOPMENT STUDIES**

**FOOD SECURITY STATUS AND DETERMINANTS OF UPSNP BENEFICIARIES IN  
ADDIS ABABA**

**A THESIS SUBMITTED TO:**

**THE SCHOOL OF GRADUATE STUDIES OF ADDIS ABABA UNIVERSITY IN  
PARTIAL FULFILLMENT OF THE REQUIREMENT FOR THE DEGREE OF  
MASTER OF SCIENCE IN FOOD SECURITY**

**BY**

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**Declaration**

This thesis is my original work and has not been presented for MSc degree in any other University and that all the sources and materials used for the thesis have been properly acknowledged.

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**This thesis is dedicated to my beloved husband Gedion  
G. Jalata  
and  
my beloved children Samuel and Daniel Gedion**

## **Acknowledgments**

First, I would like to express my endless love and say glory to the almighty God for providing me the opportunity and strength to pursue my graduate study at Center for Food Security, Development studies, Addis Ababa University.

Second, I owe my deepest gratitude and respect for my advisor Dr. Temesgen Tilahun for his invaluable guidance, suggestion and constructive comments without which this thesis would have not been in this form. I would also like to express my gratitude to Dr. Messay Mulugeta for his advice and constructive suggestions, which helped me immensely in shaping this thesis.

My special thanks also goes to my husband Gedion G. Jalata for his advices and support in the whole process of my graduate study and drafting this thesis.

Indeed, I am grateful for my families, friends and classmates for their unreserved support and encouragement throughout the whole study.

God bless you all!

Tsion Tadele

June,2019

## Acronyms / Abbreviation

|         |                                                        |
|---------|--------------------------------------------------------|
| ATA     | Agricultural Transformation Agency                     |
| CCI     | Complementary Community Investment                     |
| CCIP    | Complementary Community Investment Program             |
| EPH     | Economical Productive Households                       |
| FAO     | Food and Agriculture Organization                      |
| FDRE    | Federal Democratic Republic of Ethiopia                |
| FGD     | Focus Group Discussion                                 |
| FIES    | Food Insecurity experience scale                       |
| FSP     | Food Security Program                                  |
| FUJCFSA | Federal Urban Job Creation and Food Security Agency    |
| GoE     | The Government of Ethiopia                             |
| GTP     | Growth and Transformation Plan                         |
| HABP    | Household Asset Building Program                       |
| HFSST   | Household Food Security Status                         |
| IMF     | International Monetary Fund                            |
| KII     | Key Informant Interview                                |
| MEAL    | Monitoring Evaluation, Accountability and Learning     |
| MIH     | Monthly Income Households                              |
| MRTSTHH | Marital Status of Household Head                       |
| PSNP    | Productive Safety Net Program                          |
| SDGs    | Sustainable Development Goal                           |
| SMES    | Small and Medium Enterprises                           |
| SNNPR   | Southern Nations, Nationalities, and Peoples' Region   |
| SPSS    | Statistical Package for the Social Sciences            |
| SSA     | Sub-Saharan Africa                                     |
| STATA   | Software for Statistics and Data Analysis              |
| UNDP    | United Nations Development Program                     |
| UNICEF  | United Nations International Children's Emergency Fund |
| UNOCHA  | UN Office for the Coordination of Humanitarian Affairs |

|       |                                      |
|-------|--------------------------------------|
| UPSNS | Urban Productive Safety Net Program  |
| UPSNS | Urban Productive Safety Net Strategy |
| USD   | United States Dollar                 |
| VRP   | Voluntary Resettlement Program       |
| WFP:  | World Food Program                   |
| WHO   | World Health Organization            |



| Table of Contents                                                                   | Pages |
|-------------------------------------------------------------------------------------|-------|
| Acknowledgments .....                                                               | i     |
| List of Tables .....                                                                | vii   |
| List of Figures.....                                                                | viii  |
| ABSTRACT .....                                                                      | ix    |
| CHAPTER ONE: INTRODUCTION .....                                                     | 1     |
| 1.1. Background of the study .....                                                  | 1     |
| 1.2.Statement of the problem.....                                                   | 3     |
| 1.3. Objectives of the study .....                                                  | 6     |
| 1.4. Research questions.....                                                        | 6     |
| 1.5.Scope of the study.....                                                         | 7     |
| 1.6. Significance of the study .....                                                | 6     |
| 1.7. Limitations of the study .....                                                 | 7     |
| 1.8. Organization of the study.....                                                 | 7     |
| CHAPTER TWO: REVIEW OF RELATED LITERATURE .....                                     | 8     |
| 2.1. The concepts of food security, food insecurity experience scale and PSNP ..... | 8     |
| 2.2.Urban Food Security: Global Perspectives.....                                   | 9     |
| 2.3. Achieving Food Security in Ethiopia.....                                       | 11    |
| 2.4. Major Components of Food Security Program in Ethiopia .....                    | 12    |
| 2.4.1. Household Asset Building Program (HABP) .....                                | 12    |
| 2.4.2. Voluntary Resettlement Program (VRP) .....                                   | 12    |
| 2.4.3 Complementary Community Investment Program (CCIP).....                        | 13    |
| 2.4.4. Productive Safety Net Program (PSNP) .....                                   | 13    |

|                                                                                         |           |
|-----------------------------------------------------------------------------------------|-----------|
| 2.4.5. Urban Productive Safety Net Program (UPSNP) .....                                | 14        |
| 2.5. Empirical Literature Review.....                                                   | 26        |
| 2.7. Conceptual framework.....                                                          | 27        |
| <b>CHAPTER THREE: DESCRIPTION OF THE STUDY AREA AND RESEARCH</b>                        |           |
| <b>METHOD .....</b>                                                                     | <b>29</b> |
| 3.1. Description of the study area .....                                                | 29        |
| 3.2. Justification for the selection of study area .....                                | 30        |
| 3.3. Research approach and design.....                                                  | 31        |
| 3.4. Target Population.....                                                             | 32        |
| 3.5. Sample size determination and sampling procedure.....                              | 33        |
| 3.6. Data collection techniques.....                                                    | 34        |
| 3.7. Method of data analysis .....                                                      | 36        |
| 3.7.1. Descriptive statistics .....                                                     | 37        |
| 3.7.2. Food Insecurity Experience Scale (FIES) .....                                    | 37        |
| 3.7.3. Econometric analysis: Binary logistic regression and tobit regression model..... | 40        |
| 3.7.4. Description of variables .....                                                   | 41        |
| <b>CHAPTER FOUR: RESULTS AND DISCUSSION.....</b>                                        | <b>44</b> |
| 4.1. Descriptive analysis .....                                                         | 44        |
| 4.2. Analysis of Food Insecurity Experience Scale (FIES) .....                          | 51        |
| 4.4. Determinants of food security of the UPSNP beneficiaries .....                     | 54        |
| 4.5. Determinants of food insecurity experience .....                                   | 57        |
| 4.5.1. Mild food insecurity experience .....                                            | 57        |
| 4.5.2. Moderate food insecurity experience.....                                         | 58        |
| 4.5.3. Severe food insecurity experience .....                                          | 59        |

|                                                    |    |
|----------------------------------------------------|----|
| 4.6.2. Prospect for USPNP .....                    | 64 |
| CHAPTER FIVE: CONCLUSION AND RECOMMENDATIONS ..... | 65 |
| 5.1. Conclusion .....                              | 65 |
| 5.2. Recommendations.....                          | 69 |
| References.....                                    | 73 |
| Appendices .....                                   | 79 |

## List of Tables

|             |                                                                                   |
|-------------|-----------------------------------------------------------------------------------|
| Table 3:1:  | List of beneficiaries of UPSNP in Woreda 08, Arada Sub-City                       |
| Table 3:2:  | Food Insecurity Experience Scale                                                  |
| Table 3:3:  | Variables hypothesized for the study                                              |
| Table 4:4:  | Demographic and socio-economic characteristics of households                      |
| Table 4:5:  | Participation households in different business activity                           |
| Table 4:6:  | House ownership                                                                   |
| Table 4:7:  | Asset protection and building                                                     |
| Table 4:8:  | Types of services extended to beneficiaries                                       |
| Table 4:9:  | UPSNP salary received and its usage                                               |
| Table 4:10: | Food Consumed in seven days                                                       |
| Table 4:11: | Analysis of Food Insecurity Experience Scale                                      |
| Table 4:12: | The odds ratio of determinants of food security UPNSP beneficiaries               |
| Table 4:13: | Marginal effect of tobit model estimates of mildly food insecurity experience     |
| Table 4:14: | Marginal effect of tobit model estimates of moderately food insecurity experience |
| Table 4:15: | Marginal effect of tobit model estimates of severely food insecurity experience   |

## List of Figures

- Figure 2:1: An analytical framework for Urban Productive Safety net
- Figure 3:2: Area map of woreda 08, Arada sub city, Addis Ababa Ethiopia
- Figure 4.3: The food security status of Urban Productive Safety Net Program (UPSN)
- Figure 4.3: The food security status of Urban Productive Safety Net Program (UPSNP)

## **ABSTRACT**

*The Ethiopian government and other stakeholders have developed food security enhancement strategies. Urban Productive Safety Net Program (UPSNP) is one of these strategies. The main objective of the study is to assess and examine the implementations, challenges, identify the determinants of food security and insecurity experience and prospects of UPSNP beneficiaries in Woreda 08, Arada Sub city, Addis Ababa, Ethiopia. Primary and secondary data collection method were employed in this study. The study also used Household Food Insecurity Experience Scale (FIES) model to analyze food insecurity experience of UPSNP beneficiaries in the Woreda. Based on the survey conducted and the nature of the dataset at hand, tobit regression model was employed to identify determinants of households' food insecurity experiences. The study also analyzed determinants of food security status using binary logic regression model. The main findings of the study is that UPSNP has contributed to some extent to the food security status of the beneficiaries (households) in Woreda. However, it is not bereft of challenges. The major challenges were selection problems including inclusion and exclusion, challenges in relation to institutional arrangement, challenges of transparency and political intervention, lack of coordination among partners, lack of awareness about project implementation manual, and low and delayed financial payment problems. Accordingly, once these challenges are addressed, UPSNP will have a bright prospect. However, if the aforementioned challenges are not addressed as soon as possible and well, UPSNP may have gloomy prospects as the challenges overshadow the benefits expected from UPSNP. In this context, the most prominent recommendations are determination, political willingness, and commitments are needed from the government in addressing the aforementioned challenges. Regular monitoring, evaluation, learning, and accountability (MEAL) of UPSNP is crucial. The support and service component of UPSNP must be strengthened and experience sharing of UPSNP of different Woredas and Cities to identify best practices, lessons learned in order to address challenges are timely and pertinent.*

**Keywords:** *UPSNP, Challenges, Opportunities, Determinants, Food Security, Food Insecurity, Prospects and Addis Ababa*



# CHAPTER ONE: INTRODUCTION

## 1.1. Background of the study

Food security as a concept emerged in the mid-1970s in the context of several incidences, which prompted discussions on food supply and sufficiency at the aggregate level both at global and national level, however, the issue of sufficiency at the household or individual level as well as nutritional quality and environmental sustainability were neglected (Ingela and Nagothu, 2017). Within such discourse the World Food Summit in 1996 provided a widely accepted definition of food security: “food security exists when all people at all times have access to sufficient, safe, nutritious food to maintain a healthy and active life” (WHO, 2010).

Food security is a worldwide phenomenon. Globally about 870 million people does not get sufficient food i.e., one out of every 8 persons is victims of food security. There are determinants of food security in a particular country including economic, social, cultural and environmental conditions. Most of the victims live in developing countries yet the problem is worst in Sub Saharan countries. Food security is a challenge in urban areas because of a confluence of factors including irregular income, limited attention to urban agriculture, lack of employment opportunities, lack of legal frameworks for urban land tenure security, lack of potable water, sustainable energy supply, housing, and education as well as health facilities among others (FDRE, 2016; World Bank, 2015).

In this context, different countries globally developed specific food security programmes and implemented to tackle food insecurity in urban areas. The most notable ones are the Famine Safety Net Program in Kenya, the Bolsa Familia in Brazil and the ProgresA Aparchnitades in Mexico, zero famine strategy in Brazil. The actual results achieved, however, differ depending on the specific context and commitments of individual countries (Tomazini, 2017).

Achieving food security, however, has been an insurmountable challenge in Ethiopia. In this regard, Ethiopia has been one of the most food-insecure and famine affected countries. A large portion of the country’s population has been affected by chronic and transitory food insecurity. The situation of chronically food insecure people is becoming more and more severe. Food security situation in Ethiopia is highly linked to recurring food shortage and famine in the country, which are associated to recurrent drought. Accordingly, more than 30 percent of the Ethiopian population lives below the



poverty line and above 31 million people are undernourished. By using the threshold of 2,550 kilocalories (Kcal) per adult equivalent per day, 40 percent of Ethiopian households of the country were food insecure and undernourished (COMPACT, 2016; UNECA and WFP, 2010).

In the past four decades, Ethiopia has been hit by four major famines. These are from 1971 to 1975; 1984 to 1985; 1999 to 2000, and 2002 to 2003 that have cost at least million people lives (Mehretab *et al.*, 2017). According to the latest report, 8.5 million people in Ethiopia face a precarious food security situation. The worsening food security situation is attributed primarily to lingering effects of the 2015-2016 El Niño-induced drought and poor October-to-December and March-to-June rainy seasons mainly in 2017(UNOCHA, 2017).

Ethiopia is considered a least developed country ranked 173<sup>rd</sup> out of 187 countries in the UNDP Human Development Index in 2017. In the 2017 Global Hunger Index, which ranks developing countries and countries in transition based on proportion of undernourished people, Ethiopia was given a 32.3, on a scale of 0-100. However, Ethiopia is one of the countries that made the most absolute progress improving its score between 2000 and 2017 i.e. from score of 56.0 in 2000 down to 32.3 in 2017. But this score is still not adequate which puts Ethiopia 104<sup>th</sup> out of 119 countries (Global Hunger Index, 2017).

Ethiopian governments have implemented different food security strategies to address issues of drought and food shortage faced by millions of Ethiopians. Decades of food security programming have assisted many and have undoubtedly saved lives; however, interventions fall short of expectation to achieve the objective of improving household food security for the majority of poor and food insecure households and food insecurity has remained a persistent problem in the country.

As aware of this fact, the Ethiopian government and other stakeholders have developed food security enhancement strategies in the country. The major components of food security program in Ethiopia include Household Asset Building Program (HABP); Voluntary Resettlement Program; Complementary Community Investment Program (CCIP); Productive Safety Net Programme (PSNP) and Urban Productive Safety Net Programme (UPSNP).

PSNP have been implemented in Ethiopia since 2005. Hence, the PSNP is became a principal food security strategy of Ethiopia. It was originally designed to benefit 5 million chronically food insecure people in targeted chronically food insecure people. The implementation of PSNP in

Ethiopia, therefore, witnessed an enhanced food security strategy through saving life and asset protection through the predictable transfers though gaps in achievement between the regions and beneficiaries have been realized. Furthermore, the program has had some positive impacts in terms of improving the life of affected people and help asset building. In addition, the severity food insecurity Ethiopia is very high in urban area (Lavers, 2016; Messay, 2018).

Especially, the government of Ethiopia introduced UPSN to alleviate the challenges of chronic food security problem in urban areas including Addis Ababa. Within Addis Ababa, this study focuses on Arada Sub City. The Sub City is one of the ten sub cities of Addis Ababa, the capital city of Ethiopia. According, Job Opportunity Creation and Food Security Office, the Arada Sub City of Woreda 08 has an area of 825, 424.3 m<sup>2</sup> and overall population of 9, 625 people. The Woreda 08 is one of the famous Woreda in Arada sub city as most people living in the area in one way or another through their families served in the palace during the emperor's time and in the previous regimes. However, as a result of its location i.e., nearby the Prime Minister residence and office, there has been serious security surveillance against the locality in which some activities or works are not allowed to happen in the area, which considered a threat for the palace.

This had adverse effect for the local people as they are not engaged freely in doing business activities in the Woreda. The majority of the Woreda people generate their livelihood from engagement from the informal sector, small micro businesses such as shops, employment at public and private companies as well as daily labourers. As indicated above, the Woreda has been under serious security surveillance against the locality. In this regard, any business activity is not allowed to happen in the Woreda. The sub-city Arada has also one of the largest poor people that are beneficiary of UPSNP in Addis Ababa, which destitute the sub city for such a study.

## **1.2. Statement of the problem**

In the past four decades, Ethiopia has been hit by four major famines. These are from 1971 to 1975; 1984 to 1985; 1999 to 2000, and 2002 to 2003 that have cost at least million people lives (Mehretab *et al.*, 2017). Famine is the ultimate expression of food insecurity. Following these famines, successive Ethiopian governments have implemented different food security strategies to address issues of drought and food shortage faced by millions of Ethiopians. Decades of food security programming have assisted many and have undoubtedly saved lives; however, interventions fall

short of expectation to achieve the objective of improving household food security for the majority of poor and food insecure households and food insecurity has remained a persistent problem in the country.

The decades long quest for food security in Ethiopia has culminated in Ethiopia's current Food Security Programme with the adoption of the Productive Safety Net Programme (PSNP) in 2005, which is by far the largest programme implemented in the country. The PSNP is a principal food security strategy of Ethiopia. It is a multi-year program that makes foreseeable cash or food transfer to recurrently food insecure people in food insecure Woredas. The programme has two components. These are direct support and public work. The programme was originally designed to benefit 5 million chronically food insecure people in targeted chronically food insecure people. The programme at the moment is benefiting 8 million rural poor and about 450, 000 urban poor (FDRE, 2016).

Although Ethiopia remains predominantly rural, urbanization is taking place in unprecedented rate, and as Ethiopia urbanizes, high presence of poverty has been witnessed in the country. In 2000, 11 percent of Ethiopia's poor lived in cities, but this rose to 14 percent in 2011. The urban population reached 11.9 million by the last census in 2007 and was estimated to reach 16.7 million in 2014, with an average population growth rate of 3.8 percent. Urban population is projected to triple by 2034 reaching 30 percent of the total population. As more of the urban poor live in large urban centers, expanding development programs to address key challenges to urban poverty reduction is imperative (FUJCFSA, 2018).

Guided by the newly approved Social Protection Policy and based on the successes of rural PSNP, the government of Ethiopia has introduced safety net to a national coverage and designed Urban Productive Safety Net Strategy (UPSNS) framework. Consistent with the poverty reduction and economic development objectives of the national Growth and Transformation Plan and the National Social Protection Policy/Strategy, the USNS framework aims to guide implementation of interventions that will alleviate the varying needs of the urban poor. The long term objective of the government's USNS framework is reducing poverty and vulnerability among the urban poor living below the poverty line by implementing productive and predictable urban safety nets and complementary livelihood interventions over a period of 10 years and beyond. Hence, based on the

framework the government with its partners developed and implemented Urban Productive Safety Net Program in 11 major cities across Ethiopia since 2015. In this context, the Urban Productive Safety Net Program (UPSNP) started to implement in selected towns with the objectives of urban food security and job creation and institutional strength (FUJCFSA, 2018).

UPSNP, is an emerging strategy of food security in Ethiopia. It is flagship national program and one of the few large Urban Safety Nets in Africa – and globally. UPSNP constitutes the first phase of the long term Urban Productive Safety Net strategy of the government, which aims to support over 4.7 million urban poor living in 972 cities and towns including the destitute poor and food insecure people found in Addis Ababa. It focuses on putting in place basic safety net building blocks and reaches over 600 thousand people in 11 major cities (FUJCFSA, 2018).

Its unique nature from PSNP and also its large scale implementation demands close documentation, gap identification and prediction for its successful implementation and contribution to the overall development of the urban in particular and the country in general. However, there is an apparent lack of information and documentation on practices of UPSNP including best experiences and challenges specifically the practice in Addis Ababa. For this reason, it is timely and pertinent to conduct research in UPSNP focusing in Addis Ababa taking the case of Woreda 8 at Arada Sub-City to analyze the development, unveil the challenges and draw important lessons for successful implementation of PSNP in urban areas.

In this case this research address such a gap UPSNP has been started by taking the demonstrated experiences from PSNP. One can realize that UPSNP in Ethiopia is in its infancy stage, and expected to include a number of poor people in urban areas and towns. Though it is in its early stage, its unique nature from UPSNP and also its large scale implementation demands close documentation, gap identification and prediction for its successful implementation and contribution to the overall development of the urban in particular and the country in general. therefore, timely and pertinent to assess the implementation of UPSNP and identify implementation, challenges, determinants and prospects of food insecurity experiences in the city of Addis Ababa taking the case of Woreda 8 of Arada Sub-City.

