

ANALYSIS OF LIVELIHOODS AND FOOD SECURITY OF POOR URBAN HOUSEHOLDS: THE  
CASE OF URBAN PRODUCTIVE SAFETY-NET BENEFICIARIES IN ETHIOPIA

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All this is possible by the ALMIGHTY GOD! GOD is always good!!

## DECLARATION

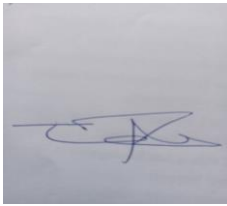
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SAFETY-NET BENEFICIARIES IN ETHIOPIA

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## ABBREVIATIONS/ ACRONYMS

ADLI	Agricultural Development Led Industrialization
ARRA	Agency for Refugee and Returnee Affairs
AUC	African Union Commission
CBHI	Community Based Health Insurance
CCIP	Complementary Community Investment Programme
COVID-19	Coronavirus Disease of 2019
CBE	Commercial Bank of Ethiopia
CSA	Central Statistical Agency
CSI	Coping Strategy Index
DFID	Department for International Development
DS	Direct Support
ECA	Economic Commission for Africa
EOS	Enhanced Outreach Strategy
EPRDF	Ethiopian People Revolutionary Democratic Front
ETB	Ethiopian Birr
FAD	Food Availability Decline
FAO	Food and Agricultural Organization
FCS	Food Consumption Score
FDRE	Federal Democratic Republic of Ethiopia
FGD	Focus Group Discussion
FSP	Food Security Programme
FSS	Food Security Strategy
FUJCFSA	Federal Urban Job Creation and Food Security Agency
GoE	Government of Ethiopia
GTP-I	First Phase of The Growth and Transformation Plan
GTP-II	Second Phase of The Growth and Transformation Plan
HABP	Household Asset Building Programme
HDDS	Household Dietary Diversity Scale
HEP	Health Extension Programme
HEW	Health Extension Workers
HFIAP	Household Food Insecurity Access Prevalence
HFIAS	Household Food Insecurity and Access Scale
HHS	Household Hunger Scale
HIV/AIDS	Human Immunodeficiency Virus/ Acquired Immunodeficiency Syndrome
HSD	Health Sector Development
IDA	International Development Association

IEG	Independent Evaluation Group
IFAD	International Fund for Agricultural Development
IFSA	International Food Security Assessment
ILO	International Labour Organization
IMF	International Monetary Fund
IRD	Integrated Rural Development
JOBFSA	Job Creation and Food Security Agency
KTC	Ketena Targeting Committee
LAC	Latin America and Caribbean
MGNREGS	Mahatma Gandhi National Rural Employment Guarantee Scheme
MoARD	Ministry of Agriculture and Rural Development
MoLSA	Ministry of Labour and Social Affairs
MoUDC	Ministry of Urban Development and Construction
MoUDH	Ministry of Urban Development and Housing
MSE	Micro and Small Enterprise
NCFS	New Coalition for Food Security
NNP	National Nutrition Programme
NPC	National Planning Commission
NSPP	National Social Protection Policy
NSPS	National Social Protection Strategy
PASDEP	Plan for Accelerated and Sustained Development to End Poverty
PDS	Permanent Direct Support
PIPs	Policies, Institutions and Processes
PMT	Proxy Mean Tests
POESSA	Private Organization Employees Social Security Agency
PSNP	Productive Safety Net Programme
PW	Public Works
PWP	Public Works Programme
RCSI	Reduced Coping Strategy Index
RRC	Relief and Rehabilitation Commission
SDGs	Sustainable Development Goals
SHI	Social Health Insurance
SL	Sustainable Livelihoods
SLA	sustainable livelihoods approach
SLF	Sustainable Livelihoods Framework
SPSS	Statistical Package for the Social Sciences
SSA	Sub Saharan Africa
SSN	Social Safety Net
TSFP	Targeted Supplementary Feeding Programme
UEUS	Urban Employment Unemployment Survey

UFSJCA	Urban Food Security and Job Creation Agency
UFSJCS	Urban Food Security and Job Creation Strategy
UFSS	Urban Food Security Strategy
UJCFSP	Urban Job Creation and Food Security Programme
UNDP	United Nations Development programme
UNICEF	United Nations International Children's Emergency Fund
UNISA	University of South Africa
UPSNJP	Urban Productive Safety Net and Jobs Programme
UPSNP	Urban Productive Safety Net Programme
US D	United States Dollar
WB	World Bank
WFP	World Food Programme
WHO	World Health Organization
WTO	World Trade Organization
WW II	World War II

## ABSTRACT

Social protection, including social assistance or safety nets, is considered a proven means of reducing poverty, promoting livelihood, improving food security and nutrition status of the poorest households. The Government of Ethiopia has initiated and implemented various policies and programmes, including urban productive safety net programme, to address urban challenges. Many studies have been conducted in Ethiopia on food security and livelihoods related topics; however, most of them are focused primarily on rural areas and in relation to the rural productive safety net programme. Although these studies are helpful in terms of the methodologies employed and the evaluation issues to be dealt with, their findings do not necessarily apply to the urban context. Therefore, the main objective of this study was to analyse the livelihoods and food insecurity status of poor urban households involved in the UPSNP in Ethiopia with special emphasis to Addis Ababa city. The study followed descriptive research design and employed concurrent mixed methods approach using both quantitative and qualitative data from primary and secondary sources. The primary data were collected from 200 UPSNP beneficiary households, located in four sub cities of Addis Ababa, through a survey questionnaire. In addition, data from 28 key informants and from field observations were collected from primary sources while the secondary data were obtained through literature and document reviews. The findings of the study indicated that the status of livelihoods of the beneficiary households has shown improvement though it has been challenged by increasing prices and the incidence of COVID-19. While there have been some desirable improvements in the food insecurity level of the beneficiary households, they have still been not food secure. Increasing prices, incidence of COVID-19 pandemic, loss of employment, and increasing house rent were identified as the most important factors that made households vulnerable to food insecurity and that have negatively affected their livelihood outcomes. In addition, the beneficiaries perceived a moderate contribution of the UPSNP to their livelihood assets, livelihood strategies and livelihood outcomes. On the basis of the findings, recommendations on improving the wage rate or increasing working days, reinforcing the coping mechanisms of beneficiary households, enhancing the contribution of the UPSNP to livelihoods, along with further research were forwarded.

**Key words:** *food insecurity, livelihoods, sustainable livelihoods, productive safety net, social protection, public works, livelihoods assets, livelihoods strategies, livelihoods outcomes, woreda*

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# CHAPTER ONE

## INTRODUCTION TO THE STUDY

### 1.0. Introduction

This chapter provides some preliminary information pertaining to the topic under discussion. The chapter presents the background and rationale of the study, the problem statement, the study objective and the research questions. In addition, the chapter includes the scope, the limitation and the significance of the study. Lastly, it presents the definition of key terms and the organization of the thesis.

### 1.1. Background of the Study

Addressing the problem of urban food security and ensuring access to food are among the most pressing issues of any urban centre. Urban residents rely, among others, on reliable and stable availability of food items as well as reasonably priced and convenient access to them. High levels of income poverty together with rising food prices, however, often make the formal urban food supply system too expensive and unreachable to the urban poor (Stewart, Korth, Langer, Rafferty, Da Silva & van Rooyen 2013).

In previous years, specifically between 2014 and 2016, declining demand and prices for products adversely impacted the growth of a number of developing economies and hence aggravated food security situations; particularly the oil exporting countries were severely affected. Even worse, the recent measures undertaken by governments and organizations at national and international levels to curb the spread of COVID-19 pandemic have disturbed economic and livelihood activities, particularly in the service sector. As a result, the real gross domestic product in Africa decreased by 2.1 per cent in 2020, mainly because of the COVID-19 pandemic (FAO, ECA & AUC 2021b).

Africa in general and Sub-Saharan Africa in particular remains the most malnourished region of the globe. Ethiopia, Kenya, Nigeria, Tanzania and Uganda are the five African countries with the largest number of undernourished peoples amounting to a total of 82 million. Ethiopia constitutes more than one-third of the total undernourished people in the five countries (Birara, Mekuanent &

Samuel 2015). The food security situation in Africa, unlike any other part of the world, has been deteriorating in the past few years. The proportion of food insecure raised from 17.6 per cent (202.4 million) in 2014 to 19.1 per cent (250.3 million) in 2019, of which 234.7 million and 15.6 million were in sub Saharan Africa and in Northern Africa, respectively. Relative to the total 58.9 million global increase in the number of undernourished people between 2014 and 2019, Africa accounted for about 81.3 per cent (FAO, ECA & AUC 2021b).

In response to the existing chronic food insecurity, the Ethiopian government introduced a food security programme known as new coalition for food security (NCFS) in 2003. As an important component of the food security programme, a productive safety net programme (PSNP) was introduced in 2005 targeting chronically food insecure rural districts of the country (MoARD 2009). The overall goal of the productive safety net programme was to improve the food security situation of chronically food insecure families in rural areas through unconditional and conditional food or cash transfers. Beneficiary households with non-disabled adult members are expected to perform public work in exchange for the transfers, while those families with no able bodied members are given unconditional direct support. The public works activities for able bodied beneficiaries are intended and implemented in such a way to address the root causes of food insecurity (MoARD 2014). This rural productive safety net programme is said to be the largest public works programme in Africa next to South Africa, reaching about 8 million peoples in rural Ethiopia (Filipski, Taylor, Abegaz, Ferede, Taffesse & Diao 2017).

Ethiopia had completed the first phase of the growth and transformation plan (GTP-I, 2010/11-2014/15) in 2015 and recently finalized the succeeding phase, the second growth and transformation plan (GTP II, 2016-2020). There has been strong record of reducing extreme poverty accelerated mainly by growth of the agriculture sector, provision of basic infrastructure services, and introduction of rural productive safety net programme. However, the desired structural transformation from low value/wage to high value/wage sectors has been inadequate to make significant contribution to poverty reduction (MoUDH 2016). The GTP-I performance evaluation report indicated that guaranteeing food security was among the unattained goals during the period despite the implementation of the rural productive safety net programme. Although 7.7 million chronically food insecure rural peoples have been supported by the rural productive safety net programme, graduation from the programme has been slow and below expectation. With all its

limitations, however, the rural productive safety net programme proved that social safety nets are strategic tools to deal with chronic food insecurity (NPC 2015). Accordingly, the fourth phase (PSNP IV) was introduced and has been in implementation since 2016.

In addition to the rural productive safety net programme, the government of Ethiopia introduced a national social protection policy (NSPP) for its peoples who are out of the labour market for various reasons. The national social protection policy (NSPP) was prepared by the Ministry of Labour and Social Affairs since 2012 and approved by the Council of Ministers lately in November 2014. The policy has a far-reaching goal of establishing a comprehensive social protection system through which all citizens enjoy a fair access to social protection services that shall promote inclusive growth and development (WB 2015b). The policy gives special attention to expanding social safety net programmes and livelihood interventions in rural areas and for extending the same in urban areas in a well-targeted and coordinated manner. The key strategies indicated by the national social protection policy to implement social safety net include; scaling up the rural productive safety net programme and expanding to urban areas, provision of micro finance and skills training to the very poor and providing social pension (WB 2015b).

Although Ethiopia is yet largely rural and among the least urbanized Sub Saharan African countries, the rate of urbanization is fast. The urban population was estimated 19.1 million in 2017 up from 11.9 million by the last census in 2007 (CSA 2013). As recent evidences show, the average annual growth of urban population of Ethiopia was over 4.7 per cent between 1980 and 2020. In 2020, the share of the urban population reached 21.7 per cent of the total population. Accordingly, it is expected to be almost double to 39.1 per cent, or about 74.5 million people, by 2050 (Getachew 2021).

Nevertheless, the existing conditions in Ethiopia demonstrate that the rates of urban poverty have still been significant and the absolute number of the poor has not been declining, particularly in the large cities. For instance, in 2011 the national poverty rate of Ethiopia was 29.6 per cent, wherein the rates in Addis Ababa and Dire Dawa were 28.1 per cent and 28.3 per cent, respectively. Between 2005 and 2011, mainly owing to the rising food prices, consumption growth was negative among the poorest 15 per cent of the urban population in Ethiopia and among the majority of residents in Addis Ababa city (MoUDH 2016).



A large proportion of the urban poor live in cities and large urban centres, in this sense, it would be commanding to correct the existing urban growth in such a way to develop the type of cities that enhance inclusive growth in the long run (WB 2015a). If managed proactively and in a planned manner, a growing urban population could be a strategic resource and an opportunity to accelerate economic transformation from subsistence agriculture to a more diversified and labor intensive urban industrial and service sectors. Otherwise, the resulting demographic challenges may outweigh the potential opportunities, make cities the pool of poverty and the source of social crises, and make them unable to provide citizens with the desired decent jobs, infrastructure and services (MoUDH 2016).

Concerned by the high poverty rate in rural areas, and assuming that urban dwellers have better access to labour markets and basic social services, many governments tend to focus on providing social assistance only in rural areas. In reality, however, poverty is urbanizing, and it is doing so rapidly. This implies that countries' poverty reduction goals cannot be achieved without tackling urban poverty. Well designed and targeted safety net programmes that are tailored to urban contexts can help poor families reduce and manage disaster risks, adapt to climate change and become more resilient (WFP 2016). However, it seems that the existing rural biased situations in food security issues are continuing. In this regard, the study of Crush & Riley (2017) is worth mentioning. They argue that *'the pervasive rural bias and anti-urbanism identified in the international and regional food security agendas in the first decade of the 21st century have persisted into the second'*.

Until 2015/16, the productive safety net programme in Ethiopia has been implemented only in rural areas (NPC 2017). Consequently, in line with the national social protection policy (NSPP) of the country, the Ministry of Urban Development and Housing (MoUDH) has developed an urban food security and job creation strategy (UFSJCS), which was approved on May 8, 2015. The purpose of the strategy was to minimize vulnerability to poverty and food insecurity among the urban population living below the poverty line through a social safety net programme designed to execute over a period of 10 years in two phases (WB 2015b). The first five-year implementation phase started in 2016/17 and planned to be implemented until 2020/21 targeting the poorest households residing in 11 major cities of the country.

As stated in the World bank (WB 2015b), the urban productive safety net programme (UPSNP) was given special emphasis in that it has a central place in the national social protection policy and was embedded in the second growth and transformation plan (GTP II) of Ethiopia. The urban productive safety net programme is an inclusive social protection programme meant to enhance inclusive growth and development in urban areas. It was established as a joint project between the World Bank and the Ethiopian government through which the urban poor are provided support via two primary channels. The first channel is that, the urban productive safety net programme provides wage and self-employment by creating employment opportunities through public works and making access to finance for those engaged in self-employment. The second channel is that, similar to the rural safety net programme, the urban productive safety net programme is aimed at enhancing the coping mechanisms of the vulnerable urban community through the provision of a direct cash transfer and livelihood interventions (WB 2015b).

As described in the Ministry of Urban Development and Housing, the urban productive safety net programme (UPSNP) has ambitiously been planned to support more than 4.7 million urban poor residing in 972 cities and towns in different phases through a gradual roll-out plan in a long-term period. The first phase was planned to be implemented from 2016/17 to 2020/21 in 11 cities (Addis Ababa, Adama, Dessie, Mekele, Hawassa, Dire Dawa, Harari, Gambella, Assosa, Jigjiga and Asayita). The focus is primarily on productive and predictable transfers through public works, livelihood services and capacity building. A total of 604,000 beneficiaries covering about 55 per cent of their population below the poverty line were targeted in the aforementioned eleven cities in the first phase (MoUDH 2016).

Indeed, the context of urban food security and livelihoods varies from rural context. According to World Food Programme (2009b), the level of food availability in rural areas is predominantly relied upon households' production. On the other hand, in the context of urban areas, food security is determined primarily by factors such as food prices and availability of social assistance programmes. Although the market channel of retail trade may ensure the food availability issues in urban centres, what matters most is the issue of affordability, i.e. the prices of the food items.

Many studies have been conducted in Ethiopia on food security and livelihoods related topics, most of which are focused primarily on rural areas and in relation to the rural productive safety

net programme. Although these studies are helpful in terms of the methodologies employed and the evaluation issues to be dealt with, their findings do not necessarily apply to the urban context. Similarly, one may not expect same study results in analysing the role of safety net programmes on livelihoods and food security between the rural and the urban contexts. This study, therefore, attempted to analyse the livelihoods and food security status of the poorest urban households who were covered in the first phase urban productive safety net programme in Ethiopia with a special focus on Addis Ababa city. Given the scarcity of researches on urban livelihoods and food security and the recently implemented urban productive safety net programme in Ethiopia, this study is timely and has both academic and policy relevance.

## **1.2. Statement of the Problem**

In line with the Sustainable Development Goals (SDGs), as pointed out in MoUDH (2016), the government of Ethiopia has shown commitment to improve the livelihoods of the poor and vulnerable urban households through protective and preventive measures. As was indicated in the second growth and transformation plan, lowering the level of food insecurity, addressing urban poverty and ensuring sustained job creation in urban areas were among the top priority areas of the country. In addressing these urban challenges and realizing the objectives, various policies and programmes have been initiated and implemented in the country. The on-going urban productive safety net programme (UPSNP) is thus among of the efforts of the government to satisfy the diverse needs of the poor and vulnerable towards improving their livelihoods (MoUDH 2016).

Food insecurity is one of the important indicators of poor livelihood outcomes and prevalence of urban poverty. The pros and cons of food insecurity and poverty in urban areas are often long-lasting and multifaceted. As stated in the Ministry of Urban Development and Housing (MoUDH 2016:12), among the major causes of food insecurity in urban Ethiopia were *'unsystematic and unmanaged rural-urban migration, lack of access to adequate employment opportunities, lack of access to integrated social protection for those disadvantaged groups, underutilized potential of urban agriculture, and price hikes related to supply shortages*. Besides, *'lack of modern market exchange system, lack of efficient service delivery, and poor solid and liquid waste management system'* were worth mentioning. It is now common that large numbers of peoples in urban areas

are either unemployed or underemployed; and as a result, they are facing food insecurity and living in difficult conditions (MoUDH 2016).

Moreover, as put in MoUDH (2016:12) *‘significant number of street dwellers, beggars, people with mental disorder, juvenile delinquency, disadvantaged groups and other victims of social problems and evils’* are growing over time in many urban centers of Ethiopia. Particularly, the problem in Addis Ababa city, where almost 20 per cent of the country’s urban population lives, is pervasive and widespread. Hence, reducing poverty rates in Addis Ababa and other large urban centers shall be a key priority towards addressing poverty reduction in urban areas in particular and in Ethiopia in general (MoUDH 2016). Social protection programmes, including social assistance or safety nets, are a proven means of reducing poverty and promoting livelihoods, improving food security and nutrition status and enabling the poorest to have better access to education and health services (WFP 2016).

In Ethiopia, a number of studies were conducted on food insecurity and safety net related issues. In this regard, Rahmato (2013), Messay (2012; 2010), Hoddinott et al (2012), Van Uffelen (2013), Devereux & Teshome (2013), Hoddinott et al (2013), Pankhurst (2012), Seyoum (2013), Lirens (2001), Maxwell et al (2013), Lavers (2020; 2016), Hirvonen et al (2021; 2020), Hidrobo et al (2018), Devereux & Nzabamwita (2018), Berhane et al (2014), Bamlaku & Solomon (2013), and Abebe et al (2018) are among few of the authors worth mentioning.

Although it seems that the literature on the nexus between food security, livelihoods and safety net programmes is adequate, the available literature in urban context is limited especially in least urbanized but fast urbanizing countries like Ethiopia. There are a number of studies focusing on rural livelihoods and food insecurity in Ethiopia, mainly in relation to the rural productive safety net programme. However, they are limited in urban context; particularly the urban productive safety net programme is yet under researched. Indeed, few studies such as Abebe, Franklin & Mejia-Mantilla (2018), Abraham (2019), Gebresilassie (2020), Kassech (2020), Melese (2019), Misgana (2018) and Yeabsira (2020) attempted to examine the effects of the on-going UPSNP. Nevertheless, most of these studies were carried out focusing either on a specific sub city and narrow scope (Master’s thesis) or at an early phase of the programme. The findings of these studies, therefore, could not adequately represent the effect of the programme.

Hence, it is essential to conduct an independent assessment on the livelihoods and food security status of the programme beneficiary households in relation to the on-going urban productive safety net programme, which is meant for creating jobs opportunities and improving the livelihood of those food insecure poor urban households in Ethiopia. Providing the huge resources that social safety net programmes require, analysing and evaluating such programmes would give relevant inputs for making optimal decision on allocation of scarce resources.

Particularly, this task is unquestionably crucial for policy makers in poor countries like Ethiopia, where the issue is one of allocating the very scarce public resources to competing ends. Furthermore, this research is expected to add to the existing literature on the contribution of urban productive safety net programmes to improve livelihood outcomes of vulnerable urban households in the context of the developing world in general and of Africa in particular. It may also inspire potential researchers to fill the existing research gap in the area.

### **1.3. Research Objective**

The main objective of this research was to analyse the livelihoods and food insecurity status of poor urban households involved in the urban productive safety net programme in Ethiopia with special emphasis to Addis Ababa city.

The specific objectives of the study were:

1. To describe the main characteristics of previous and existing social protection interventions in Ethiopia.
2. To analyse the main livelihoods and level of food insecurity among urban productive safety net programme beneficiary households.
3. To identify the factors leading the programme beneficiary households to vulnerability to food insecurity.
4. To evaluate the perception of beneficiaries on the contribution of the urban productive safety net programme (UPSNP) to their livelihood outcomes.

## **1.4. Research Questions**

In line with the aforementioned specific objectives, the study attempted to answer the following research questions:

1. What are the main characteristics of previous and existing social protection interventions in Ethiopia?
2. What are the main livelihoods and the level of food insecurity among urban productive safety net programme beneficiary households?
3. What are the factors leading the programme beneficiary households to vulnerability to food insecurity?
4. How do beneficiaries describe the contribution of the urban productive safety net program (UPSNP) to their livelihood outcomes?

## **1.5. Scope of the Study**

In the first five year period, 2016/17 – 2020/21, the urban productive safety net program (UPSNP) has been implemented in only eleven major cities of Ethiopia. Since Addis Ababa constitutes the largest size of urban population and records relatively high urban poverty rates in the country, about three-quarters of the beneficiaries involved in the first phase of the programme were from Addis Ababa. For this reason, although the geographical scope tends to cover urban Ethiopia, the main focus of this study was on Addis Ababa city. Thematically, the study was delimited only to livelihoods and food security issues.

## **1.6. Limitations of the Study**

Like any other study, this study has also various methodological and geographical limitations. Among the major constraints that made this study difficult was the COVID-19 (Coronavirus disease of 2019) pandemic. This global problem significantly challenged the research project in various ways. From the onset, it made the access to ethical clearance certificate so difficult and caused the original proposal and the ethical clearance to be revised and amended so as to strictly follow the COVID-19 protocol. As a result, obtaining the ethical clearance certificate was significantly delayed and so did the commencement of the data collection. Also, because of the

pandemic, focus group discussion (FGD) as a data collection instrument was rejected in the amended ethical clearance; and thus only interview and observation were employed to collect qualitative data from primary sources. The household survey and the interview were conducted with great care and by strictly following the COVID-19 regulations of Ethiopia, which as a result did take elongated time.

Methodologically, analyses of livelihoods and food insecurity can be studied in different ways involving various approaches. For instance, a comprehensive study of food insecurity requires analysing in terms of the four dimensions of food availability, access, utilisation, and stability components. Hierarchically, it could also be studied at various levels including global, national, household and individual levels. However, this study was limited to the access dimension, particularly to the economic access component of food security. The analysis was limited to the household level and failed to view at other levels, particularly at the individual level where intra-household allocation of food is an important issue in food security studies. The other methodological limitation of the study is that the household survey was a cross-sectional study that might not have captured the variations of prices of goods and services over time, which in turn made difficult to analyse the stability dimension adequately. Nevertheless, the study employed a Sustainable Livelihood Framework to assess the various contribution of the urban productive safety net program to the livelihood outcomes, in addition to the food security status, of the study participants. Besides, various indicators of food security were employed to capture the quality and quantity aspects of households' food security access.

Geographically, the scope of the research was limited to the ultra-poor households of Addis Ababa who were beneficiaries of the urban productive safety net program and selected from four woredas located in four sub-cities only and did not cover other regional cities where the same programme (UPSNP) has been undertaken. Although the findings of the study might be relevant to other sub-cities and woredas of Addis Ababa city, it may not be representative of and generalizable to the other regional cities owing to the possible social, economic and environmental differences. The other limitation of the study was about translating the survey questionnaire from English to Amharic. The Amharic translation might not have correctly translated and captured the points originally prepared in English language; and the enumerators

might not have properly interviewed the respondents in such a way that captured the essence of the original questions.

### **1.7. Significance of the Study**

A number of studies have been conducted in relation to the rural productive safety net program in Ethiopia and other social safety net programmes elsewhere. Yet, the on-going urban productive safety net program in Ethiopia has been less researched so far. Therefore, this study is believed to be relevant for the following reasons. Firstly, given that the ongoing productive safety net programme in urban Ethiopia is under studied, this research will shed light on the literature about the contribution of urban safety net projects in the context of developing countries. Secondly, the findings of the research provided background information for further research and hence for the development of knowledge in the area. Thirdly, it is hoped that the results of the study provided relevant policy inputs to the government so as to make timely improvements and sustain the programme to achieve its ultimate developmental and societal goal.

### **1.8. Definition of Key Terms**

*Food Insecurity* refers to the inadequate availability of nutritious and safe foods, or the scarcity of resources for acquiring adequate foods by socially acceptable means. A low level of food security exists when households or individuals face a decline in the quality or quantity of food consumed. A very low level of food security or food insecurity indicates interrupted food consumption patterns and reduced food intake owing to lack of resources (Gemma, Carmen, Joy & Aranceta 2015).

*Idir* is a community-based informal association established primarily to help members during burial and mourning. It is an old age and a traditional social security system that promote a mutual support among the community with strict rules. Most households are a member of at least one Idir in their life time both in urban and rural areas.

*Injera* is a staple food in Ethiopia, resembling a large pancake, made of *teff* or other food grain flour in different proportions (Tegegne 2015).



***Ketena*** is a sub set of or part of woreda (sub-woreda) composed of villages.

***Livelihood assets (or Capital Assets)*** are resources by means of which people execute their livelihood strategies. They are categorized into five forms of capital: human capital, social capital, natural capital, physical capital and financial capital (Bennett 2010; Farrington, Ramasut & Walker 2002).

***Livelihoods strategies*** are the various activities that people carry out to attain their livelihoods, including activities meant for building assets and access to consumption goods and services as well as short and long term coping and/ or adaptive strategies (Farrington et al 2002). Livelihood strategies of the urban poor may include income generating activities such as street vending, fishing, selling charcoal and urban farming (Bannister 2002).

***Livelihoods outcomes*** are the outcomes resulting from livelihood strategies. Successful livelihood outcomes enhance asset building and decrease vulnerability by widening people's coping strategies against shocks and stresses. On the other hand, poor livelihood strategies lead to depletion of asset bases and increase vulnerability (Farrington et al 2002).

***Social Protection*** refers to a set of formal and informal interventions aimed at reducing poverty, social and economic risks, vulnerabilities and deprivations for all people to accelerate equitable growth (MoLSA 2012; Tegegne 2015).

***Social Safety Nets*** are social protection programmes meant for reducing poverty and vulnerability among vulnerable social groups such as food insecure households (Vo Tri Thanh 2013).

***Shiro-Wat*** is a stew made from pulse flour and cooked with oil, onions and other spices (Tegegne 2015). It is a common food in Ethiopia eaten with injera or bread. It is mostly and frequently eaten by poor households while usually consumed in fasting days and months, especially among Orthodox Christianity followers.

***Sustainable livelihood*** is a means of living which is resilient to shocks and pressures, and which does not adversely affect the environment (Meikle, Ramasut & Walker 2001).

*Sustainable livelihood framework/ approach* is principally people focused, which is meant to conceptually understand the economic strategies of vulnerable people in terms of five major components; namely, vulnerability, assets, policies institutions & processes (PIPs), livelihood strategies, and livelihood outcomes (Dippelhofer-Stiem & Schrader 2016; Tegegne 2015).

*Urban Productive Safety net programme (UPSNP)* is a 10-year livelihood support intervention programme of the Government of Ethiopia launched in 2016/17 aimed at alleviating urban food insecurity and vulnerability among the urban poor through safety nets and livelihood services.

*Woreda* is a lower level, next to sub city or zone, autonomous administrative unit in Ethiopia similar or equivalent to a district in other countries.

## **1.9. Organization of the Thesis**

This thesis is structured by six chapters along with a list of references and appendixes. It begins with an introductory chapter comprising of sections such as the background, problem statement, objective, scope, limitation and significance of the study as well as definition of key terms. The second chapter is devoted to the review of literature and theoretical framework. In this chapter theories and concepts as well as empirical studies related to food security, sustainable livelihoods and social safety net programmes relevant to the study are extensively reviewed. The recent incidence of COVID-19 pandemic is also discussed along with its implication to food security. Chapter three describes the research methodology followed and the study area surveyed. The description of the study area, the design of the research, the procedures and methods employed including sampling strategy, data gathering instruments and data analysis are discussed in detail. Besides, the issues of validity and reliability as well as ethical considerations are included. In the fourth chapter, the implementation experience of the ongoing urban productive safety net programme and other related policies and strategies of Ethiopia are reviewed. Chapter five presents and discusses the results of the quantitative and qualitative data corresponding to the research questions. Finally, in chapter six, the findings are summarized, conclusions are drawn and recommendations are forwarded.

## **1.10. Summary**

In this chapter, the general background information related to the urban productive safety net programme under study was fairly introduced. The background section introduced the problem of urban poverty and food insecurity and the corresponding efforts made by the government, especially the urban productive safety net programme aimed at reducing poverty and vulnerability among the urban poor living below the poverty line. In addition, an attempt was made to justify the rationale to study the topic and the timeliness of the research. The problem statement also provided information on the scarcity of studies related to urban productive safety net programme and justified the need and relevance to do more research on the topic under discussion. The study objectives and research questions, which are the main pillars of this study, were also presented in the same chapter. Furthermore, the scope, limitations, and significance of the study were presented in detail. Finally, definitions of key terms and organization of the thesis were separately described in the first chapter. In the next chapter, the relevant literature on theories related to livelihoods and food security are reviewed in order to scientifically support and relate the theoretical and conceptual framework, guiding the research methodology of the study, with the existing literature.

## CHAPTER TWO

### REVIEW OF LITERATURE

#### 2.0. Introduction

This chapter provides a review of relevant and related conceptual and theoretical literature. It highlights some points on overall development related issues. It then deals with the concepts and theories of sustainable livelihood along with the different components of the sustainable livelihood framework. The concepts of food security and food insecurity starting from the various definitions to the different approaches and dimensions of food security/ insecurity as well as the various measures of food security are discussed. In addition, the chapter presents the role of social protection and social safety net programmes on livelihoods and food security, as well as the incidence of the COVID-19 and its implication on food security and livelihood are also highlighted. The household food insecurity situations in Ethiopia are also reviewed from various recent studies. Finally, relevant theories and approaches related to the research topic are briefly discussed, which then provides foundation for developing the theoretical and conceptual framework of the study.

#### 2.1. The Concept of Development

Conventionally, in the 1950s and 1960s, development was defined in terms of sustained economic growth which could trickle down to the poor in the form of jobs and other economic and social benefits. The emphasis was more on increased output and less on poverty, unemployment and inequality. Underpinned by this theory, a number of developing countries achieved rapid economic growth; but consequently, they found themselves unable to improve the living standard of their ordinary citizens, implying '*growth without development*'. After the 1970s, however, the traditional definition has been replaced by a new one which viewed development in terms of reduction in poverty, unemployment and inequality within the context of a growing economy (Todaro & Smith 2012:14-15). In this regard, Amartya Sen is known for arguing against the narrower views of development, and put it in simple, but in broader terms, as '*..., a process of*

*expanding the real freedoms that people enjoy*' (Sen 1999: 525). He viewed development from the perspective of the general public as follows.

*Development requires the removal of major sources of unfreedom: poverty as well as tyranny, poor economic opportunities as well as systematic social deprivation, neglect of public facilities as well as intolerance or over activity of repressive states. Despite unprecedented increases in overall opulence, the contemporary world denies elementary freedoms to vast numbers – perhaps even the majority – of people (Sen 1999: 526).*

The rationale behind the redefinition of the term economic development is that increased income through growth is a necessary but not a sufficient condition to development. Development is beyond a mere economic growth and that it is a multidimensional progression involving changes in social structures, attitudes, and institutions, as well as reduction in poverty and inequality (Todaro & Smith 2012). For Mkandawire (2011), development is a 'liberatory human aspiration to attain freedom from political, economic, ideological, epistemological, and social domination'. Likewise, Ake (1996) describes development as a practice through which people build themselves and make their life circumstances to achieve a higher standard of living consistent with their own preferences and principles. Also, Gumede (2017) argues that inclusive development should involve social and economic aspects by means of which potential beneficiary communities could benefit from a given development initiatives (Gumede 2017). Among the key factors inhibiting people's abilities to secure a livelihood and thereby to eradicate poverty is lack of access to essential resources or assets. Hence, providing access to the required assets to the poor has been one of the rationales for development intervention for governments and non-government organizations in order to enhance their livelihood strategies (Geiser, Bottazzi, Epprecht, Fokou, Fritschi, Ramakumar, Shabbaz, Stiemann & Strasser 2011).

One of the major development goals of nations, particularly of developing countries, is food security which is assumed to have a direct relation with economic development. However, the opponents of development theory, i.e., post-development theorists, argue against development and its derivative modernization for its 'reductionism, universalism and ethnocentricity'. As Lauren (2014) pointed out, for post-development theorists, the existing development discourses and practices cannot adequately deal with the issue of food insecurity in the context of the developing world. While the issue of poverty and food insecurity are inherently political, they are erroneously depoliticized by western development agencies (Lauren 2014).

According to UN-HABITAT statistics, Africa's urban population is predicted to reach 50.7 per cent of the total population in 2030. Region wise, Eastern African region is predicted to be 33.7 per cent urbanized while the Southern African region will be more urbanized, about 68.6 per cent, than any other region on the continent (UN-HABITAT 2007). Globally, the distribution of urban poverty varies with the size of urban areas. Only a small proportion of the poor are located in larger urban centres and megacities while the majority of them live in medium and small towns. For instance, in Brazil only nine per cent and in Mexico about 16 per cent of them reside in larger cities. However, this is not the case for the least urbanized region of Sub-Saharan Africa where a significant proportion of the urban poor, about 40 per cent, are found in the largest urban areas (Gentilini 2015). This is also true in the case of Ethiopia, where urban poverty is largely accumulated in the capital city Addis Ababa.