### **1.3. Objectives of the study**

The main objective of the study was to assess the implementations, challenges, prospects and identify the determinants of food insecurity experience in the UPSNP beneficiaries in the case worda 08, Arada subcity, Addis Ababa, Ethiopia.

The specific objectives of the studied include to:

- assess the implementation of UPSNP in the study area;
- identify challenges and prospects of UPSNP in the study area;
- Investigate the food security status of UPSNP beneficiaries in the study area;
- analyze the food insecurity experience of UPSNP beneficiaries in the study area;
- identify the determinants of food insecurity status of beneficiaries in the study area

### **1.4. Research questions**

This studied answer the following questions:

- What are the implementation gaps of UPSNP in the study area?
- What challenge and prospect exist in UPSNP in the study area?
- What is the food security status of UPNSP in the study area?
- What is the food insecurity experience of UPSNP beneficiaries in the study area?
- What are the determinants of food insecurity experience UPSNP beneficiaries in the study area?

### **1.5. Significance of the study**

It believed that the results of the study would contribute the efforts to improve the implementation of the ongoing UPSNP in Ethiopia. The study, therefore, fills the gap in the existing knowledge in relation to UPSNP thereby provides new information in the study of food security in relation to PSNP in Ethiopia. Furthermore, it may help other researchers in undertaking further investigation in relation to the issue of UPSNP. Moreover, the study had methodological significances may help other researchers to understand better the challenges, success and prospects of UPSNP and by giving the information and taking the lessons. The study served as a stepping stone for further analysis in

relation to the issue of UPSNP. Furthermore, the researcher used the Food Insecurity Experience Scale (FIES, 2013) module for analysis in this study. This model used for the first time in analyzing UPSNP, which made the study not only unique but also helps to knowledge of researchers to understand UPSNP best.

## **1.6. Scope of the study**

The study focused only on UPSNP and bring out the challenges and prospects of food insecurity experience of it using the case in point i.e., Woreda 08 of Addis Ababa. This research didn't compare the urban and rural PSNP. Rather the focus of this study is on the beneficiaries of UPSNP in Woreda 08 of Addis Ababa, and there was no comparison of control and treatment group. The study relied only on the cross-sectional data and the study area.

## **1.7. Limitations of the study**

The study was not bereft of challenges. In the course of the research, several problems were encountered. First, literature on the subject at hand was startlingly meager and only just evolving. In this regard, there has been problems in getting up-to-date literature and official government documents, some of which are classified. Second, it has been also a challenge to get experts for an in-depth informant interview from government officials, and partners. Third, the space, time and resource allocated for carrying out the study were another set of challenges.

## **1.8. Organization of the study**

The study consisted of five major chapters. The first chapter was an introductory part of the study, which deals about background of the study, statement of problem, objectives, research questions, scope of the study, significance of the study, limitations of the study and organization of the study. The second chapter was a review related literature. The third chapter dealt with the description of the study area and research method. The fourth chapter presented result and discussion of the study. The final chapter consisted of summery findings, conclusion and recommendations.

## **CHAPTER TWO: REVIEW OF RELATED LITERATURE**

### **2.1. The Concepts of Food Security and PSNP**

Food security as a concept emerged in the mid-1970s in the context of several incidences which prompted discussions on food supply and sufficiency at the aggregate level both at global and national level (Ingela and Nagothu, 2017). However, the issue of sufficiency at the household or individual level as well as nutritional quality and environmental sustainability were neglected (Ingela and Nagothu, 2017). Within such discourse the World Food Summit in 1996 provided a widely accepted definition of food security: “food security exists when all people at all times have access to sufficient, safe, nutritious food to maintain a healthy and active life” (WHO, 2010). This definition later developed to include dimension of availability, access, utilization and stability.

In the 2009 Declaration of the World Summit on Food Security, food security was defined in the following way: *Food security exists when all people, at all times, have physical, social and economic access to sufficient safe and nutritious food that meets their dietary needs and food preferences for an active and healthy life* (FAO, 2009). Access to food was recognized as one of the pillars of food security. It is this dimension of food security – food access – that experience-based food insecurity scales are designed to measure in populations, based on data collected at the household and individual level.

#### **Productive Safety Net Program**

The decades long quest for food security in Ethiopia has culminated in Ethiopia’s current Food Security Programme with the adoption of the Productive Safety Net Programme (PSNP) in 2005, which is by far the largest programme implemented in the country. The PSNP is a principal food security strategy of Ethiopia. It is a multi-year program that makes foreseeable cash or food transfer to recurrently food insecure people in food insecure Woredas. The programme has two components. These are direct support and public work. The programme was originally designed to benefit 5 million chronically food insecure people in targeted chronically food insecure people. The programme at the moment is benefiting 8 million rural poor and about 450, 000 urban poor (FDRE,

2016).

## **2.2. Urban Food Security: Global Perspectives**

Food security is a worldwide phenomenon. Globally about 870 million people does not get sufficient food i.e., one out of every 8 persons is victims of food security. There are determinants of food security in a particular country including economic, social, cultural and environmental conditions. Most of the victims live in developing countries yet the problem is worst in Sub Saharan countries. Food security is a challenge in urban areas because of a confluence of factors including irregular income, limited attention to urban agriculture, lack of employment opportunities, lack of legal frameworks for urban land tenure security, lack of potable water, sustainable energy supply, housing, and education as well as health facilities among others (FDRE, 2016; World Bank, 2015).

More importantly, because of the government inability to develop and promote safety net programs or social security related interventions that help households living in illegal and chronic poverty, perpetuates the challenge of food security in urban area. For instance, as reflected by WFP, above 100 million people worldwide have been vulnerable to unacceptable food shortages since 2008 as a result of food shortages because of increase in food prices, of which 75% are urban consumers (WFP, 2012; FDRE, 2016).

In this context, different countries globally developed specific food security programmes and implemented to tackle food insecurity in urban areas. The most notable ones are the Famine Safety Net Program in Kenya, the Bolsa Familia in Brazil and the ProgresA Aparchnitades in Mexico, zero famine strategy in Brazil. The actual results achieved, however, differ depending on the specific context and commitments of individual countries (Tomazini, 2017).

### **2.2.1: Experience from Brazil, China, Vietnam, Cuba, Senegal and Ghana**

Zero Famine Strategy of Bazil, which started in 2003 GC, has a remarkable achievement and an important lesson that “it is possible to reduce and eventually abolish food insecurity problems in the medium to long term by integrating and coordinating policies and strategies” (FDRE Government, 2016: 14). The strategy focused on alleviating food shortage faced by susceptible households with



the aim of extricating them from famine, poverty and economic isolation. Furthermore, an organization with ministerial level to implement the strategy at all hierarchy of the government was established. The organization not only established partnerships with 10 ministries but also achieved landmark achievements by effectively coordinating the implementation of 30 programmes and having a consultative forum with 20 members from diverse organizations including the public (World Bank, 2015; FDRE, 2016).

As a result, just in five years, between 2003 and 2008 GC, people living below the poverty line decreased by 27% and the number of people living below food poverty line decreased by 48%. Especially, incredible achievement with international recognition registered in the fourth largest city of Brazil, Belo Horizonte, as the city administration came with a programme to solve food security problems and by signing agreements with representatives of local communities, professionals, and educational institutions, other stakeholders and partners since 1990s (FDRE, 2016).

Experiences from Vietnam, China, Senegal, Ghana, and Cuba also helps in how to address urban food insecurity through urban agriculture. This is the reason that poor urban dwellers who are unable to afford buying food can be supported to become direct producers of vegetables, dairy products, animal products etc. This helps them to meet their own food needs as well as generate income from surplus produced. For instance, in Hanoi, Vietnam 80% of fresh vegetables and 50% animal products are coming from urban agriculture; while in Shanghai, China 60% fresh vegetables, 100 dairy products and 50% animal products are coming from urban agriculture; and Havana, Cuba through urban agriculture 25, 000 tons of food annually produced through public gardens. The production meets the food needs of the city's food needs. Within Africa continent in Dakar, Senegal 60% of fresh vegetables, 60 dairy products and 65% animal products are coming from urban agriculture while in Accra, Ghana 90% of fresh vegetables are coming from urban agriculture (FDRE, 2016; World Bank, 2015).

The important factors that contributed to actualize food security in the urban area in the aforementioned cities: a strong political commitment to implement the right to food; providing robust and sustainable support for challenged households who live in food insecurity. Furthermore, providing continuous education to the poor and destitute on balanced diet, dietary habits, food hygiene, food preparation and storage, environmental protection and the right to food; creating direct linkages between rural producers and urban consumers to overcome the challenge of inflation;

promoting urban agriculture mainly community centered vegetable and fruit production contributed significantly in addressing urban food insecurity (FDRE, 2016; World Bank, 2015).

### **2.3. Food Security in Ethiopia**

Achieving food security has been an insurmountable challenge in Ethiopia. In this regard, Ethiopia has been one of the most food-insecure and famine affected countries. A large portion of the country's population has been affected by chronic and transitory food insecurity. The situation of chronically food insecure people is becoming more and more severe. Food security situation in Ethiopia is highly linked to recurring food shortage and famine in the country, which are associated to recurrent drought. Accordingly, more than 30 percent of the Ethiopian population lives below the poverty line and above 31 million people are undernourished. By using the threshold of 2,550 kilocalories (Kcal) per adult equivalent per day, 40 percent of Ethiopian households of the country were food insecure and undernourished (COMPACT, 2016; UNECA and WFP, 2010).

According to the latest report, 8.5 million people in Ethiopia face a precarious food security situation. The worsening food security situation is attributed primarily to lingering effects of the 2015-2016 El Niño-induced drought and poor October-to-December 2016 and March-to-June 2017 rainy seasons (UNOCHA, 2017). Global conditions such as the high food and fuel prices that have persisted in the country since 2008 and the global financial crisis have also contributed to Ethiopia's failing food security (UN News Service. 2010).

Ethiopia is considered a least developed country ranked 173th out of 187 countries in the UNDP Human Development Index for 2017. In the 2017 Global Hunger Index, which ranks developing countries and countries in transition based on proportion of undernourished people, proportion of underweight children under five, and child mortality rate, Ethiopia was given a 32.3, on a scale of 0-100, with 0 being the best and 100 the worst possible score. Ethiopia is one of the countries that made the most absolute progress improving its score between 2000 and 2017; in 2000 it had a score of 56.0, and now it's down to 32.3. However, this score is still highly troubling – it's currently ranked 104<sup>th</sup> out of 119 countries. Aware of this fact, the Ethiopian government and other stakeholders have developed food security enhancement strategies in the country.

## **2.4. Major Components of Food Security Program in Ethiopia**

The major components of food security program in Ethiopia include Household Asset Building Program (HABP); Voluntary Resettlement Program; Complementary Community Investment Program (CCIP); Productive Safety Net Programme (PSNP) and Urban Productive Safety Net Programme (UPSNP).

### **2.4.1. Household Asset Building Program (HABP)**

Household Asset Building Program (HABP) consists household asset building packages, credits and other development interventions in order to enhance and diversify chronically food insecure households' livelihoods and build their assets to enable them to graduate from PSNP (MoARD, 2014). The credit facility included in the HABP is meant, according to Dessaleng (2013), not only to invest in asset building but also to support income generating undertakings such as petty trade, livestock fattening, apiculture, hand crafts and other activities to improve household income and resilience to shocks. The support line was basically coming from two sources: Ethiopian government OFSP budget and donors supported food security projects.

As explained in OFSP (2008) review document the Ethiopian government started allocating annual budget of 150 million in 2001 to regions for food security intervention, which was raised to 2 billion birr later on. The budget had been allocated to Amhara, Tigray, Oromia, SNNPR, Somali, Afar, Harari regional states and Dire Dawa city administration for household asset building, rural infrastructure development, and resettlement program. The donor supported food security projects, on the other hand, were jointly financed with the amount of 110 million USD by the World Bank, the government of Canada, and Italy '...to build the resource base of chronically poor rural households, increase their employment and incomes, reduce their real costs of food, and improve nutrition levels for children less than five years of age and pregnant and lactating mothers'.

### **2.4.2. Voluntary Resettlement Program (VRP)**

This component of food security strategy is designed to respond to the problems of land availability and land degradation in the highlands and moisture deficit lowland areas, in order to settle chronically food insecure people in suitable and under-utilized areas. According to the FDRE (2003) Resettlement Program Implementation Program, this program was emerged due to 'reality already

occurring on the ground whereby people are spontaneously resettling to unsuitable areas' following the drought of 2002/2003. This program is different from the previous resettlement programs in Ethiopian history in that the current resettlement program is intraregional, not to move people to other regions where the language, religion and other socio-cultural setups may differ (Mehretab, *et al.*, 2015)

#### **2.4.3 Complementary Community Investment Program (CCIP)**

This includes the development of enabling infrastructure through PSNP public work component and other development interventions as per the food security program. This and other development interventions linked with other food security program enhances the livelihoods status of the poor and facilitates the path to graduation. This program has a component of capital intensive infrastructures such as water supply development, irrigation, and roads in targeted chronically food insecure Woredas in Ethiopia (Mehretab, *et al.*, 2015).

#### **2.4.4. Productive Safety Net Program (PSNP)**

Repeated shocks faced by the rural and urban poor as a result of extreme climatic variability compounded by severe environmental degradation mean that food insecurity remains at the heart of Ethiopia's social protection challenge. The combination of these factors means that many millions of Ethiopia's households depend on fragile livelihood systems and continue to be extremely vulnerable. Until 2005, the Government of Ethiopia's response to this challenge was to appeal for emergency food aid on an annual basis to meet the basic consumption needs of the food-insecure population. Although this internationally financed humanitarian assistance was substantial and saved many lives, evaluations showed that it did little to protect livelihoods, generate community assets, or preserve household assets (Cherrier 2014; Hickey *et al.* 2009; The IDL Group 2008; Wiseman *et al.*, 2012).

The severity of repeated shocks, coupled with the inadequate and delayed response, led to increasing destitution and chronic food insecurity. In 2003, building on its National Food Security Strategy, the Government launched a major programming exercise with donor partners that aimed to develop an alternative to crisis response to support the needs of chronic, predictably food-insecure households as well as to develop long term solutions to the problem of food insecurity. As a result, the Productive Safety Net Program (PSNP) was launched in 2005. The program replaced the emergency

appeal system initially for around 5 million chronically food-insecure people, subsequently being scaled up to cover 7.5 million people, now with PSNP 4 it reaches to 8. 5 million people (PSNP PID APL III, 2009).

#### **2.4.5. Urban Productive Safety Net Program (UPSNP)**

Encouraged on the successes of rural PSNP, the government of Ethiopia introduced Urban Safety Net Strategy. Consistent with the poverty reduction and economic development objectives of the national Growth and Transformation Plan and the National Social Protection Policy/Strategy, the Urban Productive Safety Net Strategy/program framework seeks to guide implementation of interventions that will alleviate the varying needs of the urban poor. The Urban Productive Safety Net Program of Ethiopia (UPSNP) is a flagship national program and one of the few large Urban Safety Nets in Africa – and globally (World Bank, 2015).

The major factors that necessitated the UPSNP are lack of industriousness, attitude of dependency, limited attention given to urban agriculture and other income generating activities, high unemployment in urban areas and cities and its consequences such as commercial sex workers, jobless citizens, people in need of special support, and drug addicts and juvenile delinquents (FDRE, 2016: 14-15). There are also around ten principles of UPSNP. For more information, see below the ten principles of UPSNP:

**The ten principles of UPSNP (World Bank, 2015; FDRE, 2016). are:**

- **Goal oriented:** all activities and interventions are geared towards the goal of reducing urban food insecurity and vulnerability.
- **Strategic based:** interventions are aligned with Government's policies, strategies and programs to create synergy and accelerate poverty reduction.
- **Fair and transparent:** UPSNP planning, targeting, implementation and other processes shall be fair and transparent.
- **Non-discrimination:** All program beneficiaries are treated equally. The PIM makes sure that there are no practices of treating one person or group of people less fairly or less well than other people or groups.
- **Timely, predictable and appropriate transfers:** Transfers can be considered predictable if

UPSNP clients have timely knowledge of their eligibility for the program, and they know the amount of transfer they will receive well in advance. A transfer is timely if (i) it is provided to clients before or at the time during the year when they need it most; (ii) A timely transfer also it done according to a planned transfer schedule. A transfer is appropriate if it meets the needs of households.

- **Integration with local sustainable development plans:** UPSNP plans are integrated into wider development plans of City and Woredas / Kebeles administrations.
- **Gender equity:** The UPSNP is designed to respond to the unique needs, interests and capabilities of men and women to ensure that they benefit equally from the program. This is done by promoting the participation of both men and women in UPSNP decision-making structures and responding to women's responsibility for both productive and reproductive work and the differential access of female-headed households to resources.
- **Avoiding dependency syndrome:** The UPSNP is a productive safety net, which protects food consumption and livelihood improvement and addresses some of the underlying causes of food insecurity. Safety nets and livelihoods support are integrated to lead to self-reliance. The productive element comes from infrastructure and improved natural resources base created through UPSNP public works and from the multiplier effects of cash transfers on the local economy.
- **Confidentiality (link it to ethics):** All client information stored in electronic or print form remains confidential and not transferred to any third party.
- **Clients' access to information:** notwithstanding the provision in Principle 9 above, UPSNP clients both PW and Direct Support have access to information stored about them and their families at any time they request.

The main components of UPSNP are i) Safety Net Support ii) Livelihood Services, and iii) Institutional Strengthening, Project Management and Coordination.

### **Component 1: Safety Net Support**

The first component of UPSNP is safety net support. It supports the delivery of a predictable, timely and productive safety net through conditional and unconditional safety net transfers. The project will ensure that various safety net principles primacy, adequacy, and predictability of transfer are

respected. The first subcomponent of the safety net support is conditional **cash transfers**. The conditional transfers will target able-bodied persons in households eligible for project support. This group constitutes an estimated 84 percent of total project beneficiaries. Conditional transfers will require participation in Public Works (PW), which can range from small-scale infrastructure to urban greenery development and environmental and other services projects. PW that increase skills and productivity of beneficiaries will be encouraged. As the program develops, transfers may also be conditional on enrolment in tailored training programs aiming at connecting project clients with job or self-employment opportunities (FDRE, 2016).

**Labor intensive public works:** This will support the financing and development of sustainable community assets and public services implemented using labor-intensive methods. A menu of PW appropriate for the urban areas and customized to the special environments in each of the participating cities will be provided as guidance to the communities in participating areas. These may include urban greenery development, watershed management activities, urban agriculture, environmental cleaning activities, and social facilities/services projects. In cities where there is no overlap with ULGDP, such as Addis Ababa, the PW may also include activities such as the construction of cobblestone roads and building of drainages. Specific guidelines and manuals will be developed to guide the design and implementation of various PW subprojects. Implementation of the PW will also build basic technical skills, such as specific skills for construction, catering, or home care activities, as well as soft skills, such as timeliness and discipline, amongst the project beneficiaries (World Bank, 2017).

**Wage rate and transfer size:** In the case of conditional transfer beneficiaries, the daily transfer size (wage rate) is determined taking into account the market wage rate for similar or comparable unskilled labor, the availability of individuals to undertake their co-responsibilities, and market prices of basic food commodities. Accordingly, a daily transfer size of ETB 60 per person per day (US\$2.91 equivalent per person per day) will be used at the start of the program. This will be reviewed on an annual basis and adjustments will be made as necessary, depending on the specific food price situation of each city. Up to four members of each eligible urban household will be able to work and will be entitled to a transfer over 12 months by providing labor (FDRE, 2016).

**Labor intensity:** consistent with budgetary estimates for the labor versus capital components of the PW, the labor intensity is expected to be not less than 70 percent on average to maximize the

element of transfer to the target households (World Bank, 2015).

**Time schedule of the urban poor:** participation in the PW is designed to ensure it does not result in unnecessarily high levels of foregone income opportunities. Specifically, (i) individuals will self-select the number of days they spend on PW up to a cap that is 60 days per household member in the first year and tapering off in the second and third year to 40 and 20 days, respectively, for up to four persons per household. (ii) The daily conditional transfer will be set lower than the average wage rate received for unskilled work encouraging beneficiaries to first pursue other work. And (iii) in the first year savings will be encouraged to facilitate investments in livelihood activities, complemented with a livelihood grant in the second phase of support (World Bank, 2017).

The second subcomponent under safety net is **unconditional cash transfers**. Unconditional transfers will target persons who for various reasons are unable to perform work (for example, the chronically ill, the elderly, people with disabilities, and the urban destitute). The urban destitute include the target group who do not have access to a sustainable livelihood and often resort to begging or illicit activities to make a living. Physical and mental health problems affect many in this group. Some in this group are very young—children who have run away from homes in rural areas. The unconditional transfer beneficiaries will reach up to 16 percent of the total project beneficiaries (FDRE, 2016).