## **2.2. Sustainable Livelihoods Theory**

### **2.2.1. Concept of Sustainable Livelihood**

In its simple form, the term livelihood is similar to the term job or work through which individuals strive to generate income in order to meet their basic needs. In this sense, livelihood is understood as the economic resource base available to peoples through which they are able to make a living. According to Meikle et al (2001), the policy response to poverty depends on the way poverty is viewed and realized. In the context of a sustainable livelihoods approach (SLA), poverty is not merely a lack of wealth but also it is broadly viewed as a state of insecurity which requires a multidimensional intervention mechanism. Hence, 'sustainable livelihood' (SL) is a means of living which is resilient to shocks and pressures, and which does not adversely affect the environment.

Sustainable livelihoods emerged in the beginning of 1990s; and it is largely attributed to the works of Robert Chambers. Although many attempts were made by a number of scholars, Chambers & Conway (1991) provide a widely accepted definition that broadly captures the concept of livelihoods as follows.

*A livelihood comprises the capabilities, assets (stores, resources, claims and access), and activities required for a means of living. A livelihood is sustainable when it can cope with and recover from stresses or shocks, maintain or enhance its capabilities and assets, and*

*provide sustainable livelihood opportunities for the next generation; and which contributes net benefits to other livelihoods at the local and global levels and in the short and long terms (Chambers & Conway 1991:6).*

Here, the definition is in terms of people, their resources, their capabilities and their means of making a living. Capabilities are both means and end of livelihood. As a means, they facilitate gaining of a livelihood; and as an end, a livelihood provides support for the enhancement and exercise of capabilities (Chambers & Conway 1991).

The concept of sustainable livelihoods as a relevant policy framework was first introduced by the Brundtland Commission on Environment and Development to simultaneously address development, sustainable resource management, and poverty eradication in an integrated manner. The conventional definitions and approaches to poverty eradication were criticized for focusing only on income related factors while overlooking other equally important aspects such as vulnerability and social exclusion. Unlike the conventional approaches, such as integrated rural development (IRD) approach, the sustainable livelihoods approach focuses on the livelihoods systems of the poor to identify strategic intervention areas instead of the usual sectoral approach as an entry point. The sustainable livelihoods approaches pay attention to multiple factors and processes that affect the capabilities of the poor to make a living in an economically, socially, and environmentally sustainable manner (Krantz 2001).

According to Krantz (2001), the rationale for choosing the sustainable livelihood approach to apply to poverty reduction can be explained by the following three reasons. Firstly, economic growth per se does not necessarily lead to poverty reduction. What matter most to poverty reduction are the capabilities of the poor to exploit opportunities from economic growth, implying the need to device a mechanism to enhance the capabilities of the poor. Secondly, poverty is not only manifested by low income, but also by many other interdependent aspects such as illiteracy, poor health, lack of social services, vulnerability, etc. The implication is that improvements in one dimension will have desirable effects on another. Thirdly, it is the poor themselves who know their situation and needs best, implying the need to make them actively participate in the design of policies and planning of projects meant for poverty reduction.

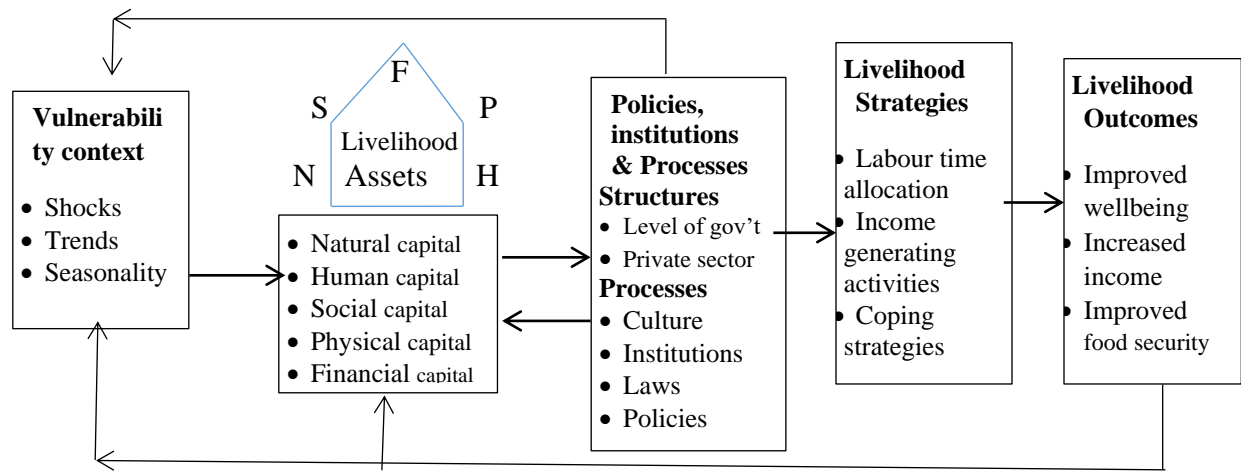
### 2.2.2. Sustainable Livelihood Framework

The sustainable livelihood framework helps to conceptualize how sustainable livelihoods are attained through different livelihood strategies that are shaped by available livelihood assets and existing situations in different contexts. Sustainable livelihood has brought new approach with conceptual, practical and organizational roots (Ashley & Carney 1999). Conceptually, the sustainable livelihood approach provides a dynamic view of poverty, acknowledges the diversity of desires, understands the relevance of assets, and recognises the challenges and opportunities that the transforming structures provide. Practically, it considers people as the centre of concern and action, requires development to be participatory, and improvements to be sustainable. Organizationally, it emerged from and developed in various institutions including research centres, non-governmental organizations, and donor agencies (Alinovi, D'Errico, Mane & Romano 2010).

Sustainable livelihood framework is principally people focused. The framework is meant to conceptually comprehend the economic strategies of people living just near or below the poverty line. There are five interconnected components inherent to the framework. The five major components are vulnerability, assets, policies institutions & processes (PIPs), livelihood strategies, and livelihood outcomes (Dippelhofer-Stiem and Schrader 2016). Based on Farrington et al (2002), Bennett (2010) and Morse and McNamara (2013), the five components of the framework through which livelihoods are influenced are briefly discussed below (Figure 2.1).

**Vulnerability Context:** vulnerability context determines the environment with in which the poor live and face different hardships while striving for making livelihood. It directly affects their asset possession and livelihood options available to them. The vulnerability of the poor can be caused by long term trends and stresses, short term shocks or seasonal changes. The long term trends and stresses include demographic, economic, political and environmental factors. The short term shocks may include epidemics, natural disasters and conflicts among others; while seasonal changes occur through prices, production, employment and health (Bennett 2010). Shocks (such as conflicts, economic and natural shocks), trends (such as economic or resource), and seasonality (such as fluctuations in prices, production and employment) are events, over which people have limited or no control, that can affect livelihoods and lead to poverty (FAO 2006).





Source: Adapted from Farrington et al 2002

**Figure 2.1. Sustainable Livelihoods Framework**

**Livelihood Assets (or Capital Assets):** livelihood assets are resources by means of which people execute their livelihood strategies. Livelihood assets are categorized into five forms of capital; namely, human capital, social capital, natural capital, physical capital and financial capital. People's access to and control over these assets may vary depending on the context they are in (Bennett 2010; Farrington et al 2002). These capital assets are interchangeable in that people may substitute one form of asset by the other. For instance, financial capital can be used to purchase physical capital or vice versa. (Morse & McNamara 2013). As discussed in Dippelhofer-Stiem & Schrader (2016), Morse and McNamara (2013), Bannister (2002) and Bennett (2010), the five livelihood assets are briefly presented below.

**Natural Capital:** it refers to the natural resource stocks from which people drive their livelihoods. Natural capital include for example, land, water, wildlife, biodiversity, and other environmental resources.

**Social Capital:** it is associated with social resources such as social bonds and networks, interdependence ways within families and communities, faith-based relationships and economic-based associations through which people support each other in pursuit of their livelihoods.

**Human Capital:** it includes the skills, knowledge and talents embedded in a person along with good health and physical fitness that are essential to execute various livelihood strategies.

**Physical Capital:** it includes basic social and economic infrastructure such as housing, health and education services, transportation, water, energy, irrigation facilities, and other means of production households use to make livelihoods.

**Financial Capital:** it includes finance related such as access to credit, loans, savings, remittances or pensions through which people use to acquire other capitals and facilitate their livelihood strategies in quest of their livelihoods.

**Policies, Institutions and Processes (PIPs):** these are the government structures at various level, institutions, policies, laws, regulations, culture and the likes. They are also referred to as transforming structures that create conducive environment for livelihoods development. They have a significant effect on people's access to livelihood resources and their choice of livelihood strategies. The policies, institutions and processes apply at all levels, from the household to the global level; and in both spheres, in the public as well as in the private sectors (Bennett 2010; Farrington et al 2002). In the Ethiopian context, food security policy, national social protection policy, urban productive safety net programme, rural productive safety net programme, and the various public institutions established to coordinate and execute the policies and programmes.

**Livelihood Strategies:** these are the various activities that people carry out to attain their livelihoods, including such activities meant for building assets and access to consumption goods and services. They also include short term coping strategies such as cutting consumption expenses during hard times; and long run adaptive strategies such as devising mechanisms to improve situations. Livelihood strategies are shaped by the available livelihood assets and the choices and decisions of people, which in turn are influenced by PIPs and the vulnerability context (Farrington et al 2002). Livelihood strategies of the urban poor may include income generating activities such as street vending, fishing, selling charcoal and urban farming (Bannister 2002). Livelihood strategies are the various activities and pathways that people opt to carry out in order to attain their livelihood outcomes. Livelihood strategies, for instance, include productive activities, investment strategies, and reproductive choices (Alinovi et al 2010).

**Livelihood Outcomes:** they are the outcomes resulting from livelihood strategies. They can affect the vulnerability context and asset bases. Successful livelihood outcomes enhance asset building and thereby decreasing vulnerability by widening people's coping strategies against shocks and stresses. On the other hand, poor livelihood strategies lead to depletion of asset bases, thereby increasing vulnerability (Farrington et al 2002). Livelihood outcomes are the goals to which people are pursuing their livelihood strategies and aiming for a certain desirable outcomes such as increased income, increased wellbeing, improved food security and reduced vulnerability (Alinovi et al 2010).

## **2.3. Food Security: Basic Concepts and Approaches**

### **2.3.1. Definitions and Dimensions of Food Security**

According to Schanbacher (2010), food security theory and policy is shaped by the developmental theory and policy as well as poverty reduction strategies of global organizations. These global organizations are International Fund and Agricultural development (IFAD), the Food and Agricultural organization (FAO), the World Trade Organization (WTO), the World Bank (WB) and International Monetary Fund (IMF). Indeed, these global organizations do have a common goal of poverty reduction by developmental growth through agricultural reform, trade, and technological progress. However, they differ in prescribing policies for achieving the goal of poverty reduction and hence food security. The World Bank, International Monetary Fund and World Trade Organization strongly advocate that developmental growth is best achieved through neoliberal economic theory based on the free market.

Since food security is primarily an issue of producing and consuming adequate food, strategies need to be designed to produce and distribute food in the most efficient and cheap way possible. On the other hand, IFAD and the FAO argue that food security is not only about efficient and cheap way of producing and delivering enough food, but also it has to be concerned about how food functions both on cultural and political perspectives as representative of the worldviews and lifestyles of the world's poor (Schanbacher 2010).

The issue of "food security" became a development agenda following the food crisis in the 1970s. The earlier definition of food security was given based simply on food supply issues at national or

international level. Notably, in the 1974 world food conference, food security was defined as *“availability at all times of adequate world supplies of basic food stuffs to sustain a steady expansion of food consumption and to offset fluctuations in production and prices”* (UN 1975:14). However, there have been concerns from the beginning that pervasive starvation may and did happen along with adequate supply of food at national and global level (Maxwell 1996).

The meaning of food security changed and progressed over time. In the mid-1970s, food security was regarded as sufficiency of food supply at global and national levels. This understanding of food security relied just on food production variables and didn't capture the various aspects that in several ways could affect food access. Consequently, in the 1980s, the notion of food security got proper attention that went further from worldwide and nationwide levels to household and individual levels (Bamlaku & Solomon 2013).

Sen (1981) was at the forefront who contributed to shifting the focus from only availability to access to food too. According to him, the issue of food security is not merely the availability of food at national or regional level; rather it is an issue of having access to food either through own production or purchase from market. This means that a person can be starved not due to inadequate supply of food at local or national level but due to lack of resources (or entitlements) to acquire it (Sen 1981). The existing literature provided several definitions of food security. For Maxwell & Smith (1992), regardless of the many definitions and conceptual models, what all have in common as a defining block for a household food security is secure access to adequate food at all times.

Consequently, the notion of food security was reconsidered to add the issue of access to food at micro level and thus redefined with a focus on both demand and supply side variables (FAO 2006). Recognizing the multidimensional nature of the concept of food security, the definition was further revisited so as to explicitly include the issue of food utilization and stability. Hence, the most frequently cited definition of food security has become the one declared during the 1996 World Food Summit. It was defined as *“Food Security exists when all people, at all times, have physical and economic access to sufficient, safe and nutritious food that meets their dietary needs and food preferences for an active and healthy life”* (FAO 2000: 26).

On the other hand, food insecurity is described in FAO (2000) as:

*... a situation that exists when people lack secure access to sufficient amounts of safe and nutritious food for normal growth and development and an active and healthy life. It may be caused by the unavailability of food, insufficient purchasing power, inappropriate distribution, or inadequate use of food at the household level. Food insecurity may be chronic, seasonal or transitory (FAO 2000: 26).*

Embedded in the food security definition, there are four dimensions (or pillars) worth mentioning here: availability, access, utilization, and stability. These four pillars are important starting points to better understand the concept of food security (Kalkuhl, von Braun & Turero 2016; Upton, Cisse & Barrett 2015). The first three dimensions are evaluated at different socioeconomic levels while the fourth one is a time dimension (Kalkuhl et al 2016). As stated in Peng & Bery (2019), the availability dimension is assessed at national level in terms of the amount of food produced locally and imported from abroad. The accessibility aspect is seen at household level in terms of the physical (the transport infrastructure) and the economic (the money income to purchase) accessibility of food as well as access to social protection nets to the poor and the cultural acceptance of the food. The third dimension, utilization, is assessed at the individual level in terms of the ability of the person to eat enough quantity and quality of food as well as enjoy adequate water and sanitation facilities to properly utilize the food and ensure a healthy life. The fourth aspect, stability, is viewed as a temporal dimension that can affect the other three dimensions at their respective levels and assessed in terms of their ability to resist any fluctuations occurring on the food chain system (Peng & Bery 2019).

The first dimension, the physical availability of food, refers to the supply side of food security. It is determined by the level of food production, stock levels and net trade. The second aspect is economic and physical access to food which is related to effective demand and determined by the ability of a household or an individual to acquire sufficient food. It is about individuals' or households' access to adequate resources or entitlements for acquiring suitable nutritious foods. It is affected by incomes, expenditure, markets and prices. The implication is that availability at national level, though necessary, is not sufficient for food security at household level, because the physically available food may not be accessible for those most in need (FAO 2008; 2006).

The third dimension is utilization which refers to the ability of the human body to consume food and convert it into sufficient calorie. It is explained by good care and feeding practices including safe drinking water, adequate sanitary and health facilities, preparation of food, diversity of diet, and distribution of food among household members (FAO 2008; 2006). According to Kalkuhl et al (2016), although availability and access dimensions are important and necessary aspects, they are not sufficient conditions to ensure food security. The ultimate purpose of these two dimensions is to enhance the utilization aspect which leads to the wellbeing and health life of individuals through adequate nutrition. The ability of individuals to meet their dietary needs and food preferences is determined by a number of factors including intra-household allocation and distribution decisions, cultural and behavioural values, and other circumstances.

The fourth dimension, stability, refers to the temporal aspect of the concept of food security. Today's adequate utilization of food may not sustain if there is unreliable access to food in the future. The idea is that for an individual or a household to be food secure, there must be sustained access to adequate food. Food security is challenged when the stability aspect is affected by adverse weather conditions, political instability, or economic factors such as unemployment and rising prices (FAO 2008; 2006). The stability dimension can be influenced by different factors which in turn affect individuals ability their food needs. For instance, harvest fluctuations resulting from natural and man-made disasters, often regulated by trade and storage affect availability and disturb stability of food. Fluctuations in real income arising from various factors affect stability and hence affect access to food. Similarly, fluctuations in disease burden, such as due to pandemics, disturb stability and thereby affecting the other dimensions. Such fluctuations will result in variations in food prices, which in turn lead to changes in the food security situations of households and individuals (Kalkuhl et al 2016).

Gemma et al (2015) described food security in the same way, but only in terms of the first three main dimensions described above, namely, availability, access and utilization. According to them, food availability exists when households are able to access to sufficient quantities of adequate and necessary foods through own production, purchase from market or donation. Access is the second component related to the possession of necessary resources required to purchase or obtain a variety of foods for nutritionally adequate diet. The third component is utilization, which deals with the safe distribution, storage and preparation of foodstuffs (Gemma et al 2015).

As stated in Gemma et al (2015), food insecurity is defined as the limited availability of nutritionally adequate and safe foods; or the scarcity of resources for acquiring adequate foods by socially acceptable means. Accordingly, low level of food security exists when households or individuals face a decline in the quality or quantity of food consumed. A very low level of food security or food insecurity indicates interrupted food consumption patterns and reduced food intake owing to lack of resources (Gemma et al 2015). The changes in food security conditions are usually caused by the changes in demand and/ or supply issues that trigger the changes in food prices, implying that prices are endogenous outcomes of the fundamental market forces. Higher prices, on the one hand, could be an indication of decreasing supply that imply reduced food availability and hence compromised food security; on the other hand, higher prices may also indicate increasing demand for food (Kalkuhl et al 2016).

### **2.3.2. Food Security and Nutrition Security**

For Kent (2005), food security and nutrition security are highly related terms but not identical, in which the latter term is broader than the former. Besides, hunger and starvation are synonyms words to food insecurity and malnutrition. Experts in the field infrequently use hunger and starvation as technical terms; instead, they often prefer to use the terms food insecurity and malnutrition. Food insecurity and malnutrition can be contrasting terms to food security and nutrition security, respectively. Food security is related to food supply while nutrition status relies on adequate food as well as on basic health services. As Kent (2005) argues, malnutrition arises often not due to shortages of food in the community but due to the unfair distribution of the available food. The unfair distribution comes because some people are too poor or powerless to exercise an adequate claim on the available food (Kent 2005). As stated in FAO (2009), food insecurity is a result of low level of food consumption, which can be transitory (when it occurs during crisis), seasonal, or chronic (when it occurs on a sustained basis).

The terms under-nutrition and undernourishment are not one and the same. Under-nutrition represents insufficient intake of nutrients to meet an individual's needs to maintain good health. It is the result of persistent low level of food intake and/or poor absorption of food consumed. The manifestations include physiological disorders such as wasting, stunting, reduced cognitive ability, and poor health status. The opposite term is over-nutrition, which denotes excessive food

intake. Undernourishment represents chronic food insecurity, in which food is in short supply to meet basic energy requirements on a continuing basis. It is measured by the number of people and the amount of food available to them. Nutrition status is an output determined by the quality of food, qualities of care and health services as inputs. This means that food status is one major input that determines nutrition status (FAO 1999; Kent 2005). Similarly, as Ingram (2020) puts it, food is not the only factor and instead it is only one factor contributing to nutrition security.

### **2.3.3. Food Security Approaches**

Theorizing on food (in)security evolved from the earlier Malthusian theory of short supply of food to theories of poverty that emphasize entitlements failures, and then to livelihood approaches that further support entitlements (Yaro 2004). There are several theories of food security commonly identified in the food security literature. For instance, Burchi & Muro (2016; 2012) categorized food security approaches into five as food availability, income-based, basic needs, entitlement and sustainable livelihoods approaches. On the other hand, in the earlier works of Yaro (2004), the food insecurity theories were broadly grouped into three: food availability decline, entitlements failure, and livelihood failure. Each of them is briefly presented below in a chronological order moving from the oldest to the recent approach to food security.

#### **i. Food Availability Approach:**

Food availability approach is the oldest of all approaches and yet the influential one. The origin of this approach could be traced back to the Malthusian theory which focuses on keeping the equilibrium between population (the demand) and food availability (the supply). According to Malthus (1798), food shortages occur because the geometric growth rate of population exceeds the arithmetic growth rate of food production. In the context of this approach, as stated in Burchi and De Muro (2012; 2016), food security is simply an issue of aggregate or per capita food availability which is determined mainly by food production and trade. Malthus' pessimistic approach has been revived after the 1970s, particularly by the increasing environmental concerns of the globe. According to the food availability decline (FAD) approach, as discussed in Yaro (2004), food insecurity arises primarily from a decline in aggregate food supplies caused by supply side factors implying that an increase in food supply relative to population growth suffices



to avoid food insecurity. Indeed, it was on the basis of this approach that the huge investments in green revolution technologies, with encouraging returns in Asia and Latin America, were made.

However, in contrast to the food availability decline (FAD) approach, the increase in food supplies at national and global level did not guarantee secure access by households and individuals to nutritionally adequate food at all times. The number of food insecure population has been increasing not only in Sub Saharan Africa but also in some countries of Asia and Latin America where significant food production and productivity were recorded (Yaro 2004). For Dreze & Sen (1989), while availability of food is a necessary condition to ensuring food security, its decline or increase in a nation does not necessarily lead to food insecurity or food security; what matters most is the entitlements of households or individuals. They supported their argument by comparing a group of some nine African countries (Sudan, Ethiopia, Somalia, Mozambique ...etc.) with other group of seven countries elsewhere (Israel, Portugal, Costa Rica, Singapore ...etc.) which experienced similar declines in food output per head in the mid of 1980s. However, their experiences in food problems due to the decline in aggregate food were different. The group African countries experienced famine and widespread undernourishment while the comparable group from elsewhere did not experience any problems of the kind which affected the African group (Dreze & Sen 1989).

The unfair distribution of resources among peoples and the inability of individuals to access the available food practically proved the failure of the food availability approach that underpins the trickledown effect, and gave rise to the entitlement approach (Yaro 2004). With regard to the methodological aspect, this approach uses the country (its food balance sheet) and the agriculture sector (its production and productivity) as the units of analysis (Burchi & De Muro 2012; 2016).

#### ii. **Income-based Approach:**

The income-based approach can be considered as a move from availability of food at macro level to household/ individual income at micro level, as often used in poverty assessment. Traditionally, poverty was considered as shortage of adequate income required to purchase commodities to ensure a minimum standard of living. In this sense, food insecurity is conceived as a subset of poverty, i.e. food poverty. With the assumption that a larger proportion of poor households'

incomes are allocated to the purchase of food items, the different foods purchased and consumed by a household can be changed into calories. If the consumed calorie level of the household is below the minimum required level, then some or all members of the household are deemed food insecure (Burchi & De Muro 2012; 2016). Since poverty is the root cause of food insecurity, any measures to increase the purchasing power of the poor will improve their access to adequate food (Yang & Hanson 2009).

In this approach, households are the units of analysis with the assumption of an equal distribution of income among members a household. However, one of the important shortcomings of this approach is that it is less reliable for low-income and agriculture based economies in which the value of food produced at home or gathered locally is underestimated and family labour dominates wage labour (Burchi & De Muro 2012; 2016).

### **iii. Basic Needs Approach:**

The basic needs approach was first initiated by the International Labour Organization (ILO) in the second half of 1970s. Poverty, unemployment, and under-employment were the underlying factors of the policy shift. According to this approach, development is considered as a process to secure the basic needs of all peoples (Burchi & De Muro 2012; 2016). The traditional food security approach views food as the most important of all needs; and as such the emphasis of the basic needs approach is whether people eat enough food or not, which gave rise to ‘the food first’ view (Maxwell 1996). Among the various methods of measuring food security status are food frequency assessment, direct observation of food consumption and calorie availability. Regarding the unit of analysis, a household is used for measuring food frequency while direct observation and calorie availability assessments are often conducted at individual level (Burchi and De Muro 2012; 2016).

### **iv. Entitlement Approach:**

It was at the beginning of the 1980s that Sen’s ‘entitlement approach’ diverted the long age debate on hunger and famine once dominated by the food availability approach to peoples’ access to food (Burchi & De Muro 2012; 2016). The approach emphasizes the entitlements of an individual to a bundle of commodities including food; and views starvation as a consequence of lack of

entitlement to a bundle with enough food. For example, if a person is endowed with resources enough only for the minimum required, then a decline in the existing endowments can lead him to starvation, *ceteris paribus*. Even with the same level of endowments, an individual can still be starved if there is a decrease in the prices of the commodity that the person owns or produces (Sen 1981). In this approach, the units of analysis can be individuals or households.

In their book of *Hunger and Public Action*, Dreze & Sen (1989) state that an individual may experience starvation if his entitlements set fails to enable him acquire any commodity bundle with adequate amount of food to survive. They further put the potential reasons for entitlement failure as follows.

*“... entitlement failure can happen either because of a fail in her endowment (e.g. alienation of land, or loss of labour due to ill health), or because of an unfavourable shift in her exchange entitlement (e.g. loss of employment, fall in wages, rise in food prices, drop in the price of goods or services she sells, decline in self-employed production”*  
(Dreze & Sen 1989:23).

#### **v. Sustainable Livelihoods Approach:**

The sustainable livelihoods approach (SLA) is a more comprehensive approach to poverty and development. The sustainable livelihoods approach shares common features with the basic-needs approach and the entitlement approach. Like the basic needs approach, it is concerned with the necessities of life (or gaining a living); like the entitlement approach, it focuses on the means of securing a living: At the centre of the sustainable livelihoods approach are the livelihood assets (or ‘pentagon of assets’) comprising of the five types of capital; namely, physical capital, human capital, financial capital, social capital and natural capital (Burchi & De Muro 2012; 2016).

### **2.4. Measures of Food (In)Security**

Owing to its multifaceted nature, measuring food insecurity has still been a difficult task that challenges both researchers and practitioners. Until very recently, measures of food access, such as income and caloric adequacy at household level, have been technically demanding, data-intensive, and costly to collect (Coates, Swindale & Blinsky 2007).

Per capita caloric intake and anthropometric measures have long been the common measures of food security status. The per capita caloric intake measures quantify access to food at household level while the anthropometric measures assess nutritional status at individual level. Evidently, the per capita caloric intake measures only current level of consumption (quantity). It does not capture many other aspects of food security such as quality, vulnerability and fluctuations in consumption over time (Maxwell, Jennifer & Bapu 2013). Despite the development of various theories in the past decades, there is no as such a single measure that comprehensively captures the different elements of food security. Indeed, some attempts have been made to develop accurate and cross-contextual indicators of food security (ibid).

The study of Maxwell et al (2013) made comparison of seven different measures of food security using panel data from rural household in Tigray region, Ethiopia. The seven measures compared are coping strategies index (CSI), reduced coping strategies index (rCSI), household food insecurity and access scale (HFIAS), household hunger scale (HHS), food consumption score (FCS), household dietary diversity scale (HDDS), and a self-assessed measure of food security (SAFS). They argue that among the four dimensions of food security, quantity (i.e. sufficiency) and quality (i.e. diversity) are the most important elements in both conceptual and empirical terms. Therefore, a simple measure can be proposed just by combining indicators that best capture more of these two dimensions of food security.

In categorizing the different measures, they further argue that household food insecurity access scale (HFIAS) and coping strategies index (CSI) do capture more of the quantity dimension while the food consumption score (FCS) reflect more of the quality (diversity) dimension of food security. This implies that relying only on one measure would lead to misclassification of households as either food secure or food insecure. Their findings indicate that 27 per cent of the households participated in the study would be misclassified by using only one measure rather than using a combination of any two measures. From the findings, it is evident that using two indicators, food consumption score and household food insecurity access scale, is found less error and more consistent with the definition of food security in classifying the food secure and food insecure groups (Maxwell et al 2013).

## 2.5. The State of Food Insecurity and Prevalence of Malnutrition

Even before the outbreak of the COVID-19 pandemic, the world was already not on the right track to meet the Sustainable Development Goal 2 of ending world hunger and malnutrition in all its forms by 2030. Now, the incidence of COVID-19 has made this goal more challenging and the trends show the need for deeper reflection and great commitment on how to better address the global food security and nutrition security (FAO, IFAD, UNICEF, WFP & WHO 2021a). Among the major problems of our globe, poverty, inequality, and food insecurity remain the key challenges that are yet unsolved. Improving food availability through modern agriculture has not been enough to permanently reduce poverty and hunger. The problem requires actions that go beyond improving food availability such as designing social protection policies and safety nets to address the issue of food insecurity (Calicioglu, Flammini, Bracco, Bellù & Sims 2019).

Among the seventeen Sustainable Development Goals established by the United Nations in 2015 is Sustainable Development Goal 2 (SDG 2: Zero Hunger) which aims to end hunger, achieve food security and improved nutrition and promote sustainable agriculture (UN 2018). Sustainable Development Goal 2 has eight targets and thirteen indicators. Among the eight targets, the first two are worth mentioning here for they are directly related to the topic under discussion. They are described in UN (2018:19-20) as follows.

Target 2.1: By 2030, end hunger and ensure access by all people, in particular the poor and people in vulnerable situations, including infants, to safe, nutritious and sufficient food all year round.

Target 2.2: By 2030, end all forms of malnutrition, including achieving, by 2025, the internationally agreed targets on stunting and wasting in children under 5 years of age, and address the nutritional needs of adolescent girls, pregnant and lactating women and older persons.

*It is time to rethink how we grow, share and consume our food. If done right, agriculture, forestry and fisheries can provide nutritious food for all and generate decent incomes, while supporting people-centred rural development and protecting the environment. Right now, our soils, freshwater, oceans, forests and biodiversity are being rapidly degraded. Climate change is putting even more pressure on the resources we depend on, increasing risks associated with disasters such as droughts and floods. Many rural*

*women and men can no longer make ends meet on their land, forcing them to migrate to cities in search of opportunities(UN 2018:19).*

According to FAO, IFAD, UNICEF, WFP & WHO (2020), the number of people in the globe affected by hunger has been slowly increasing since 2014 and reached almost 650 million (or 8.4 per cent of the world population) in 2019. The number of people affected by hunger has increased by 10 million people in one year (relative to 2018) and by nearly 60 million in five years. However, as stated in FAO, IFAD, UNICEF, WFP & WHO (2021a), the prevalence of undernourishment has substantially increased by 1.5 percentage points of the total global population in 2020 and reached a level of around 9.9 per cent. This means, about 118 million more people were suffering from malnutrition in 2020 than in 2019. The significant increase in the number of undernourished people is attributable mainly to the incidence of COVID-19 pandemic. Region wise, about 46 million more people in Africa, 57 million more in Asia, and about 14 million more in Latin America and the Caribbean were affected by hunger in 2020 than in 2019. In addition to the unpromising and unimproved state of food security in the past five years, the prevalence of COVID-19 makes the world face an intensifying challenge of achieving the Zero Hunger target by 2030 (FAO et al 2021a).

As reported in FAO, IFAD, UNICEF, WFP & WHO (2020), the frequency and intensity of food insecurity drivers in the last decade, including conflict, climate variability and extremes as well as economic slowdowns and downturns have increased; consequently, they are challenging food security and nutrition efforts throughout the world. The problems are particularly important in low- and middle-income countries in which the negative effects on food security and nutrition are greatest and where the largest proportion of the world's food insecure are residing. Between 2010 and 2018, more than half of the low- and middle-income countries experienced an increase in the prevalence of undernourishment caused by one or more of the aforementioned drivers (conflict, climate extremes and economic downturns).

Depending on whether a country is affected by multiple drivers and depending on the country's income-group and region, significant differences in trends were also observed. Accordingly, countries affected by two or more drivers constantly show the highest increases in the prevalence of undernourishment, up to 12 times larger than those countries affected by only a single driver. Evidences show that in all three regions analysed (Africa, Asia, and Latin America and the

Caribbean), around 36 per cent of low- and middle-income countries were affected by multiple drivers (FAO, IFAD, UNICEF, WFP & WHO 2020).

In Africa, the proportion of the population facing hunger, as estimated by the prevalence of undernourishment, has increased by 4.3 percentage points (about 89.1million people) since 2014 and reached 21 per cent (about 281.6 million) in 2020. A larger proportion of the increase (about 70 per cent) in the prevalence of undernourishment between 2014 and 2020 occurred just in one year from 2019 to 2020. Africa accounts for 55 per cent of the global rise in the number of undernourished over the 2014 to 2020 period (FAO, ECA & AUC 2021b).

Africa is not on the right track to meet the Sustainable Development Goal (SDG) 2 targets to end hunger and ensure access by all people to safe, nutritious and sufficient food all year round and to end all forms of malnutrition. The problem is attributable mainly to poverty and inequality as well as to the existing structural causes that intensify the main drivers of food insecurity and malnutrition such as conflict, climate variability and extremes, economic slowdowns and the unaffordability of a healthy diet. In addition, in 2020, the COVID-19 pandemic and the measures taken to contain it heightened the already existing challenges and discouraging efforts to reduce the incidence of hunger and malnutrition in the region (FAO, ECA & AUC 2021b).

Out of the total 281.6 million undernourished Africans, 125.1 million people were in Eastern Africa, followed by Western Africa (75.2 million), Central Africa (57.1 million), Northern Africa (17.4 million) and Southern Africa (6.8 million). In addition, Eastern and Western Africa account for 83 per cent of the Africa-wide increase in undernourished population over the 2014 to 2020 period (FAO, ECA & AUC 2021b).

## **2.6. Social Protection Programmes**

Social protection may be defined variously by different authors and according to country context. Devereux and Sabates-Wheeler (2004) provided a comprehensive and conceptual definition of social protection. According to them, social protection is defined as all public and private initiatives that provide income or consumption transfers to the poor, protect the vulnerable against livelihood risks, and enhance the social status and rights of the marginalised; with the overall objective of reducing the economic and social vulnerability of the poor, vulnerable and

marginalised groups. As stated in the National Social Protection Policy of Ethiopia (MoLSA 2012), social protection refers to a set of formal and informal interventions aimed at reducing poverty, social and economic risks, vulnerabilities and deprivations for all people to accelerate equitable growth. Mathers & Slater (2014) also provide a general definition for social protection as smoothening consumption, protecting risk, and reducing poverty and vulnerability among the poor. UNDP (2019) provides definitions of social protection and social assistance, as stated in African policy documents, as follows.

*“**Social protection** is an umbrella term denoting a set of policies, instruments and actions, either by state (formal) or non-state (informal) actors that help address poverty and vulnerability. Social assistance and social insurance are the two main key components of social protection systems. **Social assistance** refers to non-emergency transfers (conditional or unconditional), either in cash or in kind, designed to cover the needs of individuals or households living in poverty or vulnerability. Formal social assistance is provided by the state. Informal social assistance is provided by non-state actors, including families, communities, private sector, and non-governmental organizations” (UNDP 2019:19).*

As noted in WB (2018), social protection interventions are appreciated for enhancing equity, resilience and opportunity. Equity is improved by addressing extreme poverty and enhancing equality of opportunities. Resilience is improved by programmes that restore the undesirable effects of natural disasters and economic shocks. On the other hand, opportunity is enhanced through appropriate policies and instruments aimed at improving human capital and investment in livelihoods.

According to Seekings (2008), the social protection approach of governments can be categorized into three welfare regimes depending on which segment of the society is favoured. The first is the *labourist* or *workerist* regime whose focus is on workers in the formal sector to enhance their income security through subsidised social insurance and labour regulation, either by indirect consumer subsidies or by direct tax subsidies. The second one is the *pauperist* regime whose primary target is to protect the poor people through a well-targeted non-contributory social assistance schemes. The third one is the *agrarian* regime which focuses on supporting the peasant agriculture through favourable land reforms, product markets, and other agricultural extension services.



In a broad sense, a social protection system comprises *protective*, *preventive*, *promotive* and *transformative* measures (MoLSA 2016; Devereux & Sabates-Wheeler 2004). Social protection interventions through protective measures provide relief to the poorest citizens from economic and social deprivations, including hunger and lack of access to essential services. Protective measures can be considered as narrowly targeted safety net measures that include social assistance for the chronically poor, especially those who are unable to work and earn their livelihood. Conditional or unconditional cash/food transfers are typical instruments for smoothing consumption and reducing hunger.

Social protection through preventive measures safeguard the poor and vulnerable from resorting to harmful coping strategies such as reducing food intake, withdrawing children from school or selling their productive assets in time of shock. The availability of cash transfers or insurance payouts can help prevent this situation, enabling households to access food, income, health services and investment in human capital. Preventive measures include social insurance for economically vulnerable groups who may need support to manage their livelihood shocks through risk diversification strategies such as crop or income diversification.

By supporting livelihoods and enhancing employment opportunities, social protection *promotes* the accumulation of assets and skills that enables poor households to move sustainably out of poverty. The promotive measures aim to improve real incomes and capabilities, which is achieved through a range of livelihood-enhancing programmes targeted at households and individuals, such as microfinance and school feeding (MoLSA 2016; Devereux & Sabates-Wheeler 2004). Some social protection programmes go beyond protection and prevention, and tend to be transformative that promote equity, empowerment and human rights (Browne 2015). The *transformative* role of social protection is through economic empowerment of vulnerable and marginalised people and protecting their rights and responding to abuse and violence. Transformative measures seek to address concerns of social equity and exclusion, such as collective action for workers' rights, or upholding human rights for minority ethnic groups (MoLSA 2016; Devereux & Sabates-Wheeler 2004).

The structure and design of social protection instruments vary in terms of objectives, types, targeting and funds, depending on the purpose of the policy or programme. As regards objective,

they may be set to meet various objectives such as to support consumption, to enhance productivity or production, to improve human capital development or a combination (Mathers & Slater 2014). The objectives can be short-term or long-term. Those with short-term goals are intended to address immediate consequences of shocks and to smooth consumption. On the other hand, those with long-term goals aim at reducing poverty through inclusive growth and human capital development (Brown 2015). Social protection programmes may vary in terms of types of the instruments, including cash or in-kind assistances, training and other services, which may be conditional or unconditional or a combination. They could also vary in terms of the target beneficiaries, which can be specifically provided to the poor based on income level, or universally provided to a specific social group such as the elderly or the unemployed. Still social protection interventions may vary in terms of the funds allocated to them, such as contributory, subsidized, non-contributory (tax-funded), or a combination (Mathers & Slater 2014).

As indicated in WB (2018), Mathers & Slater (2014) and Hidrobo, Hodinott, Kumar & Olivier (2018), social protection instruments can be broadly categorized into three: social safety nets, social insurance, and labour market interventions. *i) Social safety nets or social assistance programmes* are non-contributory interventions meant for supporting households to tackle poverty and vulnerability. Examples include conditional and unconditional cash transfers, non-contributory social pensions, food and in-kind transfers, public works and school feeding. *ii) Social insurance programmes* are contributory or subsidised insurance, sometimes statutory, relating to life contingencies to help individuals cope with sudden income falls associated with retirement, sickness, and natural disasters. Examples include, among others, old age scheme and health insurance coverage, usually funded by employer or employee contribution. *iii) Labour market interventions* include financial support, services and legislation meant for enhancing employment opportunities and working standards. Labour market programmes can be either contributory or non-contributory programmes intended to protect individuals against loss of income from unemployment (passive labour market policies) or help them get skills and enter into the labour markets (active labour market policies). Examples include unemployment insurance and early retirement incentives for passive labour market policies; and job training and employment interventions for active labour market policies.

Social protection is an important mechanism to ensuring social justice and social security, and thereby attaining sustainable development. Social protection policies are among the key components of national development strategies designed to reduce poverty and vulnerability, and promote inclusive and sustainable growth. This would be so by improving household incomes and fostering human development, which in turn encourage domestic demand and facilitate structural transformation of the economy (ILO 2017). Social protection through regular transfers enables poor households in rural and urban areas to diversify livelihoods, invest in education and health, and consequently improve income generating potential and develop adaptation strategy to natural and climate change related risks and shocks in the long run (Andrew 2019).

Social protection is about social policy through which the government intervenes in the economy to influence people's access to, and incidence of, adequate and secure livelihoods and incomes. In this sense, social policy plays a redistributive, protective and transformative or developmental role (Van Uffelen 2013). While a significant portion of the population in Africa makes a living in the informal economy, the available contributory social protection schemes cover only 15 per cent of the total population who work in the public sector and the formal private sector (ILO 2017). In support of this argument, as Hidrobo et al (2018) put, *"In most developing countries, the coverage of social insurance and labour market interventions is limited to a small fraction of individuals who work in the formal sector and are relatively well off. By contrast, social assistance is often targeted to poor households"* (Hidrobo et al 2018:88). Also, as stated in Mathers & Slater (2014), in most low- and middle-income countries, social security schemes, particularly contributory social insurance, is limited to government and formal private sector employees, exclusive of the large proportion of the population working in the informal sectors.

In developing countries, social protection has become a relevant policy instrument to deal with poverty and hunger since the past 25 years. Now, the number of the programmes as well as the corresponding beneficiaries has significantly increased (Hidrobo et al 2018). Similarly, as Leisering (2021) notes, it was since the late 1990s that social protection interventions have become special agendas for many of the Global South governments and international development organisations. Particularly, it was in the 2000s and 2010s that social cash transfers to the poor grew significantly in the South, and yet limited to some portion of the needy that had previously been excluded. As stated in UNDP (2019:18) *'Social protection is not new in Africa'*. Informal

and traditional social assistance, on the basis of mutual benefit and team spirit, has existed long in Africa. However, due to the increasing levels of poverty and drought-and conflict-induced shocks, the problem became complex and called for a formal and comprehensive state-provided social protection system (UNDP 2019). Many of the existing cash transfer programmes in sub-Saharan Africa were developed from food aid interventions that were originally established to deal with rural food insecurity (Lavers 2020).

The growth of formal social protection in Africa can be seen in terms of three waves. The first wave came to Africa during the colonial period, in which formal social protection was imported by the then time colonialists, in the form of social security primarily for public sector employees while the poor in rural areas and those working in the urban informal sector were excluded. The second wave of social protection occurred in the late 1990s, in which social assistance programmes targeting the poor were introduced and expanded mainly by international development partners and donors. The third wave has emerged in recent years, in which the right to social protection has become a constitutional agenda in many countries of the continent. Consequently, several African countries have begun implementing national social protection policies and strategies; established responsible public organizations and allocated budget to social protection since the past decade. Even though the trend to expanding social protection interventions in Africa is encouraging, the coverage is yet limited (UNDP 2019).

There are significant variations between urban and rural social protection arrangements. Reportedly, the coverage rates of social protection through social insurance and labour market interventions in urban areas are more than double relative to rural areas. However, the problem is that these programmes, especially in low income countries, reach only a very small fraction of the urban poor, typically below 5% (Gentilini, 2015). As Devereux & Cuesta (2021) argue, this is due to that the self-employed, informally employed and unprotected low-income formal sector workers are excluded not only from social insurance but also from social assistance schemes.

Until the early 2000s, the response to food insecurity related problems in Ethiopia was dominated by emergency food aid from donors through annual appeals. Ethiopia started implementing the rural productive safety net programme (PSNP), one of the largest social protection programmes in

Africa, since 2005 (Devereux & Nzabamwita 2018; Nganwa 2013); and officially launched the National Social Protection Policy (NSPP) in 2014 (Devereux & Nzabamwita 2018).

As Devereux & Cuesta (2021) point out, urban-based social protection programmes should take into account the multifaceted problems of the urban poor, who are vulnerable to higher living costs and more insecure livelihoods. They advocate for a rights-based approach to social insurance which should be made accessible to all workers, without discriminating between formal and informal or self-employed workers; and the source of finance should be out of general revenues instead of taxing workers' earnings. They further suggest that:

*“... social protection in urban contexts needs to be reconceptualized and redesigned, not just extended from rural villages into urban informal settlements, to better reflect the nature of urban poverty. This is even more urgent in a COVID-19 and post-COVID-19 world. Designs of urban social protection that fail to account for higher living costs, higher levels of informality and unemployment, low and variable incomes, gendered and life cycle vulnerabilities and variable access to adequate basic services would have limited success, even in a world without COVID-19” Devereux & Cuesta (2021:342).*

## **2.7. Social Safety Net Programmes**

Social protection can be considered as one of governments' strategies to correct market failures. Narrowly defined, social protection includes labour market interventions, social insurance and social safety nets. Social safety nets are meant for reducing poverty and vulnerability among vulnerable social groups such as food insecure households. A food security programme, thus, refers to any attempt by the government/ nongovernment organizations to guarantee a minimum level of food consumption. Addressing the problem of food insecurity at various levels requires different approaches. For instance, national or regional level programmes may emphasize more on food production or infrastructure development while those at household level target to enhance household food sufficiency (Vo Tri Thanh 2013).

Safety nets programmes protect individuals and households from two adverse outcomes: chronic poverty and transient poverty. Chronic (or persistent) poverty is a situation in which households remain in poverty over time owing to low asset base. It is a persistent incapability of an individual to work or earn because of physical or mental disability, long term illness or old age. On the other

hand, transient (or temporary) poverty occurs when households fall into poverty because they are unable to sufficiently protect themselves from shocks and stresses. It is a decline in individuals' capacity to work or earn resulting from a sudden decrease in aggregate demand or poor harvests (Subbarao, Bonnerjee, Braithwaite, Carvalho, Ezemenari, Graham & Thompson 1997; Coady 2004).

Therefore, in such situations, the primary target of a social safety net programme will be reducing poverty. In doing so, the programme can play two distinct but interrelated roles. The first one is a promotional role through which chronic poverty can be reduced by improving the asset base of targeted households. The second is a protective role through which households vulnerable to shocks are protected from entering into ring of poverty (Coady 2004). In a country where transient poverty is dominant, it would be appropriate to primarily focus on social safety nets such as unemployment allowances, microcredit and skills training programmes. On the other hand, where chronic poverty is significant, investing in basic infrastructure and reducing social exclusion would be a more appropriate intervention (Chamhuri, karim & Hamdan 2012).

Following the structural adjustment programmes and macroeconomic stabilization measures in the 1990s, the issue of social safety net programmes has become a priority agenda in transition and developing economies to protect the increasing number of the poor. At the same time, there has been a continued argument on the appropriate policy mix between the indirect growth focused path to poverty reduction and the direct path of targeted transfers to the poor. According to the indirect growth oriented strategy, allocating all scarce resources to maximize economic growth will eventually benefit the poor through the trickledown effect. On the contrary, the direct path proponents argue that some resources need to be allocated to directly transfer to the poor so as to improve and maintain their livelihoods in the process of economic growth. Even more, a third option is recommended to help the poor get access to assets such as land through which they can make their livelihoods based on their labour (Subbarao et al 1997).

The different options have their own pros and cons in different time horizons, which imply an inevitable conflict between the direct and indirect paths to poverty reduction. Apparently, the forgone cost of neglecting the poor can lead not only to income inequality but also to political instability. However, the conflict between the direct and indirect paths can be minimized if

governments manage to implement a growth-oriented economic reform programmes that are directed towards involving and benefiting all socioeconomic groups (Subbarao et al 1997). In practice, social safety nets may involve various limitations that encounter their effectiveness. Firstly, they may not adequately and appropriately reach the poorest households as intended. Secondly, they often comprise of a number of small, uncoordinated and duplicative transfer programmes. Thirdly, they are often inefficient and susceptible to corruption in their operation to transferring resources to the target households. Fourthly, since the amount of transfers and the programme coverage are too small, they fail to record a significant result in poverty reduction (ibid).

## **2.8. Public Works Programmes**

Public works programmes (PWP) are among the social safety net programmes intended to create employment opportunities by the government primarily to support unskilled workers and develop community infrastructure through labour-intensive activities such as road construction and maintenance, soil conservation, and waste disposal (Subbarao, del Ninno, Andrews & Rodriguez-Alas 2013, IEG 2011).

*“Broadly speaking, public works programmes are social protection instruments used in diverse country circumstances in both low-and middle-income countries with the dual objectives of providing temporary employment and generating and/or maintaining some labour-intensive infrastructural projects and social services” (Subbarao et al 2013:3).*

The history of public works may go back to the 12<sup>th</sup> century pertaining to the construction of road in Pakistan as well as to the 18<sup>th</sup> century Poor Employment Act of England. Later, it was practiced in British India around 1870 and expanded during the 1950s in the form of food-for-work programmes; and also in Germany in 1946-48 following the end of World War II. However, much of the current public works programmes were introduced and scaled-up following the experience of the Maharashtra Employment Guarantee Scheme (MEGS) of India in the 1970s. Also the public works programmes of the Republic of Korea introduced in 1997 to address the unemployment problems resulted from the then time financial crisis is notable. Thus far, the largest public works programme in the world is India’s Mahatma Gandhi National Rural

Employment Guarantee Scheme (MGNREGS), which was launched in 2006 and has been providing employment for about 56 million households (Subbarao et al 2013).

Generally, the design of a public work programme has important implication on its performance to serve as effective social safety net. As indicated in IEG (2011), four design aspects are identified: defining target beneficiaries; setting appropriate wage rate (adequate income support for participants while not attracting the non-poor to the worksite); ensuring timely receipt of the transfer (especially linked to food insecurity); and ensuring the quality of assets created. A PWP, as a social safety net (SSN) instrument, should be designed in such a way that the jobs created are in favour of the poor through which the wages are used as a cash transfer (IEG 2011).

The benefits of public works through safety net programmes to targeted households can be measured by the income generated from the employment. In such programmes, only households with their market wage (or reservation wage) lower than the programme wage, most likely those poor households, will take up the employment opportunity created by the public work. In this case, the higher the share of the labour employed is from the poor, the larger will be the difference between the programme and market wages, and hence the greater will be the share of wages in total programme costs. Consequently, the welfare gains per unit expenditure of the programme will be larger (Coady 2004).

## **2.9. Characteristics of Food Security and Livelihoods in Urban Areas**

Food insecurity is a common phenomenon in our world where hundred millions of people are short of adequate calories to sustain an active and healthy life. At country level, food supply is affected by agricultural production and market conditions. The ability of people to access the available food in a country is determined by income, food prices, and economic inequality. Therefore, adequate food availability, growing incomes, low food prices and fair distribution of income improve a country's food security while the reverse can intensify food insecurity (Baquedano, Zereyesus, Valdes & Ajewole 2021). Evidently, most of urban households depend on market for their food consumption. For example, as stated in FAO (2008), 80 per cent of urban households in Ethiopia purchased food items from different markets. According to Bamlaku & Solomon (2013), urban households' dependency on purchased food implies that they are vulnerable to price shocks, which as a result may adversely affect the status of their food security.



Food policy and the related term food price are sensitive political issues, especially in urban areas where political power as well as political voices are concentrated. Rising food prices challenge the power and legitimacy of political leaders and lead to social and political unrest as was observed in 2008 and after in some Asian, Arab and African countries including Bangladesh, Indonesia, Uzbekistan, Yemen, Algeria Egypt and Cote d'Ivoire (Kalkuhl et al 2016).

As Alemayehu, Hassen, Soressa & Stark (2018) argue, public spaces (natural capital) and infrastructure (physical capital) in cities have to be considered as livelihood assets that should be accessible to all peoples. Yet, the situation in Addis Ababa is different. The competition to access to central public spaces such as vending spaces in market centres is high, and often organized along ethnic lines. They further argue that many of the poor residents in Addis Ababa, particularly those residing in inner-city slum areas, have been making their livelihoods through home based informal economic activities and local based networks. However, the relocation of those slum residents to new government-built condominium housing, most of which were located in the peripheries, has made them miss the informal livelihoods opportunities associated with the social networks, home and public places in the inner-city. As a result, they faced not only a decrease in income and social capital but also an increase in monthly expenses attributable to their new life style and transport costs to commute from the new home to inner-city (Alemayehu et al 2018).

## **2.10. Incidence of COVID-19 and Food Security**

### **2.10.1. The Effect of COVID-19 on Food Security**

The year 2020 was a year of great losses in terms of economic and human resources, provoked by the outbreak of the global pandemic, that threatened millions of people of their health, lives and livelihoods all over the world (FAO, IFAD, UNICEF, WFP & WHO 2021). The most powerful global crisis that we are facing as a result of the COVID-19 pandemic has not been seen since the end of the Second World War (WW-II) (UN 2020). Similarly, as stated in Senona, Torkelson & Zemebe-Mkabile (2021), the COVID-19 pandemic can be considered as a unique historical event of the world, to which we had no exposure and immunity before. In explaining the spread fast and devastating effect of the COVID-19 pandemic, Senona et al (2021) put as follows,

*Initially, in the absence of vaccines or effective treatment protocols, the only way to slow the spread of Covid-19 was by imposing national lockdowns on almost all social and*

*economic activities. Such lockdowns disrupted labour markets, putting people out of work, and endangering the livelihoods and income security of billions of people (Senona, Torkelson & Zemebe-Mkabile 2021:9).*

Since the incidence of the COVID-19 pandemic, there has been an increase in the prices of food items. This, in turn, has led to a considerable concern that the rate of poverty and food insecurity would grow significantly as the spread of the pandemic continues throughout the globe (Hirvonen, de Brauw & Abate 2021). The magnitude of the increase in the number of malnourished people and the disruption in livelihoods is expected to be substantial in low- and middle-income countries (FAO, IFAD, UNICEF, WFP & WHO 2020; Hirvonen et al 2021). Owing to the incidence of COVID-19, supply chain disruption has occurred and as a result significant changes in the prices of food have been observed globally (Bairagi, Mishra & Mottaleb 2022).

The U.S. Department of Agriculture's Economic Research Service's (ERS) International Food Security Assessment (IFSA) in 2021 assessed the combined effect of incomes and prices shocks pertaining to the outbreak of the Coronavirus (COVID-19) pandemic on food security in 76 low- and middle-income countries. The 76 countries in this study are sub-divided across 4 major regions: 39 countries and 4 sub-regions in Sub-Saharan Africa (SSA), 22 countries and 4 sub-regions in Asia, 11 countries and 2 sub-regions in Latin America and the Caribbean (LAC), and 4 countries in North Africa (NAF). According to the findings of the study, the decrease in per capita income after the outbreak of the pandemic is supposed to be the main underlying factor for the continued decline in food security (Baquedano et al 2021).

Drought and conflict are the commonly cited factors responsible for Africa's food insecurity problems. As mentioned in FAO et al (2021), such gradual worsening of food security situation in Africa was attributable to weather extremes, conflict, economic slowdowns, or a combination of them. The problem is further aggravated by weak social protection system and absence of appropriate pro-poor policies. Africa's food security situation in 2020 and afterward is predicted to further deteriorate owing to the expected economic downturns and disturbances to food supply chains arising from the COVID-19 pandemic.

Due to the adverse effects of COVID-19 on income levels, the number of food insecure people in the 76 countries in 2021 is estimated at 1.2 billion, an increase of almost 32 per cent (291 million people) from 920.6 million food insecure people in 2020. This implies that about 30.8 per cent of

the population of the 76 countries is incapable of securing the average caloric level (2,100 kilocalories) per day necessary to sustain a healthy and active life. Out of the additional 291 million food insecure people estimated in 2021, about 72 per cent are in Asia while 21 per cent of them are in Sub-Saharan Africa (Baquedano et al 2021). Sub-Saharan Africa (39 countries) has the highest prevalence of food insecurity with 41.2 per cent in 2020 and an estimated 44.9 per cent in 2021. The number of food insecure people in Sub-Saharan Africa (SSA) increased from 389.6 million in pre-COVID-19 period (2019) to 431.5 million in 2020 and estimated to further increase to 491.5 million in 2021. After a decade, however, the adverse effect of the pandemic is expected to decrease and the number of food insecure people is projected to decline to 420.8 million (29.7 per cent) in 2031 due to steady income growth and stable prices for major grains (Baquedano et al 2021).

In response to the adverse effects of the COVID-19 on health, governments all over the world have been taking various measures, including social distancing, washing and sanitizing of hands and lockdown measures to minimize and control the spread of the virus. Although these measures are necessary to contain the pandemic, the lockdown measures have created negative economic consequences and as a result have threatened the food security situations in all countries, particularly in the developing economies (Devereux, Bene & Hodinott 2020; Hirvonen, Abate, & de Brauw 2020).

In East Africa sub-region (10 countries), the prevalence of food insecurity is expected to be 46.3 per cent with an estimated 177.2 million food insecure people in 2021. However, the prevalence of food insecurity in the total population of the sub-region is predicted to decline to 27.6 per cent by 2031 with a projected 134.9 million people. The recent adverse effects of the COVID-19 pandemic added to the existing low agricultural output and protracted conflicts have aggravated food insecurity problems in the sub-region (Baquedano et al 2021). Ethiopia, with the largest population in East Africa sub-region, is estimated to have the highest number of food insecure people in 2021 with 37.7 million, almost 3 million increase from 34.8 million in 2020. However, in terms of the share of food insecure population, Ethiopia has the least prevalence rate of 34 per cent in 2021 among the ten countries in the sub-region. Uganda has the second highest number of food insecure people with 26.5 million and ranked fifth in prevalence rate with 59.2 per cent of its total population in 2021 (Baquedano et al 2021).

### **2.10.2. Social Protection Responses to COVID-19**

In an attempt to curb the spread of COVID-19 pandemic in 2020, several African governments took obligatory measures such as restrictions on business activities & travel, school closures and lockdown for several months. These restrictive measures adversely affected low income informal workers, particularly in urban areas, who are not likely to be covered by any of the existing social insurance or social assistance schemes. The COVID-19 pandemic serves as a reminder for the existing weak and discriminatory system and the need for strong and universal social security systems (Devereux 2021; Senona et al 2021). In order to minimize the potential adverse economic effects, governments all over the world employed various income support mechanisms (Devereux 2021). Governments tended to establish or amend their current social security benefits to consider those disadvantaged group, who have been unable to make an income due to the strict lockdowns. For instance, by June 2020, over 190 countries had either planned or introduced social protection measures including 271 targeted cash transfer programs in 131 countries as well as 6 universal transfers in response to the pandemic (Senona et al 2021). In Africa, many governments scaled up existing social protection programmes and introduced new ones deemed appropriate to COVID-19 related circumstances (Devereux 2021).

South Africa, with the strong economy in Africa, is the most affected country in the continent with shocking economic effects of the lockdown due to the COVID-19 pandemic. Following the lockdown, above 2.2 million people or above 13 per cent of the workforce lost their jobs; particularly, informal, casual, low-income and rural workers, most of whom are women, were disproportionately affected. By the end of 2020, the official unemployment in South Africa reached as high as 11.1 million people; and about 20 per cent of households in South Africa experienced hunger as a result of the lockdown (Senona et al 2021). Given its strong economy, the government of South Africa was also among the forefronts in taking response measures to reduce the potential devastating effects of the pandemic. According to Senona et al (2021) the government of South Africa introduced a COVID-19 Relief Package worth R 500 billion, of which R 50 billion was allocated for social relief of distress. The programme presented the following combination of new grants and top-ups to existing grants for a period ranging from 1 month to 6 months.

- i. Social relief of distress (SRD) grant;
- ii. Top-up of old age pension (OAP), Disability grant (DG), Foster care grant (FCG), and Care dependency grant;
- iii. Top-up of child support grant (CSG); and
- iv. Special COVID-19 social relief of distress for caregivers (CSG caregiver allowance).

As a result, it was believed that these grants improved the incomes of South African individuals and households, who were otherwise be impoverished by the lockdown. By the end of 2020, it was estimated that about 70 per cent of the population lived in households benefited from some form of social grant payment. Moreover, with the new COVID-19 SRD Grant and Caregivers Allowance a total of 13.1 million South Africans were supported and protected from hunger.

Following the confirmation of the first case of COVID-19 on 13 March 2020, the government of Ethiopia declared a five-month long state of emergency on 8 April 2020. Although the state of emergency did not require a general national lockdown, a number of restrictive and mandatory measures including school closures, restrictions on public gatherings, social distancing, wearing of face masks, quarantine periods for travellers and fewer passengers on transport services were imposed (Bischler, Asheber & Hobson 2020).

Since most of the public works are performed in a group, there were fears that the participants would have more likely been exposed to the transmission of the pandemic. As a result, the government suspended the public works conditionality for a short period of time, notably from April to June 2020, so as to reduce the potential risk of the spread of the virus among the participants. The waiver applied both to the urban and rural productive safety net programmes. In Addis Ababa, the urban productive safety net programme made cash payments to all clients without enforcement of the public works conditionality during the three-month waiver. However, starting from July 2020, public works in the city re-started by adhering to the safety measures and by supplying face masks and hand sanitizers to the participants (Bischler et al 2020).

The government of Ethiopia has also attempted to support the very vulnerable group of the society, particularly in urban areas. According to Gentilini et al (2020:233-34), the Ethiopian government took the following measures through the social assistance and social insurance

programmes. Under the social assistance programmes, conditional and unconditional cash transfers were made to poor and vulnerable groups of the society. Cash transfer top-ups of 360 Eth. Birr per month for a period of six months was provided to 50,050 permanent direct support (PDS) beneficiary households under the urban productive safety net programme in the eleven UPSNP cities since September 2020. In addition, 17,460 temporarily direct support (TDS) beneficiary households in the eleven cities were identified and provided with three months of transfers in November 2020. Recognizing the higher COVID-19 transmission rates and the relatively large negative effects of the pandemic in Addis Ababa city, the support to temporary direct support (TDS) clients in Addis Ababa was extended to six months. The transfer to temporary direct support was made by the collaborative efforts of the Ministry of Labor and Social Affairs (MoLSA), the Federal Job Creation and Food Security Agency (JOBFSA), the World Food Programme of the United Nations (WFP) and UNICEF (Gentilini et al 2020).

Food vouchers were also available in some regions during the stay at home order, including Amhara, Oromia and Addis Ababa city. In Amhara regional state, food items such as flour, oil and sugar were distributed to the poorest of the poor in Bahir Dar City. In Oromia regional state, food items such as bread and water were delivered to the destitute in Adama city. Besides, the city government of Addis Ababa allocated about 600 million Eth. Birr for the purchase of stockpile of food and other essential goods. The purchased items were distributed to 800 retail shops and sold at relatively low prices to the poor residents. The federal government also allocated about 635 USD for emergency food distribution to 15 million individuals vulnerable to food insecurity but not covered by the rural and urban productive safety net programmes (PSNPs) (Gentilini et al 2020).

The Public work participants under the UPSNP were waived for 3 months from public works and received 3 months advance payments unconditionally. They were also allowed to withdraw up to 50 per cent of their savings to cover expenses related to the COVID-19 emergency. Similarly, the rural productive safety net programme (PSNP) beneficiaries were exempted the public work requirements for some months; and about 2.9 million beneficiaries received financial support meant for reducing the income shock associated with COVID-19 pandemic. In the form of social insurance, government employees in Harari regional state who were at higher risk of COVID-19 including the elderly, pregnant women and people with disability were allowed to stay home

while receiving their salaries. Labour market related issues were considered in both public and private sectors in favour of employees, including the prohibition of companies from lay off workers. The federal gov't employees were also allowed to work from home except some critical staff (Gentilini et al 2020).

### **2.11. Household Food Insecurity Situations in Ethiopia**

The study conducted by Derso, Bizuneh, Kaleb, Ademas & Adane (2021) in Addis Ababa was intended to assess the incidence of food insecurity and the responsible factors among urban productive safety net program beneficiary households. They employed a community based cross-sectional design involving 624 beneficiary households located in three sub cities and nine woredas selected through multistage sampling and simple random sampling procedures. In measuring the food insecurity prevalence among the sample households, they made use of a household food insecurity access scale (HFIAS). A binary and multivariate logistic regression models were also employed to assess the factors associated with food insecurity. Their findings indicated that about 77 per cent of the surveyed households of the urban productive safety net programme beneficiaries were food insecure. In addition, demographic and socioeconomic factors such as education, family size, dependency ratio, access to credit and household income were found to be significantly associated with the food insecurity level of the surveyed households.

To assess the food insecurity coping strategies of poor urban households, Argaw (2019) conducted a study in three different sized urban areas of Ethiopia. The main objective of the study was to examine the socio economic and demographic factors that affect the coping strategy of households residing in slum areas of different sized urban centres. Using secondary data from two national surveys, household consumption survey as well as expenditure and welfare monitoring surveys conducted in 2004/05, 2010/11 and 2015/16, the study described the food security situation in Ethiopia across time and urban hierarchies. The study also used primary data collected from 500 households residing in different sized urban slum areas of Addis Ababa (big city), Hawassa (medium city) and Sheki (small town). The study employed descriptive and regression analysis to analyse the data. About 54 per cent of the sample households in Addis Ababa were beneficiaries of the urban productive safety net programme.

The results of the study of Argaw (2019) indicated that the level of food insecurity varies inversely with the size of the urban area. In addition, female headed households were found to have lower quality of food consumption relative to the male headed households. The regression analysis depicted that better asset ownership and source of income are negatively related with household's food insecurity and determined almost half of the variation in the household's food insecurity coping mechanism; particularly, this is significant in Addis Ababa. In addition, gender (female headed) and lower education of the head, weak linkages with kin family structure, and higher proportion of young children were positively related to food insecurity; and these factors explained almost one-fourth of the change in coping strategy of the household. Participation in social protection programme, especially the urban productive safety net programme, was found to be an important predictor of the change in coping with food insecurity and also positively related with the outcome variable. The overall findings of the study imply that the different factors that determine the coping mechanism of households' food insecurity vary across urban hierarchies.

The study of Melese, Tilahun & Alemu (2021) in southern Ethiopia aimed to investigate household level food insecurity determinants and coping mechanisms in southern Ethiopia, Hadiya zone at Analememo district. The study employed descriptive and explanatory research design with cross-sectional survey. Using a three stage sampling procedure, 200 rural households were selected by systematic random sampling method. In addition to the semi-structured questionnaire, focus group discussions (FGDs), key informant interviews (KIIs), observation, and document analysis were used to collect both quantitative & qualitative data. The findings of the study showed that 64 per cent of the study households were found food insecure. Accesses to irrigation, drought resistant seed, chemical fertilizer and climate information were found to positively affect the food security of the surveyed households. Factors such as sex, age, education status, number of oxen, soil water conservation practices, access to credit, availability of remittance, and size of cultivated land were found significant and negatively associated with food insecurity status of a household. Among the food insecurity coping strategies used by the households were consuming less preferred and cheap foods, participating in off-farm activities and borrowing food from friends or relatives in their order of importance. In this study, participation in productive safety net program was found to have no significant relation with food insecurity status of a household.



Hailu and Amare (2022) assessed the impact of the rural productive safety net programme on food security of beneficiary households in western Ethiopia. In achieving the study objective, they employed both probability (to select the district) and non-probability (to select kebeles and study participants) sampling methods using three stage sampling procedure. Out of the total 188 sample households 50 per cent of them were beneficiary households (the treatment group) while the remaining 50 per cent of them were non beneficiary households (the control group). The primary data were collected from these sample households through a structured questionnaire. The data were then analysed using descriptive and regression (propensity score matching model) methods.

The findings of Hailu and Amare (2022) showed that 68 per cent of the beneficiary households and 48 per cent of the non-beneficiary households were found food secure. Using a kernel matching algorithm, the results of the average treatment effect on the treated (ATT) indicated that being participated in the productive safety net programme significantly improved the food security status of beneficiary households relative to the non-beneficiary ones. The caloric intake, i.e. the outcome variable, for the program beneficiaries was found greater (2519.3 kcal) than the non-beneficiaries (2111.6 kcal). They also reported that the sensitivity analysis they made confirmed that the results were not sensitive to confounders, and hence the findings are robust.

## **2.12. Theoretical and Conceptual Framework of the Study**

Under this section, the reviewed concepts and theories deemed relevant to the study are briefly summarized to construct the theoretical framework. In addition, the conceptual framework is presented that shapes the appropriate theory to be applied, the research methodology to be followed and the methods to be employed in attaining the objectives of the study.

According to Kivunja (2018), a theoretical framework is a structure consisting of a summary of theories and models relevant to a given field of study. It is assembled by a researcher from a review of existing related literature to acquire the necessary knowledge that enable him carry out a scientific research in his area of interest. Thus, it is not a summary of the researcher's own views about his thesis or research work; instead, it is a summary of the thoughts and perspectives of prominent scholars in the subject. It guides a researcher to develop a unique lens through which he

examines and analyses the data, interpret and discuss the findings, draw conclusions and forward policy implications.

On the other hand, a conceptual framework can be considered as a logical strategic plan for a certain research undertakings. It is a broad and all-inclusive term pertaining to all concepts and procedures that a researcher follows from planning to conclusion throughout the research project (Kivunja 2018). Constructing a conceptual framework is a conscientious procedure that demands a thorough and systematic review of the existing literature. A conceptual framework guides a researcher to select the appropriate research design to adequately answer the research questions (Hoon, Narayanan & Abdullah 2021).