**Transfer size:** unconditional transfer beneficiaries will receive ETB 170 per person a month (US\$8.25 equivalent) or ETB 2,040 per year (about US\$100 per year equivalent). This has the potential to lift about 48 percent of those in this group out of poverty. This transfer level is insufficient for people who fall in the urban destitute category (about 2 percent of total project beneficiaries). The needs of this group are vast and complex. In addition to financial support that can be provided through transfers, they need housing, healthcare, and psycho-emotional counseling services. Therefore, the cost of support will need to be significantly higher than for the other categories of urban poor. The project will have a dedicated budget line to finance pilot projects of specialized service providers to inform an engagement strategy tailored to the specific needs of this group. In this regard, it is estimated that a support of ETB 600 per person per month (about US\$29 equivalent) for 12 months and an additional 30 percent overhead cost for the provision of this service will be required (World Bank, 2015).



The third sub component under safety net is **safety net mechanisms and systems**. The project will also support the development of common safety net mechanisms and systems. This will include payment systems, targeting, wage rate setting, and market price monitoring (World Bank, 2017).

**Payment mechanism:** The mode of transfer of the project will be cash. The project will develop a payment mechanism, in line with the ongoing efforts in modernizing the Ethiopian payment system that are led by the Bank Group, that will use formal financial institutions such as banks and microfinance institutions (MFIs) to deliver payments to all beneficiaries. The project will also explore options to use electronic payment mechanisms such as mobile money transfer. An assessment of how to increase financial inclusion for beneficiaries in a cost-effective way will be undertaken before implementation. The project will finance the sensitization and training activities that the financial inclusion assessment recommends to ensure all beneficiaries can be paid through financial institutions. This increase in financial inclusion will have many benefits for beneficiaries in addition to improving the effectiveness, transparency, and recording of transfers (World bank, 2015).

**Duration and timelines of transfers:** seasonality in the availability of work is modest and poor urban households face shortfalls in meeting their basic needs throughout the year. To distribute additional income throughout the year and to ensure that beneficiaries are not replacing existing economic activities with engagement in their co-responsibilities, conditional and unconditional transfers to beneficiaries will be provided evenly throughout the year. Conditional transfer payments will be made on a monthly basis after completing the PW and will be transferred within a maximum period of 15 days after the end of each month. Unconditional transfers will be based on a fixed monthly payment schedule at the end of each month. The unconditional beneficiaries will remain in the program throughout the life of the project from when they start receiving transfer. The beneficiaries of conditional transfer will be in the program for three years (FDER, 2016).

**Market price monitoring:** The project will closely monitor food prices in urban areas using existing data from the Central Statistical Agency. This will inform not only adjustments to transfer sizes, but also provide surveillance on possible food price-induced crises, similar to those that hit the country in 2008 and 2011. In other words, the monitoring of food prices will not only inform design adjustments but also act as an early warning system for the project as a whole. In the case of large covariate shocks affecting urban areas, the project will closely coordinate a required response with the Disaster Risk Management and Food Security Sector of the MoA, PSNP, and other programs

(World Bank, 2017).

**Targeting:** Project beneficiaries will be identified through a combination of geographic targeting, community-based targeting (CBT), proxy means tests (PMTs), and self-selection. Although in each city the program will scale to cover all areas of the city in the first year, it will target beneficiaries in the poorer parts of the city and expand to other parts of the city in the second and third year. Those who have been residing in their current place of residence for 6 months or more at the start of the targeting process will be considered for the program. Within each administrative unit, targeting committees will be established in each community and will rank households from poorest to richest; thereby identifying those that will be project beneficiaries. This list will be published publicly and verified by implementing a PMT (FDRE, 2016).

A final list of project beneficiaries will be decided by the community targeting committee after any inconsistencies have been discussed. Categorical targeting will be used to determine who is eligible for conditional and unconditional transfers. Self-selection will also be used in that individuals will determine whether they want to participate given the compensation received in return for PW and will decide how many days they will work. Once confirmed as eligible all project beneficiaries will receive a client card (FDRE, 2016).

## **Component 2: Livelihood Services**

The livelihood service is the second component of UPSNP. These element support interventions that will facilitate graduation from the program and promote moving out of poverty. The beneficiaries of these interventions are individuals in households receiving conditional transfers who desire more and higher-paid. One individual per household selected by the household can receive this support. The individual will be selected by the household. The support will be implemented by the One Stop Center Directorate (OSCD) in the Urban Food Security and Job Creation Agency (UFS&JCA), which established One Stop Centers in *Woredas/Kebeles* (World Bank, 2015).

**Learning and adaptation:** supports for self-employment and wage employment are both needed as both are equally important for the poor in urban areas. Evidence suggests that effective self-employment support requires both cash transfers and training/mentoring (Blattman and Dercon 2015

in Ethiopia, Blattman et al 2015 in Uganda) but there is less evidence on what support is effective in supporting wage employment (Blattman, C. and S. Dercon, 2015).

Another subcomponent livelihood service is counseling and life-skills development. The first phase of livelihoods support will focus on enhancing financial literacy and soft skills that will be useful across a range of livelihood choices; assessing the technical skills of beneficiaries; and providing individuals with information on entrepreneurship and wage opportunities in their location (Blattman, C. and S. Dercon, 2015).

**Financial literacy and soft skills development.** To improve employability, beneficiaries will receive short trainings on financial literacy and soft skills. The training will encompass how to open a bank account, planning, budgeting and saving, attitude and expectations at work, and business and workplace readiness. Financial literacy training will be provided to all conditional support beneficiaries early on, as part of their co-responsibility for safety net transfers. This is to ensure that they are able to save from the income they receive from PW during the first year. The project will finance the development of new materials or adaptation of the existing ones, to be used where existing materials cannot be used, an assessment of training providers, the training of trainers, and the provision of these trainings to beneficiaries. A financial inclusion assessment prepared before implementation will inform the design and delivery of the financial literacy training (World Bank, 2015).

**Guidance and counseling:** The technical skills and interest of each individual will be assessed in the first phase through individual interviews and focus group discussions. Individuals will be provided with information on viable entrepreneurship opportunities and the availability of jobs. City-level Micro and Small-scale Enterprise Development Agency staff and Labor and Social Affairs employment officers will ensure the provision of these services to guide each individual on the opportunities that are available to pursue based on his/her skill level and the type of training support that will be required (FDRE, 2016).

**Building capacity:** To provide these services, capacity will be built within Ministry of Labor and Social Affairs (MoLSA) and the One Stop Center Directorate (OSCD) at the regional and city levels.

The use of private providers and, thus, private employment officers, particularly in the provision of information, will be considered based on the needs on the ground and the actual capacity available to satisfy the needs. MoLSA employment officers are currently expected to provide the type of skills assessment, guidance, and counseling services envisaged in this phase, but their capacity to deliver these services is limited. Although the reach of the OSCD is larger, its clients are currently more educated than the average safety net beneficiary (World Bank, 2015).

A capacity assessment will be undertaken in the first year of implementation and used to develop a capacity-building plan. The project will also finance the development of new skills assessment tools and manuals for staff and invest in additional engagement with the private sector to access more information on job openings and to spread it quickly to a city-wide network of employment offices, in the early months of implementation. This will improve upon the existing system in which information is available only in selected locations. The project will also experiment with dissemination of job alerts to mobile phones (World Bank, 2015).

Another subcomponent livelihood service is **financial support and training for livelihood development**. In the second phase of livelihoods support, individuals who received guidance in the first phase will choose whether they would like to receive support to increase their income from self-employment (either by starting a business or increasing the profitability of an existing business) or wage employment (either by gaining access to wage employment or moving from low- to higher-wage employment). They will receive financial support to pursue this livelihood pathway upon completion of a plan accepted by the relevant OSCD and MoLSA staff. The plan will be accepted if it is realistic in terms of viability of activities envisaged and reflects the skills the individual has. In addition to financial support, individuals will receive the information, mentoring, and training necessary to develop and implement a plan (World Bank, 2017).

**Self-employment:** the beneficiaries under this track will receive training on entrepreneurship and business development to develop an accepted business plan for the livelihood grant. The provision of these trainings will be facilitated by the OSCD. It is anticipated that the majority of these training programs will be provided by public TVET but an assessment of training providers will be undertaken to determine whether private TVET and NGOs should also be considered. In addition,

the OSCD will facilitate access to the workspace, market linkage services, and other licensing services that may be needed for the business plan to succeed, through its network of one-stop service centers. It is expected that self-employment pathway beneficiaries will largely start up with household enterprises of a very small scale and will need handholding to ensure they can cope with start-up challenges and continue. The OSCD will thus work with small business regulators to ensure that any advantages accruing to such small businesses will be accessed (FDRE, 2016).

**Wage employment:** under the wage employment track, livelihood grants can cover a stipend to attend training to build skills for a wage job (ETB 40 a day stipend, training fees will not be covered by the livelihood grant but will be paid separately by the project); an allowance to travel to job interviews until a job is secured; and/or an allowance to travel to work or cover the ancillary costs of employment such as child-care expenses. The rationale for providing the allowance during early work days is that individuals gain useful experience in the early days of a new job even though the net take-home pay may be late or low and persistence can be encouraged. Improving the functioning of the TVET system is beyond the scope of this project (World Bank, 2017).

However, the program will undertake an assessment of training providers in year 1 to determine what can be provided and will assess that training is indeed met with improved skills for beneficiaries. Private training centers within the industrial zones are due to be established as part of the CJC project. These centers may offer a better opportunity to program beneficiaries and linkages will be explored in program implementation (World Bank, 2017).

**Technical support and monitoring:** given the complexity of this component and the fact that it is the first large-scale program to increase the employability of poor households in urban areas, the project will support monitoring, evaluation, and technical support. The success of this component will depend on strong technical support packages and capacity building to ensure staff with the necessary skills are available to implement it. Evaluation of pilots in the early years of implementation is necessary to ensure that the package of support offered incorporates lessons from implementation in the early years before scaling up to a larger number of beneficiaries in the later years of the project (World Bank, 2015).

### **Component 3: Institutional Strengthening, Project Management and Coordination**

Institutional strengthening, project management and coordination is the third component of UPSNP. The essence of this component is to support the development and strengthening of project systems for targeting, monitoring and evaluation (M & E) and payments and citizens' engagement. This component also finance capacity building such as human resource, training, administrative and physical capacity and strengthening program management including coordination, financial management, procurement and safeguards (World Bank, 2015). The first **subcomponent under** Institutional strengthening, project management and coordination **operational system development**. A number of system development activities will be supported by the project. The main ones will include systems for (a) monitoring and evaluation, (b) financial management, (c) human resources management, (d) targeting, and (e) management information system (World Bank, 2017).

**Linkages with PSNP:** Ethiopia is moving toward the development of key building blocks, tools, and instruments for a SP system, in line with the recently approved Social Protection Policy and Strategy. Many of these tools will be financed by PSNP 4, including the development of a single registry and significant investments in information management. The UPSNP will use many of these tools but will also be an important financier of some of these building blocks (FDRE, 2016).

**Management Information System (MIS):** The project will finance a program-specific MIS, which will provide credible information for decision making to program managers and implementers. Over time, this MIS will be harmonized with the MIS of the UFS&JCA and the PSNP. The MIS will include PW and livelihoods databases and, given the decentralized nature of Ethiopia and the program, will be developed to be functional at both the federal and city levels. Establishing the MIS will require training and investments in information and communication technology at all levels (FDRE, 2016).

**Capacity building:** The UPSNP is being led by an institution which has not been involved in safety nets design and implementation in the past. The project will thus require targeted continuous and fast-tracked capacity development and institutional strengthening as part of implementation. Capacity-building and skills-enhancement activities for the parent and other ministries that will be closely involved, as well as for other institutions at federal, regional, and city levels, are a priority. The capacity-development activities are expected to ensure that the primary managers,

implementers, and stakeholders of the UPSNP have the required awareness levels for safety nets in general and urban safety nets in particular and impart them with skills to successfully deliver their roles (World Bank, 2015).

**Project Preparation Advance (PPA):** A PPA was processed and approved in June 2015. The PPA is financing (a) preparatory implementation and capacity-building activities including staffing, logistics and equipment, sensitization, and awareness raising for the core institutions that are involved in coordinating the project (MUDHo, MoLSA, UFS&JCA); (b) development of manuals and guidelines including a project implementation manual (PIM), guidelines for different project components, and FM and procurement manuals; (c) development of important delivery mechanisms such as targeting, payment systems, and M&E; (d) preparation of social and environment safeguard instruments and social impact assessments (SIAs); and (e) establishment of project management and coordination arrangements (World Bank, 2017).

**Program management support:** This component will also allocate resources for the regular program management and coordination activities. This includes regular M&E, technical assessments and studies, missions and project coordination meetings, and so on (FDRE, 2016).

**Citizens' engagement (CE).** The UPSNP design has made efforts to maximize opportunities for adopting CE during the design and this will be pursued further during the implementation stage. The objective is to ensure that the project's clients are receiving their entitlement promptly, in full, and with dignity and that citizens' participation in planning and providing feedback on project activities shall be facilitated to allow informed feedback and development of appropriate solutions. Consistent with the current government and Bank vision for strengthening CE as a platform for localized service-delivery-based governance, implementation of this initiative under the project will be closely coordinated with other Bank-financed operations with CE interventions (World Bank, 2015).

The CE initiative will include three interrelated interventions, namely (a) SA, (b) financial transparency and accountability (FTA), and (c) grievance redress mechanism (GRM) (annex 10). Implementation of CE will ensure taking forward lessons learned from existing interventions, in particular, the FTA, GRM and Ethiopia Social Accountability Program (ESAP) under the PBS. The project will facilitate functionality of project monitoring committees to respond to the CE requirements under the UPSNP. This will include strengthening of existing committees or creation

of new ones where such committees do not exist. Where community level committees exist with a broader mandate, but are deemed appropriate for serving the desired mandates, the project will support efforts to mainstream CE roles within those committees (World Bank, 2015).

**Social Accountability (SA).** To facilitate a structured mechanism for citizens' participation in planning, evaluation, and feedback provision, citizens' report cards or community score cards will be implemented in participating cities at the start of the program on a randomly sampled group of beneficiaries, at midterm, and at the end of the program. The application of these report/score cards will help create awareness among the citizenry on their rights, roles, and responsibilities for the project activities. It will also promote monitoring of beneficiary and broader citizenry perceptions about the project and management of emerging issues as part of implementation improvements. Implementation of the report/score cards will go hand in hand with empowering citizens to monitor project implementation. The creation of awareness about the project will ensure appropriate and informed citizen participation (FDRE, 2016).

**Grievance Redress Mechanism (GRM):** as part of awareness creation, the existence of project GRM procedures for citizens will be effectively communicated. Where there are no existing appeal committees, project complaints and appeals committees will be established at the *Ketena, Kebele, Woreda* and city levels as appropriate, with a mandate to receive and register complaints, convene meetings to resolve the complaints, and respond to the appeals resulting from committees' decisions. The effectiveness of resolution of complaints and appeals will be monitored during implementation. Information on the complaints and appeals will be collected at the *Ketena, Kebele, and Woreda* levels, and if there are referrals to the regional or Project Implementation Unit level, the Project Implementation Units will be required to report information on the cases' management as well. Information requirements will include registered cases, cases resolved in a timely manner, and cases referred to the next level of the complaints and appeals structure (World Bank, 2017).

**Financial Transparency and Accountability (FTA):** these activities will focus on promoting transparency and accountability on project budgetary planning and implementation. The main activities will include budget literacy training among implementers at all levels and citizens' representatives. Basic tools for communicating project budgets will be developed and disseminated at all levels. Feedback mechanisms will involve communication of the budget execution performance and variances as well as explanations as part of reporting by the implementers at local



government levels. Feedback will be targeted to the citizenry in general and beneficiaries in particular as well as the implementers and service providers (World Bank, 2015).

## **2.5. Empirical Literature Review**

The development objective of UPSNP is “to support the Government of Ethiopia to improve income of targeted poor households and establish urban safety net mechanisms”. This first phase of the programme will run from 2016 to 2021 and will focus on putting in place basic safety net building blocks including productive and predictable transfers through public works, livelihood interventions and capacity building, as a response to the government’s plan for immediate safety net support for the urban poor. The design of UPSNP also complements the governments related urban development strategies to implement Urban Greenery, Solid Waste Management and Watershed Management activities. These strategies work so well together as the productive components of the project such as the “Public Works” and “Livelihood Review” (FDRE, 2016).

PSNP IV is unique from its other forerunner phases. Its unique feature, inter alia, is urban food security component known as Urban Productive Safety Net Program (UPSNP). UPSNP has three major interrelated sub-programs. These are unconditional direct support, public work sub-program and livelihood sub program. The government of Ethiopia introduced UPSNP as a major component of PSNP IV guided by the newly approved Social Protection Policy and based on the successes of rural PSNP. Consistent with the poverty reduction and economic development objectives of the national GTP II and the National Social Protection Policy/Strategy, the UPSNP framework seeks to guide implementation of interventions that will alleviate the varying needs of the urban poor (World Bank, 2015).

The long-term objective of the program is reducing poverty and vulnerability among the urban poor living below the poverty line by implementing productive and predictable urban safety nets and complementary livelihood interventions over a period of 10 years and beyond (FUJCFSA, 2018). According to the data obtained from FUJCFSA, UPSNP constitutes the first phase of the long-term strategy of the government, which aims to support over 4.7 million urban poor living in 972 cities and towns. This first phase of UPSNP focused on putting in place basic safety net building blocks and targeted to reach over 600 thousand people in 11 major cities (such as Adama, Addis Ababa, Asosa, Dessie, Dire Dawa, Gambela, Hawasa, Harar, Jigjiga, Mekele and Semera) (FUJCFSA,

2018). see Annex V.

The first phase of project is targeted to run between 2016 and 2021 focusing on putting in place basic safety net building blocks including productive and predictable transfers through public works, livelihood interventions and capacity building. In this phase, as indicated above over 600,000 people (about 55 % of people living below the poverty line in these 11 cities) are targeted through a gradual roll-out plan during a five-year period. In fact, as of April 2018, about 448,885 people are addressed, of which about 370,343 are selected for public work sub-component and the remaining 78,542 are considered for direct support (see Annex V).