*“Both theoretical and conceptual frameworks comprise theories. The former discusses the theories while the latter structures and links the theories to inform the construction of the research design” (Hoon et al 2021:134).* Theories work within concepts, that is, theoretical framework is embedded in a conceptual framework (Hoon et al. 2021). As Kivunja (2018) argues, the two terms are different and should not be used interchangeably. A theoretical framework is just a sub-set of the conceptual framework. A good analogy is that, if the conceptual framework is taken as the entire house, the theoretical framework could be considered as a specific room in that house.

*... whereas the conceptual framework could be the product of your own thinking about your research study, the theoretical framework comprises other people’s theoretical perspectives that interpret as relevant to your research, and in particular, helpful in your data analysis and interpretation”. (Kivunja 2018:47.*

### **2.12.1. Theoretical Framework**

For the purpose of constructing the theoretical framework of this study, important theories deemed relevant to the topic were reviewed and summarized as follows. Theoretically, the study is structured by the combination of Amartya Sen’s entitlement approach (Sen 1981), the capabilities approach (Sen 1993), Dreze & Sen (1989) and the sustainable livelihood approach (SLA) (Chambers & Conway 1991; Farrington et al 2002; Scoones 1998, 2009; Krantz 2001;

Carney, Drinkwater, Rusinow, Neefjes, Wanmali & Singh 1999; Valdes-Rodriguez & Perez-Vazquez 2011).

### ***Sen's Entitlement Approach***

Sen's entitlement approach can be one of the relevant theories to construct the theoretical framework of this study. It could provide the basis for analysing the role of a given social protection system such as the urban productive safety net programme, the focus of this study, in improving exchange entitlement of households. The entitlement approach to starvation depends on a person's access to a set of commodity bundles including food. If a person fails to be entitled to a bundle with enough food, then it is highly likely that he or she is starved. According to the entitlement approach the ability of a person to command to command food or any other commodity is determined by the existing entitlement relations that rule ownership and use in a given society (Sen 1981). "*...starvation may be caused not by food shortage but by the shortage of income and purchasing power*" (Sen 1981:155). In the entitlement approach to starvation, the ownership status of an individual or a household governs its entitlement to acquire food. As Dreze & Sen put it:

*"..., the entitlement set of a person is determined by his or her original ownership bundle (what is called 'endowment') and the various alternative bundles that the person can acquire, starting with each initial endowment, through the use of trade and production (what is called his 'exchange entitlement'). A person has to starve if his entitlement set does not include any commodity bundle with an adequate amount of food" (Dreze & Sen 1989:23)*

Through the entitlement system, one set of ownership leads to another one based on the existing rules of legitimacy. Sen (1981) identified four entitlement relations: trade-based entitlement, production-based entitlement, own-labour entitlement, and inheritance & transfer entitlement. Linking the entitlement relations to households' access to food, the trade-based entitlement of a household can be viewed as the capacity of that household to buy food by trading own resources with a willing party. The production-based entitlement of a household can be understood as the capacity of that household to grow own food consumption using own or hired resources. Own-labor entitlement of a household is related to the household's labour power in gaining access to

food through employment either as trade-based or production-based. Inheritance and transfer entitlement of a person or a household is attained when food is accessed through the transfer of resources in the form of inheritance or support or transfer from others. The transfer can be made through social protection programmes such as social insurance and safety net programmes. Hence, the entitlement approach can provide a basis for assessing how households entitlement through social safety nets help them avoid food insecurity problems (Sen 1981).

### ***Sen's Capabilities Approach***

Capability represents alternative bundles of functionings that an individual is able to achieve. Functionings refer to the various things that a person is able to do or be in his life, such as being well nourished or achieving self-respect (Sen 1981). As stated in Burchi & Muro (2016), functionings are the various doings and beings that a person may have reason to value. They appreciated the innovative idea of Sen's capability approach as follows.

*“By switching the focus from ‘command over food’ to ‘nutritional capabilities’, this approach goes beyond the ‘access’ dimension of food security – which is the main concern of the basic needs, entitlement, and SL approaches – and also include the utilization dimension. This is one of the most important innovations of the capability approach to food security” (Burchi & Muro 2016:14-15).*

### ***Sustainable Livelihood Approach***

The concept of sustainable livelihood represents one of the practical efforts made to further advance the conventional approaches to poverty alleviation (Krantz 2001; Karki 2021) and encourages development practitioners to think out of the box (Serrat 2017). The sustainable livelihood approach, also called sustainable livelihood framework, is widely and more frequently used among development practitioners than in the academic world. The sustainable livelihood approach is a useful model to understand how the poor and vulnerable manage their lives and how policies and institutions matter (Serrat 2017). The sustainable livelihood approach is a comprehensive approach to development that goes beyond the food security approach (Burchi & Muro 2016).

With regard to the development of the sustainable livelihood approach, Krantz (2001) raises three important points worth mentioning. The first is the realization that economic growth is necessary but not sufficient condition for poverty eradication as the economic advantage of the poor is primarily determined by the capabilities of the poor themselves. Secondly, it is well recognized that poverty is manifested not only by low income but also by other non-income components such as lack of social services, ill-health, state of vulnerability, etc. Thirdly, it is acknowledged that the poor themselves know their situations and needs best, and hence they need to be actively participated in any development effort intended to benefit them (Krantz 2001). The idea of the sustainable livelihood approach is that a person or a household brings together its assets or endowments made up of personal capabilities, tangible assets, and intangible assets to pursue livelihood strategies. People's ability to access and control over the assets as well as the strategies they adopt and the livelihood outcomes are affected by the existing policies and institutions (Yaro 2004).

### **2.12.2. Conceptual Framework**

Any development programme is supposed to bring improvements in the well-being of targeted beneficiaries. After programme implementation, we need to assess the intended outcomes of the intervention on beneficiaries, say changes on employment or expenditure. Does this change relate directly to the intervention? Has this intervention caused expenditure or employment to grow? (Khandker, Koolwal & Samad 2010). In the same way, the Ethiopian UPSNP, the focus of this research, is aimed at reducing food insecurity and ensuring job creation among poor households in urban areas. Therefore, this research will attempt to analyze the perceived contribution of the programme to improving the livelihoods and food security status of the targeted beneficiaries in Addis Ababa using the sustainable livelihood approach.

Analyzing the contribution of a social safety net programme to livelihood and food security of households requires a research method which takes into account the context, livelihood assets, institutions, livelihood strategies and outcomes. The context (poverty, unemployment, informal job etc.) in which poor households pursue their livelihood strategies is a key determinant of the types of assets available to them and the types of livelihood strategies that they are likely to pursue.

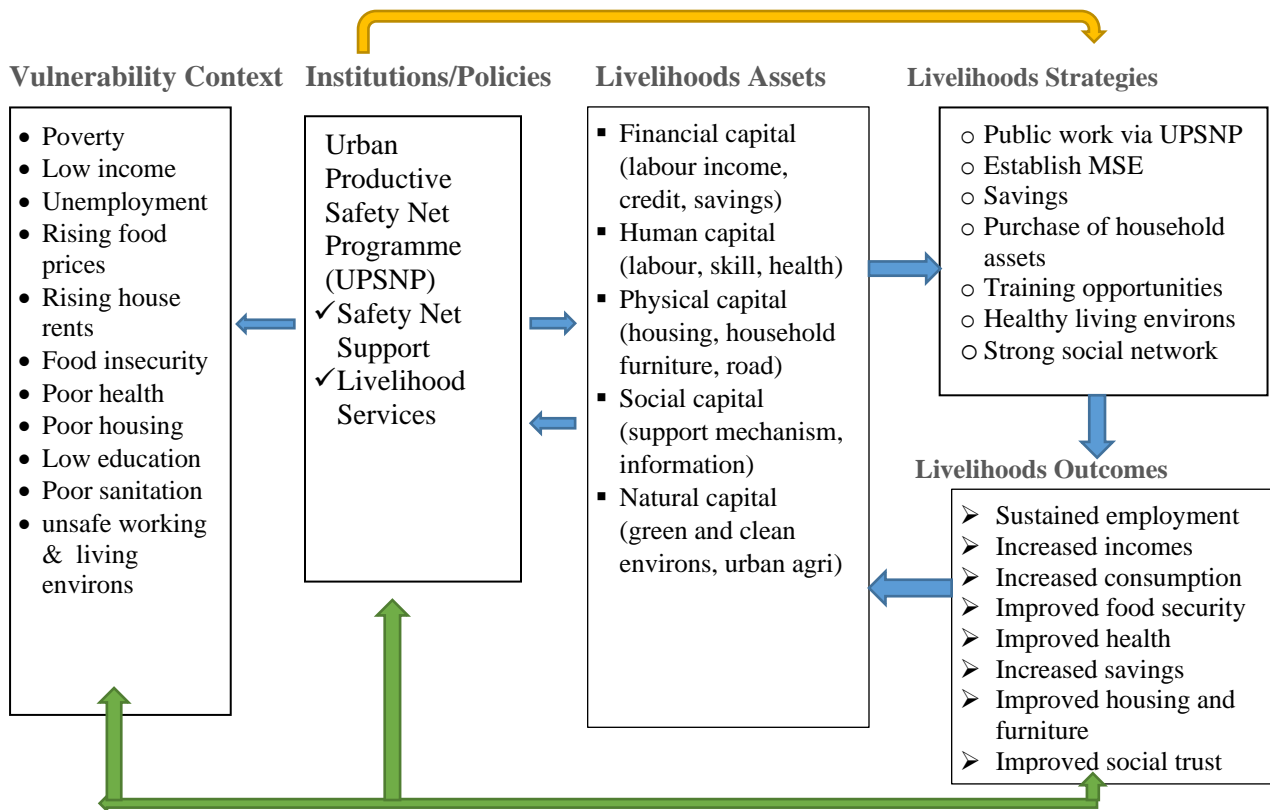


Figure 2.2: Conceptual Framework for contribution of UPSNP to livelihoods and food security

As depicted in Figure 2.2, if the policies and institutions act in favor of the poor, i.e. intervention like the current urban productive safety net programme, it is expected to positively affect their livelihood assets (the money income, skills, health etc.). This in turn would positively affect the livelihood strategies (engaging in public work, increasing labour hours, establishing micro and small enterprise etc.) and livelihoods outcomes (improved food security, improved health and skills, safe and clean environs, improved social networks, sustained employment & income etc.). Improved livelihood outcomes will further enhance the livelihood asset base of the households. Note that government policies and institutions (the UPSNP in our case) can affect livelihood outcomes through its influence on the contexts, livelihood assets and strategies.

Hence, this study will use the conceptual framework depicted in Figure 2.2 (derived from Fig. 2.1 in section 2.2.2.) as a methodological tool to analyze the context the households are in, the

livelihood assets, the role of institutions (the UPSNP intervention), the livelihood strategies and the livelihood outcomes as a result of participating in the urban productive safety net programme.

### **2.13. Summary**

The literature chapter of this thesis presented a review of related theoretical and empirical literature deemed relevant to the topic under study. It highlighted some arguments against the conventional definition of development and the rationale for redefining it. As reviewed in the literature, the conventional approach had defined economic development in terms of sustained economic growth underpinned by the trickledown effect; and the focus was more on increased output and less on poverty, unemployment and inequality. However, this approach was practically proved to be unable to improve the livelihoods of ordinary citizens of many developing countries and was labelled as '*growth without development*'. Particularly, the post-development theorists, who are the opponents of development theory, argue that the traditional development discourses and practices cannot adequately deal with the issue of poverty and food insecurity in the context of the developing world. Consequently, development was replaced by a new definition and made to additionally include desirable changes in social structures, attitudes, and institutions, as well as reduction in poverty, unemployment and inequality.

The chapter also described the concepts of sustainable livelihoods and food security, and introduced the different measures of food insecurity in the context of the developing world. The literature depicted that the concept of sustainable livelihoods is a recent theory that emerged in the beginning of the 1990s; and it is largely attributed to the works of Robert Chambers. A widely accepted definition that broadly captures the concept of livelihoods, by Chambers and Conway (1991), was also included in this section. The definition was stated in terms of people, their resources, their capabilities and their means of making a living. The concept of sustainable livelihoods as a relevant policy framework was first introduced by the Brundtland Commission on Environment and Development to simultaneously address development, sustainable resource management, and poverty eradication in an integrated manner.

As the reviewed literature showed, unlike the conventional approaches, the sustainable livelihoods approach emphasises on the livelihoods systems of the poor to identify strategic intervention areas and pays attention to multiple factors and processes that affect the capabilities of the poor to make

a living in an integrated and sustainable manner. In order to understand the concept, the sustainable livelihood framework brings together five major components which are interdependent to one another. The five components are vulnerability context (shocks, trends and seasonality), livelihoods assets or livelihood capitals (human, financial, social physical and natural), policies institutions & processes (PIPs), livelihood strategies, and livelihood outcomes.

In the reviewed literature, it was also indicated that the issue of food security was brought to the development arena in the 1970s following the world food crisis. The term food security was first defined in terms of sustained food supply at national or international levels, which considered only availability issues and paid no attention to the various aspects that could affect food access. In the 1980s, scholars such as Amartya Sen argued against the partial definition and shifted the focus from only availability to access to food too. Again, recognizing the multidimensional nature of the concept of food security, the definition was further revisited so as to explicitly include the issue of food utilization and stability. Hence, the most accepted definition of food security became a four dimensional concept including availability, access, utilization, and stability. The food security literature identified five approaches of food security: food availability, income-based, basic needs, entitlement and sustainable livelihoods approaches. The food availability approach is the oldest one while the sustainable livelihoods approach represents the recent one.

The literature showed that, owing to its multidimensional nature, measuring food insecurity has still been a difficult task and there is no as such a single measure that comprehensively captures the different dimensions of food security. The study of Maxwell et al (2013), which made comparison of seven different measures of food security using data from households in Ethiopia, was also reviewed. Among the seven different measures, household food insecurity access scale (HFIAS) and coping strategies index (CSI) do capture more of the quantity dimension while the food consumption score (FCS) reflect more of the quality (diversity) dimension of food security. The implication is that relying only on one measure would lead to misclassification of households; and thus, it would be better to use a combination of any two measures of food security.

In addition, the chapter discussed the characteristics of livelihoods and food insecurity in urban areas, the concept of social protection as well as the contribution of social safety nets and public works programmes to livelihoods and food security. The incidence of COVID-19, a new and very



recent phenomenon, was also found to negatively affect the food security situation of the globe in general and that of Sub Saharan Africa in particular. Under this topic, the adverse effects that the pandemic brought on the economy in general and on food security of households in particular were highlighted. In addition, the social protection responses of countries, specifically that of South Africa and Ethiopia were discussed. The household food insecurity situations of Ethiopia were also seen through the review of few recent studies conducted on household food insecurity. Lastly, the theoretical and conceptual framework of the study was developed on the basis of the reviewed literature to analyse whether the livelihood outcomes of the program beneficiary households were achieved or not, given the context the households are in, the livelihood assets they possess, the role of institutions (the UPSNP intervention), and the livelihood strategies they pursue as a result of participating in the urban productive safety net programme. In the ensuing chapter, the description of the study areas, the research paradigm and design, the procedures and methods of sampling, data collection and analysis as well as ethical considerations, and validity & reliability of the study are discussed in detail.

## **CHAPTER THREE**

### **RESEARCH METHODOLOGY**

#### **3.0. Introduction**

This chapter focuses on the description of the study areas and research methodology employed to achieve the objectives of the study. It starts with highlighting some economic and social features of Addis Ababa and the study areas of the four sub cities along with the respective four woredas or specific survey sites. The chapter then discusses the research paradigm, the research design, the sampling procedure, data gathering instruments, the pilot study as well as the data collection method. In addition, it describes ethical considerations, data validity and reliability, and the method of data analysis.

#### **3.1. Description of the Study Area**

Ethiopia, located in the northeastern part of Africa, also known as the Horn of Africa, lies between 9°1.498' North Latitude and 38°44.813' East Longitude. The total area of the country is around 1.1 million square kilometers. As of 2007, Ethiopia's population was growing at a rate of 2.6 percent per annum (CSA 2007). According to the survey of Central Statistics Agency in January 2020, the total urban population of Ethiopia in 2020 was estimated to be 23,081,127, of which 48.1 per cent were males and 51.9 per cent were females. The total number of urban households in the same year was estimated to be 6,228,600 with a household size of 3.7 on average (CSA 2020a).

Addis Ababa, located at 9°0' North Latitude 38°45' East Longitude with an average altitude of 2400 above sea level, covers a total of 540 square kilo meters of land. Being the most important commercial, cultural and political capital of Ethiopia, Addis Ababa is also the centre of many diplomatic institutes, continental and international organisations including African Union and United Nations Economic Commission for Africa (Erena, Berhe, Hassen, Mamaru & Soressa 2017). The total population of Addis Ababa city in 2020, as was estimated by macrotrends.net (2020), reached 4.8 million. However, according to the official report of the country's statistical agency (Ethiopian Central Statistics Agency), the total population of Addis Ababa in 2020 was estimated 3,900,749, of which 46.8 per cent and 53.2 per cent were males and females, respectively. The total number of households in the city was about 1,081,336 with an average

household size of 3.6 in the same year. About 42.4 per cent of households in Addis Ababa were headed by women in 2020, which is higher than the urban national level of 32.8 per cent. Age wise, 76.5 per cent of the total urban population of Ethiopia and 81.8 per cent of the population of Addis Ababa was age ten years and above in 2020. This means that the proportion of the population age ten years and above in Addis Ababa was fairly (5.3 per cent) greater than that of the national urban with the same age group (CSA 2020a; 2020b).

As stated in CSA (2020a) and CSA (2020b), the central statistics agency of Ethiopia (CSA) measures the economic activity rate (or the labour force participation rate) by taking the ratio of the economically active population to the sum of economically active plus not active population. Using this approach, the economic activity rate for Addis Ababa in 2020 was 64.7 per cent which implies that about 65 out of 100 persons age ten years and above were engaged or available to be engaged in production activities. However, a significant variation was observed between males (73.6 per cent) and females (57.3 per cent), and the rate is a bit higher than the national urban average rate (61.1 per cent). With regard to unemployment, 19.3 per cent of the economically active population in Addis Ababa were unemployed in 2020 with significant difference between males (15.1 per cent) and females (23.8 per cent).

As usual, the national urban youth unemployment rate for persons aged 15-29 years was as high as 25.7 per cent in January 2020, with a wide difference between female youth (31.7 per cent) and male youth (18.8 per cent). The situation in Addis Ababa city seems different in that the sex wise unemployment rate variation is not significant as observed at the country level. The youth unemployment rate in Addis Ababa for the same age group (15-29 years) was 24.8 per cent with female youth and male youth unemployment rates of 25.0 and 24.4 per cent, respectively. In the same period, the economic dependency ratio of Addis Ababa was 134, which is lower than the urban national level of 163 (CSA 2020a; CSA 2020b).

Addis Ababa is a self-governing chartered City with a status of special autonomous region in Ethiopia. As per the recent restructuring made since 2021, the City is divided into eleven administrative sub cities (called *kifle ketemas*) and about 126 districts (called *woredas*). In this study, the four sample sub cities selected are Addis Ketema, Arada, Gulele, and Yeka sub cities. Study participants from Addis Ketema (woreda-5) and Gulele (woreda-1) represented the first

round (2017) beneficiaries of the UPSNP while those participant households from Arada (woreda-4) and Yeka (woreda-4) represented the second round (2018) beneficiaries of the programme. The selected four sub cities and the associated four sample woredas are located in the central northern part of the city. The sample areas are known for having large number of poor households and partly inhabited by impoverished slum communities.

**Table 3.1: Socio-demographic characteristics of urban population in Ethiopia in 2020**

Demographic Characteristics	Total urban			Addis Ababa		
	Male	Female	Total	Male	Female	Total
Population	11,104,677	11,976,450	23,081,127	1,825,296	2,075,453	3,900,749
Total HH size	4,187,561	2,041,039	6,228,600	622,499	458,837	1,081,336
Average HH size			3.7			3.6
All persons (age 10+)	8,328,986	9,316,929	17,645,915	1,453,253	1,736,826	3,190,079
Employed	5,045,256	3,717,107	8,762,362	908,179	758,655	1,666,834
Unemployed	703,420	1,314,770	2,018,190	161,818	236,528	398,346
Total Active	5,748,675	5,031,877	10,780,552	1,069,997	995,183	2,065,180
Not active	2,580,310	4,285,052	6,865,362	383,256	741,643	1,124,899
Activity rate (%)	69.0	54.0	61.1	73.6	57.3	64.7
Unemployment rate	12.23	26.13	18.72	15.12	23.77	19.29
Youth (15-29 years) unemployment (%)	18.8	31.7	25.7	24.4	25.0	24.8

Source: CSA 2020a, CSA 2020b

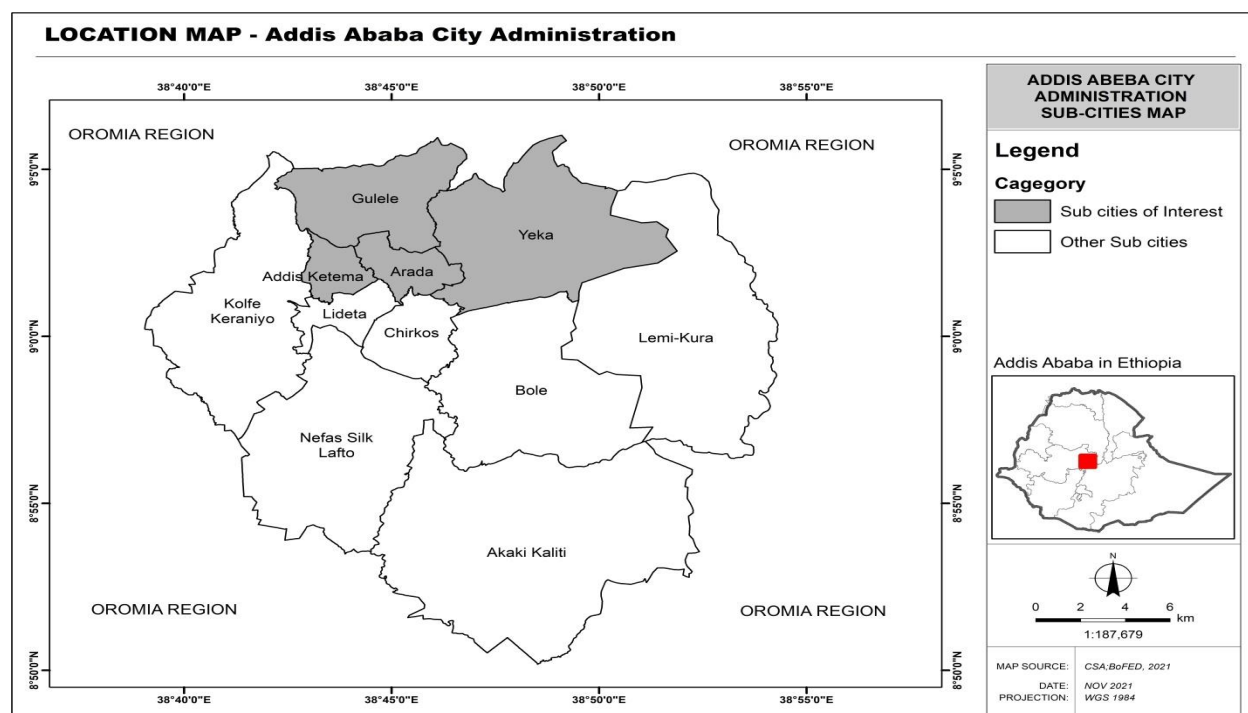


Figure 3.1 Map of Sub-Cities in Addis Ababa City Administration

### **3.2. Research Paradigm**

A research paradigm is the philosophical perspective through which researchers view the world to understand and deal with the problems at hand. It is the philosophical foundation of a research that a researcher adopts concerning his/ her worldview assumptions that guide the research strategy and the methods he/she employs in undertaking the research process. A research paradigm is a basis for any research in guiding the selection of a research design to be followed and the methods or procedures employed throughout the process. According to Guba (1990; in Creswell 2009: 6), paradigm refers to "*a basic set of beliefs that guide action*". Creswell (2009:6) describes the term research paradigm, or worldview in his word, as "*a general orientation about the world and the nature of research that a researcher holds*". The literature identifies four types of paradigms: positivism/ post-positivism, constructivism, advocacy/ participatory, and pragmatism (Creswell 2009).

Pragmatists believe that knowledge claims result primarily from '*actions, situations, and consequences*' rather than *antecedent conditions*' (Creswell 2009:10). In the pragmatic paradigm, unlike the post-positivism, more emphasis is given to understanding the problem and the consequence than to specifying the method and testing a theory. Pragmatism is a problem-centred, oriented with the real world practices, and employs all approaches and methods to assert knowledge about the problem. Because pragmatism is not bounded by any single system of philosophy and reality, rather than adhering to only one approach, researchers are free to use any research approaches and methods that help them achieve their objectives (Creswell 2009; Creswell 2003). In this sense, the pragmatic philosophical assumptions are flexible and help the researcher to choose the appropriate research approach with multiple data collection instruments. Therefore, this research followed a pragmatic philosophical perspective that enabled the researcher to use a mixed methods approach by integrating different types of data so as to gain an in depth understanding of the research problem at hand.

### **3.3. Research Design**

Given the chosen research paradigm and the nature of the research problem, the study followed descriptive research design and employed a concurrent mixed methods approach whereby both

quantitative and qualitative data were integrated. Since both methods have their own limitations and are insufficient by themselves to capture the relevant trends and details of a situation, as Creswell (2009) argues, using mixed methods make researchers feel that biases inherent in one method could neutralize the biases of the other method.

Combining qualitative and quantitative methods in poverty analysis and assessment of the effects of development programmes have recently been gaining acceptance. The contribution of a development intervention can best be proved when it is evidenced by the attitudes and perceptions of the beneficiaries along with the quantitatively measured information. The Qual-Quan method (so-called Q-squared) is a case in this regard as advocated by Kanbur & Shaffer (2005), Shaffer, Kanbur, Thang & Areyeetey (2012), Shaffer (2018) and others. As stated in Creswell (2009), the concurrent triangulation approach is the most familiar one which involves integrating and comparing of quantitative and qualitative data sets side by side in a discussion section so that the researcher can determine if there is convergence, divergence or some combination. Accordingly, this research applied concurrent triangulation design in which both types of data were collected simultaneously and analyzed separately so as to adequately answer the basic research questions of the study. Indeed, the researcher believes that the mixed method, that allows the use of various methods of data collection and analysis, was the appropriate research method for this study.

### **3.4. Study Population, Sampling Techniques and Sample Size**

The population of this study assumed all beneficiary households of the UPSNP in the eleven administrative sub cities of the Addis Ababa City. However, due to the limited time and resources available, only four sub cities and from each of them one woreda; and again from each woreda two ketenas (or neighborhoods) were selected. This was followed by the selection of beneficiary households using a systematic random sampling through a three-stage sampling procedure as indicated below.

The first and second stage selections were made purposively based on the size of the beneficiary households in consultation with the officials and experts of the Food Security and Productive Safety Net Agency under the Addis Ababa Job Creation and Food Security Bureau. At the first stage, four sub cities with the largest proportions of the poor, and hence for having largest number

of programme beneficiaries (Addis Ketema, Arada, Gulele and Yeka) were purposively selected from the eleven administrative sub cities of Addis Ababa. From each of the four sub cities again, one woreda and a total of four woredas, two from the first round and two from the second round participants of the programme, were selected purposively. At the second stage, from each of the four woredas, two ketenas (neighborhoods) with the largest proportion of poor households were selected purposively. The third stage was selection of households. The list of beneficiary households taken from each of the eight sample ketenas was used as a sampling frame from which sample households were selected by systematic random sampling technique. On average, 25 households from each of the eight sample ketenas, or 50 households from each of the four sample woredas, and thus a total of 200 households from the four sub cities were selected. The beneficiary households were almost homogenous in their socioeconomic status; and also other qualitative data gathering instruments were employed in the study. Therefore, the 200 beneficiary households selected randomly for the survey questionnaire were considered to be large enough.

Table 3.2: Summary of Sample areas and households selected

Sample sub cities	Sample woredas	Number of sample ketenas	Number of sample households	Round
Addis ketema	Woreda-5	2	50	First (2017)
Arada	Woreda-4	2	50	Second (2018)
Gulele	Woreda-1	2	50	First (2017)
Yeka	Woreda-4	2	50	Second (2018)
Total	4	8	200	

Furthermore, some individuals who were presumed key stakeholders in the programme were selected purposively for the key informant interviews (KIIs) to collect qualitative data. These stakeholders comprised government officials and experts at federal, city, sub-city and woreda offices of food security and job creation as well as team leaders of beneficiaries and community representatives at the sample ketenas. One from Federal Urban Job Creation and Food Security Agency (FUJCFSA), three from Addis Ababa Food Security and Productive Safety Net Agency, eight from the four sampled sub cities, eight from the sampled four woredas and eight from the sampled eight ketenas were selected. Thus, a total of 28 interviews were conducted with people in the aforementioned institutions.

Table 3.3: Summary of key informants participated in the interview

Administrative level	Officials	Experts	Community representatives	Total
Ketena	-	-	8	8
Woreda	4	4	-	8
Sub city	4	4	-	8
City/ Centre	1	2	-	3
Federal	-	1	-	1
Total	9	11	8	28

Owing to the current COVID-19 pandemic, the data collection was undertaken with great care by respecting the state of emergency regulations of Ethiopia associated with COVID-19 such as keeping social distancing, proper washing or sanitizing of hands and wearing of face masks.

### 3.5. Study Tools

In an attempt to collect the required data, particularly primary data from the relevant sources, the study employed three data collection tools as briefly discussed below.

#### 3.5.1. Survey Questionnaire

The developed survey questionnaire was a structured questionnaire designed for collecting quantitative data from the sample households (Annex-2). The questionnaire was prepared in such a way to have four parts covering various aspects pertaining to the study objectives. The first part consisted of the basic characteristics of the household such as basic information related to demographic, social and economic characteristics (sex, age, marital status, education, birth place, religion, employment status, migration status, training status, year of participation in PSNP and type of PW, income of the head) of the household head and other household members. The second part of the questionnaire is related to assets and livelihoods strategies of the household including housing, electricity, water and other facilities, asset ownership, savings, access to credit and urban agriculture. In addition, transfer and social assistance, consumption expenditure and shocks impacting livelihoods are included. The third part comprises the food security status and coping strategies of households consisting of questions related to food insecurity experience and coping strategies, food consumption behavior or dietary diversity and household food insecurity access scale. The fourth part is related to the perception of beneficiary households about the contribution



of the urban productive safety net programme on their livelihood assets, livelihood strategies and livelihood outcomes.

### **3.5.2. Interview**

The key informant interview guide was prepared in a semi-structured format (Annex-3). It was meant for gathering further and detailed information from key stakeholders in a flexible way about their opinions and perceptions on the contribution of the programme to the beneficiaries.

### **3.5.3. Observation**

Nonparticipant observation was also another important study tool employed to collect primary data during the fieldwork. The observation checklist comprised the physical appearance and clothing of households, the physical condition of residential houses, the infrastructure, the cleanliness and greenery conditions of the villages (Annex-4). During the field observation, the researcher took notes on the physical setting of the sample villages, the interaction among the study participants and the activities they were undertaking. The observation enabled the researcher to have better understanding of the characteristics of the beneficiaries of the productive safety net programme and their observable feelings on the programme which could be a good indicator of the contribution of the programme on the livelihood outcomes of the beneficiary households.

## **3.6. Pilot Studies**

As planned earlier in the proposal, the survey questionnaire was translated into Amharic and pre-tested before the actual data collection commenced. The pre-test was made to test whether the designed questionnaire is easily understandable by and friendly to the respondents or not by interviewing twelve potential respondents. The pilot test was carried out by the researcher and one other enumerator. The pre-test helped to check the duration of the interviews and thereby to revisit and modify some questions that were proved to be ambiguous and less understandable to respondents. By doing so, the validity of the study was enhanced.

### **3.7. Data Collection**

In analyzing the livelihoods and food insecurity status of beneficiary households and the contribution of the urban productive safety net programme to their livelihoods, both quantitative and qualitative data from primary and secondary sources were collected through different instruments. The primary data were collected through a scheduled survey questionnaire, a semi structured interview with key informants and an observation checklist. The secondary data were collected by reviewing relevant literature and documents.

#### **3.7.1. Data Collection from Primary Sources**

Quantitative and qualitative data from primary sources were collected through a household survey, key informant interviews and observations by taking into account the appropriate safety measures meant for preventing the corona virus infection.

##### *i. Household Survey*

The household survey was employed mainly to collect quantitative data through a well-developed and pre-tested questionnaire. The questionnaire was originally designed in English and translated into Amharic. Four experienced enumerators, one for each of the four *woredas*, and two supervisors were recruited for the data collection. The researcher provided a two days training to the enumerators and supervisors in order to familiarize them with the questionnaire and the method of conducting the survey. Particularly, they were oriented how to ethically approach the respondents, introduce the purpose of the study, and gaining the consent of respondents. The training did also give due emphasis on how to take care of the respondents and the enumerators themselves to avoid any possible personal contact that may expose them to the COVID-19 pandemic.

The lists of randomly selected beneficiary households from two ketenas of each of the four *woredas* were prepared and made available to enumerators and supervisors based on which they were able to find each sample household with the help of ketena leaders. The two supervisors and the researcher were responsible in making arrangement and communicating with the Food Security and Productive Safety Net Offices of the sample *woredas*. Since the study participants

had generally low education level, the enumerators did complete the survey questionnaires by interviewing each of the respondents. The researcher regularly appeared at each survey site; and supervised and attended the enumerators while interviewing and filling the questionnaires. The supervisors were responsible for checking the completeness of the questionnaires and collecting the completed questionnaires daily from the enumerators. In case of incomplete questionnaire and inconsistent information, enumerators were required to go back to the households to correct and validate the data.

Quantitative data pertaining to the socio-demographic characteristics of the household head and household members, assets and livelihoods strategies, the food security status and coping strategies and the perception of beneficiary households about the contribution of the UPSNP on their livelihoods were collected by the household survey questionnaire. Because the sample households were engaged either in self-employment or daily labour, most of them were busy in the working days searching for any available work. Hence, many of them were available in the weekends for the interview. Each interview took about 30 minutes; and the overall data collection task was carried out between December 2020 and March 2021.