UPSNP offers targeted poor people with unskilled work for cash on investments that contribute directly to urban infrastructure and the urban environment, which in turn will make the cities and towns more efficient and competitive in economic growth and job creation endeavors. The main components of UPSNP are i)Support- Safety Net Support ii) Livelihood iii) Institutional Strengthening, Project Management and Coordination

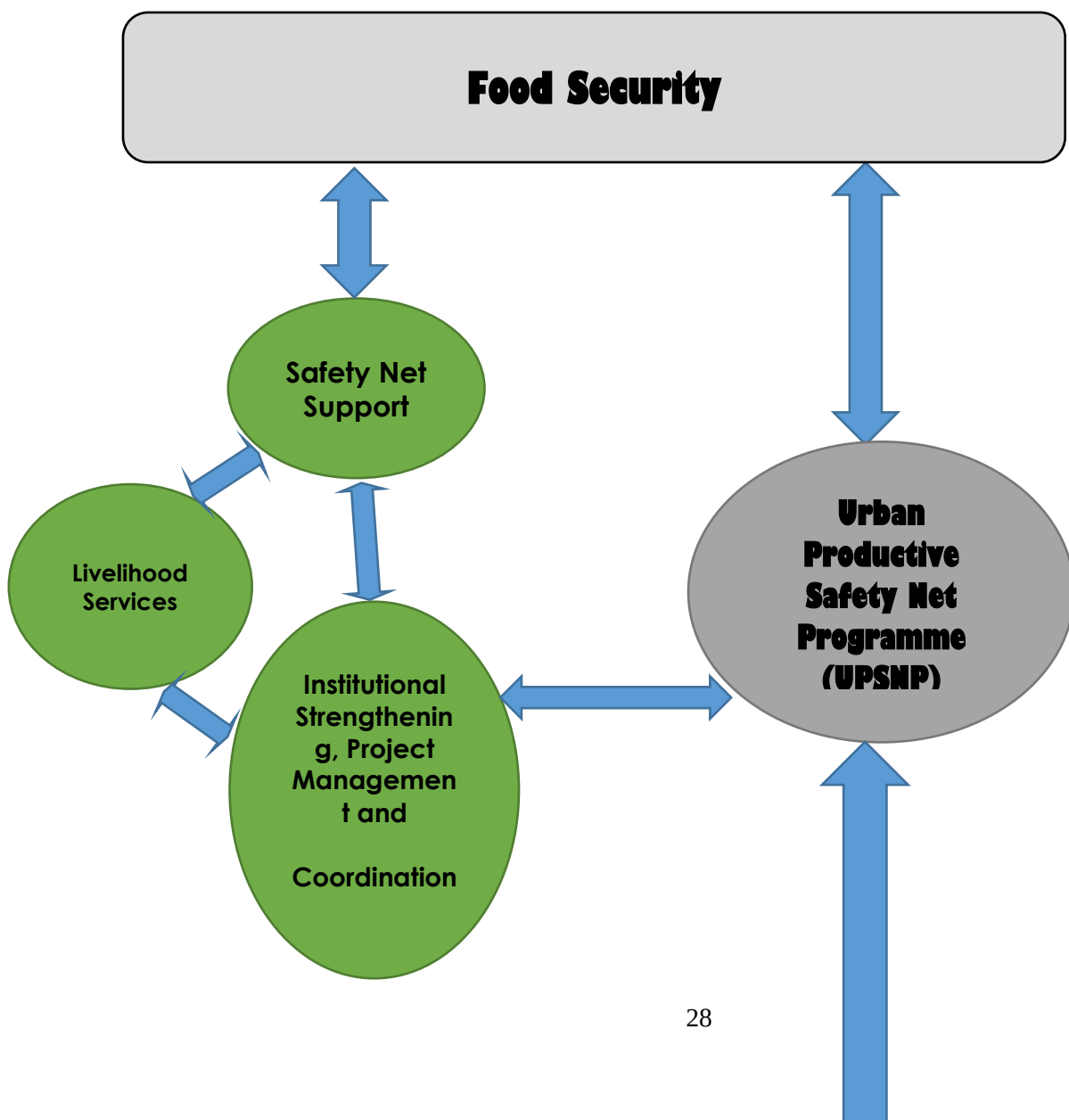
## **2.7. Conceptual framework**

This section seeks to develop the logical relationship underlying the study. The analytical framework identifies a number of interrelated factors that can be cited as explanatory factors for UPSNP in Ethiopia. To be sure, these are indicated in the left side of the analytical framework under figure 1 below, which are principal components of UPSNP. This includes among others:

- Safety Net Support;
- Livelihood Services and;
- Institutional Strengthening, Project Management and Coordination;

The second component of the analytical framework is about UPSNP. These are indicated in the right side of the analytical framework. The third section of the analytical framework examines the impacts of the first section (including components of UPSN) and the second section, UPSNP as illustrated in figure 1 below with two-directional relationship between the two sections, and UPSNP, and ultimately on food security policy of the country. The final section of the analytical framework investigates two kinds of relationship with the major actors involved in urban PSNP including the

government, the beneficiary (urban poor) and partners as illustrated in the lower segment of figure 1. The first relationship indicates their contribution to the programme and the second relationship indicates the effect of the programme on the actors.



**ACTORS: GOVERNMENT, URBAN POOR AND PARTNER**

Figure2:1 An Analytical Framework for Urban Productive Safety net

Source: Analyzed and illustrated by the researcher

## **CHAPTER THREE**

### **DESCRIPTION OF THE STUDY AREA AND RESEARCH METHODOLOGY**

In this chapter, the research methodology used in the study including description of the study area, sources of data and types of data, the target population, sampling technique, sample size, instruments of data collection and data analysis methods with the rationale for using each were discussed.

#### **3.1. Description of the study area**

Arada Sub City is one of the ten sub cities of Addis Ababa, the capital city of Ethiopia with area of 9.9 sq.km. The sub city is located in the northern area of the city and borders with the districts of Gullele, Yeka, Kirkos, Lideta and Addis Ketema. Arada is known as the center of the old and the new generation artistic, social and urban life style. Its main sights include St. George's Cathedral, the great Menelik II Square, the Hager Fikir Theatre, the Taitu Hotel, Charles de Gaulle Square and many other historical areas and structures. Woreda 08 is one of the famous Woreda in Arada sub city as it is located just behind the Menelik Palace, that is, the offices and residence of the current Prime Minister of Ethiopia. Most people living in the area in one way or another through their families served in the palace during the emperor's time and in the previous regimes. However, as a result of its location i.e., nearby the Prime Minister residence and office, there has been serious security surveillance against the locality in which some activities or works are not allowed to happen in the area. The Woreda as part of Addis Ababa has a subtropical highland climate i.e., highland climate

zones with four seasons summer, autumn, winter and spring.

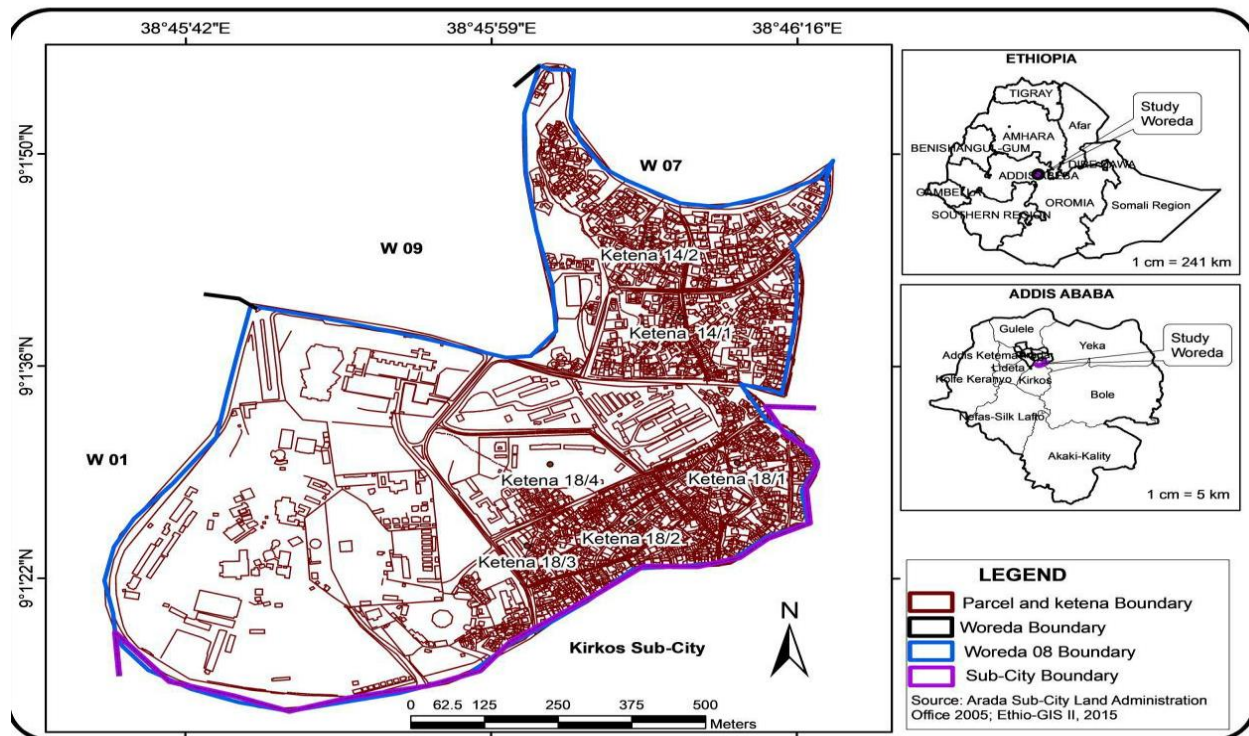


Figure 3:2 Area Map of Woreda 08, Arada Sub City, Addis Ababa Ethiopia

### 3.2. Justification for the Selection of study area

The sub-city Arada has also one of the largest poor people that are beneficiary of UPSNP in Addis Ababa, which situates the sub city for such a study. According to Arada Sub City Woreda 08, Job Opportunity Creation and Food Security Office, the Woreda (08) has an area of 825, 424.3 m<sup>2</sup> and

overall population of 9, 625 people. The majority of the Woreda people generate their livelihood from engagement from the informal sector, small micro businesses such as shops, employment at public and private companies as well as daily labourers. As indicated in the preceding paragraph, the Woreda has been under serious security surveillance against the locality. In this regard, any business activity, which considered a threat for the palace is not allowed to happen in the Woreda. The Interview Conducted with one of Woreda 08 Administrator who is unwilling to disclose his identity. Nine out of ten Woredas including Woreda 08 are categorized as moderate poverty Woredas in Arada Sub City. The officials from the Woreda attested that the Woreda have a very poor and destitute people. The officials indicated that as some business activities, which are considered as a threat for the security of the palace, are not allowed to take place in the Woreda. This had adverse effect for the local people as they are not engaged freely in doing business activities in the Woreda. These factors situate the Woreda for such a study in addition to its proximity to conduct such a study. Furthermore, the job opportunity creation and food security office of the Woreda are so collaborative in providing the needed information and documentations Vis-à-vis other Woredas the researcher approach.

### **3.3. Research approach and design**

This study applied cross-sectional data collection (one-time research) was conducted. This is mainly because of the time and the resource available. With regard to the nature of inquiry concerned, the study engaged both descriptive and explanatory research. The descriptive method of research was used to describe the opinion, characteristic and behaviors of respondents on the study. In general, survey method was used in this study because the study aims to describe preferences, opinion, and attitudes of the respondents as well as to use statistical value and cross sectional way of data collection.

The study also used both quantitative and qualitative types of research, this will enable to understand the issue in-depth (Kothari, 2004). In this context, the study employed both qualitative and quantitative approach to make the result more strong and to be generalized for the total population ~~from sample population.~~ It is also well noted that when combined quantitative and qualitative methods are influential. Sequential mixed research approach, therefore, was employed.

A quantitative type of research was used to generate data in quantitative form whilst qualitative types of data were applied to explain the subjective assessment of attitudes and opinion of respondents about the subject area of the study. On the other hand, those finding, which cannot be

quantitatively analyzed was examined and interpreted qualitatively. Therefore, qualitative approach was employed through the use of in-depth interview and focus group discussion data gathering instruments with government officials in charge of UPSNP and beneficiaries of UPSNP.

This is due to the fact that the composition of diverse heterogeneous population group enabled to come out the real facts and issues related to challenges and opportunities of UPSNP. Quantitative approach was also employed to know associated challenges and opportunities of UPSNP in the selected Woreda.

This research was followed empirical based research that it started with working hypothesis, then data collection and finally aimed to prove or disprove hypothesis. Indeed, based on the logical reasoning this study was applied inductive reasoning approach. Accordingly, the researcher was assessed theories, develop hypothesis based on theories and finally will reach on generalization based on the finding of the study. Hence, the research approach of this study was moved from specific to general.

Based on the use of output, this research was employed applied research, which could enable the researcher to solve the practical problem. Based on the environment in which the research carried out, this study was applied field setting research. Data was, therefore, collected through travelling to different selected sample Ketenas of Woreda 08, Arada Sub City. Therefore, this was made the research to be field oriented.

### **3.4. Target population**

The total study populations of this research were the total household of UPSN benefitairies at Woreda 08, Arada Sub City of Addis Ababa. In this context, there is around 1, 415 beneficiaries of the urban PSNP i.e., target population. Out of this 609 are male while 806 are female beneficiaries see Table3:1.

Table 3:1 List of beneficiaries of UPSNP in Woreda 08, Arada Sub-City

| 'Ketena' or Station | Number of household head | Family size | Beneficiaries numbers |
|---------------------|--------------------------|-------------|-----------------------|
|---------------------|--------------------------|-------------|-----------------------|

|              | Male       | Female     | Male       | Female     | Male       | Female     |
|--------------|------------|------------|------------|------------|------------|------------|
| 14/1         | 12         | 47         | 89         | 137        | 80         | 194        |
| 14/2         | 16         | 61         | 139        | 150        | 118        | 135        |
| 18/1         | 19         | 81         | 78         | 230        | 141        | 192        |
| 18/2         | 31         | 62         | 161        | 191        | 148        | 168        |
| 18/3         | 6          | 25         | 45         | 80         | 40         | 64         |
| 18/4         | 18         | 49         | 89         | 134        | 82         | 136        |
| <b>Total</b> | <b>102</b> | <b>305</b> | <b>601</b> | <b>922</b> | <b>609</b> | <b>889</b> |

Source: From Woreda 08, Arada Sub-City (UPSNP Department)

### 3.5. Sample Size Determination and Sampling Procedure

Households were used as a source of population for quantitative data collection since beneficiaries of UPSNP are household member. Household, therefore, was used as a unit of analysis. The two-stage sampling procedure was employed in order to draw a sample from UPSNP beneficiaries. First, Arada Woreda 08 from ten sub cities of Addis Ababa was selected purposively because of one of the largest poor people that are beneficiary of UPSNP in Addis Ababa. Secondly, out of 6 Ketenas beneficiaries, 4 UPSNP Ketena beneficiaries (18/1, 18/2, 18/3 and 18/4) were selected, by using simple random sampling techniques for the study. Thirdly, updated list of UPSNP benefices in the Arada, 08 Woreda was taken by the researcher from Woreda 08 urban job creation and food security office and appropriate numbers of samples representing the district was selected in proportional to population size using Yamane (1967).

According to this, sample size is calculated as:

$$n = \frac{N}{1+N(e)^2} = \frac{1415}{1+1415(0.1^2)} \sim 94$$

Where, n = the sample size; N = the target population size; e = the level of precision (10%) .

The required sample size was calculated using a 95% confidence level and level of precision equal to 10% is recommended to obtain a sample size required, which represent a true population. Hence, the total number of 94 households were selected and allocated to four Ketenas taking into account the number of households in each Ketenas. The study used both primary and secondary data type. To do



so, both Primary and Secondary sources were engaged. Primary data was collected from selected household heads who live in the sample Ketenas and other concerned government bodies. Secondary data has been gathered from reports and statistical data of the Woreda and Kebeles, earlier empirical studies in related areas, published materials, and internet sources.

### **3.6. Data Collection Techniques**

The study used both primary and secondary data types were engaged. Primary data was collected from 94 UPSNP beneficiaries' households from four sample *Ketenas of Woreda 08* and other concerned government bodies as well as non-governmental bodies. Secondary data gathered from reports and statistical data of the Woreda and Ketenas, earlier empirical studies in related areas, published materials, reports and internet sources. In order to collect an available and sufficient data, which could answer basic research questions, selecting an appropriate and sound method, tools and techniques of data collection have a considerable importance in justifying the validity of research. To obtain relevant data from different sources, multiple data gathering techniques and tools were employed for triangulation purpose. The following are the major data collection tools and techniques that were used to collect relevant data that help to answer the research questions so as to achieve the objectives of the research.

#### **Primary data source**

Primary data was obtained from sample household of the study area through household survey questionnaire and through key informant interview for other administrator of the Woreda and Ketena. FGDs were also employed to collect primary data form the beneficiaries of UPSNP. Before a start of actual data collection, facilitative works such as training of enumerators on interview procedures and preliminary assessment to sampled Ketenas were made to enhance their perception regarding the objectives of the study, content of the questionnaire and amendments had been made to grasp vital facts essential for the study. The following primary data instruments were used in this study:

**Household Survey Questionnaire:** Household survey questionnaire was used for gathering quantitative data in order to assess the challenges and opportunities of UPSNP in Woreda 08 of Arada Sub City. In this regard, primary data was collected from 94 UPSNP beneficiaries' households from the selected ketene. In order to effectively communicate with the selected household respondents during data collection, the questionnaire was first developed in English and then translated into Amharic language. Data collection was carried out by enumerators who have degree and were familiar to the study area. Accordingly, four well trained and experienced enumerators and who are familiar to the geographic and socio-cultural characteristics of the study areas were recruited and used for data collection. To ensure data collection quality, a half day orientation workshop was organized and discussed on the tools with the enumerators. The researcher supervised the overall data collection activities. Prior to starting of data collection, each four enumerators was filled four questionnaire in order to aware the researcher whether there is clarity or vagueness of filling the questionnaire and this was serve as a kind of pilot survey.

**Individual Key Informant Interview:** Semi-structured interview questions was conducted as method of data collection. This tool was used to triangulate and strengthen research findings gathered through quantitative approach in order to understand more about challenges and opportunities of UPSNP. A total of sixteen Key Informant Interview (KII) was carried out from different organizations such as World Bank group, federal urban job creation and food security agency, Woreda 08 urban job creation and food security office, Woreda 08, microfinance and small enterprise, Woreda workers 08 and social affairs office, Oxfam in Ethiopia and World Vision Ethiopia. Key interview was conducted by the researcher in order to come up with the real feeling and perception towards the issue.

**Focus Group Discussion-** helps to identify important and significant issues related with a given topic (Bryan, 2004). Focus group discussions (FGD) were held with beneficiaries, elders of the community, female representatives of Ketenas, chairperson of Ketenas and UPSNP field officers to generate more information about their collective awareness and perception regarding the study subject i.e., on challenges and prospects UPSNP in Arada 08 Woreda. Three FGDs each comprising team beneficiaries held in the Woreada to come up with more information about the research topic.

This helped to generate detailed and valid data about the topic under study.

### **Secondary data sources**

Different secondary sources of data were also assessed and taken in to consideration to collect timely and pertinent data for the study. Chief among these are reports of Woreda 08 urban job creation and food security office, books, journals, published and unpublished materials. The other sources of secondary data were previous research findings, journals, books, policy brief, websites and manuals, which were applicable to the study.

Throughout the whole research process, abiding with the principle of research ethics is essential. Some ethical considerations applied during data collection and analysis. Due to the sensitive nature of the topic, when interviewees and experts were approached, they were briefed on the objective of the research. Interviewees were recorded only when authorized. When this is not possible, notes were taken. Furthermore, the respondents were informed that confidentiality, if needed, would be maintained i.e., not to expose personal information, when the interviewees demand anonymity. In this regard, names were kept in secret and collective names like respondents were used for the survey. In addition to this, there has been informed consents were signed for the entire interviewees.

### **3.7. Method of Data Analysis**

The study employed both quantitative and qualitative technique of data analysis in order to analyze both data sources gathered from primary and secondary data. Below are some of the techniques that were used as data analysis.

Qualitative data collected through key informant interview and focus group discussion as well as field observation was analyzed concurrently and thematically with quantitative data analysis techniques such as through narration and explanation. Comparison of data gathered from qualitative source was also used as an analysis technique. It was used to compare the findings gathered from household through questionnaire with the finding that was obtained from key informants interviewee of Woreda and Ketena level administrators and other development experts through interview and focus group discussions.

Quantitative raw data collected through household survey questionnaire was organized and encoded in to SPSS software version 20 and later moved into Stata 13 software packages. Among the quantitative data analyses tools that was employed by this research includes descriptive statistical tools (table, pie chart, frequency, and chi square) and inferential statistical tools such as tobit regression analysis.

### **3.7.1. Descriptive statistics**

Once raw quantitative data was collected, there is a need to summarize and display the information in to a readily digestible form. Ordering the data according to their magnitude; compiling them into tables, or Graphing them to form a visual image are very important. Descriptive statistics frequencies, tables, percentage, mean techniques standard deviations were used in the process of examining and analysis socio-economic characteristics of sample UPSNP beneficiaries. The results were presented through histogram and tables.

### **3.7.2. Food Insecurity Experience Scale (FIES)**

#### **Food insecurity experience**

The FIES methods were used to measure of access to food at individuals or households level. It measures severity of food insecurity based on people's responses to questions about constraints on their ability to obtain adequate food. It measures severity of food insecurity based on people's responses to questions about constraints on their ability to obtain adequate food. This approach to food security measurement represents a significant change compared to traditional ways of assessing it indirectly through determinants such as food availability, or consequences such as poor quality diets, anthropometric failures, and other signs of malnutrition. The FIES is derived from two widely-used experience-based food security scales (Ballared, *et al.* 2013).

The FIES is a measure of access to food at individuals or households level. It measures severity of food insecurity based on people's responses to questions about constraints on their ability to obtain adequate food. The FIES is consists of a set of eight short yes/no questions asked directly to people, the questions focus on self-reported, food-related behaviours and experiences associated with increasing difficulties in accessing food due to resource/finical constraints in the last 12 months (FAO,2013).

The FIES is based on a well-grounded construct of the experience of food insecurity composed of three domains: uncertainty/worry, changes in food quality, and changes in food quantity. The classifications of food insecurity severity may be described as mild, moderate, and severe food insecurity. The mild food insecurity category includes marginal food insecurity or marginal food security, aiming to describe a situation on the margin between food secure and food insecure. The theoretical concept of FIES is based, is typically characterized by uncertainty and worry regarding food access and changes in the quality of the diet as the situation worsens, such as a less balanced, more monotonous diet (marginal-to moderate food insecurity) (Ballared, *et al*, 2013).

With increasing severity, the quantity of food consumed decreases as portion sizes are reduced or meals are skipped (moderate-to-severe food insecurity). Severe food insecurity is characterized by feeling hungry but not eating, or not eating for an entire day, due to lack of money or other resources. When reporting results of the FIES, it is recommended that the mild/marginal food insecurity category not be aggregated with the moderate and severe categories. Grouping mild, moderate and severe food insecurity into a single “food insecure” category can be misleading because it fails to distinguish between serious and less serious conditions of food insecurity, putting people who still have food to eat in the same category as people who do not. The differences between the categories are meaningful, theoretically and empirically, for monitoring and policy purposes as well as research. Food security status can be investigated food access and stability of household consumption (FAO,2013).

The FIES Survey Module consists of eight questions regarding people’s access to adequate food, and can be easily integrated into various types of population surveys. These eight questions refer to the experiences of the individual respondent or the respondent’s household as a whole. The questions focus on self-reported food related behavior and experiences associated with increasing difficulties in accessing food due to resource constraints(FAO,2013) See Table 3:2

Table3:2 Food Insecurity Experience Scale

|    | Questions                                                                                                                          | Food insecurity experience level |
|----|------------------------------------------------------------------------------------------------------------------------------------|----------------------------------|
| Q1 | You worried because you would not have enough food to eat during the last 12 months because of lack of a money or other resources? | Mild                             |

|    |                                                                                                                                                       |          |
|----|-------------------------------------------------------------------------------------------------------------------------------------------------------|----------|
| Q2 | You were unable to eat health and nutritious food?<br>(During the last 12 months was there a time when because of lack of a money or other resources) | Mild     |
| Q3 | You ate only few kinds of foods? (During the last12 months was there a time when because of lack of a money or other resources)                       | Mild     |
| Q4 | You had skip a meal? ( During the last12 months was there a time when because of lack of a money or other resources)                                  | Moderate |
| Q5 | You ate less than what you should?( During the last12 months was there a time because of lack of a money or other resources)                          | Moderate |
| Q6 | Your household ran out of food? (During the last12 months was there a time because of lack of money or other resources)                               | Moderate |
| Q7 | You were hungry but did not eat? (During the last12 months was there a time because of lack of a money or other resources)                            | Severe   |
| Q8 | You went without eating for whole a day? (During the last12 months was there a time because of lack of a money or other resources)                    | Severe   |

### **Calculation of mild, moderate and severe indices**

Based on the Food insecurity experience scale (FIES) items, the components of sub-indices represented one of the three sub components of FIES. These sub components directly as well as indirectly represented households' intensity of food security experiences. The dimensions of food insecurity experiences were assessed on a scale of 0 to 1 to each sub components. The sub components questionnaire items were proxy indicators to measure households' intensity of food security experiences. These indices were calculated using an equation adapted from the standardization of all indicators comprising the human development index (HDI) developed by the

United Nations Development Programme (UNDP,1990).

$$index_i = \frac{Subcomponentscore_i - minscore_i}{Maxscore_i - minscore_i} \quad (1)$$

where i= mild, moderate and severe

### 3.7.3. Econometric Analysis: Binary Logistic Regression and Tobit Regression Model

#### Binary logistic regression model

According to Gujarati (2004), binary logit is employed when a study has dichotomous response variable. This study has outcomes (food security status) having probability of happening being either secure (food secure) or insecure (food insecure). The dependent variables have dichotomous values taking a value 1 if the household is food secure and 0 if the household is food insecure. Thus, the binary logistic regression is used in order to measure the association between the outcome variable and the independent variables.

The binary logit model is stated as:

$$y = x'\beta + \varepsilon_i \quad (1)$$

Where  $\varepsilon_i$  has a logistic distribution.  $y$  has a logit model and takes value 0 if the household is food insecure or 1 if the household is food secure,  $x$  is matrix of explanatory variables.

#### Tobit regression Model

After calculation of the food insecurity experience scale items for the three levels that is mild, moderate and food insecurity. Food insecurity experience generally entails a two-stage process: being food insecure and how severe the level of food insecurity. The tobit model can be used in analyzing both food insecurity and level of food insecurity determinants. This model assumes that the same factors affect both being food insecurity and intensity of food insecurity in the same

direction. The index generated takes a value between 0 and 1. Hence the appropriate model for the analysis of determinants of food insecurity experience was tobit model. The tobit model can be expressed as:

$$y^* = x'\beta + \varepsilon_i \quad (6)$$

Where  $Y^*$  is an unobserved and following equation (6) the functional form of the Tobit model, where  $\varepsilon_i$  is an independent, normally distributed error term with zero mean and constant variance  $\sigma^2$  is given by

$$y_i = \begin{cases} 1, & \text{if } y^*_i > \gamma \\ 0, & \text{if } y^*_i \leq \gamma \end{cases} \quad (7)$$

Where  $y^*_i$  is the probability of food insecurity experience;  $y^*_i$  is a non-observable latent variable, and  $\gamma$  is a non-observed threshold level. The Tobit model (Tobin, 1958) therefore measures not only the probability that being food insecure but also the level of food security experience. Thus, equation (7) is a simultaneous and stochastic decision model. If the non-observed latent variable  $y^*_i$  is greater than  $\gamma$ , the observed qualitative variable  $y_i$  that indexes food insecurity experience becomes a continuous function of the explanatory variables, and 0 otherwise (i.e. food secure).

#### 3.7.4. Description of Variables

##### Dependent Variables

Those households who responded no to all eight items in the FIES questionnaire are food secured while the others who responded to at least one of the items yes are considered food insecure. Food security score is a binary dependent variable in the model that takes values 0 if the household is food insecure and 1 if the household food secure.

Food insecurity experience scale score is an ordinal dependent variable in the model that takes values: 0 if the household is severely food insecure, 1 if the household is moderately food insecure, 2



if the household is mildly food insecure and 3 if the household is food secure.

Mild index takes value between 0 and 1; Moderate index takes value between 0 and 1; Severe index and takes value between 0 and 1.

## **Independent Variables**

The selection of independent variables was based on theoretical framework and past empirical food security literature. The following variables were analyzed:

**Experience of PSNP program (EXPR):** It is continuous variables measured in years. The older the household head, the more experience he has in managing UPSNP. Moreover, older persons are more risk averters, and mostly they intensify and diversify their activities. As a result, the chance for such household to be food security status is better.

**Sex of the Household Head (SEX):** it is biological difference between male and female. This is a dummy independent variable indicating sex of the household head. It was represented by 1 for males and 0, otherwise. The gender difference is found to be one of the factors influencing UPSNP program. This variable will be positively hypothesized.

**Economical Productive Households (EPH):** it is continuous variables measured in numbers productive in the households. In a household where higher the number of the productive age groups, the higher the probability of the household to be food security status. Therefore, it is positively related with food security status.

**Education (EDUC):** Education household head is a dummy variable taking value 1 if the household head is literate, 0 otherwise. Education equips individuals with the necessary knowledge of how to make living. The households who have had at least primary education or informal education are the ones more likely to participate than the others and their chance to be food secured will be higher.

**Monthly Income Households (MIH):** One of the major determinants of household food insecurity is income of a household. Total amount of monthly income per adult equivalent in Birr from different source is computed and the higher the level the lesser the likelihood of household become

food insecure. Income is hypothesized to be positively related with food security status of the households.

**Marital Status of Household Head (MRTSTHH):** Marriage is a legal and social engagement to support each other both socially and economically. Marriage is established with a view of helping each other and married people pool their resources and also reduce cost that would have been spent separately. Moreover, married households put aside some of resources for unforeseen circumstances to smoothen their life. In this study marriage and food security are hypothesized to be related positively.

**Household Size (HSZE):** An increase in household size implies more mouth to be feed from the limited resources and especially in male dominant household the situation becomes more than this due to high possibility of bad habits exposure. As a result, in this study, the household size and status of food security is expected to be related negatively.

**Access to Service and support (Asands):** It is dummy variable 1 if beneficiaries access to monitoring services and 0 if beneficiaries not access to monitoring and evaluation. It is hypothesized to be the potential force, which accelerates the effective dissemination of adequate information to the beneficiaries.

Table 3:3 Variables Hypothesized for the Study

| Variables | Description                      | Type and measurement             | hypothesis |
|-----------|----------------------------------|----------------------------------|------------|
| EPH       | Economical productive households | Number                           | -ve        |
| AMAE      | Access to service and support    | Dummy Yes=1, 0 otherwise         | +ve        |
| SEX       | Sex of the household head        | Dummy Male = 1 Female = 0        | +ve        |
| EDUH      | Education of household head      | Year of schooling                | +ve        |
| AGE       | Age of the household head        | Years                            | -/+ve      |
| HSZE      | Household size                   | Number                           | -ve        |
| MARTST    | Marital status of household head | Dummy married=1, 0 otherwise     | +ve        |
| EXPR      | UPSNP experience                 | Number of years of participation | +ve        |

## **CHAPTER FOUR**

### **RESULTS AND DISCUSSIONS**

In this chapter, the main findings of the study are presented and discussed. Under the first section of the chapter, demographic and socioeconomic characteristics of UPSNP beneficiaries are presented. Furthermore, the section presents the Implementation of UPSNP, the roles played by government institutions and partners in the promotion of UPSNP, challenges and prospects of UPSNP in the study area. In the second section, econometric results such as determinants of UPSNP or food security status of the UPSNP beneficiaries in the study area are discussed.

#### **4.1. Descriptive Analysis**

##### **4.1.1 Socioeconomic Characteristics of the Respondents**

The mean age of the household heads for UPSNP beneficiaries were 42.75 years. Out of 94 UPSNP beneficiaries interviewed 50 % of them were female. Out of the total sample of UPSNP beneficiaries about 47.9% were married, 6.4% were single, 19.1% divorced and 26.6% were widowed. The overall mean of family size of sample households was found to be 4.6. The mean numbers of economically active members of the households was 2.36. The mean years of education for UPSNP

beneficiaries were found to be 4.7 year's. The overall mean year of participating in the UPSNP was found to be 1.9 years see Table 4:4.

Table 4:4 Demographic and socio-economic characteristics of households

| <b>Demographic and Socio-economic Variables</b>         | <b>Mean</b> | <b>SD</b> |
|---------------------------------------------------------|-------------|-----------|
| Age of the respondents                                  | 42.75       | 13.23     |
| Number of economically active members of the households | 2.36        | 1.96      |
| Family size of the respondent of the household          | 4.6         | 1.46      |
| Level of education of respondent                        | 4.7         | 4.07      |
| Experience of UPSNP program                             | 1.96        | 0.42      |

#### **4.2 Livelihood Activities/ Strategies of Households**

Accordingly, this study reflects changes on beneficiaries income-poverty status, food security/access in the study areas as follows: about 67 (71.3%) of the respondents are currently running business, while, about 27(28.8%) of the respondents only works on work opportunities extended to them through UPSNP only and did not involve in any other business. Among the sampled beneficiaries of UPSNP about 11.7% participate on petty trade, 19.1% on daily labours, 14.9% on washing clothes and food cookings, 3.2% on fruits and vegetables retailing, 4.3% on Injera selling, 3.2% on commercial sex and 2.1% on handicrafts (carpentry, masonry).

Table 4:5 Participation Households in different Business Activity

| Income generating activities    | Frequency | Percent |
|---------------------------------|-----------|---------|
| Involved only on UPSNP          | 20        | 21.3    |
| Petty trade                     | 11        | 11.7    |
| Daily labors                    | 18        | 19.1    |
| Washing clothes                 | 14        | 14.9    |
| Fruits and vegetables retailing | 3         | 3.2     |
| Injera selling                  | 4         | 4.3     |
| Handicrafts(carpenry, masonry)  | 2         | 2.1     |
| Other( pension, gift family)    | 22        | 23.4    |
| Other (commercial sex)          | 3         | 3.2     |
| Total                           | 94        | 100     |

### 4.3 Household Asset Ownership

The survey results indicates that out of 94 households about 7.7% are lives in their own house, 24.5% lives in rented private house, 61.7% lives in rented Kebele house and 6.4%

lives with relatives in groups. Regarding the general housing conditions of the beneficiaries, about 90.4% live in iron sheet and 9.6% live in plastic thatch. During FGDs discussions the respondents are highly complaining that most of Kebeles houses are old, poor in quality, no toilet facility and did not protect them from rain.

The rooms and space availability of beneficiaries' houses were assed and the survey results indicated that about 69.1% of the house had only one room, 23.4% house had two rooms and the remaining 4.3% had three rooms. In addition, the adequacy of house space in relation to household size was assessed and about 45.8% of households respond that the space of house they rented or own is very small and has no separate sleeping room, cooking room and sitting room. In this regard, all their family members are sleeping on the floor where as 17% of the respondents indicated that they live in the house with adequate house space for accommodating their family size.

Furthermore, the survey results showed that about 60.7% of the respondents were affordable to pay mean monthly rent of 7.5 birr for Kebeles house. While 23.4% of the respondents did not have capacity to pay rented private house with mean 891 birr per month. With regard to house ownership of beneficiaries of UPSNP about 4.3% are saving money to get condominium house (for 10/90 arrangement) while 88.3% of the respondents did not either save for condominium houses nor own

their own house. Moreover, about 31.5% acquired different home asset while 64.9% did not acquire any home asset. Hence, they use UPSNP salary for food consumption, home rent and education.

Table 4:6 House ownership

| House ownership | Frequency | Percent |
|-----------------|-----------|---------|
| Own houses      | 7         | 7.4     |
| Rented houses   | 23        | 24.5    |
| Kebele house    | 58        | 61.7    |
| Other           | 6         | 6.4     |
| Total           | 94        | 100.0   |

#### 4.4 Asset Protection and Building

It seems that mixed results found for the respondents. 73.4 % of the respondents do believe that they enrolled their children in school after UPSNP. The UPSNP, therefore, have been improving the household's capacity to builds their children's enrolment in schools. Likewise, UPSNP enables beneficiaries' access to healthcare facility: about 41.5% of households were access healthcare facilities after the UPSNP than before. Selling tangible home assets and interrupting saving are characteristic of households with food insecurity.

On the converse, avoiding households selling of assets and continuous saving, acquiring any new household's assets, any new working culture, knowledge or skills after being became member of UPSNP are considered as asset building and protection of households. The survey results show that, around 72.3% of the respondents avoided having to sell households assets to buy food after they joined UPSNP. The survey result also indicated that around 72 % avoided using their savings to buy food while around 77.6% of the respondents reflected that they acquired new working culture,

knowledge and skill after UPSNP.

However, still around 51% of the respondents reflected that they did not keep their children in school for longer after UPSNP; around 58% of the respondents did not access health care facilities after UPSNP; and around 64 % of the respondents did not acquire any new households' assets.

Table 4:7 Asset protection and building

| <b>Asset protection and building items</b>                                                           | <b>Yes<br/>(%)</b> | <b>No<br/>(%)</b> |
|------------------------------------------------------------------------------------------------------|--------------------|-------------------|
| a) Have you enrolled your Children in school?                                                        | 73.4               | 26.6              |
| b) Have you kept your children in school for longer after UPSNP than before                          | 48.94              | 51.1              |
| c) Have you used healthcare facilities after the UPSNP than before                                   | 41.5               | 58.5              |
| d) Have you consumed more food or diet food after UPSNP than before?                                 | 38.3               | 61.7              |
| e) Have you kindly avoided having to sell households assets to buy food after participated in UPSNP? | 73.4               | 26.6              |
| f) Have you kindly avoided having to use your savings to buy food after UPSNP?                       | 72.3               | 27.66             |
| g) Have you acquired any new households assets                                                       | 35.1               | 64.89             |
| h) Have you acquired any new working culture, Knowledge or skills after you became member of UPSNP.  | 77.65              | 20.2              |

#### 4.5 Access to Service, Support and Credit

Frequently receiving enough access to service and support from UPSNP, government and partners increase beneficiary's knowledge about business orientation, properly use resources and market information. Out of 94 UPSNP beneficiaries', around 88.5% UPSNP beneficiaries confirmed access to different types of service or support from UPSNP office. Out of this around 23.2% got financial assistance through direct support, around 22.1% got financial assistance through conditional support, around 29.5 % got counseling service support, and 8.4% got financial assistance for medical care, around 3.2% got financial assistance for education while around 2.1% of the respondents got other kind of support. Nonetheless, 11.6 % of the respondents indicated that they did not get support.

With regard to frequency of service and support to UPSNP: around 20 % got support daily, around 12.6% got support weekly, around 13.7% got support two times in a month, around 6.3% got three times monthly and around 47.4% of the respondents got support monthly. For more information, see Table 4:8 below.

Table4:8 Types of Services Extended to Beneficiaries

| <b>Types of Services</b>                         | <b>Frequency</b> | <b>Percent</b> |
|--------------------------------------------------|------------------|----------------|
| Financial assistances through direct support     | 22               | 23.2           |
| Financial assistance through conditional support | 21               | 22.1           |
| Counselling                                      | 28               | 29.5           |
| Financial assistance for medical care            | 8                | 8.4            |
| Financial assistance for education               | 3                | 3.2            |
| Other                                            | 2                | 2.1            |
| No support                                       | 11               | 11.6           |
| Total                                            | 94               | 100            |

As presented in table 9 below, beneficiaries receiving money from UPSNP used for different purposes. The survey result indicates that around 70.2% of the respondents use UPSNP payments for food consumption only, around 3.2% the respondents use UPSNP payments for food consumption and school fees, around 15.8% of the respondents use for food consumption and renting house, around 9.5% used for health and other services and around 1.1% used for food consumption and saving.

With regard to access to additional credit service for UPSNP beneficiaries, 100% of the respondents indicated that they did not get access to credit service neither from any organization nor from individuals. During the Focus Group Discussion (FGDs), respondents also attested that it is hard to get additional finance (credit) on the top of UPSNP salary because of lack of access to credit from the government, complex credit and loan system, and difficult requirements like looking for collateral like house, car libre (title deeds) and a person with good salary.

Table 4:9 UPSNP Salary Received and Its Usage



| <b>Purpose of UPSNP Payments</b>   | <b>Frequency</b> | <b>Percept</b> |
|------------------------------------|------------------|----------------|
| Food consumption only              | 68               | 70.2           |
| Food consumption and school fees   | 3                | 3.2            |
| Food consumption and renting house | 15               | 15.8           |
| Health and other services          | 9                | 9.5            |
| Food consumption and saving        | 1                | 1.1            |
| Total                              | 94               | 100            |

#### **4.6 Food Security Status of the UPSNP Beneficiaries**

The food security status of the UPSNP beneficiaries were analyzed from the FIES questionnaire items. If the household at least responds positively to one of the eight items, the household was determined to be food insecure otherwise food secure. Accordingly, about 65% of the households are food insecure while 35 % of the households are food see Figure 4.3

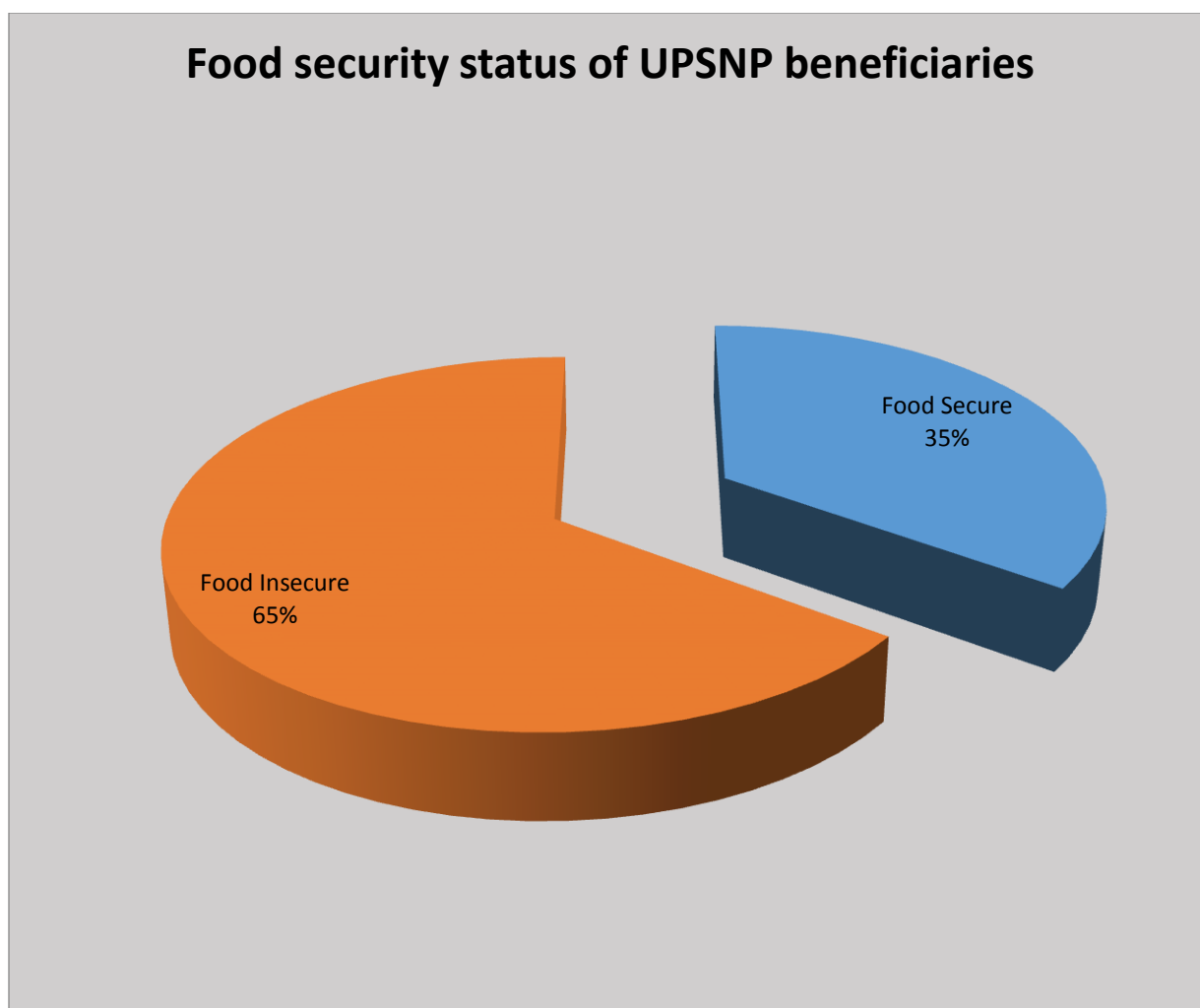


Figure 4.3 the food security status of Urban Productive Safety Net Program (UPSNP)

#### 4.2. Analysis of Food Insecurity Experience Scale (FIES)

This has taken into account the food access and food access stability of households to assess the improvement of households' food security. UPSNP cash transfer; enables beneficiaries improve income earned from other livelihood sources, which improve households' food security status with improvement in food access variation. In general, food security of the beneficiaries' households was studied in the aspect of the households' ability to access food items either through production or

purchasing to sustain their households members. However, urban areas are mostly dependent on the food market to purchase their food and finance is a critical factor that ensures food security in urban areas.