## *ii. Interview*

The purpose of the key informant interview was to gather further and detailed qualitative information from key stakeholders other than the beneficiaries of the UPSNP. Prior to conducting the interview, the researcher introduced the purpose of the study and asked the consent of each of the interviewees as stipulated in the participant information sheet. A total of twenty eight key informants, from ketena to federal levels as mentioned in section 3.4, were interviewed to share their opinions on the livelihoods and food insecurity situation of beneficiaries before and after joining the urban productive safety net programme (UPSNP). In addition, information on the availability and affordability of food items, coping strategies of households, urban agriculture, targeting of beneficiaries, and overall contribution of the urban productive safety net programme as well as the strengths and limitations of the UPSNP were collected by the interview. Each personal interview took 45 to 60 minutes. To prevent the possible infection of the coronavirus, the researcher strictly abided by the safety measures by wearing face masks and keeping two meters physical distance away from the interviewee while conducting all the interviews.

### *iii. Observations*

Observation was the other method used in this study to collect qualitative data. The researcher carried out the observation by walking around in the study sites and informally talking with people. The researcher recorded his observations in a notebook and took pictures as required. A careful and direct observation was made focusing on the beneficiaries' residential homes, environmental sanitation, waste management, greenery, and other community resources such as village roads and urban agriculture practices that can influence the livelihoods outcomes of the households. In doing so, every possible care was taken to abide by the regulations associated with COVID-19.

#### **3.7.2. Secondary Sources**

Data from secondary sources were primarily gathered through reviews of literature related to the subject including both published and unpublished sources. Published sources included books, journals, articles, publications of research institutions, implementation manuals of the UPSNP, government policy documents related to the programme, reports of Central Statistical Authority, and other relevant newspapers and periodicals. In addition, unpublished documents such as reports of relevant government offices at various levels and other activity and study reports related to the programme were important secondary sources to this study. Particularly, the study heavily made use of document review for attaining the first objective.

### **3.8. Ethical Considerations**

Initially, the researcher was required to pass the strict procedure of ethical clearance of the UNISA (University of South Africa) with a reiterated effort; and attained permission after submitting an amended version in the context of coronavirus disease of 2019 (COVID-19). Next, prior to the field work, the researcher acquired a permission letter from Addis Ababa urban food security and productive safety net agency directed to the four sample woredas and copied to the respective sub cities.

During data collection, a researcher should take care of the participants not to put them at risk. Therefore, before the actual data collection started, the researcher needed to develop an informed

consent form in order to acknowledge that the rights of participants will be protected during the data collection (Creswell 2009). Accordingly, in this research too, all the participants were well informed about the nature and purpose of the study through the participant information sheet and their consents were secured by the informed consent form. Only those participants who had given their written or verbal consent were included in the study. Participants were assured that the information they provided would only be used for the research purpose. Furthermore, the subsequent data analysis and reporting of findings would be treated in a way that protect them, maintain anonymity and confidentiality of their personalities.

In addition, the potential risk of COVID-19 was another issue that need great attention during the data collection. The government of Ethiopia tightened COVID-19 related restrictions by the recently issued directives implemented in March 2021. Under the new directives, public gatherings are restricted to a maximum of 50 persons, and services of worship, hotels, sporting events, funerals, and cinemas are allowed to operate, albeit with certain precautions such as social distancing and protective face masks.

At first, an attempt was made to avoid possible personal contact by letting households complete the questionnaires and by asking key informants over the phone instead of a face-to-face interview. However, the sample households were either having lower education status or illiterate, and thus they were unable to properly complete the questionnaire. On the other hand, the key informant interviewees were found less patient for the telephone interview and felt it inconvenient and time taking, and they rather opted for the face-to-face interview in their own office during office hours. Therefore, for the sake of obtaining consistent, valid and complete data; and in order to make the data collection convenient to the respondents, a face-to-face interview (only one respondent and an enumerator at a time) was made. In doing so, appropriate safety measures were strictly taken as per the laws and regulations set by the government of Ethiopia such as keeping social distancing, washing/ sanitizing of hands and wearing of face masks.

In sum, the researcher strictly followed the research ethics policy of the University of South Africa (UNISA) and abided by the laws and regulations of Ethiopia associated with COVID-19. Hence, maximum effort was made to protect any risk of physical or psychological harm on the participants because of participating in this research project.

### **3.9. Validity and Reliability**

Ensuring internal and external validity in a research, particularly in quantitative research, is the basis for scientific research. To this end, various techniques were employed to ensure the validity and reliability of the research and to avoid biases of any kind. Firstly, this research made random selection of households in order to avoid biases and increase the representativeness of the sample. Secondly, to ensure the validity of instruments, the survey questionnaire was pre-tested in a pilot study and checked whether it fitted its purpose or not. Thirdly, for the purpose of ensuring reliability, skilled and experienced enumerators were recruited and adequate training was given. In addition, the researcher himself conducted all the interviews which could ensure consistency in the research process. The diversity of the participants and the study tools used are important basis for triangulation of data, and hence for enhancing reliability.

For a qualitative study, credibility, dependability, conformability and transferability, analogous to internal and external validity in quantitative research, are important aspects that need due attention. Credibility can be ensured using different strategies such as prolonged engagement, persistent observation, triangulation and member check (Lincoln and Guba 1985; in Korstjens & Moser 2018; Shenton 2004). In this research, credibility was assured by triangulation using different primary and secondary data sources and different methods of data collection such as questionnaire, interview and observation. For ensuring dependability and conformability, every steps of the research starting from the initial stage to the analysis and reporting of the final results were carefully recorded and transparently described. By doing so, according to Lincoln and Guba (1985, in Korstjens & Moser 2018; Shenton 2004), it could be possible to confirm that the findings are derived from the real data based on participants' responses and not any potential bias or personal motivations of the researcher.

### **3.10. Method of Data Analysis**

Primarily, the quantitative data collected through the household survey were edited and coded manually, and entered into a computer with SPSS version 25. It was then analysed by descriptive and inferential statistics. The descriptive statistics helped to illustrate the demographic and socioeconomic characteristics as well as perception of the sample households using cross

tabulations, percentage and frequency distributions, mean, median and graphs. The inferential statistics employed statistical tests, particularly nonparametric tests such as Chi-square test to assess relationships between variables.

Furthermore, as discussed in section 2.1.3, Maxwell et al (2013), food (in)security status of the sample households were measured by combining HFIAS (with indicators of food secure, mildly food insecure, moderately food insecure, or severely food insecure) and food consumption score (dietary diversity with indicators of poor, borderline, or acceptable). The perceived contribution of the urban productive safety net programme on the livelihoods of the beneficiary households were also examined focusing on the five capital assets and the strategies they employ in pursuing their livelihood outcomes.

The qualitative data collected by means of open-ended questions through interviews and personal observations were analyzed and presented in a non-numerical form. The data were transcribed into text, categorized in terms of frequency of ideas, re-categorized to create main themes, and then analyzed with the help of content analysis. The results from the qualitative analysis were used to complement and triangulate the results of the quantitative analysis.

### **3.11. Summary**

The third chapter was dedicated to the description of various issues including the study area, the research paradigm and methodology, the sampling procedure and data gathering instruments, the pilot study and data collection, the research ethics, the data validity & reliability as well as the data analysis.

This chapter began by describing the socio-demographic characteristics of urban Ethiopia in general and that of Addis Ababa in particular. It discussed the populations and the employment-unemployment status of the economically active population of the urban areas at national level as well as at Addis Ababa city level. It also indicated the administrative division of Addis Ababa into 10 sub cities (or kifle-ketemas) and 120 woredas, of which four sub cities were selected as sample areas of the study.

The research paradigm followed and the methodology employed was also justified. As reviewed in the literature, pragmatism is a problem-centred, oriented with the real world practices, and employs all approaches and methods deemed relevant to solve the problem. This allows researchers to use alternative approaches and methods that help them achieve their objectives. Accordingly, this study followed a mixed methods approach with a pragmatic philosophical perspective. With regard to the chosen design, the study employed a descriptive research design along with a concurrent triangulation design whereby both quantitative and qualitative data were integrated and compared.

The population of this study assumed all beneficiary households of the UPSNP in the ten administrative sub cities of the Addis Ababa City. However, due to the limited time and resources available, only four sub cities and from each of them one Woreda; and again from each Woreda two Ketenas (or neighborhoods) were selected. The selection processes, through a three-stage sampling procedure, of the sample sub cities, and the corresponding sample woredas and ketenas as well as the sample beneficiary households were discussed in detail.

The data were collected from both primary and secondary sources using different data collection instruments. The secondary data were primarily gathered through reviews of literature and document review. The primary data, both quantitative and qualitative data, were collected through a household survey questionnaire, interview, and observation methods. Before the actual data collection commenced, the survey questionnaire was translated into Amharic and pilot tested to check the duration of the interviews and the understand-ability of the questions as well as to enhance the validity of the study.

Regarding ethical considerations, important issues were discussed. The researcher was required to pass the strict procedure of ethical clearance of the UNISA with a reiterated effort. Only those participants who had given their written or verbal consent were included in the study. The researcher strictly followed the research ethics policy of the UNISA and abided by the laws and regulations of Ethiopia associated with COVID-19. The various techniques that were employed to ensure the validity and reliability of the research and to avoid biases of any kind were also discussed.



Lastly, the method of data analysis employed in the study was made based on the type of data on hand. The quantitative data were edited, coded and entered into a computer with SPSS (statistical package for social sciences) version 25; and then analysed by descriptive and inferential statistics. The food (in)security status of the sample households were measured by combining household food insecurity access scale and Food consumption score. The perceived contribution of the UPSNP to the beneficiary households were examined by the five capital assets and the strategies they employ in pursuing their livelihood outcomes. The qualitative data were analyzed and presented in a non-numerical form. The results from the qualitative analysis were used to complement and triangulate the results of the quantitative analysis. The next chapter deals with the major social protection interventions made before and after the launching of the national social protection policy (NSPP) in Ethiopia.

## **CHAPTER FOUR**

### **OVERVIEW OF SOCIAL PROTECTION INTERVENTIONS AND URBAN PRODUCTIVE SAFETY NET PROGRAMME IN ETHIOPIA**

#### **4.0. Introduction**

In this section, an attempt is made to describe major social protection interventions aimed at addressing poverty, vulnerability and inequality through various policies and strategies. The social protection efforts made before and after the launching of the national social protection policy (NSPP) in 2014, including the urban productive safety net programme, deemed relevant to improving food security and livelihoods in Ethiopia are assessed. More importantly, a special emphasis is given to discuss the main characteristics of the urban productive safety net programme (UPSNP) implemented in the first phase, 2016/17 to 2020/21. For the purpose of achieving the first objective, the study employed mainly document review.

#### **4.1. Overview of Social Protection Interventions in Ethiopia**

##### **4.1.1 Social Protection Efforts Prior to the Introduction of the NSPP**

In Ethiopia, government's intervention in social protection began during the Imperial period (up to 1974) while the social protection models were varying from regime to regime and from time to time. During the Imperial regime, the first social protection initiative was a kind of a 'charity model' and not motivated by a rights-based approach. Although there was an informal food insecurity committee earlier, the founding of the Relief and Rehabilitation Commission (RRC) during the imperial regime marked the beginning of relief operations through a public agency in Ethiopia (Dejene & Cochrane 2019).

During the military regime (1974–1991), 'hand-out' humanitarian food aid approach changed into food-for-work schemes intended for rehabilitating the eroded natural resources and avoiding the potential dependency syndrome on food aid. Besides, the military government introduced large scale resettlement and villagization programmes in response to the 1984/1985 famine in the country. These initiatives had constitutional basis as they were codified in the then time

constitution (The Constitution of the People's Democratic Republic of Ethiopia). This was considered as a paradigm shift in the history of the country's social protection system, indicating a progress in government-citizen relations with regard to social protection services (Dejene & Cochrane 2019).

During the Ethiopian People Revolutionary Democratic Front (EPRDF) regime, a number of policies and programmes considered relevant to social protection purposes have been introduced since the government took over power in 1991. Following its control of power, the government declared agricultural development led industrialization (ADLI) as its major policy framework for development (FDRE 2002). The government also continued pursuing the food-for-work schemes of the previous regime and further introduced a developmental welfare policy in 1996. Under the developmental welfare policy framework, various initiatives pertaining to social protection services were implemented until it was replaced by the national social protection policy (NSPP) in 2014 (Dejene & Cochrane 2020). It was also in 1996 that the government issued a food security strategy (FSS) in order to address causality and effect of food insecurity in Ethiopia. The 1996 food security strategy document was further revised and updated in 2002 by sharpening the strategic elements. Agricultural development led industrialization (ADLI) was viewed to form the basis of the food security strategy (FSS), as it did with the poverty reduction strategy process (FDRE 2002).

Ethiopia implemented a series of ambitious midterm plans in the past fifteen years. The overarching objectives of the midterm plans were eradicating poverty and accelerating structural transformation with the vision of becoming middle income and carbon neutral status by 2025. The first five year plan was plan for accelerated and sustained development to end poverty (PASDEP) which was implemented during 2005/06 to 2009/10. This was followed by the first growth and transformation plan (GTP I) that was implemented from 2010/11 to 2014/15. The second growth and transformation plan (GTP II) was implemented from 2015/16 – 2019/20. One of the pillars of GTP-II was to make a breakthrough in light manufacturing so as to increase exports and the share of the industrial sector (UNDP 2018).

The existing Ethiopian Constitution, particularly Articles 41, 89 and 90, requires the government to implement social protection policies and strategies so as to provide assistance to the vulnerable

and to those who are at risk, to expand job opportunities to the poor and the unemployed, and to provide equitable social services to all Ethiopians. As stated in Article 41 (sub-articles:3-7) of the Constitution, all Ethiopians have the right to equal access to publicly funded social services. To this end, the Ethiopian government is responsible to allocate resources to provide social services such as public health, education and others; to provide rehabilitation and assistance to the physically and mentally disabled, the aged, and to children who are left without parents. It shall implement policies and strategies, such as undertaking programmes and public works projects, aimed at increasing job opportunities for the unemployed and the poor, and enhancing gainful employment opportunities for all citizens (FDRE 1995).

According to Article 89 (sub-articles:1-3), the government is required to formulate policies and strategies to ensure that all Ethiopians get access to equal opportunities to improve their economic conditions, to promote equitable distribution of wealth among the people, and to take measures to manage any natural and man-made disasters as well as to provide timely assistance to the victims. Also the government is obliged, by Article 90 (sub-article:1), to provide all citizens access to social services such as public health and education, clean water, housing, food and social security (FDRE 1995).

The establishment of a civil servant pension scheme in 1963, during the Imperial regime, marked the beginning of formal social protection in Ethiopia. The scheme was continued during the military regime (1974–1991) and stayed in effect until the declaration of various proclamations (#345 in 2003, #714 in 2011 and #907 in 2015) meant for amending it in the EPRDF regime. Although formal social protection began in 1963, a variety of state or non-state informal social protection practices such as faith-based services, *Idir* (burial societies), *Iqub* (informal savings groups) and other support mechanisms have been practicing since earlier times in Ethiopia (Dejene & Cochrane 2019).

While Ethiopia did not have a comprehensive and integrated social protection system until the national social protection policy (NSPP) officially launched in 2014, there have been a number of support mechanisms and interventions deemed to serve various social protection purposes. As pointed out in MoLSA (2012), these social protection programmes include social insurance programme, food security programme, health insurance, provision of basic social services,

national nutrition programme, support to vulnerable children, disaster risk management, support to persons with disabilities, support to older persons, urban housing and grain subsidies, and employment promotion. In the following section, an attempt is made to briefly discuss some of the aforementioned programmes and actions listed.

**i. Social Insurance Programme (Pension Scheme)**

The Ethiopian social insurance programme is a contributory pension scheme that has been managed by the national social security agency since 1963. Its coverage has been limited to civil servants, the police and military personnel only, which represents insignificant portion of the working population. Although the share is less significant, the private and charitable organizations did also start providing some employment benefits including provident funds following the establishment of the private organizations employees' social security agency (POESSA) in 2011 meant for managing the private sector social security fund. Other than these limited-coverage schemes, almost all self-employed, poor households in the informal sector and unemployed people have no access to any kind of formal social insurance. They are reliant on their own coping mechanisms, community social protection and humanitarian response. However, Proclamation No 715/2011 issued for POESSA is also made open on a voluntary basis to informal sector workers, employees of religious, political organizations, NGOs and civil society organizations (MoLSA 2012; 2016; Dejene & Cochrane 2019).

**ii. Health Insurance**

The government has been making efforts to expand health insurance schemes with the objective of achieving universal access to health services by reducing out-of-pocket payment. So far two health insurance schemes are in place: Social health insurance (SHI) and community-based health insurance (CBHI). The social health insurance is a payroll based insurance scheme intended for public employees and for formal sector workers in the private sector. According to Proclamation No. 690/2010 both employees and employers contribute to the social health insurance while the Government makes additional contributions for pensioners. The community-based health insurance is a non-payroll insurance targeting the informal sector workers and the rural poor. Both

the community-based health insurance & social health insurance target to cover about 50 per cent of people by the end of the health sector development (HSD- IV) period (MoLSA 2012; 2016).

### **iii. Food Security Programme**

Significant portion of the Ethiopian population has been suffering from persistent food insecurity. Before the introduction of the food security programme, particularly prior to the rural PSNP in 2005, the usual response to the persistent food insecurity was emergency relief obtained through an unreliable annual appeals process (MoARD 2009). The Ethiopian food security programme was launched in 2003 aimed at enabling chronically food insecure people attain food security and improving the food security situation of the transitory food insecure people. The programme has four major components: the rural productive safety net programme (PSNP), household asset building programme (HABP), the complementary community investment programme (CCIP) and the voluntary resettlement programme (MoLSA 2012).

The rural productive safety net programme (PSNP) was launched in 2005 to provide cash and/or food transfers to the food insecure rural households residing in chronically food insecure woredas across the country. The purpose is to smooth consumption, prevent asset depletion at the household level and create asset at the community level, thereby enhancing sustainable livelihoods. The household asset building programme (HABP) promotes the skills and income of food insecure households. It has now been incorporated into the PSNP as the livelihoods component of the rural PSNP. The household asset building programme component seeks to help rural PSNP beneficiary households build their livelihoods through crop and livestock, off-farm, and/or employment pathways. The programme provides financial literacy training, technical and business advice, and linkages to credit or livelihood transfers, as well as follow-up support. Thus rural PSNP and HABP complement each other to help chronically poor households increase their asset base and thus become sustainably food secure (MoLSA 2012; Anderson & Farmer 2015).

Voluntary resettlement programme is meant for enabling chronically food insecure households attain food security through migration and settlement with access to enough land to become food secure through farming (MoLSA 2012). Complementary community investment programme (CCIP) focuses on capital intensive community infrastructure development with the objective of

benefiting groups of food insecure people living in chronically food insecure woredas of pastoral, semi pastoral and moisture stressed highland areas. Complementary community investment is an intervention which is designed to create community assets and complement household investment through creating an enabling environment (MoLSA 2012).

#### **iv. Provision of Basic Social Services**

In line with the Constitution that requires the government of Ethiopia to provide basic social services to the people, there have been considerable efforts to create increased access to social services including health, education, nutrition and water. In the health sector, fee waivers are granted to the poor and vulnerable to allow access to health services related to communicable diseases such as TB, HIV/AIDS, and services such as immunization, maternal and neonatal health care. In addition, free child birth in government facilities, free treatment for malaria, pneumonia and severe malnutrition as well as a range of free health related services through the health extension programme (HEP) and the associated National Nutrition Programme are worth mentioning. In the education sector, parallel to expanding schools, the government has been providing complementary services such as school feeding in chronically food insecure areas and where enrolment is low as well as alternative basic education services in pastoralist areas. Expanding the provision of health and education related social services help improving human capital and eventually reducing the number of people requiring social protection (MoLSA 2012).

#### **v. National Nutrition Programme**

The enhanced outreach strategy/targeted supplementary feeding programme (EOS/TSF) was a free food service since 2004 intended for minimizing morbidity and mortality amongst children and lactating mothers with acute malnutrition. Since 2008 these activities were managed under the national nutrition programme (NNP) and have been operated by health extension workers (HEWs) to improve the nutritional status of the most vulnerable mothers and children, thereby reducing stunting amongst children under age five in the country (MoLSA 2012). The national nutrition programme (NNP) of Ethiopia has been guiding nutrition specific and nutrition sensitive interventions since 2008. The first phase of the national nutrition programme (NNP I) was developed to be implemented in 2008-2013. Considering the various limitations and challenges

occurred during its five year implementation period, it was revised and extended by two years to 2015. Later, the second phase of the national nutrition programme (NNP II) was developed and implemented in 2016-2020 with the objective of maintaining the achievements of the first phase and addressing challenges to accelerate the reduction of malnutrition (FDRE 2013; 2016).

While nutrition specific interventions are implemented mainly by the Ministry of Health, they are multi-sectorial including agriculture, social sectors, trade and industry (MoLSA 2012). The implementations of the first and second phases of the national nutrition programme created good enabling environment for the application of collaborative efforts among various stakeholders to reduce malnutrition. In spite of the progress, however, Ethiopia still faces complex nutritional problems, and malnutrition remains an important public health issue that requires further efforts. The programme also acknowledged that social safety nets are proven methods of ensuring the poor and most vulnerable get access to nutrition education and improve their dietary diversity (FDRE 2016).

#### **vi. Urban Housing and Grain Subsidies**

In its effort to protect the urban society, the government of Ethiopia has taken various measures to improve access to basic needs and to stabilize rising food prices. The government has been providing low income people in large urban areas, including Addis Ababa, with subsidized housing by replacing slums with condominiums. In addition, municipalities are constructing access roads in slum areas, providing public toilets and improving drinking water supply. In addressing the increasing price inflation, government has taken measures such as restricting grain export and reducing taxes on grains in order to regulate the market prices of some food items including wheat, sugar and edible oil for subsidizing low income households (MoLSA 2012). The government of Ethiopia had a plan to establish the urban productive safety net programme to address the economic pressure of the urban poor following the 2008 global food crisis. However, the government was not successful to realize it at that time for various reasons, among others due to effective donor support, and finally launched the food subsidy programme on consumer goods (Lavers 2016). Although the urban productive safety net programme was established in 2016, the government has still been subsidising basic food items such as wheat and edible oil; and the prices of basic items are still on the rise.



## **vii. Support to Vulnerable Children and Older Persons**

There have been various efforts made by the government in order to support vulnerable children and older persons through the Ministry of Labour & Social Affairs, and the Ministry of Women, Children & Youth together with their respective regional bureaus and woreda level offices. In some regions, there are attempts to raise resources from government offices and from the public which often focus on supporting the most vulnerable children. In this regard, the recent efforts that the Addis Ababa city administration is making to support children by providing school materials and school meals as well as to support helpless older persons by renewing their old and deteriorated residences is encouraging and appreciable (MoLSA 2012; 2016).

### **4.1.2 The Productive Safety Net Programme of Ethiopia**

The design of social safety net programmes include various parameters such as public works, cash transfers with or without conditionality, programme duration and graduation criteria. The parameters are determined mainly by technical soundness and administrative feasibility in order to maximize the intended impacts of the programmes. In fact, the political aspect should also be considered as an important parameter during the programme design to ensure adequate support of the ruling party. For instance, conditionality is among the important criteria of safety net programmes that could be proposed to attain technical and political motivations as well as to address perceptions related to deservingness by demanding beneficiaries exert efforts to receive benefits (Beegle, Coudouel & Monsalve 2018).

Started its implementation in 2005, the Ethiopia's productive safety net programme (PSNP) is one of the largest social protection programmes in Sub Saharan Africa (Berhane, Gilligan, Hoddinott, Kumar & Taffesse 2014; Knippenberg & Hoddinott 2017; Lavers 2016) and ‘...has been widely promoted as a model for the rest of the continent (Lavers 2016:3)’. Instead of the usual annual appeals and ad hoc distributions, the government of Ethiopia, in consultation with international donors, introduced the productive safety net programme (PSNP) as a new response to the existing chronic food insecurity in rural Ethiopia. In contrast to the annual emergency appeals, the PSNP was established to be a multiyear programme in order to deliver predictable and reliable transfers to the target households (Berhane et al. 2014). The process leading to the adoption of the PSNP

involved complex, long and fraught argument, against and for the programme design, between the Government of Ethiopia and the international donors, notably the UK's department for international development (DfID), USAID and the World Bank (Lavers 2016).

Payments for the beneficiaries of the PSNP are made in the form of food or cash for undertaking labour intensive public works intended to improve economic productivity. These works, undertaken between January and June each year, include road construction and maintenance, land rehabilitation, small-scale water harvesting and irrigation works, and well construction (Knippenberg & Hoddinott 2017).

Since 2005, three phases of the programme were implemented until 2014. The fourth phase, which started in 2015, was considered the most important turning point in which the rural productive safety net programme has become the flagship of a social protection system and a basis for the new urban productive safety net programme (UPSNP) launched since 2016. The programme has effectively targeted the intended rural households in the highland regions who are poorer and food insecure. However, targeting in the lowland regions of Afar and Somali is not effective owing to the interference of clan leaders in the process (Lavers 2016).

Social safety net programmes can contribute more to the larger development effort of economies than merely transferring resources. The Vision 2020 Umurenge Programme of Rwanda and the productive safety net programme (PSNP) of Ethiopia are good examples in this regard. Both programmes aimed at providing support for the poorest and contributing to the economy by developing community infrastructure. To avoid any undesirable development of dependency conditions, able-bodied beneficiaries are required to perform public works; and only those who cannot work are provided with unconditional support (Beegle et al 2018).

#### **4.1.3 National Social Protection Policy and Strategy**

The national social protection policy (NSPP) of Ethiopia was developed in 2012 and endorsed in 2014. The policy introduced the concept of a sustainable social protection system and moved forward the previous partial and fragmented provision of social protection to a comprehensive one. It gives due emphasis to those members of the society vulnerable to different social and economic difficulties, especially, children, women, persons with disabilities, elderly, labour

constrained, and the unemployed. The NSPP envisages the realization of social and economic wellbeing, security and social justice for all Ethiopians. The ultimate goal of the policy is to achieve poverty and vulnerability reduction by providing social assistance and social insurance, promoting productive employment, and ensuring active participation of citizens for the realization of social protection rights (MoLSA 2012; 2016).

For the purpose of achieving its mission, the policy attaches importance to five integrated focus areas as strategic directions. These are productive safety net, employment and livelihoods support, social insurance, access to basic social services, and legal protection and support to those vulnerable to abuse and violence. The productive safety nets focus area intends to provide poor and vulnerable rural and urban households with predictable conditional or unconditional transfers in the form of cash or food in order to improve their food consumption and access to essential services. The employment and livelihoods support focus area is aimed at providing poor households with technical and financial support and labour market information in order to promote employment and livelihood outcomes (MoLSA 2012; 2016).

The social insurance scheme focuses on enhancing mandatory insurance for formal sector workers and introducing innovative insurance products for the rural poor and urban informal workers as well as supporting informal social protection mechanisms to develop to the formal system. The fourth focus area is aimed at increasing access to health, education and other basic social services for the most vulnerable in the form of health fee waivers, subsidized health insurance, specialised services for people with disabilities, pregnant and lactating women, and school feeding. The fifth focus area is meant for addressing violence, abuse and exploitation through the provision of legal protection and support to defend and empower the most disempowered and marginalised citizens (MoLSA 2012; 2016).

Following the endorsement of the NSPP in 2014, the national social protection strategy was developed in 2016 to operationalize the vision, mission and objectives stated in the NSPP. The National Social Protection Strategy categorizes the poor and vulnerable people identified in the NSPP into three major categories. In the first category are those households living below the poverty line, which are most likely to be food insecure and thus, they are the consumption poor. In the second category are those households vulnerable to multi-dimensional poverty, who face a

wider range of deprivations, related to mortality, health, nutrition, water, sanitation, education and other basic necessities of life. In the third category are some or all of those vulnerable individuals and households who are socially excluded because they can't afford to pay for entry fees or they are physically or mentally impaired to join in. Hence, people may be actually deprived (poor) or at risk of deprivation (vulnerable) or any of the three categories implying that they are not mutually exclusive (MoLSA 2016).

The national social protection policy brings a shift from the developmental social welfare policy to a comprehensive and sustainable social protection system with four dimensional objective and harmonized system of protection, prevention, promotion and transformation. The protective actions are to safeguard citizens from economic and social deprivations through emergency interventions and targeted cash transfers. The preventive actions are designed to avert deprivations or to mitigate the impact of adverse shocks including health and unemployment insurance. The promotive actions aim to enhance assets, human capital and income earning capacity, while the transformative actions are meant for building institutional capacities to better manage the social protection system through legal and judicial reforms, budget analysis and policy evaluations.

The strategy document attempts to harmonize the five focus areas of the national social protection policy with the four objectives of protection, prevention, promotion and transformation considering the three categories of the poor and vulnerable people as mapped in the ensuing table (Table 4.1). Distribution of spending on social safety net programmes as a share of total spending on safety net programmes by programme type and life cycle. Ethiopia is the only country which allocated all its spending on social safety net to public works programmes. Other east African countries such as Somalia and South Sudan allocated all their social safety net spending to cash transfers and emergency programmes, respectively. Rwanda, Tanzania, and South Africa allocated 66 per cent, 54 per cent and 53 per cent, respectively while Kenya and 47 per cent and Mozambique allocated 41 per cent, in that order, on cash transfers programmes (Beegle et al 2018).

**Table 4.1: Focus Areas mapped to the four objectives of social protection**

<b>Focus Areas (FA)</b>	<b>Protection from deprivations</b>	<b>Prevention of deprivations</b>	<b>Promotion of livelihoods</b>	<b>Transformation &amp; empowerment</b>
<b>FA1: Promote Productive Safety Nets</b>	Social transfers improve food security and access to essential services	In case of shocks, social transfers prevent loss of life, catastrophic asset depletion, the irreversible damage caused by infant malnutrition and the separation of children from their families	By enabling productive investments, social transfers promote livelihoods	Social transfers can empower women and vulnerable groups by increasing their control over cash and food
<b>FA2: Promote Employment &amp; Improve Livelihoods</b>			Tailored support promotes employment and livelihoods of the poor	Increased implementation of labour standards protects the rights of vulnerable workers
<b>FA3: Promote Social Insurance</b>		Social insurance prevents/ mitigates the negative (and sometimes irreversible) effects of shocks on lives and livelihoods	By enabling households to better manage risks, social insurance enables engagement in activities with higher returns	
<b>FA4: Increased Access to Basic Services</b>	Fee waivers, health insurance subsidies and social transfers increase access to essential services for the most vulnerable	In the case of a health shock, fee waivers, health insurance subsidies and social transfers prevent loss of life and depletion of household assets	By enabling investment in children's health and education, their long term productivity is enhanced	If vulnerable children are educated, they will be more aware of their rights and responsibilities than if they were not educated.
<b>FA5: Address Abuse, Violence, Neglect &amp; Exploitation and provide legal protection and support</b>	Rehabilitation of victims of abuse, violence, neglect and exploitation	Victims have access to legal, social and financial support mechanisms....	Identify and campaign for voicing for the voiceless against different forms of abuse, violence, neglect, exploitation, etc.	By preventing and responding to abuse, violence, neglect and discrimination, the rights of the most vulnerable are promoted

Source: MoLSA (2016: 8)

#### **4.1.4 Urban Food Security Strategy (UFSS)**

The urban food security strategy (UFSS) of Ethiopia was developed in 2015 within the framework of the national social protection policy by the Ministry of Urban Development and Construction (MoUDC). The urban food security strategy (UFSS) was followed by a 10-year urban job creation and food security programme (UJCFSP). The urban job creation and food security programme (UJCFSP) aimed at addressing food insecurity and curbing the rising levels of vulnerability in urban areas. The programme targeted to support over 4.7 million urban poor living in 972 cities and towns across the country over a long-term period through a gradual roll-out plan in different phases starting with big cities that have a population of over 100,000 people (MoUDH 2016). The UPSNP is said to be the first instrument of the government to implement this strategy.

### **4.2. Characteristics of the Urban Productive Safety Net Programme of Ethiopia**

It was in 2016 that the Government of Ethiopia made agreement with the World Bank to implement the urban productive safety net programme. The government practically showed its commitment by allocating USD 150 million in advance to the five-year estimated cost of USD 530 million while the World Bank committed USD 300 million (Lavers 2016).

#### **4.2.1 Scope and Principles of the UPSNP**

In addressing the existing poverty, food insecurity and vulnerability of urban areas, the Government sought to implement urban productive safety net programme (UPSNP) in a phased approach. This approach is believed to have the advantage of coping with initial start-up challenges of low capacity, inexperience, weak institutional arrangement as well as documenting best practices and drawing lessons to facilitate faster and informed scale-up in later phases. The UPSNP scaled up to a national urban job creation and food security programmes which is designed to support over 4.7 million urban poor living in 972 cities and towns. The programme was scaled up systematically so as to ensure that capacity is built before project implementation begins in each area.

Accordingly, the urban productive safety net project (UPSNP) is the first phase of the programme, designed for five years (2016/17-2020/21) targeting 11 major cities that include Addis Ababa,

Dire Dawa, and one major city/town from each of the nine regional states. In the first phase, 604,000 beneficiaries in the 11 cities were targeted through a gradual roll-out plan during the five-year period. The broad criteria for the selection of these cities/towns were the poorest 12 per cent and about 55 per cent of people living below the poverty line (MoUDH 2016).

According to the programme implementation manual, stated in MoUDH (2016: 6), the urban productive safety net programme has ten principles as listed below.

**1. Goal oriented:** all activities and interventions are geared towards the goal of reducing urban food insecurity and vulnerability.

**2. Strategic based:** interventions are aligned with Government's policies, strategies and programme so as to create synergy and accelerate poverty reduction.

**3. Fair and transparent:** planning, targeting, implementation and other processes shall be fair and transparent. .

**4. Non-discrimination:** all programme beneficiaries are treated equally.

**5. Timely, predictable and appropriate transfers:** clients know the amount of transfer they will receive well in advance (predictable), the transfer is provided to clients before or at the time during the year when they need it most (timely) and the transfer meets the needs of households (appropriate).

**6. Integration with local sustainable development plans:** the urban productive safety net programme plans are integrated into wider development plans of City and woredas/ kebeles administrations.

**7. Gender equity:** the urban productive safety net programme is designed to respond to the unique needs, interests and capabilities of women and men to ensure that they benefit equally from the programme.

**8. Avoiding dependency syndrome:** the urban productive safety net programme 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.

**9. Confidentiality (link it to ethics):** all client information stored in electronic or print form remains confidential and not transferred to any third party.

**10. Clients' access to information:** urban productive safety net programme clients both public work (PW) and direct support (DS) have access to information stored about them and their families at any time they request.