The food security condition of the households was assessed after the implementation of UPSNP. The survey result shows that only 3.1% of respondents eat foods that contains rich in protean such as meat, milk and egg. Only 4.2% could consumed vegetables in last seven days, only 3.1% consumed pulses in the past seven days; only 28.1% consumed oil and fats; only 49% consumed staple foods and only 9.4% consume roots and tubers in last seven days. FGDs respondents indicated that UPSNP have been contributing to improved food consumption of households vis- a-vis their former status before joining UPSNP. However, because of inflating food price from time to time and low UPSNP salary payments; it has been difficult to access balanced diet food as a result households rely on a few kinds of food.

The food access stability is checked whether the households have stable or unvarying food accessing opportunity. Those having varying access to food due to seasonal or permanent conditions are considered as having unstable food security/access. The food access stability conditions of the households was assessed after joining the UPSNP. *Table 4:10 Food Consumed in Seven Days*

| Types            | Frequency | Percent |
|------------------|-----------|---------|
| Meat/egg /milk   | 3         | 3.1     |
| Vegetables       | 4         | 4.2     |
| Pulses           | 3         | 3.1     |
| Oil and Fats     | 27        | 28.1    |
| Staple Foods     | 47        | 49.0    |
| Roots and Tubers | 9         | 9.4     |

As reflected in Table 11 below, 75.53% households had member/s who was/were unable to eat the kinds of food he/she/ had preferred due to lack of finance. While around 65.9% had unable to eat health and nutritious food. Around 70.2% had reduced their number of meal because there was no enough food /skip meal they had been eating because there was lack of finance. Around 59.6% had worried about having enough food for the family members. Around 47.4% had reduced their number

of meal because there was no enough food. Around 68.14% ate less than what they anticipated because of lack of money or other resources. Around 59.57% households ran out of food and unable to buy food because of lack of a money or other resources. Around 53.2% households were hungry had spent a whole day without eating because there was no enough food and 65% households had member/s who was/were hungry but did not eat.

Table 4:11 Analysis of food insecurity experience scale

|    | Questions                                                                                                                                           | Frequency | Yes (%) |
|----|-----------------------------------------------------------------------------------------------------------------------------------------------------|-----------|---------|
| Q1 | You worried because you would not have enough food to eat during the last 12 months because of lack of a money or other resources.                  | 56        | 59.6    |
| Q2 | You were unable to eat health and nutritious food? ( During the last 12 months was there a time when because of lack of a money or other resources) | 62        | 65.9    |
| Q3 | You ate only few kinds of foods? (During the last12 months was there a time when because of lack of a money or other resources)                     | 71        | 75.53   |
| Q4 | You had skip a meal? (During the last12 months was there a time when because of lack of a money or other resources)                                 | 66        | 70.2    |
| Q5 | You ate less than what you should?( During the last12 months was there a time because of lack of a money or other resources)                        | 65        | 68.14   |
| Q6 | Your household ran out of food? (During the last12 months was there a time because of lack of money or other resources)                             | 56        | 59.57   |
| Q7 | You were hungry but did not eat? (During the last12 months was there a time because of lack of a money or other resources)                          | 61        | 65.0    |
| Q8 | You went without eating for whole a day? (During the last12 months was there a time because of lack of a money or other resources)                  | 50        | 53.2    |

The findings of this study shows that, more than half of the respondents had experienced the eight indicators of food insecurity experience scale model with varying degrees. Based on the Household Food Insecurity Experience Scale (FIES), the households 'food security status had been categorized into three as mild, moderately and severe food insecure. The overall food insecurity experience of

were calculated by the average percent value of mild, moderate and sever food insecure from analysis of food insecurity experience scale. The survey results showed that about 35 %of households were mildly food insecure, 34% of the households were moderately food insecure, and 31% of the households were severely food insecure.

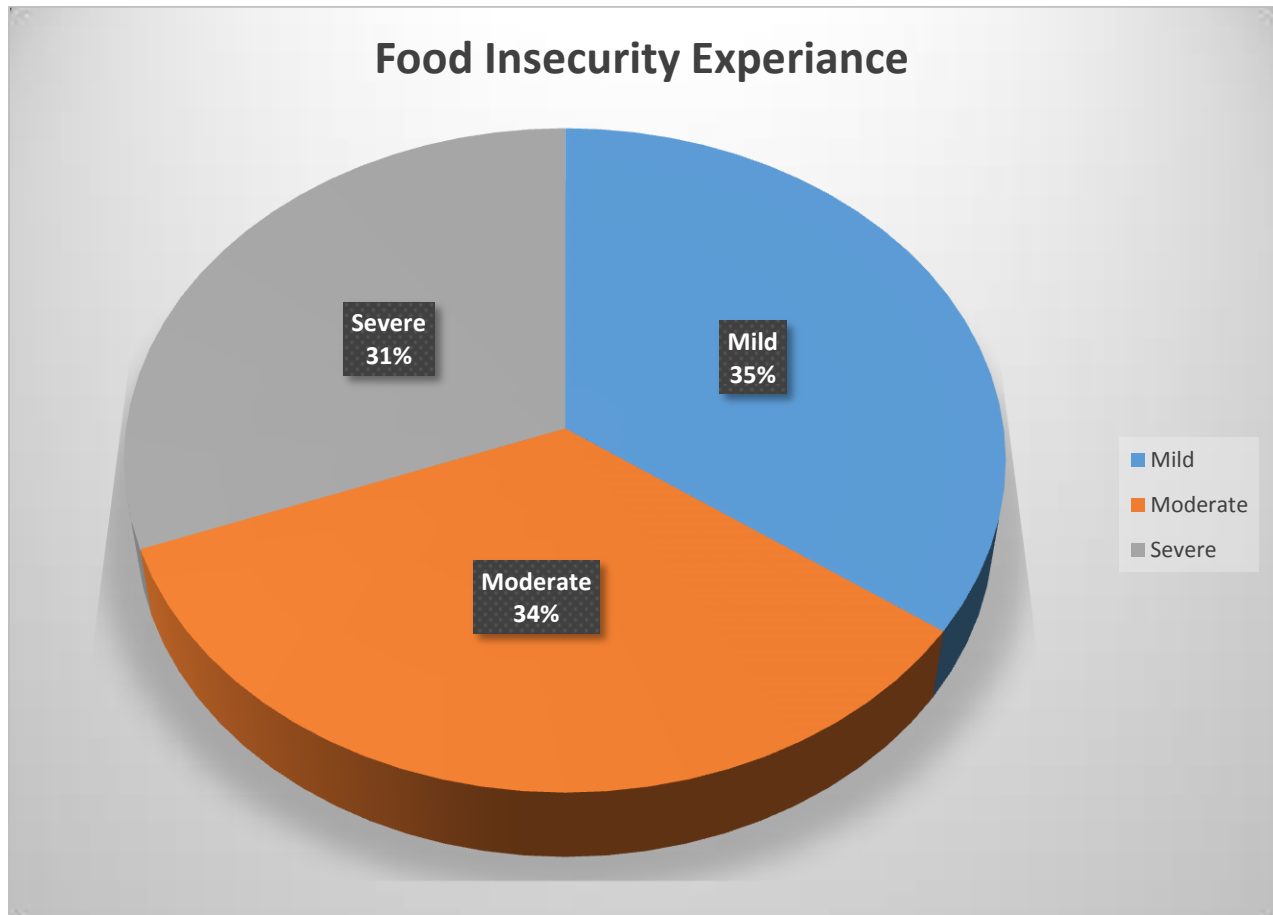


Figure5: 4 Food insecurity experiences of UPSNP Beneficiaries in Woreda 08, Arada Sub city

Source: Survey Result

#### 4.4. Determinants of Food Security Status of the UPSNP Beneficiaries

Determinants of food security are many and varied, at the local, regional, and national as well as international levels. According to FIES model, household beneficiaries can fell into two basic categories i.e. food secure and food insecure. In order to analyze the food security status of the households we used binary logit model. The dependent variable was food security score and the explanatory variables are factors that affect the food security status of the household reviewed from

literature and experience.

The relationship between the variables was tested under the following two hypotheses: the null hypothesis denoted as  $H_0$  and alternative hypothesis denoted as  $H_1$ .  $H_0$ : There is no significant relationship between food security status of the household and the explanatory variables while  $H_1$ : There is significant relationship between food security status of the household and the explanatory variables. The null hypothesis is rejected when the p-value is at least most 10% of level of significance.

The result of the chi-squared statistic for the binary logit model for food security status of households show the goodness of fit of the model, i.e. (LR  $\chi^2(15) = 48.7$ ; Prob >  $\chi^2 = 0.000$ ) and rejects the null hypothesis that there is no relation between being mildly food insecure and explanatory variables. Hence, more food or diet, age, education, family size, number of economically active member of the household, number of rooms in the house, avoided to sell household's asset, avoided to use saving to buy food, currently running business, enrolled children, own or rent house, get service from UPSNP and received free cash significantly influence the food security status of the UPSNP beneficiaries see Annex VII.

In order to see each variables contribution we used odds ratio to interpret the results of the binary logit model. In the process, due to the encoding of the some of the variables such as more food or diet, avoided to sell household's asset, avoided to use saving to buy food, currently running business, enrolled children, own or rent house, get service from UPSNP and received free cash i.e. 2 being no and 1 yes. The interpretation of the odds ratio does not follow the conventional interpretation. Thus, the model result (Table 12) shows that the odds of food secure increases by 9.8 % for households who responded they get more food and diet after they participate in the UPSNP. The odds of being food secure increases by 5% for older household heads. The odds of being food secure increases by 8.4 percent for households who have more number of economically active people in the house. The odds of being food secure decreases by 50 % for those households who have more family size. The odds of being food secure increases by 1% for those households who avoided to sell household's asset to buy food after joining the program. The odds of being food secure increases by 22 % for those households who are running business. The odds of being food secure decreases by more than threefold for those households who enrolled their children to school. The odds of being food secure

decreases by more seven fold for those households who avoided to use saving to buy food. The odds of being food secure increases by 34 % for those households own or rent house. The odds of being food secure decreases by 40% for those households who frequently get service and support from UPSNP. The odds of being food secure increases by 7 % for those households who get service from UPSNP. The odds of being food secure decreases by 67% for those households who received free cash from UPSNP.

Table 4.2 The odds ratio of determinants of food security UPNSP beneficiaries

| Explanatory variables                 | Odds ratio          | Food security |
|---------------------------------------|---------------------|---------------|
| More food or diet                     | 0.098 <sup>**</sup> | (0.836)       |
| Age                                   | 1.05 <sup>*</sup>   | (0.027)       |
| Economic active                       | 1.84 <sup>*</sup>   | (0.255)       |
| Family size                           | 0.50 <sup>**</sup>  | (0.256)       |
| Avoided to sell household's asset     | 0.01 <sup>**</sup>  | (1.624)       |
| Education                             | 0.75 <sup>**</sup>  | (0.109)       |
| Avoided to use saving to buy food     | 7.44 <sup>*</sup>   | (1.064)       |
| Currently running business            | 0.22 <sup>*</sup>   | (0.839)       |
| Enrolled children                     | 3.47 <sup>*</sup>   | (0.567)       |
| Own or rent house                     | 0.34 <sup>*</sup>   | (0.521)       |
| Number of rooms                       | 5.17 <sup>*</sup>   | (0.665)       |
| How often getting service and support | 0.60 <sup>*</sup>   | (0.275)       |
| Get service from UPSNP                | 0.07 <sup>*</sup>   | (1.054)       |
| Received free cash                    | 1.67 <sup>*</sup>   | (0.298)       |
| How much monthly rent                 | 1.00 <sup>*</sup>   | (0.001)       |
| <i>N</i>                              | 94                  |               |
| LR chi2(7)                            | 48.7                |               |
| P<0.0001                              | 0.0000              |               |
| Log likelihood                        | -36.54              |               |

Standard errors in parentheses

\* $p < 0.05$ , \*\* $p < 0.01$ , \*\*\* $p < 0.001$

## **4.5. Determinants of Food Insecurity Experience**

Determinants of food insecurity are many and varied, at the local, regional, and national as well as international levels. According to FIES model, household beneficiaries can fall into three categories. These are food secured, mild food insecure, moderately food insecure and severe food insecure. In order to analyze the food insecurity experience of the households, food insecurity experience index were constructed using the three levels of food insecurity experience that is mildly food insecure, moderately insecure and severely food insecure. Dependent variables i.e., food insecurity experience indices were analyzed using the tobit model which accounts for the boundedness of the index value between 0 and 1.

The relationship between the variables was tested under the following two hypotheses: the null hypothesis denoted as  $H_0$  and alternative hypothesis denoted as  $H_1$ .  $H_0$ : There is no significant relationship between food insecurity experience and independent variables  $H_1$ : There is significant relationship between food insecurity and independent variables. The null hypothesis is rejected when the p-value is less than 10% of level of significance.

### **4.5.1. Mild Food Insecurity Experience**

The result of the chi-squared statistic for the Tobit model for mildly food insecure households show the goodness of fit of the model, i.e. (LR  $\chi^2$  (7) = 30.13; Prob >  $\chi^2$  = 0.001) and rejects the null hypothesis that there is no relation between being mildly food insecure and explanatory variables. Thus, the model results show that mildly food insecure are influenced by the socio demographic variables of family size, education, number of economically active members of the household, own or rent house, number of rooms, and finally UPSNP experience see Annex VI.

Households who avoided to use saving to buy food after participating in UPSNP are less likely to be mildly food insecure by 9.1%. Households with more number of rooms are more likely being mildly food insecure by 24.1%. As number of economically active members of the household increases the likelihood of being mildly food insecure decreases by 8.9%. Families with large family size are more likely to be mildly food insecure by 7.8%. Being educated increase the likelihood of being mildly food insecure by 1.8%. Household who own or rent house are more likely to be mildly food insecure



by 17.0%.and finally households with more year of UPSNP experience are more likely to be mildly food insecure by 24.7%.

Table 4:13. Marginal effect of Tobit model estimates of mildly food insecurity experience

| Explanatory variables             | Marginal effect | Std. Err |
|-----------------------------------|-----------------|----------|
| Avoided to use saving to buy food | 0.091           | (0.052)  |
| Number of rooms                   | 0.241           | (0.082)  |
| Economic active                   | -0.089          | (0.031)  |
| Family size                       | 0.078           | (0.023)  |
| Own or rent house                 | -0.170          | (0.064)  |
| Education                         | 0.018           | (0.009)  |
| UPSNP experience                  | 0.247           | (0.079)  |

Standard errors in parentheses

\* $p < 0.05$ , \*\* $p < 0.01$ , \*\*\* $p < 0.001$

#### 4.5.2. Moderate Food Insecurity Experience

The result of the chi-squared statistic for the Tobit model for moderately food insecure households show the goodness of fit of the model, i.e. (LR chi2 (7) = 33.83; Prob > chi2 = 0.000) and rejects the null hypothesis that there is no relation between moderately food insecure and explanatory variables. Thus, the model result (Table 5) shows that moderately food insecure are influenced by the socio demographic variables of sex, family size, own house, number of economically active members of the household, avoided to sell households asset, how often getting service and support, and finally get house after UPSNP.

Female households are more likely to be moderately food insecure by 23.0%. Household who own a house are less likely to be moderately food insecure by 32.5%. Families with large family size are likely to be moderately food insecure by 6.2%. As number of economically active members of the household increases the likelihood of being moderately food insecure decreases by 10.7%. Households who avoided to sell households asset after participating in UPSNP are less likely to be moderately food insecure by 26.2%. Households who get more frequent UPSNP service and support

are less likely to be moderately food insecure by 8.9%. and finally households who get house after UPSNP are more likely to be moderately food insecure by 22.9% see Table 4:13.

Table 4:14 Marginal effect of tobit model estimates of moderately food insecurity experience

| Explanatory variables                 | Marginal effect       | Std. Err |
|---------------------------------------|-----------------------|----------|
| Sex                                   | 0.230 <sup>**</sup>   | (0.074)  |
| Own house                             | -0.325 <sup>*</sup>   | (0.149)  |
| Economic active                       | -0.107 <sup>***</sup> | (0.030)  |
| Family size                           | 0.062 <sup>**</sup>   | (0.022)  |
| Avoided to sell Households asset      | 0.262 <sup>**</sup>   | (0.083)  |
| How often getting service and support | 0.089 <sup>***</sup>  | (0.023)  |
| Get house after UPSNP                 | -0.229 <sup>*</sup>   | (0.126)  |

Standard errors in parentheses

\* $p < 0.05$ , \*\* $p < 0.01$ , \*\*\* $p < 0.001$

#### 4.5.3. Severe Food Insecurity Experience

The result of the chi-squared statistic for the Tobit model for severely food insecure households show the goodness of fit of the model, i.e. (LR chi2 (6) = 28.00; Prob > chi2 = 0.000) and rejects the null hypothesis that there is no relation between severely food insecure and explanatory variables. Thus, the model result (Table ) shows that severely food insecure are influenced by the demographic and asset variables of number of economically active members of the household, number of households , avoided to use saving to buy food , avoided to sell households asset, how much monthly rent, more food or diet, and finally experience of UPSNP.

Households who avoided to use saving to buy food after participating in UPSNP are less likely to be severely food insecure by 24.1%. Household who have more number of rooms in a house are less likely to be severely food insecure by 13.6%. As number of economically active members of the household increases the likelihood of being severely food insecure decreases by 5.9%. Households who have more year of experience of UPSNP are more likely to be severely food insecure by 19.8%. Households who afford to pay for rent are less likely to be severely food insecure than their

counter parts and finally households who get more food diet after participating in the UPSNP are less likely to be severely food insecure by 17.8%.

Table 4:15. Marginal effect of tobit model estimates of severely food insecurity experience

| Explanatory variables             | Marginal effect      | Std. Err |
|-----------------------------------|----------------------|----------|
| Avoided to use saving to buy food | 0.241 <sup>*</sup>   | (0.0953) |
| Number of rooms                   | -0.136 <sup>*</sup>  | (0.0712) |
| Economic active                   | -0.0594 <sup>*</sup> | (0.0291) |
| UPSNP experience                  | 0.198 <sup>*</sup>   | (0.0910) |
| How much monthly rent             | -0.0002 <sup>*</sup> | (0.0001) |
| More food or diet                 | 0.178 <sup>*</sup>   | (0.0873) |
| Avoided to use saving to buy food | 0.241 <sup>*</sup>   | (0.0953) |

Standard errors in parentheses

\* $p < 0.05$ , \*\* $p < 0.01$ , \*\*\* $p < 0.001$

Furthermore, females are engaged most of the time in house hold responsibilities than males. The finding from the model indicates that the probability of food security status increases by 27.4 % for male-headed households. This finding is corroborated by Girma's 2012 finding, which argue that food insecurity was worse in female-headed household implying that males are more engaged in income generating activities than females in the study area. The model also shows that educational level of households positively associated to food security status of households. It is statistically significant, showing that being educated households are participating in different business or additional works than UPSNP. Wise use of resources helps households to achieve food security.

Service and support obtained from UPSNP affected food security positively and significantly at less than 10% probability level. The support regarding financial assistance, conditional and unconditional counseling on education health and saving enables households improve food security status. The model output indicated that as household's access to service and support from UPSNP increase, the likelihood of household's food security status would increase keeping other factors constant. It can be concluded, therefore, that service and support obtained from the UPSNP supports food security status of the UPSNP beneficiaries.

## **4.6. The Challenges and Prospects of UPSNP in the Study Area**

Nowadays, governments, nongovernmental organizations, donors, and the private sector have increasingly engaged in stimulating economic growth and eradicating poverty. Policy-makers give emphasis in achieving food security through the efforts of concerned bodies including the private sectors, NGOs, and other stakeholders in development to achieve food security. The major actors involved in the promotion of UPSNP were World Bank Group, Federal Urban Job Creation and Food Security Agency, Woreda 08 Urban Job Creation and Food Security Office, Woreda 08 Microfinance and Small Medium Enterprise (SMEs), Woreda 08 Workers and Social Affairs Office, Oxfam and World Vision Ethiopia among others.

Woreda level institutions and Woreda sector bureaus, such as those of finance, education, health, water resource, transport, and communication also play an important role. These institutions have already been established in the Woreda by the respective line ministries and play important roles in supporting Ketenas technically in UPSNP planning and implementation of development activities in the project areas. While the donors like World Bank Group provides the financial resource, the actual implementation of UPSNP happens at Woreda level by the respective government offices.

### **4.6.1. Challenges of UPSNP**

Findings from Key Informant Interview (KII) and Focus Group Discussions (FGDs) reflects that the very important institutions in implementing the UPSNP are the World Bank and government at federal and Woreda level. Each actor is assigned with specific function. The emphasis in this analysis was given to the Woreda level institutions and Woreda sector bureaus, such as those of finance, education, health, water resource, transport, urban job creation and food security office, microfinance and small enterprise, workers and social affairs office, and communication.

These institutions have already been established in the *Woreda* and expected to play important roles in supporting Kebeles/Ketenas technically in the implementation of UPSNP. However, in practice, this was not happening. For instance, through the KIIs and FGDs several challenges were highlighted including biases in the beneficiary selection, lack of familiarity with UPSNP from the government officials, lack of transparency in the implementation process, political interventions, lack of attitude of ownership of the programme as if it is donor driven, and low incentives for

government officials among others. It is, therefore, important to ensure that Woreda level institutions are well organized and strengthened through capacity building programs. This will enable project to provide Kebeles/Ketenas with the necessary technical support in the planning and implementation of the program with other partners to enhance the sustainability of the UPSNP.

Urban productive safety net program is a program that supports the poor and destitute with cash transfer with conditional public workers and direct support to achieve three basic pillars of food security. These are availability, access and utilization. The beneficiaries incorporated in the programs were based on asset and income of household's identified by the Woreda's taskforce. While these are important mechanisms for identifying the target groups, results of FGDs, however, indicates that the process is poorly done, as the procedure is not bereft of inclusion and exclusion errors.

As indicated in the FGDs and KIIs conducted there is inclusion error as those that have better source of income are included in UPSNP because of nepotism, corruption and political intervention as well as exclusion error the very destitute and poor that must be included are not included in the programme. Technical support to change the problem on inclusion and exclusion criteria is timely and pertinent. There is also inflexibility in selection criteria and rigidity in programme implementation. In this regard, there must be strong Monitoring Evaluation, Accountability and Learning (MEAL) of the programme if possible quarterly, if not biennial- twice a year.

Cash payments were done monthly based on the amount of days' households worked, which is attested by UPSNP officers. The study through FGDs and KIIs revealed challenges related to financial payments. These are delay in payments, variations in workdays and payments as well as low payments. Beneficiaries indicated that there is delay in payments as accountants may not do their payroll on time. This is difficult against the level of poverty and lack of finance the beneficiaries' experience. Beneficiaries also indicated gaps in the workdays and payments. They also indicated the payment of UPSNP is not at par with ever-increasing living standard in the city. As a result, some beneficiaries- women- engage in commercial sex to get an additional money. To address the low payments, government must look for an additional financial support including through diversifying partners.

Beneficiaries with conditional transfer participate in public work activities, which include urban

greenery development, watershed management activities, urban agriculture, environmental cleaning activities and social infrastructure development among others. According to the findings from the KIIs, FGDs and the researcher observation, much appreciation was extended to UPSNP's role on the environment.

The program's public work activities had changed the city's environmental image in the study area. Solid wastes found inside green area and streets were also cleaned properly. The degradable, plastics and infectious wastes were packed separately. Cleanings undertaken by UPSNP are satisfactory and adequate to make the Woreda clean and safe because their works are not only focusing on main streets and roads of the Woreda but also residence areas of the communities.

However, there are big challenges facing UPSNP public workers. These are lack of awareness from community, lack of support from sub-city municipality, Kebeles administration, lack and access to materials like hand gloves, health facility and other supportive materials. The other challenge is that uncoordinated waste disposal by the community everywhere such as on the street, green areas that creates work load on beneficiaries of UPSNP. In general, poor community awareness with regard to UPSNP public works have been witnessed as the community perceives UPSNP beneficiaries public work activities as a mere obligation than lending a support hand to their effort to clean the environment, waste disposal.

The FGDs and KIIs revealed that access to service and support to UPSNP beneficiaries highly motivate the beneficiaries as they get awareness regarding the programme objectives, financial management as well as how to improve their livelihoods with UPSNP salary and support. UPSNP has also the potential to accelerate the effective dissemination of adequate information to the beneficiaries. However, the service and support, access to credit service from UPSNP has been limited in the Woreda. Such support is important as the beneficiaries of UPSNP do have several problems such as health, low work attitude and addictions as well as most of them did not understand the objectives of UPSNP.

#### **4.6.2. Prospect for USPNP**

As indicated above, USPNP has contributed in improving the food security status of the beneficiaries though it is not bereft of challenges. Chief among these are improved food security for the beneficiaries, creating employment opportunities and etc.

As the findings from FGDs and KIIs revealed, all interviewed households underlined the importance and benefits of USPNP to the individual households in supporting and improving their livelihoods, the community as the beneficiaries engaged in public activities such as cleaning, and greening that benefit not only the community, and locality but also the city and the country at large. In this context, once the aforementioned challenges of USPNP addressed, USPNP may have a bright prospect.

However, if the aforementioned challenges are not addressed as soon possible and well, USPNP may have gloomy prospects as the challenges overshadow the benefits expected from USPNP. In such scenario, USPNP may not fulfill the intended objectives.

## **CHAPTER FIVE**

### **SUMMARY, CONCLUSION AND RECOMMENDATIONS**

#### **5.1. Summary**

Achieving food security has been an insurmountable challenge in Ethiopia, the country is still the most food-insecure, and famine affected countries. Due to this Ethiopian government and other stakeholders have developed food security enhancement strategies. One of the famous strategies is the Productive Safety Net Program (PSNP). UPSNP has been started by taking the demonstrated experiences from the implementation of PSNP in the country-rural areas. However, infancy stage of the program, its unique nature from PSNP and also its large scale implementation in major cities of the country needs close documentation, gap identification and prediction for its successful implementation and contribution to the overall development of the urban areas in particular and the country in general. The study aimed to analysis challenges and prospects of urban productive safety net program UPSNP Addis Ababa particularly Woreda 8 of Arada Sub-City.

Primary data were collected through survey from 94 UPSNP beneficiaries in the Woreda drawn from four Ketas in Arada Woreda 08, three FGDs (with 30 beneficiaries) and sixteen key informant interviews had been conducted using structured questionnaire for the survey and questions for FGDs and KIIs. Secondary data sources such as reports, publications and baseline documents on PSNP in general, and UPSNP have been used in this study from World Bank Group; Federal Urban Job Creation and Food Security Agency; Woreda 08 Urban Job Creation and Food Security Office, and other Non-Governmental Organizations (NGOs).

The study used both descriptive statics to characterize households' socio-economic and demographic character, and Household Food Insecurity Experience Scale (FIES) model to analyze food security status of UPSNP beneficiaries. Based on the survey conducted and the nature of the dataset at hand, binary logit model was employed to identify determinants of households' food security status using (STATA 13).



The survey results indicate that the households vary in their socio-economic characteristics. Out of 94 UPSNP beneficiaries interviewed, the ratio of male to female was proportional with 1:1 ratio. The mean age of the household heads for UPSNP beneficiaries were 42.75 years. About 47.9% of the beneficiaries were married, 6.4% were single, 19.1% divorced and 26.6% were widowed. The overall mean of family size of households were found to be 4.563% family members per households.

The mean numbers of dependence ratio or whose ages are less than 18 years and greater than 65 years per households UPSNP beneficiaries were found to be 2.36%. The mean years of education level for UPSNP beneficiaries were found to be 4.712% years. The overall mean experience of participating UPSNP beneficiaries was found to be 1.9 years. The mean income UPSNP beneficiaries were found to 735 birr per monthly on average. Out of 94 UPSNP beneficiaries' around 86.2%, UPSNP beneficiaries got access to different services or support from UPSNP office.

## **5.2. Conclusion**

The result of the study shows that governments has many roles in promotion of UPSNP by coordinating all activates including facilitating resources from donors to the beneficiaries. The government control; monitor, evaluate and give feedback on performance of the project implementation to the donors. Governments also develop manuals; create awareness, trainings, and financial guidelines; assign role and responsibility to all governmental organization to achieve positive outcomes.

The result from the Household Food Insecurity Experience Scale (FIES) model eight shows that around 75.53% households were unable to eat the kinds of food preferred due to lack of finance. Around 65.9% had unable to eat health and nutritious food. Around 70.2% had reduced their number of meal because there was no enough food /skip meal they had been eating because there was lack of finance. Around 59.6% had worried about having enough food for the family members. Around 47.4% had reduced their number of meal because there was no enough food. Around 68.14% ate less than they supposed to eat because of lack of money or other resources. Around 59.57% households ran out of food and unable to buy because of lack of money or other resources. Around 53.2% households were hungry and unable to eat for a day because there was no enough food and 65% households had member/s who were hungry but did not eat.

The result of the study based on FIES, the households' food security status had been categorized into three as: food secure, moderately food insecure and severely food insecure. The survey results showed that about 30.5% households status were moderately food insecure, 47.4% households were found at severely food insecure and 22.1% of households were found at accepted food security status. Binary logit models discovered that policy relevant variables having the greatest effect on food security status of households. These are sex, age, marital status, education level of households; support and service from UPSNP were explained probability of food security status of households.

The findings of this study shows that, more than half of the respondents had experienced the eight indicators of food insecurity experience scale model with varying degrees. Based on the Household Food Insecurity Experience Scale (FIES), the households' food security status had been categorized into three as mild, moderately and severe food insecure. The food security status of the UPSNP beneficiaries were analyzed from the FIES questionnaire items. If the household at least responds positively to one of the eight items, the household was determined to be food insecure otherwise food secure. Accordingly, about 65% of the households are food insecure while 35 % of the households are food.

The overall food insecurity experience were calculated by the average percent value of mild, moderate and severe food insecure from analysis of food insecurity experience scale. Thus, the results showed that about 35 % of households were mildly food insecure, 34% of the households were moderately food insecure, and 31% of the households were severely food insecure. Determinants of food security are many and varied, at the local, regional, and national as well as international levels. According to FIES model, household beneficiaries can fall into two basic categories i.e., food secure and food insecure. In order to analyze the food security status of the households we used binary logit model.

In order to see each variables contribution the researcher used odds ratio to interpret the results of the binary logit model. In the process, due to the encoding of the some of the variables such as more food or diet, avoided to sell household's asset, avoided to use saving to buy food, currently running business, enrolled children, own or rent house, get service from UPSNP and received free cash i.e. 2 being no and 1 yes. The interpretation of the odds ratio does not follow the conventional interpretation. Thus, the model result shows that the odds of food secure increases by 9.8 % for households who responded they get more food and diet after they participate in the UPSNP. The

odds of being food secure increases by 5% for older household heads. The odds of being food secure increases by 8.4 percent for households who have more number of economically active people in the house. The odds of being food secure decreases by 50 % for those households who have more family size. The odds of being food secure increases by 1% for those households who avoided to sell household's asset to buy food after joining the program.

The odds of being food secure increases by 22 % for those households who are running business. The odds of being food secure decreases by more than threefold for those households who enrolled their children to school. The odds of being food secure decreases by more sevenfold for those households who avoided to use saving to buy food. The odds of being food secure increases by 34 % for those households own or rent house. The odds of being food secure decreases by 40% for those households who frequently get service and support from UPSNP. The odds of being food secure increases by 7 % for those households who get service from UPSNP. The odds of being food secure decreases by 67% for those households who received free cash from UPSNP.

The determinants of food insecurity experience from the tobit regression model shows that female households are more likely to be moderately food insecure by 23.0%. Being educated increase the likelihood of being mildly food insecure by 1.8%. Household who own a house are less likely to be moderately food insecure by 32.5% . Households with more number of rooms are more likely to be mildly food insecure by 24.1% while less likely to be severely food insecure by 13.6%. Households who afford to pay for rent are less likely to be severely food insecure than their counter parts. As number of economically active members of the household increases the likelihood of being mildly, moderately and severely food insecure decreases by 8.9%, 10.7% and 5.9% respectively.

Families with large family size are more likely to be mildly and moderately food insecure by 7.8% and 6.2% respectively. Household who own or rent house are more likely to be mildly food insecure by 17.0%. Households who avoided to use saving to buy food after participating in UPSNP are less likely to be mildly and severely food insecure by 9.1% and 24.1% respectively. Households who avoided to sell households asset after participating in UPSNP are less likely to be moderately food insecure by 26.2%. Households with more year of UPSNP experience are more likely to be mildly and severely food insecure by 24.7% and 19.8% respectively. Households who get more frequent UPSNP service and support are less likely to be moderately food insecure by 8.9%. Households who get more food diet after participating in the UPSNP are less likely to be severely food insecure by

17.8%. Households who get house after UPSNP are more likely to be moderately food insecure by 22.9%.

The study also revealed major challenges and prospects of UPSNP. The major challenges were selection problems inclusion and exclusion, challenges in relation to institutional arrangement, challenges of transparency and political intervention, lack of coordination among partners, lack of awareness about project implementation manual, low and delayed financial payment problems, lack of support and service from partner organizations. Accordingly, once these challenges are identified and addressed, UPSNP will have a bright prospect. However, if the aforementioned challenges are not addressed as soon possible and well, UPSNP may have gloomy prospects as the challenges overshadow the benefits expected from UPSNP.

## 5.2. Recommendations

The recommendations constructed from this study based on the significant variables and result of the findings for policy makers, development players and scholars who have a strong interest in UPSNP is as follows:

- **Determinant factors of UPSNP:** The binary logit model output shows, education level of households, sex, marital status, service and support from UPSNP positively correlated to food security status of households. The governments and concerned bodies should give due emphasis to these variables for successful implementation of UPSNP.
- **Government of Ethiopia:**
  - The researcher advice the government to have the confidence that it is possible to successfully address urban food insecurity as far as political willingness, appropriate policies and institutions are in place. As the success in addressing food insecurity in urban areas in Brazil, China, Cuba, Vietnam, and in Africa in Senegal and Ghana as reflected in this this study indicates that it is possible to address urban food insecurity with political willingness and commitment.

- Government of Ethiopia currently emphasis on promoting food security by means of further expanding UPSNP to alleviate extreme poverty in cities and urban areas. As noted in this study UPSNP brought an opportunity in enhancing the food security status of the beneficiaries through better livelihood options, asset ownership, asset protection and building, access to service, support and credit through limited, food security/ access, promoted work attitude and culture among others.
- However, UPSNP is not bereft of challenges in relation to selection of beneficiaries; transparency of the process; lack of awareness about project implementation manual, and limited access to support, credit from the beneficiaries and other challenges as indicated throughout this study especially under chapter four-findings of the study. In order to address these challenges and capitalize on the opportunities of UPSNP, strategic partnership among government and other partners are timely and pertinent.
- Especially, providing technical support to government offices and officials in terms of understanding the manual, creating awareness among the beneficiaries, and providing support to the beneficiary are crucial. Government may look for assistance from partners (international inter-governmental organization such as WB, UN; NGOs and the private sector) to do so.
- The result of the study shows governments has many roles in the process of UPSNP by coordinating all activities. However, government's (federal, regional and local levels) political willingness, determination, and commitment must be enhanced in particular in addressing the challenges of UPSNP. Especially, the government must assure and promote transparency and accountability in selection and implementation of UPSNP, monitoring and evaluations, and creating awareness and providing continuous education for beneficiaries of UPSNP in relation to how to achieve food security of households in a short time, dietary habits, food hygiene, food preparation and storage, and urban agriculture among others.

- **For Development Partners (International, and National):**

- It has been observed in this study that there is a gap in monitoring, evaluation and learning of UPSNP. Accordingly, partners must promote enhanced monitoring, evaluation, accountability and learning (MEAL) mechanisms. This exercise will help to scale up good practices and share with others and on how best to address challenges.
- Partners can support in providing additional credit for beneficiaries of UPSNP as access to credit is a challenge to beneficiaries.
- Partners can also help the support and service component of UPSNP mainly in creating awareness on the essence of UPSNP for the beneficiaries and the community at large.

- **Private Companies, and Small and Medium Enterprises (SMES)**

The private sector can also contribute in the success of ensuring urban food security as part of its Corporate Social Responsibility. The private sector can provide financial support a small amount of donations when they pay their utilities bill such as water and electric city; providing apprentice and employment opportunities for beneficiaries of UPSNP by extending quota; support the activities of UPSNP including urban sanitation and beautification, green development and urban agriculture related works; provide entertainment, life skill and educational programmes.

- **Community Level and the General Public:**

- Public awareness of UPSNP will help the government to mobilize additional resource including financial support and other support to the beneficiaries. For instance, support in terms of helping the public work activities conducted by beneficiaries of UPSNP such as cleaning, greening etc. Community organizations such as youth and women associations, Idir, churches may also provide diverse support such as recruitment and selected of beneficiaries, and successful implementation of UPSNP in their locality.

- **Beneficiaries of UPSNP:**

- Are encouraged to understand the essence of UPSNP and enhance their livelihood status. This can be done using UPSNP to diversify their source of income through urban agriculture and directly linkages with rural producers and other activities. Indeed, this effort must be complemented by community-based organizations, the private sector, government and other partners.
- Experience sharing among UPSNP beneficiaries especially those that succeed through the programme can give life testimonies and share experience on how they manage to succeed using the programme.

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## Appendices

### Appendix I

#### A QUESTIONNAIRE

Dear respondent,

The research study is on **‘Food security status and determinates of UPSNP beneficiaries in Addis Woreda 08** by Tsion Tadele Dechassa for partial fulfillment of MSC in Food Security, Development Studies at Addis Ababa University. The objective of this questionnaire is to obtain your honest information on UPSNP in Woreda 08, Arada Sub-City, Addis Ababa, Ethiopia. The information you give, therefore, is highly valued for this research exercise. The information collected from you will not be shown to anyone outside of this study and the analysis of reporting will not disclose your identity. The results of this research will advance understanding of UPSNP issues in Ethiopia and help to strengthen the knowledge of UPSNP in the country. The researcher or the data collector will collect the completed questionnaire, please.