#### **4.2.2. Programme Components and Target Beneficiaries of the UPSNP**

The urban productive safety net programme (UPSNP) has three major components: safety net support, livelihood services, and institutional strengthening & project management. The first two components, safety net support and livelihood services, are directed to the targeted beneficiaries of the programme; while the third one is meant for supporting capacity building and strengthening of programme management and systems of the implementing institutions (MoUDH 2016).

For the purpose of targeting, the first two programme components are identified as two sub-programmes, safety net support and livelihood services sub-programmes, from which individual households receive benefits. In both sub-programmes beneficiaries are screened for entry into the programme based on assessed poverty status and evidence of resident. The expected characteristics of potential households to be targeted in the sub-programmes are described as follows.

##### **1. Safety Net Support Sub-Programme**

The safety net support sub-programme has two main categories: conditional transfers (labour-intensive public works) and unconditional transfers (permanent and temporary direct support). There are at least two important eligibility criteria for a household to be targeted in the safety net support sub-programme. First, the household is required to have been residing in the programme area for at least six months; and second, it should be validated by the targeting committee that the household is poor and vulnerable and unable to meet its food needs.



## **I. Labour Intensive Public Works (Conditional Transfers) Beneficiaries**

Beneficiaries under this group are characterized by individuals from households who do not earn any income or who earn inadequate income to meet their basic needs. Individuals in this group are from households who do not have enough income to meet their basic needs because they are unemployed or underemployed, or engaged in low-wage employment or in marginal self-employment. The public work category constitutes 84 per cent of the total beneficiary households of the programme. In addition to the aforementioned two eligibility criteria, households under this category need to have able bodied persons; and a maximum of four members per a household are allowed participating in the public work. Households who meet these criteria will work and be entitled to 12 months payments.

Effective and sustainable public work (PW) can generate temporary employment for the urban poor while also creating access to useful productive assets and services for the community at large. In order to maximize labour utilization and the amount of transfer to the target households, the labour intensity level of the public work is planned to be not less than 70 per cent on average. On the other hand, the proportion of capital (labour replacing machinery) is kept not to exceed 30 per cent on average.

Among the undesirable developments associated with urbanization are population pressure, leading to congestion and slum living conditions and waste disposal problems. In this regard, urban productive safety net programme presents the first major opportunity to address these problems while at the same time providing employment for the poor and vulnerable. The proposed public works components therefore focused on the labour intensive work activities such as urban solid waste management and environmental cleaning, urban beautification and greenery, urban integrated watershed management and upgrading of social infrastructure.

Participation in the public works is designed to ensure it does not result in unnecessarily high levels of opportunity costs (foregone income opportunities from other sources). Specifically, the following measures are taken:

- Individuals will self-select the number of days they spend on public works up to a cap that is 60 days per household member and a maximum of 240 days for up to 4 persons per a household.
- The daily conditional payment rate is set lower than the average market wage rate received for unskilled work in the programme area. This encourages targeted households to pursue other work first and take public works option as the last resort,
- The livelihoods grant provided through the livelihoods component will match any amount saved from labour intensive public works payments so as to encourage individuals to use labour intensive public works to increase, not replace, income.

As described in the project implementation manual (MoUDH 2016), potential public works sub-projects for the urban areas and customized to the special environments in each of the participating cities are categorized into five as briefly described below.

#### **i. Urban Solid Waste and Environmental Cleaning**

The urban solid waste management and environmental cleaning activities comprise of street sweeping, door to door waste collection, cleaning illegal dumping and water bodies, management of market and public spaces waste, waste segregation and waste recycling activities. These activities are expected to have significant environmental and human health benefits.

#### **ii. Urban Beautification and Greenery**

Urban beautification and greenery development activities have recently become widespread in Ethiopia, particularly after the new Prime Minister, Abiy Ahmed (PhD), resumed power in 2018. The activities focus on urban landscaping and basic green infrastructure development including nursery seedling production and management, planting and management of trees in urban parks, institutional compounds as well as communal housing compounds and urban renewal areas. In addition, landscaping and planting of different trees, grasses and flowers at road sides, road medians, traffic squares and urban open spaces are among the activities included under beautification and greenery.

### **iii. Urban Integrated Watershed Development**

The urban integrated watershed development activities include biological and physical soil and water conservation measures as well as cleaning of drainages and rivers. These activities are considered to have desirable environmental functions such as improving land productivity, soil fertility, access to drinking and irrigation water, minimization of runoff and river pollution.

### **iv. Urban Social Infrastructure and services**

The urban social infrastructure and services related activities focus on construction and/or rehabilitation of social infrastructure sub-projects such as class rooms, child care centers, health posts, cobblestone roads, public latrines etc., which are considered beneficial to the poor community. However, these sub-projects are supported provided that they are labour intensive and the overall capital costs do not exceed 30 per cent of the total costs.

### **v. Other Types of PW Sub-Projects**

In addition to the activities listed above, other activities that may reflect specific needs of a given urban community may be well thought-out as long as they fit in existing urban planning frameworks and the UPSNP criteria.

## **II. Unconditional Transfer Beneficiaries**

### ***A. Permanent Unconditional Transfer Beneficiaries***

These are characterized as households that have no healthy and working age individuals able to participate in public works. In other words, these household members are labour constrained because they are either too young or chronically ill or people with disability or old aged, who have limited or no support. On top of the two general eligibility criteria, households under this category should have no able bodied persons; and thus, all household members are enrolled for the transfers. Households or individuals who meet these criteria are not required to work and are entitled to 12 months payments.

### ***B. Temporary Unconditional Transfer Beneficiaries***

These are characterized as households that have lost the ability to participate in public works on a temporary basis and exempted from public works for being pregnant, lactating or due to accident or illness. Along with the two general eligibility criteria, households under this category are required to have evidence of the reasons for exemption from public works and do not have able bodied persons. Households or individuals who meet these criteria are not required to work and are entitled to payment for the number of months they are exempt from public works.

### ***C. Psycho-Social Support beneficiaries***

This support is directed to street dwellers including street children, the homeless and beggars. Psychosocial support addresses the psychological impact of stressful events experienced in homelessness, living on the streets, and begging in order to transition from the current state to becoming employable or engage in livelihood options. Because they have no fixed address, identifying these special target groups can be challenging. In addition, it is aimed to link basic services such as education and health care services with supplementary food and shelter to these groups of beneficiary households including those headed by disabled or elderly people, street dwellers, and person with chronic mental problems. This group of beneficiaries may be treated in either of the public works/livelihoods group or the permanent/temporary direct support, as appropriate.

## **2. Livelihood Services Sub-Programme**

The second sub-programme is the livelihood services whose beneficiary target group is one member per a household for 84 per cent of the urban productive safety net programme clients under Sub-programme-1. The characteristics of the target group for livelihood services are as follows:

- Individuals in poor households receiving conditional transfers who desire increased access to quality work
- Households with an unemployed or underemployed member, who is able to increase the hours spent in employment, would be encouraged to select this member.

- Households in which members are engaged in marginal self-employment may opt for this member to receive support to increase the productivity of their self-employment.
- Households with a member in low-wage employment may choose this member to receive support to transition to a new wage opportunity.

The livelihoods services component supports interventions that facilitate graduation from the programme and promote moving out of poverty. The target groups for these interventions are individuals in households receiving conditional transfers who desire more and higher-paid work. One individual per household receives this support and estimated to be a total of 98,000 eligible individuals. The household will select a member (male or female) that meets one or more of the following criteria:

- capable of undertaking a livelihood option chosen by the household;
- able to participate in trainings appropriate to the chosen livelihood option;
- willing to work in groups with similar livelihood options;
- literacy is an advantage for ease of access to business information but it is not mandatory.

The implementation of livelihood support is run by the urban job creation and food security agency (UFSJCA) through a one stop centre at agency and *woredas/ kebeles* levels. It is implemented through two main mechanisms: counselling and life skills development, and financial support and training for livelihoods development.

#### **4.2.3. Targeting Process and Transfer Entitlements**

Programme beneficiaries are identified through a combination of geographic targeting, community-based targeting, proxy means tests (PMT) and self-selection. The urban productive safety net programme is inherently a geographically targeted programme in that it operates only in selected cities/towns in Ethiopia. The process of targeting is bottom up starting from ketena to kebele to woreda/ sub-city and then to city level where beneficiary numbers are aggregated. City poverty maps have produced three level of poverty: low (less than 20 per cent), moderate (between 20 per cent and 40 per cent) and high (above 40 per cent). In the first year of implementation, the programme started by selecting the poorest woredas (those with high and

moderate poverty rates) while the remaining high and moderate poverty woredas were included in the second year. In the third year, low poverty woredas were also included.

The targeting process that the UPSNP followed was found to have no significant problems as was witnessed by the beneficiary households as well as by the key informants during the field survey. The retargeting process during the course of the implementation was also found to be one of the good determinations of the programme to minimize or avoid the exclusion and inclusion errors. In the ensuing flow chart, the programme entry or targeting process is summarized into five stages: geographic targeting, community targeting of programme beneficiaries, developing PMT, category targeting, and registration and issuing ID cards.

**Table 4.2: Summary Table for Programme Entry**

Targeting step	Explanation
Geographic targeting	Used to identify the poorest city, sub city/ woreda, and kebele/ ketena based on poverty maps.
Community targeting	Potential beneficiaries are selected by ketena targeting committee (KTC) with in ketena/ kebele based on the criteria set. The KTC is composed of 7, 9 or 11 members of which 3-4 members are women.
Proxy means test (PMT)	Data should be gathered through proxy means test so as to get reliable information about the living conditions and livelihoods of households
Categorical targeting	Helps to determine the beneficiaries are eligible for different programme elements (conditional or unconditional transfers)
Registration & ID provision	The process of registration and documentation and each of the eligible clients is issued with an ID card.

*Source: MoUDH 2016*

In the case of the conditional transfers, each eligible urban household stays in the programme for three years and is entitled to transfers for over 12 months by providing labour for public works per average family of four members for up to 240 days in the first year, 160 days in the second year, and 80 days in the third year. Wages for PW beneficiaries are paid to client through bank accounts opened in the nearest Commercial Bank of Ethiopia (CBE) within 15 days after the end of each month. The daily wage rate for this group of beneficiaries is determined taking into account the market wage rate for similar or comparable unskilled labour, the availability of individuals to undertake their co-responsibilities, and market prices of basic food items. Accordingly, a daily

payment rate of Eth. Birr 60 (sixty Eth. Birr) per day (equivalent to USD 2.91, as of October 2015) was proposed for the first and second years of the programme (MoUDH 2016). This rate was revised later and made Eth. Birr 90 (ninety Eth. Birr) per day in 2020 (equivalent to USD 2.58, as of July 2020) considering the increasing market prices of basic food commodities.

Nevertheless, the daily wage rate of Eth. Birr 90 was equivalent to USD 2.05 in July 2021, a 20.5 per cent decline in a year. The first and second year beneficiary households had already graduated in the mid of 2020 and 2021; and the last beneficiaries of the first phase were on their third year and about to graduate in the mid of 2022. Be it in 2020 or 2021, a beneficiary household in the second year earned Eth. Birr 3,600 per person or Eth. Birr 14,400 per average family of four per year. On the other hand, a third year beneficiary, who was about to graduate, earned Eth. Birr 1800 per person or Eth. Birr 7200 per average family of four per year. In the face of the rising prices and scarcity of other jobs in 2020 and 2021, it would have been too difficult to beneficiaries to meet even the national food poverty line of Eth. Birr 3772 per adult per year, let alone the national poverty line of Eth. Birr 7,184 per adult per year.

In the case of the unconditional transfers, the direct support (DS) clients receive Birr 170 per person per month and a maximum of four family members are eligible. That means, a family of 4 persons receives Eth. Birr 680 per month. On the other hand, the DS clients who are considered urban destitute (street children, the homeless and beggars) receive transfer which is significantly higher than for the other categories of the urban poor (Eth. Birr 600 per person per month for 12 months). This amount of the transfer is supposed to meet the specific needs of street children, the homeless and beggars. These beneficiaries will also be supported through providing health care, housing, rehabilitation, reunification and reintegration. The transfer will be based on a fixed monthly payment schedule at the end of each month (MoUDH 2016).

The UPSNP uses a three-cycle/year integrated model or pathway designed to provide income support and increase employability through the first two components (safety net support and livelihood services) in three years period. In the first cycle/year, beneficiaries will receive transfers conditional on meeting their co-responsibilities followed by life skills training and guidance on the employment pathways. In the second cycle/year, beneficiaries will continue to receive the conditional transfers, the training and the job-matching services to expand

employment options. In the third cycle/year, the beneficiaries may have the option to continue to receive a small amount of conditional transfers to supplement income derived from employment secured as a result of the programme support or through other means. At the end of the third year, beneficiaries are expected to graduate; and new clients will be added on a needs basis using the targeting system. The support will be provided for a maximum of three years but some beneficiaries may choose to graduate earlier. As stated in the implementation manual, given that it is a first project of this nature in urban areas, the proposed approach (including graduation from the programme) particularly the livelihood services interventions will be piloted, evaluated, course-corrected, and expanded as needed (MoUDH 2016).

As envisaged in the rural PSNP, the UPSNP was also designed to be both protective and productive to facilitate a smooth graduation of beneficiary households. For this purpose, *“...participants will receive training over three years and livelihood grant in the third year to enable them to set up their own business”*(Lavers 2016:20). It was also hoped that the implementation of the UPSNP would relieve the spending on food subsidies that reached near to USD 0.5 billion. The government ambitiously planned to graduate 80 per cent of the beneficiaries of the UPSNP within three years (Lavers 2016). However, regardless of the encouraging efforts made so far, the performance of the programme seems lower than expected in which neither the subsidies are released nor the graduated beneficiaries are self-reliant.

Had some external and internal factors not been occurred, the UPSNP could have performed better. The ever increasing prices of basic items and declining of job opportunities associated with the incidence of COVID-19 pandemic are among the major external factors responsible for the problem. In addition, the fact that the Federal Government was in conflict with the Tigray region in the past one and half year has seriously affected the implementation of the UPSNP in the regional city, Mekelle. Internally, there were some concerns that were raised during the interview made with woreda officials and experts. According to them, the irregularity and delay of the supply of working materials, particularly safety materials, for the public work participants was an important problem that have been negatively affecting the implementation of the programme. The woreda experts further argued that, although they used to start working earlier in the morning every working day of the public work, they were not paid for that and treated as any public



servant working in a regular working hours. Indeed, this could be an indication of the weak institutional performance of the programme that needs to be improved.

### **4.3. Overview of Urban Productive Safety Net and Jobs Programme (UPSNJP)**

#### **4.3.1 The UPSNJP- A Continuation of the UPSNP**

The long-term programme framework has an objective of reaching 4.7 million poor in 972 urban areas by implementing productive and predictable urban safety nets and complimentary livelihood interventions. The urban productive safety net programme (UPSNP) was designed to address urban poverty and has been successfully implemented in 11 major cities, including Addis Ababa where 75 per cent of the activities took place. The first phase supported by the urban productive safety net programme ran from 2016/17 to 2020/21 and included cash-for-work programme, livelihoods grants, permanent direct support (PDS), services for urban destitute (homeless), and institutional strengthening and project management. The programme has been successfully scaled up and reached 600,000 beneficiaries, about 60 per cent of whom are women. A total of 152,703 bank accounts have been opened for previously financially excluded households, and beneficiaries have already saved USD 8.7 million. The public works beneficiaries have increased their incomes and savings, improved mental health, and improved children's human capital development (MoUDC 2020a).

Through the urban productive safety net and jobs project (UPSNJP), the Government of Ethiopia (GoE) and the World Bank have agreed to scale up the programme to an additional 72 new cities or towns in the second phase. Based on the size of regional urban population, unemployment rate, poverty level, and equity grant formula, the additional regional share is allocated as 29 cities or towns for Oromia, 16 for Amhara, 14 for SNNP, 5 for each Tigray and Somalie, 1 for each to Gambella, Afar and Benishangul-Gumuz regional states. Hence, the current urban productive safety net and jobs programme (UPSNJP), with additional new components and features, is a continuation and expansion of the urban productive safety net programme (UPSNP) that was implemented in the first phase (MoUDC 2020a). Like the first phase, the objective of the urban productive safety net and jobs programme (UPSNJP) is to support and lift up poor urban households and individuals from absolute poverty to self-sufficiency through a variety of

interventions. The urban productive safety net and jobs programme will be funded by the World Bank (IDA) with an amount of 500 million USD and Government of Ethiopia with 236 million USD (MoUDC 2020b).

#### **4.3.2. Project Components and Subcomponents of the UPSNJP**

The Government of Ethiopia has decided to expand the urban productive safety net to 83 cities or towns (11 existing and 72 new cities or towns) in the next five years, by rolling out the number of beneficiaries in each city by waves. To deal with the challenges of urban poverty and unemployment, particularly during Ethiopia's COVID-19 recovery phase, the urban productive safety net and jobs programme will be focusing on livelihoods and labour market integration of youth, protecting the most vulnerable groups including the elderly, disabled, and homeless as well as refugees and host communities (MoUDC 2020b). Unlike the previous one, *'the new design of the Urban Productive Safety Net and Job Project (UPSNJP) has made a paradigm shift in incorporating a component for the integration of refugees and host communities in selected localities'* (ILO 2021). The second phase project is proposed to have the following five components (MoUDC 2020b).

##### ***Component 1: Expand the Urban Productive Safety Net to Improve the Urban Environment.***

Building on the experience of the UPSNP, this component provides public works and livelihood support to selected urban poor households, including refugees, in up to 83 cities or towns, considering city-level poverty and unemployment rates, administrative capacity, and regional equity. Under this component of the project, there are three sub-components. Sub-component-1 is about public works. It is aimed at engaging the urban poor in public works in order to make beneficiaries receive conditional monthly payments, based on a daily wage adjusted to be below the local labour market wage rate. Subcomponent-2 focuses on livelihood development, intended to provide support for business development and livelihood grants through technical, financial, and behavioural change. Subcomponent-3 is about integration of refugees and host communities. It is meant for involving households from host communities and refugee camps, living near selected cities or towns, in a joint public works and livelihoods programme.

### ***Component 2: Foster Urban Youth Employment.***

The youth employment component arranges for a first work experience for disadvantaged urban youth and support reforms in job search services, in up to 11 cities. It consists of two sub-components. Subcomponent-1 aims to offer a first work experience for less educated urban youth to address key obstacles to labour market integration by providing a first work experience in the form of six-month apprenticeships. Subcomponent-2 intends to strengthen employment and intermediation services with the objective of improving employment opportunities by consolidating labour market intermediation services through appropriate interventions.

### ***Component 3: Strengthen Social Assistance and Services for the Urban Poor and Destitute.***

This component is designed to strengthen urban social assistance by expanding direct income support for the labour-constrained urban poor in up to 83 cities or towns and by providing reintegration services for the urban destitute and homeless living in up to 22 cities or towns. Again this component has two sub-components. Sub-component-1 is meant for expanding permanent direct support (PDS). It seeks to provide a combination of cash and service link assistance to labour-constrained people such as the elderly, people living with disabilities, orphans, and people with HIV/AIDS or other chronic health issues. Sub-component-2 focuses on providing services for the urban destitute with no support from relatives, government, or NGOs. For this purpose, the identified four categories of the homeless include: (a) homeless women and mothers with children; (b) unaccompanied children between the age of 4 and 18 years; (c) homeless adults between the age of 19 and 59 years; and (d) homeless elderly 60+ years of age.

### ***Component 4: Institutional Strengthening, Project Management and Monitoring and Evaluation.***

This component intends to build the institutional capacity of relevant institutes such as the urban job creation and food security agency (JOBFSA), Ministry of Labour and Social Affairs (MoLSA), job creation commission, the agency for refugee and returnee affairs (ARRA), as well as regions, cities and woreda offices. It seeks to build safety net systems and foster public private partnerships for livelihood development; and further strengthens and supports key processes such

as targeting, enrolment, payments, grievances, citizen engagement, and monitoring of the project elements.

#### ***Component 5: Contingent Emergency Response Component (CERC).***

This component is named *a zero-dollar component*. It will be activated and funded only in case of a declared emergency that affects the economy or the environment and threatens to increase the vulnerability of the urban population.

#### **4.4. Summary**

This chapter presented the major social protection interventions to deal with poverty, vulnerability and inequality through various policies and strategies aimed at addressing the first objective of the study. While the social protection models were varying from regime to regime and from time to time, government's intervention in social protection in Ethiopia had begun during the Imperial period. An attempt was made to overview the social protection efforts made before and after the launching of the national social protection policy (NSPP) of Ethiopia, including the urban productive safety net programme. It was also attempted to remind that the existing Ethiopian Constitution, particularly Article 41, 89 and 90, requires the government to make social protection interventions so as to provide assistance to the vulnerable, to those who are at risk, and to provide equitable social services to all Ethiopians.

Although Ethiopia had not had a comprehensive and integrated social protection system until the implementation of the national social protection policy (NSPP) in 2014, there have been a number of support mechanisms and interventions deemed to serve various social protection purposes. Some of the social protection programmes, including social insurance programme, food security programme, health insurance, provision of basic social services, national nutrition programme, support to vulnerable children and older persons, and urban housing and grain subsidies were briefly discussed.

Later in 2014, the national social protection policy introduced the concept of a sustainable social protection system and shifted the previous partial and fragmented system of social protection to a comprehensive one. The policy gave priority to vulnerable groups including children, women,

persons with disabilities, elderly, labour constrained, and the unemployed. The policy set an ultimate objective of reducing poverty and vulnerability through providing social assistance and social insurance, promoting productive employment, and ensuring active participation of citizens. Within the framework of the NSPP, the urban food security strategy (UFSS) of Ethiopia was also developed in 2015, which was followed by a 10-year urban job creation and food security programme (UJCFSP). The urban job creation and food security programme (UJCFSP) aimed at addressing food insecurity and curbing the rising levels of vulnerability in urban areas over a long-term period through the urban productive safety net project.

More importantly, a special emphasis was given to discuss the main characteristics of the urban productive safety net programme (UPSNP) implemented in the first phase, 2016/17 to 2020/21. The urban productive safety net programme was the first phase of the programme designed for five years targeting 11 major cities that include Addis Ababa, Dire Dawa, and one major city/town from each of the nine regional states. In the first phase, 604,000 beneficiaries in the 11 cities were targeted through a gradual roll-out plan during the five-year period. The broad criteria for the selection of these cities/towns were the poorest 12 per cent and about 55 per cent of people living below the poverty line. The urban productive safety net programme has three major components: safety net support, livelihood services, and institutional strengthening & project management, of which the first two components are directed to the targeted beneficiaries of the programme. The programme beneficiaries were identified through a combination of geographic targeting, community-based targeting, proxy means tests (PMT) and self-selection. The UPSNP uses a three-year integrated pathway designed to provide income support and increase employability for a maximum of three years while some beneficiaries may choose to graduate earlier. However, regardless of the encouraging efforts made so far, the performance of the programme was affected by some external and internal factors such as increasing prices, incidence of COVID-19, the conflict in Tigray region as well as other internal factors associated with the weak institutional performance of the programme.

Finally, following the completion of the first phase supported by the urban productive safety net programme from 2016/17 to 2020/21, the Government of Ethiopia and the World Bank have agreed to scale up the programme to additional 72 new cities or towns in the second phase through the urban productive safety net and jobs programme (UPSNJP). Similar to the first phase, the

objective of the urban productive safety net and jobs programme is to support and lift up poor urban households and individuals from absolute poverty to self-sufficiency. Taking into account the COVID-19 recovery phase, the urban productive safety net and jobs programme will be focusing, on livelihoods and labour market integration of youth, protecting the most vulnerable groups including the elderly, disabled, and homeless as well as refugees and host communities. The next and fifth chapter presents the analysis of the household survey data, in line with the remaining three objectives, and discussion of the research findings.

## **CHAPTER FIVE**

### **DATA ANALYSIS AND RESEARCH FINDINGS**

#### **5.0 Introduction**

This chapter focuses on the analysis of the data from primary sources (survey, key informants' interviews and observations) as well as secondary sources and discussion of the research findings. The findings are presented in five sections in line with the remaining three objectives (objective 1, 2 and 3) of this study. First, the various demographic and socioeconomic characteristics of the beneficiary households followed by their livelihoods are presented in detail. Next, the food insecurity levels of the beneficiary households are discussed using various measures. In line with the third research objective, households' vulnerability to food insecurity and coping strategies are also the other topics of discussion. Lastly, perception of beneficiaries about the contribution of the urban productive safety net programme on livelihoods is presented in order to meet the fourth specific objective of the study. The data are presented using tables, figures and pictures as appropriate.

#### **5.1 Socio-Demographic Characteristics of Respondents**

Under this section, the results of a range of demographic and social characteristics of the respondent households participated in this study are presented. The household survey covered a total of 200 UPSNP beneficiary households, 50 respondents from each of the four woredas in four sub cities of Addis Ababa city; namely, woreda-5 of Addis Ketema sub city, woreda-4 of Arada sub city, woreda-1 of Gulele sub city and woreda-4 of Yeka sub city. Addis Ketema sub city woreda-5 and Gulele sub city woreda-1 represented the first batch (first round) beneficiaries while Arada sub city woreda-4 and Yeka sub city woreda-4 represented the second batch (second round) beneficiary households of the project.

Owing to the 5 per cent extra questionnaires collected to substitute incomplete questionnaires, the response rate was 100 per cent. The demographic and social characteristics of the study participants described are the age and sex structure, the marital status and household size, ethnic and religious composition as well as education and migration status.

The sex wise distribution of the surveyed beneficiaries indicated that 90 per cent of them were females and only 10 per cent of them were males. This is, of course, consistent with the reality on the ground that females are disproportionately unemployed and economically marginalized, and hence, as stated in MoUDC (2020a), 60 per cent of the project beneficiaries were women in the first phase of the programme. In terms of headship, however, 56.5 per cent out of the total surveyed households were female-headed. In similar studies conducted in Addis Ababa, the proportions of female-headed households were found even larger, 71.1 % in Argaw (2019) and 62.9 % in Derso et al (2021). In all the four sample woredas, the majority of the respondents fell in the adult age category. About 39 per cent of them were within the age category of 35 to 49 years, 34 per cent were within the age range of 50 to 64 years, 23 per cent were between 20 to 34 years, and only 4 per cent of the respondents were 65 years or above. This is expected as all of the respondents were under the public work category of the project. A Chi square test statistics shows that there is a statistically significant difference among the sample woredas in terms of the different age categories ( $\chi^2=25.528$ ,  $df=8$  &  $P=0.001$ ).

With regard to marital status of respondents, 43 per cent of them were married while 14.5 per cent were single. The remaining 24.5 per cent and 18 per cent respondents were widowed and divorced, respectively, who were all women. A Chi square test statistics shows that there is a statistically significant difference among the sample woredas. Comparing with other similar studies in Addis Ababa, the proportion of study participants who were married in Argaw (2019) and Derso et al (2021) were 44 per cent and 52.2 per cent, respectively.

The size of a household is one of the important socio-demographic characteristics worth considering in analysing livelihoods and food insecurity at household level. The average family size of the surveyed households was 4.33, with a minimum of one and a maximum of 8. Out of the total surveyed households, 43.5 per cent of the households had a family size ranging between 4 and 5, 30.5 per cent had between 1 and 3, and the remaining 26 per cent had a family size between 6 and 8. The average household size of the surveyed households is found to be similar to that of the baseline data collected in 2016 and other two studies conducted in Addis Ababa. According to Franklin, Girum & Tigab (2016), the average household size of the baseline sample for Addis Ababa was 4.27. Similarly, the average household size in Argaw (2019) and Derso et al (2021) were 4.5 and 4.04, respectively.



**Table 5.1: Socio-demographic characteristics of respondents**

Characteristics		Name of the sub city & woreda								Total (n=200)	
		Ad/Ketema- woreda-5 (n=50)		Arada- woreda-4 (n=50)		Gulele- woreda-1 (n=50)		Yeka- woreda-4 (n=50)			
		%	freq	%	freq	%	freq	%	freq	%	freq
Sex	Male	14	7	2	1	22	11	2	1	10	20
	Female	86	43	98	49	78	39	98	49	90	180
Age	20-34 years	20	10	28	14	28	14	16	8	23	46
	35-49 years	38	19	40	20	32	16	46	23	39	78
	50-64 years	30	15	32	16	36	18	38	19	34	68
	≥ 65 years	12	6	0	0	4	2	0	0	4	8
Marital status	Single	12	6	20	10	4	2	22	11	14.5	29
	Married	52	26	36	18	48	24	36	18	43	86
	Divorced	12	6	18	9	20	10	22	11	18	36
	Widowed	24	12	26	13	28	14	20	10	24.5	49
House- hold size	1-3	20	10	40	20	14	7	48	24	30.5	61
	4-5	46	23	38	19	64	32	26	13	43.5	87
	6-8	34	17	22	11	22	11	26	13	26	52
	Total population		239		210		217		201		867
	Average HH size		4.78		4.20		4.34		4.02		4.33

Source: Household survey, 2021

Addis Ababa city is known to have the greatest ethnic diversity in the country. However, the largest proportion of the surveyed respondents belonged to three ethnic groups; namely, Amhara (40 per cent), Guraghe (20.5 per cent) and Oromo (18.5 per cent) followed by Gamo (6.5 per cent) and Dorze (5 per cent) ethnic groups. In addition, some respondents (6 per cent) didn't want to categorize themselves to a specific group and opted to be grouped as Ethiopian.

The survey also indicated significant variation among the respondents in terms of religious affiliation. The largest proportion of the surveyed household heads (82 per cent) were followers of Orthodox Christianity, 10 per cent were followers of Islamic religion, and the rest 8 per cent were Protestant Christians. In relation to religious affiliation, the finding of this study followed similar pattern but showed a slight difference from the baseline sample for Addis Ababa by Franklin et al (2016), where Orthodox Christians, Muslims and Protestants constituted 79 per cent, 14 per cent and 6 per cent, respectively.

In terms of education, a quarter of the respondents (25 per cent) had no any education, 38 per cent of them had some basic education (1-4 grade), 27 per cent of them attained primary education (5-8

grade), and 8.5 per cent attained secondary school (9-12 grade) while only 1.5 per cent attained beyond secondary education (technical/vocational diploma). If we compare the result of this study with similar studies conducted in Addis Ababa, study of Argaw (2019) revealed that the proportion of study participants drawn from Addis Ababa who were illiterate was relatively larger (42.8 per cent). On the other hand, the proportion of study participants who were illiterate in the study of Derso et al (2021) was found almost the same (25.4 per cent) as the findings of this study.

**Table 5.2: Socio-demographic characteristics of respondents**

Characteristics		Name of the sub city & woreda								Total (n=200)	
		Ad/Ketema-woreda-5		Arada-woreda-4		Gulele-woreda-1		Yeka-woreda-4			
		%	freq	%	freq	%	freq	%	freq	%	freq
Ethnic group	Amhara	32	16	38	19	38	19	52	26	40	80
	Dorze	0	0	0	0	14	7	6	3	5	10
	Gamo	10	5	0	0	12	6	4	2	6.5	13
	Guraghe	30	15	22	11	14	7	16	8	20.5	41
	Oromo	22	11	24	12	12	6	16	8	18.5	37
	Tigray	0	0	4	2	0	0	0	0	1	2
	Wolayita	0	0	0	0	4	2	4	2	2	4
	Ethiopian	6	3	12	6	6	3	0	0	6	12
	Eritrean	0	0	0	0	0	0	2	1	0.5	1
Education	Illiterate	32	16	18	9	30	15	20	10	25	50
	Basic 1-4	40	20	36	18	30	15	46	23	38	76
	Primary 5-8	28	14	26	13	34	17	20	10	27	54
	Secondary 9-12	0	0	18	9	6	3	10	5	8.5	17
	Above Secondary	0	0	2	1	0	0	4	2	1.5	3
Religion	Muslim	8	4	18	9	4	2	10	5	10	20
	Orthodox	82	41	78	39	90	45	78	39	82	164
	Protestant	10	5	4	2	6	3	12	6	8	16
Continuous duration of stay in AA	≤ 10 years	0	0	12	6	0	0	6	3	4.5	9
	11 – 20 years	16	8	18	9	18	9	40	20	23	46
	21 – 30 years	44	22	26	13	42	21	32	16	36	72
	31 – 40 years	12	6	12	6	18	9	12	6	13.5	27
	41 – 50 years	12	6	14	7	16	8	4	2	11.5	23
	Non-migrant	16	8	18	9	6	3	6	3	11.5	23

Source: Household survey, 2021

The migration status of the surveyed households was also examined by their continuous duration of stay in the city. As is the case for many large urban areas in Ethiopia, about 88.5 per cent of the surveyed respondents were not born in Addis Ababa. They were migrated from various regions of the country with a continuous duration of stay ranging from 4 to 50 years in the city with an average year of 27.67. Only 11.5 per cent of the surveyed respondents reported that they

were born in Addis Ababa and lived in the city since birth, implying they are non-migrant. This result is found to be higher compared with the study of Argaw (2019), which reported that 63 per cent of the study participants from Addis Ababa were migrants within Ethiopia.

As can be seen from Table 5.3, almost all male heads (95 per cent) of the households were married while the proportion of married female heads of the households constituted only 33.5 per cent. On the other hand, all the study participants who were single (14 per cent), divorced (18 per cent) and widowed (24.5 per cent) were all female heads of the households. The implication is that, as usual, divorced/ widowed women are disproportionately shouldering the burden of the household and more likely not to remarry. A chi square test statistics showed that there is a statistically significant difference among sex of the respondents, age category of respondents and intervention round of respondents by marital status (Table 5.3).

**Table 5.3: Sex, age category and intervention round by marital status**

Proportion (in per cent)		Marital status					
		Single	Married	Divorced	Widowed	Total	
Sex of the respondent							Pearson $\chi^2=133.55$ , df=3, p=0.000 (marital status*HH head)
Male	HH head	0.5 %	9.5 %	-	-	10 %	
	Not HH head	-	-	-	-	-	
Female	HH head	14 %	-	18 %	24.5 %	56.5 %	
	Not HH head	-	33.5 %	-	-	33.5 %	
Total		14.5 %	43 %	18 %	24.5 %	100 %	
Age category							Pearson $\chi^2=48.15$ , df=9, p=0.000
20-34 years		21.7 %	52.2 %	15.2 %	10.9 %	100 %	
35-49 years		17.9 %	47.4 %	23.2 %	11.5 %	100 %	
50-64 years		1.5 %	33.8 %	16.2 %	48.5 %	100 %	
Above 64 years		50 %	25 %	0	25 %	100 %	
Total		14.5 %	43 %	18 %	24.5 %	100 %	
Intervention round							Pearson $\chi^2=8.73$ , df=3, p=0.033
First round (2017)		8 %	50 %	16 %	26 %	100 %	
Second round (2018)		21 %	36 %	20 %	23 %	100 %	
Total		14.5 %	43 %	18 %	24.5 %	100 %	

Source: Household survey, 2021

## 5.2 Socioeconomic Characteristics and Main Livelihoods of the Surveyed Beneficiaries

### 5.2.1. Employment Status and Type of Occupation

As can be seen from Table 5.4, among the surveyed beneficiaries of the programme, about 55 per cent of them had attended some kind of skills training through the programme. The percentage of beneficiaries who did receive training was higher for the first round beneficiaries, 72 per cent for Addis Ketema woreda-5 and 90 per cent for Gulele woreda-1, while it was lower for the second round beneficiaries of the programme, 42 per cent for Yeka woreda-4 and only 16 per cent for Arada woreda-4. This is because that the first round beneficiaries had stayed three years in the programme and graduated since the end of 2019; and hence they were given various skills training in the third year for gaining further support through the livelihoods service component of the project.

The employment status of heads of households showed a positive progress relative to the previous period. The percentage of household heads who were employed increased from 81.5 per cent to 98 per cent after joining the programme. On the other hand, the unemployed household heads decreased from 18.5 per cent to 2 per cent during the same period. In the same manner, the beneficiaries of the urban productive safety net programme reported that their livelihood strategies changed after joining the urban productive safety net programme. For example, the percentage of households with self-employment increased from 45.5 per cent to 50.5 per cent, casual/ daily labour decreased from 34 per cent to 25 per cent, and a new opportunity of public work (PW) came into existence with a share of 21 per cent. Hence, the top three primary occupations of the surveyed beneficiaries were self-employment, casual/daily labour and public work, in their order of importance. The self-employed respondents were mainly engaged in vending of vegetables and fast foods in the street and at small open markets called *Gulit* around the village. Those employed in casual work earned their means of survival by washing clothes and working any available home activities for others on a daily or a piece rate basis.

The beneficiaries of the urban productive safety net programme acknowledged that the public work (PW) was a good employment opportunity for them in which they were allowed to work specific days in a month based on their family size. Although declining year after year, the public work income was a useful supplement to their livelihoods, particularly in the first year of participation.

According to the project implementation manual, each eligible urban household in the public work component stays in the programme for three years. An eligible household is entitled to transfers for the entire 12 months by providing labour for public works with a declining number of days over the three years. A maximum of four persons are allowed per a household to participate in a public work. Therefore, for a one person participant per a household up to 60 days in the first year, 40 days in the second year, and 20 days in the third year. Correspondingly, for a household with four participants up to 240 days in the first year, 160 days in the second year, and 80 days in the third year. The daily wage rate for PWs beneficiaries was set Eth. Birr 60 (equivalent to USD 2.91, as of October 2015) for the first and second years of the programme. The rate was later revised and made Eth. Birr 90 (ninety birr) per day in 2020 considering the year after year increasing market prices of basic food commodities. The public wages (daily rates) are made deliberately to be lower than the market wages to encourage participants opt for finding job in the labour market. As a result, only those unable to secure jobs on the labour market because of their vulnerability status will opt for PW (MoUDH 2016).

Furthermore, the urban productive safety net programme beneficiaries confirmed that a one person per household participant, in the first round, had earned a total of Eth. Birr 3600 per year in the first year of the programme, Eth. Birr 2400 per year in the second year, and Eth. Birr 1200 in the third year of the programme. For those who started participating in the second round, a one person per household participant had earned a total of Eth. Birr 3600 per year in the first year, Eth. Birr 2400 per year in the second year, and Eth. Birr 1800 in the third year of the programme. Note that the second round participants did benefit from the daily rate increase of Eth. Birr 90 in the third year of the programme in 2020.

The four sub-projects under the PWs category include urban solid waste management and environmental cleaning, urban beautification and greenery, urban integrated watershed development, and upgrading of social infrastructure (MoUDH 2016). The surveyed households were participating only in the first two public work sub-projects: the urban solid waste management and environmental cleaning, and the urban beautification and greenery sub-projects. Among the total surveyed beneficiaries, 56 per cent of them were working under the urban solid waste management and environmental cleaning sub-project while the remaining 44 per cent were in the urban beautification and greenery sub-project. The urban integrated watershed development

activities are common in villages where rivers and valleys are found. On the other hand, activities related to upgrading of social infrastructure such as latrine construction and schools maintenance were less frequent earlier for various reasons; and recently, since 2020, become practicable.

**Table 5.4: Households' Employment Status and Type of Occupation**

Employment status		A/Ketema Woreda-5	Arada Woreda-4	Gulele Woreda-1	Yeka Woreda-4	Total	
Percentage of heads of HHs who had any skills training other than formal education	Yes	72 %	16 %	90 %	42 %	55 %	
	No	28 %	84 %	10 %	58 %	45 %	
Employment status of heads of HH	Employed	Before	86 %	82 %	74 %	84 %	81.5 %
		Now	96 %	100 %	96 %	100 %	98 %
	Unemployed	Before	14 %	18 %	26 %	16 %	18.5 %
		Now	4 %	0	4 %	0	2 %
Livelihoods strategy/ employment type (ranked)	Before	Self-employment	64 %	44 %	30 %	44 %	45.5 %
		Casual/daily labour	16 %	40 %	44 %	36 %	34 %
		Others	6 %	2 %	0	4 %	3 %
	Now	Self-employment	68 %	42 %	58 %	34 %	50.5 %
		Casual/daily labour	12 %	32 %	28 %	28 %	25 %
		Public work (UPSNP)	14 %	26 %	10 %	34 %	21 %
		Others	2 %	0	0	4 %	1.5 %
	Top three ranked primary occupations	Self-employment	66 %	48 %	60 %	32 %	51.5 %
Casual/daily labour		16 %	24 %	28 %	28 %	24 %	
Public work (UPSNP)		18 %	28 %	8 %	40 %	23.5 %	
Type of PW	solid waste management & cleaning	-	100 %	100 %	24 %	56 %	
	urban beautification & greenery	100 %	-	-	76 %	44 %	

Source: Household survey, 2021

Beneficiaries from Arada woreda-4 and Gulele woreda-1 were working under the urban solid waste management and environmental cleaning sub-project. As can be seen from the ensuing pictures (Figure 5.1), beneficiaries of the project in Arada sub city woreda-4 were successful in making their villages clean and liveable for the residents. Of course, this was witnessed by the surveyed households as well as by experts and officials of the project as one of the significant

contributions of the urban productive safety net programme to create healthy living environs in Addis Ababa compared with the previous situation.



**Figure 5.1: Sample villages kept clean by beneficiaries engaged in solid waste management and environmental cleaning sub-project in Arada sub city, Woreda-4**

On the other hand, all the surveyed beneficiaries from Addis Ketema woreda-5 and about 76 per cent from Yeka woreda-4 were participating in the urban beautification and greenery sub-project. As can be seen from the pictures below (Figure 5.2), beneficiaries of the project were able to develop an area which was once garbage dump into an attractive green area. This could have a positive impact on the beauty and the ecosystem of not only the village but also of the City at large.

Data from key informant interviews from Arada woreda-4 and Addis Ketema woreda-5 at woreda and ketena level (Interviewee 1, 2, 3, 4, 7, 8, 9 & 10) anonymously confirmed the contribution of the UPSNP to environmental cleaning. They witnessed that the current clean and green environment is attributable primarily to the urban productive safety net programme with which the community members are striving to beautify their surroundings by actively participating in the PWs. In this connection, one respondent from Addis Ketema Woreda-5 (ketena leader, interviewee 2) put it as follows. *“Although the daily wage rate and the number of working days are less attractive, the PW has significantly contributed to the development of our localities, particularly in managing solid wastes. Some of the current clean and green sites had been waste*



*damping areas earlier which were difficult to walk across the road due to the bad smelling of the waste materials. Thanks to the PW, we are now happy''.*



**Figure 5.2: Beneficiaries engaged in greenery and beautification activities (changing waste dumping areas (left) into green areas (right) in Addis Ketema sub city)**

### **5.2.2. Household Income**

In this study, total household monthly income was calculated as all types of incomes earned from UPSNP (public work) and other businesses as well as transfers received by all members of the household. According to Maxwell, Levin, Armar-Klemesu, Ruel, Morris & Ahiadeke (2000), one of the common problems in urban household surveys is that questions related to incomes are normally sensitive and usually underestimated. Also in this study, respondents were not happy to tell their level of financial income and accurate earnings during the interview. The reason might be that the households were either not able to estimate their monthly incomes or did not want to tell the amount of their incomes for various reasons.

The respondents were asked to estimate their individual monthly income, i.e., the income of the household head, as well as the total monthly income of their respective households. The self-reported incomes were summarized into three income brackets. Accordingly, at the time of the survey, 31 per cent of the surveyed households had a total household monthly income of less than 1500 Eth. Birr, 45.5 per cent of them had a total household income between 1500 and 3000 Eth. Birr, while the rest 23.5 per cent households had a monthly income above 3000 Eth. Birr. A great



variation was observed among the monthly income of households, the minimum was 150 Eth. Birr while the maximum was 7300 Eth. Birr per month. The average monthly income of a household head was about 1043 Eth. Birr while the average monthly total income of a household was about 2257 Eth. Birr. The difference between the average income of a household head and the average total income of a household was 1214 Eth. Birr. This implies that about 53.8 per cent of the average total household income was contributed by other members of the household other than the head.

Taking an average of 39 Eth. Birr per USD exchange rate at the time of the survey, the average household head monthly income of 1043 Eth. Birr was equivalent to 27 USD. This implies that a household head was generating on average only 0.9 USD per day. Also, the average total household monthly income of 2257 Eth. Birr was equivalent to 58 USD, implying that the average total household income was about 1.93 USD per day. Further dividing the average total household daily income to the average household size, it would not be difficult to estimate a far below one USD per capita income per day. This would not be surprising as a self-reported income level is always underestimated; and that is why a household expenditure is considered as a proxy to household income level. Also, it is worth noting that while estimating their monthly incomes, the respondents considered only the incomes that they were earning at the time of the survey which were negatively affected by the COVID-19 pandemic. The estimated 58 USD monthly average income of the surveyed households of this study was somewhat smaller than the 65 USD average monthly income estimated in the study of Derso et al (2021).

The respondents were also asked to describe their perception about the total income of their respective households after joining the UPSNP. About 88.5 per cent of them perceived that their household income improved after joining the programme while the remaining 11.5 per cent asserted that they observed no change. The baseline survey conducted by Franklin et al (2016) indicated that the average monthly household income of the poor initially screened to the project in Addis Ababa was Eth. Birr 2253.80. This is almost equivalent to Eth. Birr 2257 which is the current monthly average income of the surveyed households of this study.

The survey data indicated that the average total monthly income of the household head and the household varied by gender, and found statistically significantly. As usual, the average total

monthly income of a female household head (Eth. Birr 977.11) is found to be significantly lower than the average total monthly income of a male household head (Eth. Birr 1637.50). Similarly, the average total monthly income of a female-headed household (Eth. Birr 2216.67, i.e., the sum of income of the head and other members of the household) is found to be relatively lower than the average total monthly income of the male-headed household (Eth. Birr 2622.50).

**Table 5.5: Level of household income**

Income items		A/Ketema Woreda-5	Arada Woreda-4	Gulele Woreda-1	Yeka Woreda-4	Total
Percentage of HHs with total HH income	<1500 Br	36 %	26 %	22 %	40 %	31 %
	1500 - 3000 Br	40 %	48 %	58 %	36 %	45.5 %
	>3001 Br	24 %	26 %	20 %	24 %	23.5 %
Per HH average monthly income in Birr		2273.0	2430.4	2226.8	2098.8	2257.25
Per household head average monthly income in Birr		801.0	980.8	1416.8	974.0	1043.15
The share of HH head income in the total HH income						46.2 %
Per individual (HH member) monthly income in Birr (HH income/ family size)						521.30
Percentage of HHs who perceived that their total HH income was changed after joining the UPSNP	Improved	100 %	92 %	86 %	76 %	88.5 %
	No change	0	8 %	14 %	24 %	11.5 %

*Source: Household survey, 2021*

Converting the average total household monthly income of Eth. Birr 2257 into annual income, it would be Eth. Birr 27,084 per annum. Further dividing this to the average household size of 4.33, it would be Eth. Birr 6255 per head per annum. Comparing this with the national poverty line of Eth. Birr 7184, it would be short of 13 per cent. On the face of it, it seems paradox and poses question how the respondents of this study perceived improvement in their household income. The possible justification is that the surveyed households of this study were the earlier participants of the project because they were the poorest of all the households screened for the project. In addition, most of the respondents included in this study were women who were economically marginalized and the poorest segment of the society. In this sense, it would not be difficult to estimate that the participants of this study had a smaller initial household income relative to the baseline average household income. The other characteristics of the study participants that the

researcher perceived from the field observation, though subjective, was that most of the surveyed households tend to thank their existing situation and some of them hope for the unknown future. Because all of the surveyed households belonged to one religious institution, their optimistic behaviour might be attributable to their religious life.

### **5.2.3. Characteristics of Household Members**

Regarding the characteristics of permanent members of the household, other than the head, some socio-demographic factors such as relationship with the head, gender, age and employment status were examined. About three quarters (74.5 per cent) of members of the household were either sons or daughters of the household heads. Gender wise, 59.7 per cent of members of the household were males while 40.3 per cent were females. The age wise distribution of the household members indicated that 72.6 per cent of them were in the working age category of 15 – 64 years while 25.9 per cent were below 15 years of age. Among the permanent members of the surveyed households, only 27 per cent were employed, 19.9 per cent were unemployed, about 41.1 per cent were in-school, while the remaining 12 per cent were inactive and out of the labour force due to various reasons.

Taking into account the total population of the surveyed households, including the household heads, an attempt was made to estimate the employment to population ratio and the dependency ratio. Employment to population ratio can be a good measure to indicate the proportion of the population involved in productive activities. It is estimated by dividing the total employed persons to the total working age population, whose age is 10 years and above, and expressed in percentage. A high ratio indicates that large proportion of the population is involved in productive activities while low ratio implies small proportion of the population is employed due to unemployment or being out of the labour force (CSA, 2020b). The employment to population ratio of the surveyed households was 55.6 per cent which implies that about 55.6 per cent of the working age population was employed. Compared to the UEUS survey of CSA (CSA, 2020b), this figure was larger than the ratio for Addis Ababa (52.3 per cent) and for the country level urban areas (49.7 per cent) in 2020.

**Table 5.6: Characteristics of household members**

Characteristics of household members		A/Ketema Woreda-5	Arada Woreda-4	Gulele Woreda-1	Yeka Woreda-4	Total
HH members by relationship with the beneficiary/ the HH head	Spouse	26	18	24	18	86 (13.2 %)
	Son/daughter	133	105	137	111	486 (74.5 %)
	Father/mother	8	1	0	0	9 (1.4 %)
	Grand child	2	16	3	10	31 (4.8 %)
	Other relative	17	17	0	6	40 (6.1 %)
HH members by gender	Male	116	89	104	80	389 (59.7 %)
	Female	70	68	60	65	263 (40.3 %)
Age category of the HH members	<15 yrs	45	50	52	22	169 (25.9 %)
	15 – 21 yrs	40	43	48	45	176 (27 %)
	21 – 64 yrs	92	63	64	78	297 (45.6 %)
	>64 yrs	9	1	0	0	10 (1.5 %)
Dependency ratio (179/ (473+200))		<i>200 is the total number of the household heads</i>				26.6 %
Economic dependency ratio ((130+62+268+16) / (176+198))		<i>198 is the total number of the employed household heads</i>				127.3 %
Employment to population ratio (employed/ working age popln) = (176+198)/ (176+297+200)						55.6 %
Employment status of the HH members	Employed	49	46	41	40	176 (27 %)
	Unemployed	34	20	34	42	130 (19.9 %)
	Inactive	22	20	16	4	62 (9.5 %)
	In-school	70	70	73	55	268 (41.1 %)
	Old aged	11	1	0	4	16 (2.5 %)

Source: Household survey, 2021

On the other hand, dependency ratio is an age-population ratio and a measure of the pressure on the productive population. It is calculated as the ratio of those not in the labour force, who are less than 15 years old or greater than or equal to 64 years old, to those in the labour force (aged 15 – 64 years). The dependency ratio of the surveyed households, including both household heads and other household members, was estimated 26.6 per cent; implying about 38 persons not of working age were dependent on 100 persons of working age. Put differently, 100 persons in the working age category were responsible to support 27 persons who were not in the labour force. Another important measure of dependency is economic dependency ratio, which is defined as the ratio of the economically inactive population to the active population over all ages. Economic dependency ratio is a better measure of the economic dependency burden on the employed population than that of age dependency ratio (CSA, 2020b). The economic dependency ratio of the surveyed households, including both household heads and other household members, was estimated 127.3

per cent. The interpretation is that every 100 employed persons in the surveyed households were responsible to economically support about 127 dependents in terms of food, clothing, health, education and so on. Compared to the findings of the urban employment unemployment survey (UEUS) of CSA (CSA, 2020b), this ratio is lower than the urban national level ratio of 163 per cent in 2020. This might be attributable to the fact that extended family, which can increase the dependency ratio, is less common in Addis Ababa as compared with the other urban areas of the country, which in turn lead to relatively small dependency ratio.

#### **5.2.4. Housing, Utilities and Sanitation Facilities**

The survey assessed the housing ownership status of households along with their access to electricity, water and sanitation services. Housing is an important physical asset that determines the livelihood status of households; and in urban areas it is the second major expense item of households' total expenditure. According to the survey data, near half of the surveyed households (48.5 per cent) were living in a rented government houses, commonly known as '*Kebele*' houses. Most of these houses are rented at cheaper rental price; they are old aged and constructed from poor quality materials. They have one or two rooms with no standard kitchen, and characterized by overcrowding both within and between the houses. On the other hand, more than one third (36 per cent) of the surveyed households were living in a house rented from private owners with a relatively high rental rate, irrespective of its quality. About 12.5 per cent of the surveyed households were living in a rent-free houses owned by religious or *Idir* institutions, or houses owned by relatives. Only 3 per cent of the surveyed households were living in their own houses. Comparing these results with the baseline sample survey for Addis Ababa (Franklin et al. (2016), there are considerable differences. Particularly, the proportion of households living in their own house was 24 per cent in the baseline sample survey, which was significantly greater than the 3 per cent of the current survey. One possible justification could be that the then time baseline survey represented all households who were potentially poor and screened to be participated in the urban productive safety net programme. On the other hand, the current survey included the earlier participants of the programme who were selected for being the poorest of all the screened households for the public work programme, and who were less likely to have their own residential houses.

With regard to access to electricity, 90.5 per cent of the surveyed households had access to electric light; among which, 55.2 per cent of them had a privately owned mode of access while the remaining 44.8 per cent had a shared mode of access or rented from neighbour mode of access. On the other hand, the remaining 9.5 per cent households were found to have no access to electricity light service. The percentage of households by source of energy for cooking and heating foods portrayed that 15.5 per cent of the surveyed households were using electric power only, 22 per cent of them used charcoal only, 8 per cent of them used wood only, while 54.5 per cent of them used a combination of the three sources.

**Table 5.7: Housing, utilities and toilet facilities**

Housing and utilities		A/Ketema woreda-5	Arada woreda-4	Gulele woreda-1	Yeka woreda-4	Total
Percentage of HHs by type of housing ownership	Own	0	8 %	0	4 %	3 %
	Rented from Gov't (kebele)	58 %	42 %	32 %	62 %	48.5 %
	Rented from private owner	34 %	30 %	62 %	18 %	36 %
	Rent-free (religious/idir/relatives)	8 %	20 %	6 %	16 %	12.5 %
Percentage of HHs with access to electricity	Yes	94 %	90 %	88 %	90 %	90.5 %
	No	6 %	10 %	12 %	10 %	9.5 %
Percentage of HHs by mode of access to electricity	Privately owned	53.2 %	48.9 %	45.5 %	73.3 %	55.2 %
	Shared/ rented from neighbour	46.8 %	51.1 %	54.5 %	26.7 %	44.8 %
Percentage of HHs by source of energy for cooking and heating foods	Electricity only	4 %	6 %	12 %	40 %	15.5 %
	Charcoal only	18 %	34 %	14 %	22 %	22 %
	Wood only	6 %	4 %	22 %	0	8 %
	A combination of the three	72 %	56 %	52 %	38 %	54.5 %
Percentage of HHs by type of toilet facility	Private pit latrine	4 %	0	6 %	0	2.5 %
	Shared pit latrine	42 %	98 %	64 %	96 %	75 %
	Public pit latrine	50 %	2 %	0	4 %	14 %
	No toilet (field/ open defecation)	4 %	0	30 %	0	8.5 %
Bathing facility	Shared bath room	0	0	6 %	8 %	3.5 %
	No bathing facility (open/river/living room)	100 %	100 %	94 %	92 %	96.5 %
Means of dry waste disposal	Use waste disposal service providers	96 %	100 %	100 %	100 %	99 %
	Throw into nearby open space/river	4 %	0	0	0	1 %

Source: Household survey, 2021

Pertaining to sanitation facilities, three quarters (75 per cent) of the surveyed households had a shared pit latrine facility, 14 per cent had a public pit latrine while only 2.5 per cent had a private pit latrine facility. About 8.5 per cent of the households had no any toilet facility and used field or open defecation. Hence, none of the surveyed households were found to have a private flush toilet facility. Another sanitation related facility is bathing facility. According to the survey data, only 3.5 per cent of the households had a shared bathing room. About 96.5 per cent of the surveyed households had no bathing room and used either their living room or an open field outside their living room or a nearby river to wash their body. In contrast, the dry waste disposal practices were found encouraging where 99 per cent of the households were using dry waste disposal service providers to dispose dry waste materials.

As can be understood from the survey result, about 89 per cent of the surveyed households had either a shared pit latrine or a public pit latrine, which are characterized by poor facilities and unhygienic conditions. Addressing this problem would have a desirable outcome in improving the health of the community in general and the health of the poor community in particular. One of the PW sub-projects under the UPSNP is the urban social infrastructure and services which focus on the construction and/or upgrading of social infrastructure such as class rooms, child care centres, health posts, cobblestone roads, public latrines etc. The available data showed that the implementation of this sub-project, although started lately in 2020, has shown encouraging activities and outputs. In this regard, upgrading and/or construction of public latrines through this sub-project can be a good opportunity to deal with the existing poor sanitation and unhygienic conditions in slum areas where these poor households are dwelling.

#### **5.2.5. Ownership of Physical Household Assets**

In the household survey, physical household asset information was collected on ownership of a range of household assets such as consumer durables, furniture or other saleable household assets. Given the surveyed households are the ultra-poor, only ten types of material assets were reported and analyzed. An attempt was made to compare the changes observed on the possession of these assets before and after joining the UPSNP (Table 5.8).

At the time of survey, the most commonly reported household assets after joining the project were mobile phone, bed and television owned by 87.5 per cent, 87 per cent and 70 per cent of the surveyed households, respectively. The percentages of households who had these same assets before joining the UPSNP were 69 per cent (mobile phone), 82.5 per cent (bed) and 65.5 per cent (television), implying some changes after joining the project.

Similarly, in descending order, other household assets owned during the survey period were satellite dish (58.5 per cent), chair & table (62.5 per cent), cooking stove (49 per cent), electric *mitad* (49 per cent), radio/tape (43 per cent), sofa (39.5 per cent) and fixed telephone (7.5 per cent). Before joining the UPSNP, the ownership status of households for the same assets were satellite dish (53.5 per cent), chair & table (53 per cent), cooking stove (44.5 per cent), electric *mitad* (44 per cent), radio/tape (40.5 per cent), sofa (38 per cent) and fixed telephone (7.5 per cent), implying some changes after joining the project.

**Table 5.8: Ownership of physical household assets**

Item		A/Ketema woreda-5	Arada woreda-4	Gulele woreda-1	Yeka woreda-4	Total	Percentage change
Radio/Tape	Before	30 %	44 %	28 %	60 %	40.5 %	
	After	34 %	50 %	28 %	60 %	43 %	6.17 %
Television	Before	78 %	68 %	56 %	60 %	65.5 %	
	After	88 %	70 %	62 %	60 %	70 %	6.87 %
Satellite Dish	Before	68 %	66 %	32 %	48 %	53.5 %	
	After	78 %	68 %	32 %	56 %	58.5 %	9.35 %
Fixed line Telephone	Before	12 %	6 %	12 %	0	7.5 %	
	After	12 %	6 %	12 %	0	7.5 %	0
Mobile phone	Before	70 %	66 %	72 %	68 %	69 %	
	After	86 %	90 %	78 %	96 %	87.5 %	26.81 %
Cooking stove	Before	36 %	50 %	48 %	44 %	44.5 %	
	After	36 %	56 %	48 %	56 %	49 %	10.11 %
Electric Mitad (for baking the staple food 'Injera')	Before	50 %	44 %	38 %	44 %	44 %	
	After	50 %	48 %	38 %	60 %	49 %	11.36 %
Table and Chair	Before	52 %	52 %	64 %	44 %	53 %	
	After	52 %	58 %	80 %	60 %	62.5 %	17.92 %
Sofa Sets	Before	32 %	32 %	44 %	44 %	38 %	
	After	32 %	32 %	50 %	44 %	39.5 %	3.95 %
Bed	Before	86 %	88 %	80 %	76 %	82.5 %	
	After	86 %	88 %	94 %	80 %	87 %	5.45 %

Source: Household survey, 2021



Calculating the percentage change in the possession of household assets by the surveyed households after joining the programme, five out of the ten types of household assets showed significant changes. Accordingly, the percentage of households that owned mobile phones increased by 26.81 per cent, table and chair increased by 17.92 per cent, electric mitad increased by 11.36 per cent, and cooking stove increased by 10.11 per cent. In addition, the percentage of households that owned satellite dish increased by 9.35 per cent, television increased by 6.87 per cent, and radio increased by 6.17 per cent. A further observation and discussion with ketena representatives (Interviewee 2 & 7) suggested that, indeed, some households were able to possess household assets such as chair and table or sofa sets, television and satellite dish. But this cannot be necessarily attributable to the programme; because the household assets were more likely bought by their children who are living with their parents. In this regard, the words of one interviewee would be worth mentioning here. *“Most children would like to continue living with their parents even after getting employed in order to support their household and avoid the higher rental prices of houses in the city. Therefore, they usually prioritize buying household assets such as television, satellite dish and sofa set to the household in early months of their salary incomes”* (Interviewee 2).

#### **5.2.6. Household Savings and Access to Credit**

The UPSNP requires public work participants to save one-fifth (20 per cent) of their incomes earned from the public work. Accordingly, the survey data depicted that all households (100 per cent) had savings at the time of survey. They all saved their money in Commercial Bank of Ethiopia through which the project transfers money to beneficiaries in a monthly basis. Before joining the UPSNP, only 3.5 per cent of these households had savings accounts in a formal bank which implies a new experience to the households after joining the project. Indeed, the saving experience of the beneficiaries was highly appreciated by the households themselves and by concerned experts and officials at various levels. Saving in a formal bank is a new experience to almost all beneficiaries of the program. The experience could give a good lesson not only to the depositors but also to other stakeholders, such as formal banks and other micro financial institutions who are working to mobilizing domestic resources through private savings.

The average amount of savings of the surveyed households at the time of survey was about 4651 Eth. Birr. However, significant variations in the amount of savings were observed across households and between rounds. Categorizing the amounts of savings into three, 37.5 per cent of the households had savings less than 3,000 Eth. Birr, 41 per cent had amount of savings ranging between 3,001 and 6,000 Eth. Birr and 21.5 per cent of them had greater than 6,000 Eth. Birr. At the time of survey, the minimum amount of savings was 140 Eth. Birr while the maximum was 16,000 Eth. Birr. The average amount of savings for the first round beneficiaries, who started in 2017, was 5691 Eth. Birr while it was 3610 Eth. Birr for the second round beneficiaries, who started in 2018. Variations in the amount of savings were also observed by the gender of the household head. Similar to the average total income, the average total amount of savings of a female-headed household (Eth. Birr 4497.61) was significantly lower than that of a male-headed household (Eth. Birr 6030.45). The variations were found statistically significant.

The respondents were also asked their plan to use the savings. Accordingly, almost three quarters of the surveyed households (73.5 per cent) planned to use their savings to start new businesses or expand existing ones while 15.5 per cent of them intended to use for household emergency purposes. Nevertheless, following the outbreak of COVID-19 and the associated adverse effects on prices and incomes, there have been some fears that households' plan to use their savings to start new businesses or expand existing businesses could be at risk. In fact, the interview made with woreda and ketena leaders (Interviewee 1, 2, 3, 4, 13, 14, 15 & 16) strongly supports this issue and especially true among those first round beneficiaries, Addis Ketema Woreda-5 and Gulele Woreda-1, who graduated in July/August 2020. Since the monthly incomes of the graduated beneficiaries from public works significantly dropped in the third year and their employment incomes from other sources became limited after COVID-19, many of them were forced to use their savings to smooth consumption.

Even worse, significant proportion of the graduated beneficiaries didn't start the new employment as intended through the livelihoods services programme, which further forced them to spend the grant money that was transferred to their account, (about Eth. Birr 14,400 which was equivalent to USD 500 at the time) for the purpose of starting new employment. For example, at the time of survey, out of the 1230 graduated beneficiaries in Gulele Woreda-1, only 590 (49.2 per cent) of

them were engaged in a new job through the livelihoods service programme. The remaining were waiting for a new job being unemployed for about six months after graduation.

Likewise, empirical studies in the city show that because of the adverse effects of the COVID-19 pandemic on income levels and prices, households in Addis Ababa were forced to withdraw their savings to smoothen their consumption. The declining savings of households may further aggravate the existing food and nutrition insecurities of poor households in the city (Hirvonen et al 2020).

**Table 5.9: Household savings and access to credit**

Item		A/Ketema woreda-5	Arada woreda-4	Gulele woreda-1	Yeka woreda-4	Total
Percentage of HHs who had savings	Before	0	4 %	10 %	0	3.5 %
	After	100 %	100 %	100 %	100 %	100 %
Percentage of HHs with amount of savings	<3000 Br	32 %	52 %	26 %	40 %	37.5 %
	3001 – 6000 Br	38 %	44 %	38 %	44 %	41 %
	6001 – 16000 Br	30 %	4 %	36 %	16 %	21.5 %
	Average amount of savings	5188.2	3453.4	6194.0	3768.0	4650.9
Plan to use the savings	Starting business	44 %	86 %	76 %	88 %	73.5 %
	Purchasing HH furniture	0	2 %	0	12 %	3.5 %
	Emergency purpose	52 %	10 %	0	0	15.5 %
	Others (consumption,...)	4 %	2 %	24 %	0	7.5 %
Percentage of HHs who had access to credit in the last three years		0	0	10 %	8 %	4.5 %

*Source: Household survey, 2021*

With regard to access to credit, the experience of the surveyed households was minimal. Only 4.5 per cent of the surveyed households had access to credit services in the last three years. The data obtained from interviewing woreda officials (Interviewee 4, 10, 16 & 23) confirmed that the beneficiaries were the ultra-poor who were marginalised and excluded from access to credit services. From the discussion that the researcher made with the beneficiaries, most of them were risk averse and not interested in accessing credit. They were afraid of the interest rate and the associated risk that could arise in case the business bankrupts. The risk avoiding behaviour of the households may be associated with lack of business experience; and even some of them hesitate that the credit suppliers may not dare to provide a loan for a poor with no collateral.

### **5.2.7. Urban Agriculture**

The data obtained from the beneficiary households indicated that urban agriculture practices among the programme beneficiaries are scant. Only 4 per cent of the surveyed households from woreda-5 of Addis Ketema sub city and 6 per cent of the surveyed households from woreda-1 of Gulele sub city (both from the first round) were found practicing urban agriculture. Regardless of the very small number of households engaged in urban agriculture, the cultivation and production of vegetables in the two sub cities were encouraging and witnessed the potential of urban agriculture in the city. According to MoUDH (2016), the underutilized potential of urban agriculture was identified as one of the major causes of food insecurity in urban Ethiopia. It seems that it is in recognisance of this problem that the Addis Ababa city administration has shown a growing interest in recent years in the development of urban agriculture. The city administration established a municipality level commission, Farmers and Urban Agriculture Commission, which is fully in charge of urban agricultural development in the city. However, one may pose a question on the sustainability of such types of government initiatives and commitments. The usual practice has been that such initiatives are initiated by higher officials at one time, expanded in the form of campaign across the nation, stayed being an issue for a short period of time, and finally it would be replaced by another issue and forgotten.

The interview held with woreda and sub city officials and experts (Interviewee 4, 6, 10, 12, 16, 18, 23 & 24) indicated that one of the important factors for the limited practice of urban agriculture is the lack of access to land for cultivation. All plots of land in the city are administered by the bureau of land administration and development. The farmers and urban agriculture commission is responsible for monitoring and supporting urban agriculture related activities in the city. On the other hand, the food security agency of the city administration can only demand for land on behalf of those beneficiaries who are interested to engage in urban agriculture development. This means that access to land for urban agriculture is not easy and is often determined by the coordinated effort of various stakeholders; and the decision is made by evaluating different competing interests. The available data shows that the response for the demand is often inadequate and the integration among the concerned stakeholders is weak.

According to the interview made with sub city level experts and leaders, vacant spaces for agriculture are limited and those plots once cultivated by beneficiaries may be taken by land administration and development bureau for other purposes, often for building construction. The reliable plots of land for urban agriculture are available at river side, which are relatively limited as compared to the available demand. There are several numbers of unemployed young people, who were not included in the urban productive safety net programme, organized in group and demanding land for urban agriculture activities. In this regard, the city administration officials view the interests of the urban productive safety net programme beneficiaries in cultivating urban agriculture as secondary and opt to prioritize the demand of the unemployed youth. Nevertheless, there are also some efforts to provide urban agriculture land for those graduated beneficiaries of the UPSNP in Addis Ketema and Gulele sub cities. According to the interview made with a team leader at Addis Ketema sub city (Interviewee 6), apart from the restricted availability of land, the limited financial capacity of the graduated beneficiaries is a significant bottleneck to actively engage in urban agriculture, such as dairy farming, poultry, and fattening. The interviewee informed that efforts are underway by the office to search for potential loans from financial institutions.