## 1. Area and Demographic Information

1.1. Questionnaire Code.....

1.2. Sub-city \_\_\_\_\_ Woreda \_\_\_\_\_ Kebele.....

1.3. Enumerator Name..... Enumeration Date.....

|   | Question                                               | Response                                             | code             |
|---|--------------------------------------------------------|------------------------------------------------------|------------------|
| 1 | Sex                                                    | 1. Male<br>2. Female                                 | 1<br>2           |
| 2 | Age                                                    | _____                                                |                  |
| 3 | Number of economically active members of the Household | In numbers _____                                     |                  |
| 4 | Household size                                         | In years _____                                       |                  |
| 5 | Marital status                                         | 1. Single<br>2. Married<br>3. Divorced<br>4. Widowed | 1<br>2<br>3<br>4 |



|   |                                                  |                                   |  |
|---|--------------------------------------------------|-----------------------------------|--|
| 6 | Level of education                               | Level of education in grade _____ |  |
| 7 | How long have you participated in UPSNP program? | In full year _____                |  |

| Livelihoods activities and incomes of generation characteristic of household's |                                                                                                                                                      |                                                                          |        |                               |                              |
|--------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------|--------|-------------------------------|------------------------------|
| 8                                                                              | Are you currently running any business?<br>If yes, select one or more of the following choices in which members of your household are doing, please? | Did anyone among members of your household done this activity last year? |        | For how long in year or month | Total income in EB per month |
|                                                                                |                                                                                                                                                      | 1.Yes<br>2.No                                                            | 1<br>2 |                               |                              |
| 8.a                                                                            | Petty trade                                                                                                                                          | 1.Yes<br>2.No                                                            | 1<br>2 | _____                         | _____                        |
|                                                                                |                                                                                                                                                      |                                                                          |        | _____                         | _____                        |

|     |                                                      |                |        |       |       |
|-----|------------------------------------------------------|----------------|--------|-------|-------|
| 8.b | Daily labor                                          | 1.Yes<br>2.No  | 1<br>2 |       |       |
| 8.c | Washing clothes ,food cooking                        | 1. Yes<br>2.No | 1<br>2 | _____ | _____ |
| 8.d | Fruit and vegetable retailing                        | 1. Yes<br>2.No | 1<br>2 | _____ | _____ |
| 8.e | Injera selling                                       | 1.Yes<br>2.No  | 1<br>2 | _____ | _____ |
| 8.f | Sales clothes ,shoes ,and used items                 | 1.Yes<br>2.No  | 1<br>2 | _____ | _____ |
| 8.g | Selling tea, coffee, bread ,soft drinks              | 1.Yes<br>2.No  | 1<br>2 | _____ | _____ |
| 8.h | Hand crafts (carpentry masonry,<br>steel worker....) | 1.Yes<br>2.No  | 1<br>2 | _____ | _____ |
| 8.i | Selling cooked food/drinks                           | 1.Yes<br>2.No  | 1<br>2 | _____ | _____ |

|     |                                                                                                                                |                                                                                                                                 |                                      |                                                                                      |  |
|-----|--------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------|--------------------------------------|--------------------------------------------------------------------------------------|--|
| 8.j | Other (Specify).....                                                                                                           |                                                                                                                                 |                                      |                                                                                      |  |
| 8.k | Did you consume the previous seven days following food items meat/fish ,milk, fruit ,vegetable ,pulses and main staples foods? | 1. Meat /fish<br>2. Milk<br>3. Fruit<br>4. Vegetables<br>5. Pulses<br>6. Oil and fats<br>7. Main staples<br>8. Roots and tubers | 1<br>2<br>3<br>4<br>5<br>6<br>7<br>8 | ( )days<br>( )days<br>( )days<br>( )days<br>( )days<br>( )days<br>( )days<br>( )days |  |

| Resource ownership and access |                                                                 |                                                                                                                          |                  |
|-------------------------------|-----------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------|------------------|
| 9.                            | Do any members of your household own or rent any house, please? | 1.Yes<br>2.No                                                                                                            | 1<br>2           |
| 9a.                           | If yes questions                                                | 1. Owned<br>2. Rented...(Specify in birr sharing (birr)<br>3. Care taking kebele (Specify in birr)<br>4. Other (Specify) | 1<br>2<br>3<br>4 |
| 9b                            | Numbers of rooms                                                | 1. One                                                                                                                   | 1                |

|      |                                                                                |                                                                                              |                  |
|------|--------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------|------------------|
|      |                                                                                | 2. Tow<br>3. Three<br>4. >Three                                                              | 2<br>3<br>4      |
| 9.c  | Is the space of the house adequate in relation to the household size?          | 1. Adequate<br>2. Small<br>3. Very small                                                     | 1<br>2<br>3      |
| 9.d  | Roofing                                                                        | 1. Iron sheet<br>2. Plastic thatch<br>3. Others specify...                                   | 1<br>2<br>3      |
| 10   | Did you or other household members got house after you become member of UPSNP? | 1.Yes<br>2.No                                                                                | 1<br>2           |
| 10.a | If yes, how did you manage to get house?                                       | 1. By myself<br>2. With the help of government<br>3. Gifts from others<br>4. Other's support | 1<br>2<br>3<br>4 |
| 11.  | If you are living in a rental house, is that affordable?                       | 1.Yes<br>2.No                                                                                | 1<br>2           |
| 12.  | How much is the monthly rent of your house?                                    | In birr .....                                                                                | In EB....        |

### Asset protection and building

|    |                                                                                                   |                                                              |             |
|----|---------------------------------------------------------------------------------------------------|--------------------------------------------------------------|-------------|
| 13 | Have you enrolled your children in school?                                                        | 1. Yes, because of UPSNP<br>2. Yes, before of UPSNP<br>3. No | 1<br>2<br>3 |
| 14 | Have you kept your children in school for longer after UPSNP than before?                         | 1. Yes<br>2. No                                              | 1<br>2      |
| 15 | Have you used healthcare facilities after the UPSNP than before?                                  | 1. Yes<br>2. No                                              | 1<br>2      |
| 16 | Have you consumed more food or diet food after UPSNP than before?                                 | 1. Yes<br>2. No                                              | 1<br>2      |
| 17 | Have you kindly avoided having to sell households assets to buy food after participated in UPSNP? | 1. Yes<br>2. No                                              | 1<br>2      |
| 18 | Have you kindly avoided having to use your savings to buy food after UPSNP?                       | 1. Yes<br>2. No                                              | 1<br>2      |

|     |                                                                                                   |                 |        |
|-----|---------------------------------------------------------------------------------------------------|-----------------|--------|
|     |                                                                                                   |                 |        |
| 19. | Have you acquired any new households assets?                                                      | 1. Yes<br>2. No | 1<br>2 |
| 20  | Have you acquired any new working culture, knowledge or skills after you become members of UPSNP? | 1. Yes<br>2. No | 1<br>2 |

**Access to service, support and credit**

|    |                                                      |                                                                                                                                                   |                  |
|----|------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------|------------------|
| 21 | Did you get service and support from UPSNP?          | 1. Yes<br>2. No                                                                                                                                   | 1<br>2           |
| 22 | If yes, what type of services you have been getting? | 1. Financial assistance through direct support<br>2. Financial assistance through conditional support<br>3. Counseling<br>4. Financial assistance | 1<br>2<br>3<br>4 |
| 23 | How often you get service and support                | 1. Weekly<br>2. Tow times monthly                                                                                                                 | 1<br>2           |

|     |                                                                                                                                |                                                                                                           |                            |
|-----|--------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------|----------------------------|
|     | specifically from UPSNP?                                                                                                       | 3. Three times<br>monthly<br>4. Monthly<br>5. Other (specify)                                             | 3<br>4<br>5                |
| 24  | If you received free cash from UPSNP or worked on cash, in the past one year, what did you do with all the money you received? | .....                                                                                                     |                            |
| 25  | Did you get the chance to save money from UPSNP payments?                                                                      | 1. Yes<br>2. No                                                                                           | 1<br>2                     |
| 26  | Did you have access to additional credit than UPSNP salary?                                                                    | 1. Yes<br>2. No                                                                                           | 1<br>2                     |
| 26a | If yes, for what purpose did you take the credit?                                                                              | .....<br>.....                                                                                            |                            |
| 26b | What is your source of credit, please?                                                                                         | 1. Bank<br>2. NGO<br>3. Micro finance<br>institution<br>4. Relatives<br>5. Traders<br>6. Others (specify) | 1<br>2<br>3<br>4<br>5<br>6 |

|      |                                           |                                                                                                        |                            |
|------|-------------------------------------------|--------------------------------------------------------------------------------------------------------|----------------------------|
|      |                                           |                                                                                                        |                            |
| 26.c | Do you have additional source of finance? | 1. Bank<br>2. NGO<br>3. Micro finance institution<br>4. Relatives<br>5. Traders<br>6. Others (specify) | 1<br>2<br>3<br>4<br>5<br>6 |

| Core food security module questions and answer categories (Food Insecurity Experience Scale) |                                                                                                                                                                 |                 |        |
|----------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------|--------|
| 27                                                                                           | You were worried you would not have enough food to eat?<br><br>(During the last 12 months, was there a time when, because of lack of money or other resources?) | 1. Yes<br>2. No | 1<br>2 |
| 28                                                                                           | You were unable to eat healthy and nutritious                                                                                                                   | 1. Yes          | 1      |



|    |                                                                                                                                                          |                            |                   |
|----|----------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------|-------------------|
|    | <p>food?</p> <p>(During the last 12 months, was there a time when, because of lack of money or other resources?)</p>                                     | <p>2. No</p>               | <p>2</p>          |
| 29 | <p>You ate only a few kinds of foods?</p> <p>(During the last 12 months, was there a time when, because of lack of money or other resources?)</p>        | <p>1. Yes</p> <p>2. No</p> | <p>1</p> <p>2</p> |
| 30 | <p>You had to skip a meal?</p> <p>(During the last 12 months, was there a time when, because of lack of money or other resources?)</p>                   | <p>1. Yes</p> <p>2. No</p> | <p>1</p> <p>2</p> |
| 31 | <p>You ate less than you thought you should?</p> <p>(During the last 12 months, was there a time when, because of lack of money or other resources?)</p> | <p>1. Yes</p> <p>2. No</p> | <p>1</p> <p>2</p> |
| 32 | <p>Your household ran out of food?</p> <p>(During the last 12 months, was there a time when, because of lack of money or other resources?)</p>           | <p>1. Yes</p> <p>2. No</p> | <p>1</p> <p>2</p> |
| 33 | <p>You were hungry but did not eat?</p>                                                                                                                  | <p>1. Yes</p>              | <p>1</p>          |

|    |                                                                                                                                              |                 |        |
|----|----------------------------------------------------------------------------------------------------------------------------------------------|-----------------|--------|
|    | (During the last 12 months, was there a time when, because of lack of money or other resources?)                                             | 2. No           | 2      |
| 34 | You went without eating for a whole day?<br>(During the last 12 months, was there a time when, because of lack of money or other resources?) | 1. Yes<br>2. No | 1<br>2 |

| <b>The Role played by government institutions and partners in the promotion of UPSNP</b> |                                                                                                  |                 |        |
|------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------|-----------------|--------|
| 35                                                                                       | Did you find the role played by government institutions in implementing UPSNP?                   | 1. Yes<br>2. No | 1<br>2 |
| 36                                                                                       | Did you find the role played by others partners (donors ,NGOs and others) in implementing UPSNP? | 1. Yes<br>2. No | 1<br>2 |
|                                                                                          |                                                                                                  |                 |        |



## Appendix II

### Questions for Key -Informal Interview (KII)

Dear Expert,

This research study is on ‘**Food security status and determinates of UPSNP beneficiaries in Addis Woreda 08**’ conducted by Mrs. Tsion Tadele Dechassa for partial fulfillment of MSC in Food Security, Development Studies at Addis Ababa University. The objective of this KII is to obtain your honest and frank information on UPSNP in Woreda 08, Arada Sub-City, Addis Ababa. The information you give, therefore, is highly valued for this research exercise. The information collected from you will not be shown to anyone outside of this study and the analysis of reporting will not disclose your identity. The results of this research will advance the understanding of UPSNP issues in Ethiopia and help to strengthen the knowledge of UPSNP in the country.

Thank you in advance for your cooperation.

1. What's your understanding about of UPSNP, please?
2. How do you see the implementation status of UPSNP thus far in the Woreda 08, please?
3. What are the selection criteria for UPSNP in the Woreda 08, please? How do you observe any problems in the selections of UPSNP beneficiaries, please? If so why please?
4. How do you see the role of government institutions-Woreda level and partners about UPSNP Woreda 08, please? Are there any problem, please? Mention them, please?
5. Is there any problem about UPSNP Woreda 08 in relation to payments (amounts, timing, mode and others), please?
6. Have you perceived the contributions of safety net program on Households asset protection and building in the UPSNP in Woreda 08, please?
7. Can you describe the overall success, gaps and challenges of UPSNP in the Woreda 08, please?
8. What measures do you recommend to scaling achievements and overcome the problems prevailing in the implementing process about UPSNP and UPSNP Woreda 08, please?
9. What are the lessons about UPSNP for the next phase, please?
10. What are the prospects of UPSNP and UPSNP in the Woreda 08, please?

Addis Ababa  
University  
(Since 1950)



### Appendix III

#### Focus Group Discussions (FGDs) Guide

Dear respondents,

This research study is on **‘Food security status and determinates of UPSNP beneficiaries in Addis Woreda 08** conducted by Mrs. Tsion Tadele Dechassa for partial fulfillment of MSC in Food Security, Development Studies at Addis Ababa University. The objective of this FGDs is to obtain

your honest and frank information on UPSNP in Woreda 08, Arada Sub-City, Addis Ababa. The information you give, therefore, is highly valued for this research exercise. The information collected from you will not be shown to anyone outside of this study and the analysis of reporting will not disclose your identity. The results of this research will advance the understanding of UPSNP issues in Ethiopia and help to strengthen the knowledge of UPSNP in the country.

Thank you in advance for your cooperation.

1. General Information

1.1.Region..... Zone: ..... Woreda: ..... Kebele: .....

2. How do understand the concept of UPSNP and the Programme Implementation Manual (PIM);
3. What are the major challenges UPSNP in the Woreda/Kebele?
4. Among the challenges mentioned, which ones do you consider are the priority UPSNP challenges?
5. What kind of challenge do you observe?
6. What type of challenge does it cause please?
7. What are determinants of UPSNP? List them?
8. What are the lessons learned (good or bad), please?
9. How do you understand the beneficiary selection criteria, the implementation guideline Vs the practice of UPSNP please?
10. Who and how on involve the decision making process please?
11. Do you have the inclusion and exclusion of households from participants of UPSNP?
12. Who and how the payment time and amount choices please?
13. Is there any contribution of UPSNP for household's asset protection please?
14. How do you understand the UPSNP program related to dependency attitude please?
15. How do you understand the role of institutions- government and partners; capacity to address the overall achievements, gaps and challenges?
16. What are the lessons learned, recommendations and prospects please?

17. What do you think is the prospect for USPNP?

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#### **Appendix IV**

##### **Informed consent form**

Researcher:

My name is Tsion Tadele, and I am a MSc. candidate at the Addis Ababa University. I am kindly inviting you to participate in a research study. Involvement in the study is voluntary, so you may choose to participate or not.

I am now kindly going to explain the study to you. Please feel free to ask any questions that you may have about the research. I will be happy to explain anything in greater detail. The objective of the questionnaire/questions are to obtain your frank information on the subject as you are familiar and the information you give are highly valued for this research exercise.

This will take approximately (20 to 30 min) of your time. The risks in participating this research will be minimized by keeping all information (either confidential, in the case where your identities need to be retained or can be associated with your responses, or anonymous and confidential, in the case where you do not allow responses to be connected with a particular subject).

The benefit of this research is that you will be helping us to better understand about urban PSNP in Woreda 08 of Arada-Sub City, in Addis Ababa, Ethiopia. If you do not wish to continue, you have the right to withdraw from the study, without penalty, at any time.

### **Participant:**

I.....voluntarily agree to participate in this research study. I understand that even if I agree to participate now, I can withdraw at any time or refuse to answer any question without any consequences of any kind.

I understand that I can withdraw permission to use data from my interview within two weeks after the interview, in which case the material will be deleted. I have had the purpose and nature of the study explained to me in writing and I have had the opportunity to ask questions about the study. I understand that I will not benefit directly from participating in this research.

I agree to my interview being audio-recorded if the need arise. I understand that a transcript of my interview will be retained for some times. I understand that under freedom of information legalization I am entitled to



access the information, I have provided at any time while it is in storage as specified above.

**Signature of research participant**

-----

Signature of participant

Date

**Signature of researcher**

I believe the participant is giving informed consent to participate in this study

-----

Signature of researcher

Date

**Appendix V**

Number of public work and direct support beneficiaries after second round of targeting (2016 -2018)

| No | Cities      | Beneficiaries in<br>1st & 2nd years | Public work | Direct support |
|----|-------------|-------------------------------------|-------------|----------------|
| 1  | Addis Ababa | 323,918                             | 272,091     | 51,827         |
| 2  | Mekele      | 10,000                              | 8,400       | 1,600          |
| 3  | Semera      | 1,500                               | 1,260       | 240            |
| 4  | Dessie      | 12,000                              | 10,080      | 1,920          |
| 5  | Adama       | 17,000                              | 14,280      | 2,720          |
| 6  | Jijiga      | 10,885                              | 9,143       | 1,742          |
| 7  | Asosa       | 3,7                                 | 3,150       | 600            |
| 8  | Hawassa     | 22,000                              | 18,480      | 3,520          |
| 9  | Gambella    | 5,052                               | 4,244       | 808            |

|    |               |                |                |               |
|----|---------------|----------------|----------------|---------------|
| 10 | Harari        | 6,780          | 5,695          | 1,085         |
| 11 | Dire Dawa     | 28,000         | 23,520         | 4,480         |
|    | Subtotal      | 440,885        | 370,343        | 70,542        |
|    | Special needs | 8,000          |                | 8,000         |
|    | <b>Total</b>  | <b>448,885</b> | <b>370,343</b> | <b>78,542</b> |

Source: FUJCFSA joint review and supervision mission aide memoire (April 2018)

## Appendix VI

Tobit model estimates of mildly food insecurity experience

| Explanatory variables             | Mild Food insecurity index | Std. Err |
|-----------------------------------|----------------------------|----------|
| Avoided to use saving to buy food | 0.091*                     | (0.052)  |
| Number of rooms                   | 0.241**                    | (0.082)  |
| Economic active                   | -0.089**                   | (0.031)  |
| Family size                       | 0.078**                    | (0.023)  |
| Own or rent house                 | -0.170**                   | (0.064)  |
| Education                         | 0.018                      | (0.009)  |
| UPSNP experience                  | 0.247**                    | (0.079)  |
| _cons                             | -0.354                     | (0.270)  |
| sigma                             | 0.348***                   | (0.0254) |

|                                                |        |
|------------------------------------------------|--------|
| <i>N</i>                                       | 94     |
| LR chi2(7)                                     | 31.13  |
| P<0.0001                                       | 0.0001 |
| Log likelihood                                 | -34.17 |
| Standard errors in parentheses                 |        |
| * $p < 0.05$ , ** $p < 0.01$ , *** $p < 0.001$ |        |

#### Tobit model estimates of moderately food insecurity experience

| Explanatory variables                          | Moderately food insecure index | Std. Err |
|------------------------------------------------|--------------------------------|----------|
| Sex                                            | 0.230**                        | (0.074)  |
| Own house                                      | -0.325*                        | (0.149)  |
| Economic active                                | -0.107***                      | (0.030)  |
| Family size                                    | 0.062**                        | (0.022)  |
| Avoided to sell Households asset               | 0.262**                        | (0.083)  |
| How often getting service and support          | 0.089***                       | (0.023)  |
| Get house after UPSNP                          | -0.229*                        | (0.126)  |
| _cons                                          | 0.061                          | (0.408)  |
| sigma                                          | 0.328***                       | (0.024)  |
| <i>N</i>                                       | 94                             |          |
| LR chi2(7)                                     | 48.04                          |          |
| P<0.0001                                       | 0.0000                         |          |
| Log likelihood                                 | -28.48                         |          |
| Standard errors in parentheses                 |                                |          |
| * $p < 0.05$ , ** $p < 0.01$ , *** $p < 0.001$ |                                |          |

#### Tobit model estimates of severely food insecurity experience

| Explanatory variables             | Moderately food insecure index | Std. Err |
|-----------------------------------|--------------------------------|----------|
| Avoided to use saving to buy food | 0.241*                         | (0.0953) |
| Number of rooms                   | -0.136*                        | (0.0712) |

|                       |                      |          |
|-----------------------|----------------------|----------|
| Economic active       | -0.0594 <sup>*</sup> | (0.0291) |
| UPSNP experience      | 0.198 <sup>*</sup>   | (0.0910) |
| How much monthly rent | -0.0002 <sup>*</sup> | (0.0001) |
| More food or diet     | 0.178 <sup>*</sup>   | (0.0873) |
| _cons                 | 0.00659              | (0.268)  |
| sigma                 | 0.397 <sup>***</sup> | (0.0290) |
| <i>N</i>              | 94                   |          |
| LR chi2(7)            | 28.00                |          |
| P<0.0001              | 0.0000               |          |
| Log likelihood        | -46.60               |          |

Standard errors in parentheses

\*  $p < 0.05$ , \*\*  $p < 0.01$ , \*\*\*  $p < 0.001$