**Figure 5.3: Beneficiaries engaged in urban agriculture activities (Addis Ketema sub city)**

### **5.2.8. Monthly Household Expenditure**

According to Engel's Law on family expenditure, as the household income increases, the proportion of that income spent on food decreases, although the actual amount increases. The implication of this theory is that poorer and vulnerable households tend to spend larger share of their total expenditure on food items relative to other non-food items. In this sense, the share of total household budget spent on food can be an important indicator of the households' economic and food security status. To obtain information on the expenditure patterns of households, the respondents were asked to estimate the average amount of money that they spent on basic food and non-food items in the preceding month at the time of survey.

As stated in WFP (2015), the most commonly accepted method for determining the economic vulnerability of a household is its poverty status defined by comparing against the national poverty line. The national poverty line represents the value, in local currency, of a standard consumption bundle of goods and services (minimum basic needs) required for an average adult to live satisfactorily. In the absence of adequate data for poverty line, economic vulnerability can be determined based on the food poverty line measured by the share of household expenditures spent on food. The food poverty line, which is part of the poverty line, represents the minimum cost of a food basket required to ensure sufficient calorie consumption for an adult. The food expenditure share indicator is important based on the idea that the larger the share of food expenses within a household's total budget, relative to other non-food consumption expenses, the more economically vulnerable the household (WFP 2015).

The food expenditure share indicator is measured as a ratio of the total food expenditures to the total household expenditures. However, an important limitation of this indicator is that both the denominator and numerator should include the value of non-purchased foods consumed by the household albeit they may not be captured by many surveys (WFP 2015; WFP & CSA 2019). The food poverty line was set at 3772 Eth. Birr per year per adult person in 2016 (WFP & CSA 2019). The study by Getachew (2021) indicated that food poverty in urban Ethiopia is high where 29 per cent are not able to meet the national food poverty line of Eth. Birr 3772 per year per adult equivalent.

The main expenditure items of the surveyed households, in their order of importance, were food, housing, energy, health, social issues, transport and education. The average monthly spending on food items was 1504 Eth. Birr which accounted for 60.3 per cent of all expenses a household spent in a month. Since the surveyed households are the poorest segment of the society in the city, a large share of food in the total expenditure of households is expected. According to WFP (2015), based on the level of their food expenditure share, households can be classified into four levels of food insecurity (household food insecurity access prevalence). Households are categorized as food secures (with a value of 1) and considered to have low vulnerability, if their food expenditure share is below 50 per cent of their total household expenditure. They are classified as moderately food secures (with a value of 2), if their food expenditure share is greater than or equal to 50 per cent and less than 65 per cent. Those households with food expenditure share greater than or equal to 65 per cent but less than 75 per cent are considered to have above moderate and high food insecurity (with a value of 3) while households spending more than 75 per cent of their total expenditure on food are regarded as severely food insecure (with a value of 4) and highly vulnerable.

As indicated in WFP & CSA (2019), Addis Ababa had the least economic vulnerability in 2015/16 as measured by the expenditure share of food of households with 62.1 per cent of households allocated less than 50 per cent of their household budget on food. On the other hand, 26.3 per cent of the households allocated 50 to 64 percent of their total household budget to food while 8 per cent and 3.6 per cent of households spent 65 to 74 per cent and above 75 per cent of their household budget on food, respectively. In this study, as the discussion made with some of the beneficiary households indicated, they felt that, although the recent price increase has been disrupting their expenditure pattern, they have been experiencing a declining expenditure share on food after they joined the urban productive safety net programme. They recalled that they were allocating at least two-third of their household budget on food items earlier before joining the urban productive safety net programme. In this sense, it would be possible to estimate that there have been some desirable changes in the food security status of the beneficiary households.

A wide range of food expenditure pattern was observed among the surveyed households, the minimum household spending on food was 200 Eth. Birr while the maximum was 3500 Eth. Birr. The proportion of households whose monthly spending on food items ranged from 200 to 1000

Eth. Birr was 37.5 per cent, from 1001 to 2000 Eth. Birr was 45.5 per cent and from 2001 to 3500 Eth. Birr was 17 per cent.

**Table 5.10: Households' monthly expenditures**

Expenditure Item		A/Ketema woreda-5	Arada woreda-4	Gulele woreda-1	Yeka woreda-4	Total
Percentage of HHs whose monthly spending on food items was	200 - 1000 Br	24 %	42 %	36 %	48 %	37.5 %
	1001 – 2000 Br	42 %	40 %	50 %	50 %	45.5 %
	2001 – 3500 Br	34 %	18 %	14 %	2 %	17 %
Average amount of HH spending on food items		1884 Br	1504 Br	1395 Br	1233 Br	1504 Br
Percentage of HHs who spent on energy		94 %	98 %	96 %	96 %	96 %
Percentage of hhs whose monthly spending on energy was	<500 Br	59.6 %	65.3 %	97.9 %	91.7 %	78.6 %
	501-1000 Br	40.4 %	26.5 %	2.1 %	0	17.2 %
	1001-1300 Br	0	8.2 %	0	8.3 %	4.2 %
Average amount of HH spending on energy		<b>476 Br</b>	<b>481.9 Br</b>	<b>261.07 Br</b>	<b>381 Br</b>	<b>384.2 Br</b>
Percentage of HHs who spent on medical services		2 %	12 %	22 %	12 %	12 %
Average amount of HH spending on medical services		<b>100 Br</b>	<b>265 Br</b>	<b>1300 Br</b>	<b>246.7 Br</b>	<b>87.4 Br</b>
Percentage of HHs who spent on house rent		72 %	78 %	94 %	76 %	80 %
Average amount of HH spending on house rent		<b>547.3 Br</b>	<b>682.6 Br</b>	<b>600.5 Br</b>	<b>187.4 Br</b>	<b>408.3 Br</b>
Percentage of HHs who spent on transport		4 %	42 %	20 %	12 %	18.5 %
Average amount of HH spending on transport		<b>300</b>	<b>156.9</b>	<b>250</b>	<b>66.7</b>	<b>34 Br</b>
Percentage of HHs who spent on social issues (idir,...)		84 %	48 %	70 %	56 %	64.5 %
Average amount of HH spending on social issues		<b>76.2 Br</b>	<b>75.4 Br</b>	<b>141.4 Br</b>	<b>53.6 Br</b>	<b>57.3 Br</b>
Average amount of HH spending on education						20 Br
Total monthly HH spending	Mean					2495.2 Br
	Min					370 Br
	Max					7540 Br
Annual HH spending on food						18048 Br
Total annual HH spending on all items	Mean (est)					29942.4 Br

*Source: Household survey, 2021*

The second important household expenditure, reported by 80 per cent of the households, was on housing with an average rent of 408 Eth. Birr per month which accounted for 16.4 per cent of all expenditures. Expenditure on energy was the third important household spending, as mentioned by 96 per cent of the households, with an average monthly expense of 384 Eth. Birr and accounted for 15.4 per cent of all expenses of a household. In the context of the surveyed households, expenditures on energy include electricity bill, purchase of charcoal and fire wood. The average monthly spending on health related service was about 87 Eth. Birr. Since most of the households



were covered by the community based health insurance scheme, only 12 per cent of the households reported cash spending on medical services. Expenditure on social issues mainly include expenses on Idir, which is a kind of traditional insurance, and amounted on average 57 Eth. Birr per month.

The total monthly spending of the surveyed households on all items amounted, on average, 2495 Eth. Birr. If we convert the monthly spending into annual basis, the average spending will be about 29,940 Eth. Birr per household per year. Indeed, the respondents confirmed that their household expenditure has increased owing to the increase in their income following their participation in the programme. However, because of the ever increasing commodity prices since the outbreak of COVID-19, households' real incomes have declined significantly; and as a result, the amount of basic commodities that they used to purchase before has decreased now.

### **5.3. The Food (In)security Status of the UPSNP Beneficiary Households**

#### **5.3.1. Food Consumption Patterns**

Food consumption score (FCS) is a composite score that combines the dietary diversity, food frequency, and relative nutritional importance of the various food groups consumed into one score. Thus food consumption score can be taken as an alternative measure of food security and dietary adequacy. The higher the food consumption score of a household, the higher is the dietary diversity and consumption frequency, which in turn raises the probability of a household's nutrient adequacy. The data for household food consumption is gathered through a structured questionnaire by asking the household the food items consumed in the last seven days prior to the date of interview. Based on the relative nutritional values and qualities of the food groups, different weights are attached to each food groups. Cereals and tubers are given a weight of 2, pulses a weight of 3, vegetables and fruit each a weight of 1, meat and fish a weight of 4, milk a weight of 4, and sugar and oil each a weight of 0.5. The food consumption score for a household is calculated by adding up the product of the consumption frequency of a food group over a seven-day recall period and its relative weight. On the basis of their food consumption score and using standardized thresholds, households are categorized into three groups: poor food consumption, borderline food consumption and acceptable food consumption (WFP & CSA 2019).

The food consumption score of a household is compared with pre-established standard thresholds to determine the status of the household's food consumption group. WFP (2009a) recommended the following thresholds to be applicable in a wide variety of situations. The first threshold is 0 to 21, in which a score of 21 was set as barely minimum. A score below 21 implies that a household is unable to consume at least staple and vegetables on a daily basis and therefore considered to have poor food consumption. The second threshold is between 21.5 and 35, in which households are considered having borderline food consumption. On the other hand, households that score above 35 are estimated to have acceptable food consumption. These thresholds, however, should be adjusted based on oil and sugar consumption behaviour of the study households. If there is frequent consumption of sugar and/or oil in a given population, the cut-off points will be raised from 21 and 35 to 28 and 42 by adding seven points.

In the context of urban Ethiopia in general, and Addis Ababa in particular, consumption of oil and sugar is common and high. Accordingly, in this study, the thresholds were set as 0 to 28 for poor consumption, 28.1 to 42 for borderline consumption and above 42 for acceptable consumption. These cut-off points were also used by the WFP (2009a) in its study in urban areas of Ethiopia.

From the survey data, it was found that all the surveyed households (100 per cent) consumed staple foods made of cereals and tubers almost in all days of the week (6.8 days) prior to the survey. Similarly, oil and sugar were consumed by 100 per cent and 98.5 per cent of the surveyed households nearly in all days of the week, on average 6.86 and 6.76 days, respectively. On the other hand, vegetables and pulses were consumed only by 54 per cent and 49.5 per cent of the households, on average, for 1.2 and 1.1 days, respectively. Only 17.5 per cent and 10 per cent of the households consumed fruits and eggs, on average, for 0.3 and 0.2 days, in that order. Even less, milk and meat products were consumed by less than 5 per cent of the households with negligible frequencies. Indeed, this is not surprising as the surveyed households are the poorest segment of the society, who were regarded as food insecure and hence covered by the UPSNP. In fact, the consumption of some food groups such as fruits and vegetables may not vary, as expected, with income. As reported in a study conducted in Addis Ababa by Wolle, Hirvonen, de Brauw, Baye & Abate (2020), the fruit consumption of households does not significantly vary by income level.

Based on the calculated food consumption score of households, 75.5 per cent of the surveyed households were categorized under the poor food consumption group, 20 per cent under the borderline food consumption group, and only 4.5 per cent were found in the acceptable range of food consumption (Table 5.12). Yet, the overall average food consumption score was 26.35, which is just below the minimum threshold of 28 and within the poor consumption range. As indicated in WFP & CSA (2019), households in the acceptable consumption group are considered having adequate food consumption, whereas those households in the borderline and poor consumption groups are regarded as having inadequate food consumption (inadequate diet quantity). In this sense, about 95.5 per cent of the surveyed households were experiencing inadequate food consumption.

With regard to the adequacy of households' food consumption, 92 per cent of the surveyed households described that they had sometimes no enough to consume. As the data indicated, the average number of meals per day for adults was 2 while it was 2.7 for children. About 96 per cent of the households stated that *Injera* and *Shiro-wat* were the combination of most common foods consumed by the study households, on average, for 6.8 days in the week. The most frequently mentioned sources of food items from which the study participants purchased were *Gulit* and small shops for potatoes, vegetables, fruits, and legumes; grain mill or grain store for cereals; and consumer associations or *Shemachoch* for oil and sugar.

**Table 5.11: Type and source of food consumed**

Food groups/ Items consumed in the last seven days	A/ketema woreda-5	Arada woreda-4	Gulele woreda- 1	Yeka woreda-4	Total
Percentage of HHs who consumed any bread, injera, or any other foods made from cereals in the last seven days	100 %	100 %	100 %	100 %	100 %
Average number of days consumed in a week	6.7	7	6.7	7	6.8
Main sources	Grain mill/ grain store				
Percentage of HHs who consumed any potatoes or any other root crops/tubers in the last seven days	54 %	60 %	62 %	80 %	64 %
Average number of days consumed in a week	1.1	1.16	1.12	1.76	1.28
Main sources	Gulit/ small shops				
Percentage of HHs who consumed any vegetables in the last seven days	44 %	60 %	44 %	68 %	54 %
Average number of days consumed in a week	1	1.2	1.1	1.4	1.2
Main sources	Gulit/ small shops				
Percentage of HHs who consumed any fruits in the last seven days	24 %	28 %	6 %	12 %	17.5 %
Average number of days consumed in a week	0.32	0.34	0.06	0.6	0.33

Main sources		Gulit/ small shops				
Percentage of HHs who consumed any meat in the last seven days		0	14 %	0	0	3.5 %
Average number of days consumed in a week		0	0.14	0	0	0.04
Main sources		Butcher shop (Lekuanda house)				
Percentage of HHs who consumed any eggs in the last seven days		0	24 %	0	16 %	10 %
Average number of days consumed in a week		0	0.34	0	0.48	0.2
Main sources		Gulit/ small shops				
Percentage of HHs who consumed any legumes in the last seven days		44 %	62 %	40 %	52 %	49.5 %
Average number of days consumed in a week		0.86	1.56	0.98	0.94	1.09
Main sources		Gulit/ small shops				
Percentage of HHs who consumed any milk or milk products in the last seven days		0	14 %	0	8 %	5.5 %
Average number of days consumed in a week		0	0.22	0	0.08	0.08
Main sources		Small shops/ supermarket				
Per cent age of HHs who consumed any oil in the last seven days		100%	100%	100 %	100%	100 %
Average number of days consumed in a week		7	7	6.46	7	6.86
Main sources		Consumers association (Shemachoch)				
Percentage of HHs who consumed any sugar in the last seven Average days		100%	100%	94 %	100%	98.5 %
Average number of days consumed in a week		7	7	6.18	6.84	6.76
Main sources		Consumers association (Shemachoch)				
Food consumption score calculated	Poor consumption (0-28)	88 %	54 %	84 %	76 %	75.5 %
	Borderline consumption (28.1-42)	12 %	36 %	16 %	16 %	20 %
	Acceptable consumption (>42)	0	10 %	0	8 %	4.5 %
Total food consumption score (average)		-	-	-	-	26.35
Percentage of HHs who described their HH food consumption	Had enough food, but not the kinds they want	0	12 %	4 %	14 %	7.5 %
	Sometimes they had no enough to eat	98 %	88 %	96 %	86 %	92 %
	Often they had no enough to eat	2 %	0	0	0	0.5 %
Average number of meals per day for adults		1.98	2.26	1.74	2.04	2.0
Average number of meals per day for children		2.66	2.97	2.62	2.8	2.76
Combination of most common food consumed by the HH was – <i>'Injera and Shiro wat'</i>		98 %	100%	94 %	92 %	96 %
Average number of days consumed in a week		6.92	7	6.52	6.76	6.8

Source: Household survey, 2021

In analysing the food consumption group by marital status of the surveyed beneficiary households, we found that among those married beneficiaries, 83.7 per cent were categorized under poor HH consumption group, 9.3 per cent under borderline group while 7 per cent were under the acceptable consumption group. The statistical test confirmed that the difference in food consumption categories by marital status was found statistically significant (see Table 5.12).

**Table 5.12: Food consumption group by marital status**

Marital status	Food consumption group				
	poor	borderline	acceptable	total	
single	55.2 %	37.9 %	6.9 %	100 %	Pearson $\chi^2=17.863$ , df=6, p=0.007
married	83.7 %	9.3 %	7 %	100 %	
divorced	77.8 %	19.4 %	2.8 %	100 %	
widowed	71.4 %	28.6 %	0	100 %	
Total	75.5 %	20 %	4.5 %	100 %	

Source: Household survey, 2021

However, the widowed and divorced, who are all women, were absent or very small in the acceptable group. This could be an indication of their disadvantaged position relative to the married and unmarried household heads. This finding is similar to the one reported in Argaw (2019).

**Table 5.13: Average number of days of food consumption by FCGs**

FCG	staples	vegetables	fruits	Meat & egg	pulses	milk	oil	sugar	FCS
Poor (150)	6.79	1.05	0.06	0.02	0.54	0.02	6.82	6.72	23.24
Borderline (40)	7	1.58	0.15	0.28	2.9	0.125	7	6.83	32.94
Acceptable (9)	7	2	3.78	3	2.56	0.78	7	7	49.56

Source: Household survey, 2021

As shown in Table 5.13, the majority (75 per cent) of the surveyed households' food consumption was found poor, with food consumption score of 23.24. Out of the eight food groups, the average number of days of their consumption of essential food groups, namely fruits, meat and egg, pulses and milk were less than one, which implies how their consumption level is too poor. Similarly, it was also found that one-fifth of the beneficiary households, who were in the borderline category with a food consumption score of 32.94, were consuming fruits, meat and egg, and milk for less than one day per a week. Only very small fraction of the households did consume relatively good with two or more days per week of seven food groups. This did also imply that the beneficiary households were still food insecure. With regard to food consumption score, the findings of Argaw (2019) indicated that among the sample households taken from Addis Ababa, about 57.2 per cent were under the poor food consumption group, 35.2 per cent of them were under the borderline, and only 7.2 per cent of them were under the acceptable category. Since more than half of the sample household from Addis Ababa were beneficiaries of the urban productive safety

net programme, here again, the implication is that the programme beneficiaries are still not food secure.

### **5.3.2. Household Food Insecurity Access Scale (HFIAS)**

The occurrence of food insecurity encompasses a variety of aspects ranging from social, economic and agriculture policies at the international and national levels to livelihood strategies, basic sanitation, food habits and nutritional status at the household level. In other words, food insecurity is a social as well as biological, nutritional, and economic event. Although there is no perfect measure of food insecurity, experience-based food insecurity scales consider social aspects that other measures do not capture. These types of scales are direct measures of the access component of food security (Ballard, Kepple & Cafiero 2013).

In assessing food insecurity experiences, the standard questionnaire usually contains a series of 9 to 15 questions that indicate the level of concern and the lack of access to, variety and/or quantity of food consumed. The questions retrospectively denote a past period of four weeks and sometimes up to three months back which represent three different domains of food insecurity, namely: anxiety or uncertainty, insufficient quality, and insufficient quantity (Gemma et al 2015).

The household food insecurity access scale (HFIAS) module provides information on food insecurity (access) at the household level using four different but related indicators that help understand the characteristics of household food insecurity (access) in a surveyed population. According to Coates et al. (2007), the four indicators are listed as follows.

- i.** Household food insecurity access-related **Conditions** which provide specific disaggregated information about the behaviors and perceptions of the surveyed households.
- ii.** Household food insecurity access-related **Domains** which provide summary information on the prevalence of households experiencing one or more behaviors in each of the three domains of food insecurity reflected in the HFIAS (anxiety and uncertainty, insufficient quality, and insufficient food intake and its physical consequences).

- iii. Household food insecurity access scale Score which is a continuous measure of the magnitude of food insecurity (access) based on the household's food consumption experience.
- iv. Household Food Insecurity Access **Prevalence** which is a categorical indicator of the prevalence of households' food insecurity (access) derived from the HFIAS score.

The household food insecurity access scale score is a simple and effective measure of the magnitude of food insecurity (access) based on the household's food consumption experience in the last four weeks prior to the survey period (Coates et al 2007). The HFIAS score is also appreciated in the study of Salarkia, Abdollahi, Amini & Neyestani (2014) for being a valid and adaptable instrument in evaluating household food insecurity as tested in Varamin city of Iran. Their findings indicated that the household food insecurity access scale questionnaires were not only valid tools but also they were simple and quick to administer. They argued that the adapted HFIAS questionnaire has a high internal consistency and acceptable validity, which compares well with similar study conducted in Tehran and can also yield same if employed in other similar studies.

In this study, the household food insecurity access scale had eight questions which reflect three different domains of food insecurity; namely, anxiety and uncertainty, insufficient quality, and insufficient food intake. Under the anxiety and uncertainty domain, majority of the surveyed households (80 per cent) were experiencing worry or anxiety that their household would not have enough food for the last four weeks during the time of the survey. However, the remaining 20 per cent of them did not necessarily mean that they are free from anxiety as their responses were associated with their religious believes. Almost all of them in the same way said that they rely on the Almighty GOD for their livelihoods. They believe that they survived until this day because of GOD and that they do not want to worry about what to eat now and in the future. This is, of course, a matter of one's religious belief and perception that may not actually reflect the reality on the ground. A discussion with some of them indicated that almost all of them were uncertain about having enough food for their household in the past four weeks prior to the survey.

The most prevalent food insecurity experiences were observed in the second domain where the inadequacy of food quality and diversity are reflected in the 2<sup>nd</sup>, 3<sup>rd</sup> and 4<sup>th</sup> questions. Almost all

the study households (99.5 per cent) were not able to consume the kinds of foods they preferred. They believed that the food they consumed did not have sufficient diversity, nutritional adequacy and did not satisfy their preferences (99.5 per cent); and also they felt that their household ate limited varieties of foods than they would like to eat because of lack of resources (99.5 per cent). Similarly, 99 per cent of them responded that they were forced to eat some kinds of foods that they did not want to eat have they had enough resources to obtain other types of food.

The third domain consists of the 5<sup>th</sup>, 6<sup>th</sup>, 7<sup>th</sup>, 8<sup>th</sup> and 9<sup>th</sup> questions in which the insufficient quantities of food intake that any member of the household experienced in the past four weeks were reported. As regards the 5<sup>th</sup> and 6<sup>th</sup> questions, 97.5 per cent of the surveyed households experienced a reduction in the amount of food consumed in a day and 95 per cent of them were forced to reduce the frequency of meals consumed in a day, respectively. In response to the 7<sup>th</sup> and 8<sup>th</sup> questions, 71 per cent of the study participants had rarely no food to eat in a day and 68.5 per cent of them experienced rarely sleeping hungry because of lack of enough food, respectively.

Since the surveyed households are beneficiaries of the urban productive safety net programme who were selected for being the poorest segment of the society, it is expected to have experienced inadequate quality and insufficient quantity of food consumption as their primary coping strategy. A similar study was conducted by Derso, Bizuneh, Keleb, Ademas & Adane (2021) in Addis Ababa focusing on UPSNP beneficiary households located in three sub cities and nine woredas. According to their findings, the proportion of households who experienced worry about not having enough food was a bit higher (87 per cent). On the other hand, the proportion of households who were unable to eat preferred food (75 per cent), who ate just a limited variety of foods (76.1 per cent) and who ate unwanted kinds of foods (24.9 per cent) were relatively lower compared to the present study. Also the proportion of households who had eaten smaller amounts at a meal (70.2 per cent), who ate fewer meals than desired (63.1 per cent), and who went to sleep at night hungry (36.1 per cent) were relatively smaller than the current study. On the contrary, the proportion of households who went without food for a day & night was 6.4 per cent in Derso et al (2021) while it was none in the present study. The possible reason for the difference between the findings of Derso et al (2021) and the present study could be attributed mainly to the data collection time in which the study of Derso et al (2021) was conducted in 2019 before the outbreak of the pandemic and the associated escalation of prices of basic needs.



**Table 5.14: Frequency of responses to the HFIAS questionnaire**

Household Food Insecurity Access Scale (HFIAS) for the last four weeks	No (If not at all)	Rarely (once/twice)	Sometimes (3-10 times)	Often (>10 times)	Total (yes)
<b>Anxiety and uncertainty</b>					
Per cent age of households worried that their household would not have enough food	20 %	17.5 %	60.5 %	2 %	80 %
<b>Insufficient Quality</b>					
Per cent age of households with any member who was not able to eat the kinds of foods they preferred because of lack of resources	0.5 %	18.5 %	69 %	12 %	99.5 %
Per cent age of households with any member who had to eat a limited variety of foods due to lack of resources	0.5 %	19.5 %	69 %	11 %	99.5 %
Per cent age of households with any member who had to eat some foods that they did not want to eat because of lack of resources to obtain other types of food	0.5 %	40.5 %	56 %	2.5 %	99 %
<b>Insufficient food intake and its physical consequences</b>					
Per cent age of households with any member who had to eat a smaller meal than felt needed because there was not enough food	2.5 %	52.5 %	44.5 %	0.5 %	97.5 %
Per cent age of households with any member who had to eat fewer meals in a day because there was not enough food	5 %	53.5 %	40 %	1.5 %	95 %
Per cent age of households with no food to eat of any kind in the household because there were not resources to get more	29 %	67.5 %	3.5 %	0	71 %
Per cent age of households with any member who had to go to sleep at night hungry because there was not enough food	31.5 %	67.5 %	1 %	0	68.5 %
Per cent age of households with any member who had to go a whole day & night without eating anything because there was not enough food?	-	-	-	-	-
HFIAS Score	13.54	10.76	10.86	11.1	11.565

Source: Household survey, 2021

During the field survey and from the discussion held with the participants, the researcher learned that those who experienced insufficient quantity of food consumption among the household members were mostly mothers, sometimes fathers and rarely children. In sum, since the surveyed households are beneficiaries of the urban productive safety net programme who were selected for being the poorest segment of the society, it is expected to have experienced inadequate quality and insufficient quantity of food consumption as their primary coping strategy.

The HFIAS score variable was computed for each household by summing the codes for each frequency-of-occurrence question. Accordingly, based on their scores, households were categorized into any of the four levels of the food access insecurity: food secure (HFIAS score 0 - 1), mildly food insecure (HFIAS score 2-8), moderately food insecure (HFIAS score 9-16) and severely food insecure (HFIAS score > 16). The higher the score, the more food insecurity

(access) the household experienced. The lower the score, the less food insecurity (access) a household experienced (Coates et al 2007).

### **5.3.3. Household Food Insecurity Access Prevalence (HFIAP)**

The household food insecurity access prevalence (HFIAP) is a categorical indicator of the prevalence of households food insecurity (access) derived from the HFIAS score. It is usually used, along with the average HFIAS score, to report household food insecurity (access) prevalence and make geographic targeting decisions. Using the HFIAP indicator, households are classified into four levels of food insecurity (access): food secure, mildly food insecure, moderately food insecure and severely food insecure (Coates et al 2007).

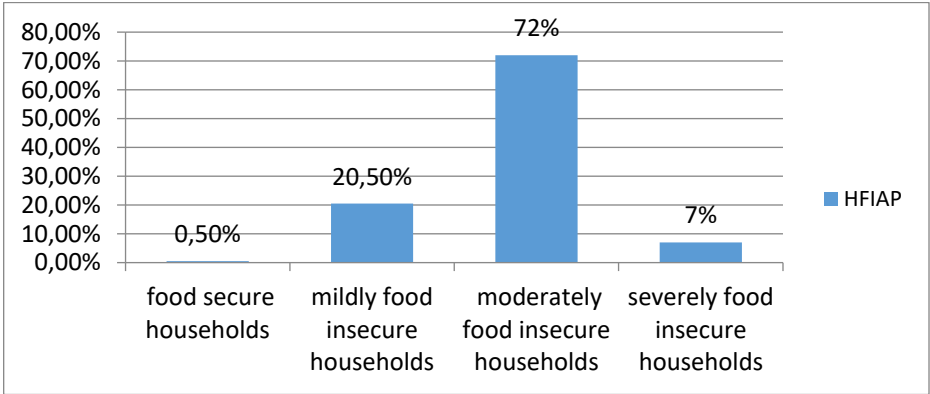
A food secure household experiences none of the food insecurity (access) conditions, or just lives through worry, but rarely. A mildly food insecure (access) household worries about lack of enough food sometimes or often, and/or is incapable of consuming desired foods, and/or consumes a more monotonous diet than desired and/or some foods considered unwanted, but only rarely. A moderately food insecure household gives up quality more frequently, by consuming a monotonous diet or undesirable foods sometimes or often, and/or has started to curb quantity by decreasing the size of meals or number of meals, rarely or sometimes. But it does not experience any of the three most severe conditions. On the other hand, a severely food insecure household has proceeded to decreasing meal size or number of meals often, and/or faces any of the three most severe conditions (running out of food, going to bed hungry, or going a whole day and night without eating), even infrequently or rarely. In other words, any household that experiences one of these three conditions even once in the last four weeks is regarded as severely food insecure (Coates et al 2007).

In this study, households with HFIAS score of one or less were categorized as food secure while those with HFIAS score ranging from 2 to 8 were grouped as mildly food insecure (access) households. In similar fashion, households with HFIAS score ranging from 9 to 16 were categorized as moderately food insecure (access) while those with HFIAS score above 16 were classified as severely food insecure (access) households. Accordingly, 7 per cent of the surveyed households were severely food insecure, 72 per cent were moderately food insecure, 20.5 per cent

were mildly food insecure and only one household (0.5 per cent) was found to be food secure. In sum, the overall prevalence of household food insecurity was 99.5 per cent, implying that all of the surveyed households were found food insecure.

The findings of this study are consistent with those found in other cities of neighbouring countries conducted on households with comparable socioeconomic backgrounds by Wanayama, Godecke & Qaim (2019). The study of Wanayama et al (2019), conducted on slum households in Kampala and Nairobi cities, indicated that most of the surveyed households in the two cities did feel food insecure or vulnerable to food insecurity. Based on the HFIAP indicator, only 13 per cent in Nairobi and 7 per cent in Kampala were found food secure while the remaining 87 per cent and 93 per cent in Nairobi and Kampala, respectively, were categorized as food insecure. On the other hand, the findings of Derso et al (2021) showed that the overall prevalence of household food insecurity was 77.1 per cent which is lower as compared to the 99.5 per cent prevalence of the present findings.

In the study of Derso et al (2021), the proportion of households who were food secure, mildly food insecure, moderately food insecure and severely food insecure were 22.9 per cent, 0.7 per cent, 21.2 per cent and 55.2 per cent, respectively. While in the present study, the proportion of households who were food secure, mildly food insecure, moderately food insecure and severely food insecure were 0.5 per cent, 20.5 per cent, 72 per cent and 7 per cent, respectively.



Source: Household survey, 2021

Figure 5.4: Levels of household food access insecurity

Evidently, there were remarkable differences between the findings of the two studies. One obvious reason could be the time of data collection in which the former study’s data collection

was conducted before the outbreak of COVID-19 in 2019 while that of the present study was conducted after the outbreak of the pandemic in the beginning of 2021. Furthermore, the participants of the present study were the poorest households who participated in the first and second year of the programme while the participants of the study of Derso et al (2021) were not clearly identified.

## **5.4. Households vulnerability to food insecurity and their coping strategies**

### **5.4.1. Effects of Price Inflation and Shocks Impacting Food Insecurity**

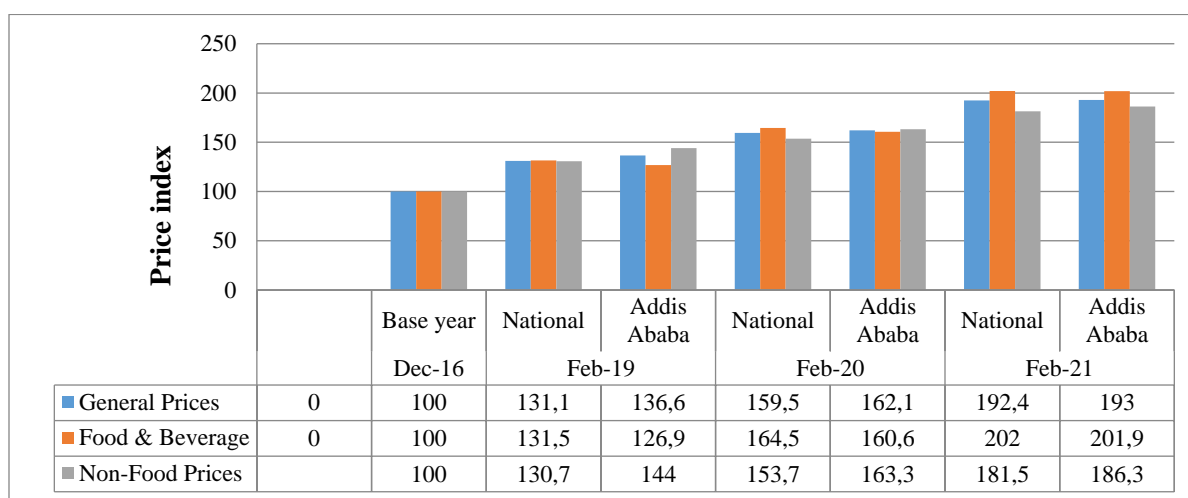
In comparison with the rest of the world, not only are prices of nutritious foods so high, but also the cost of food in general are relatively expensive in Africa. Evidences depict that food prices in sub-Saharan Africa are 30 to 40 per cent higher than other countries at comparable levels of incomes and development (FAO et al. 2021).

In an attempt to analyse factors responsible for making households vulnerable to food insecurity and their coping strategies, respondents were asked about their perception on price inflation, shocks that impact livelihoods, types of coping mechanisms and social assistance practices. According to the mainstream economics, increasing market prices of goods and services lead to declining purchasing power of existing incomes of households, *ceteris paribus*. Our data indicated that all of the surveyed households believed that prices have been increasing rapidly since the last two years in the city. Similarly, all the surveyed households perceived that the price inflation adversely and significantly affected their dietary programme. Given the socioeconomic backgrounds of the study households, indeed, this could aggravate the existing food insecurity problem. The adverse effect of the price inflation on food security has been observed not only among the poorest households but also among the non-poor households, especially after the incidence of the COVID-19 pandemic.

Similar to the result of this study, evidences show that price increases, particularly after COVID-19, have adversely impacted households' food security. Degye, Mengistu, Getachew & Tadele (2020) argue that the COVID-19 pandemic has negatively affected the supply and demand sides of the food market in both rural and urban Ethiopia, and thereby resulted in loss of welfare to

households. The rise in prices of food staples and decline in income of households were identified as the two major reasons that inhibited households from purchasing enough food staples.

With regard to the effects of prices, the explanation of Kalkuhl et al (2016) is worth mentioning here. Since expenditure on food constitute around two-third of the total household expenses of the poor, any change in food prices may lead to a change in real income. Whether the change in real income is desirable or not depends on the trade position of the household, being a net buyer or a net seller (Kalkuhl et al 2016). For instance, in the case of urban households who are net buyers of food and like the study participants of this research, the increase in food prices will negatively affect their real income and threaten their purchasing power.



Source: CSA, 2021b

**Figure: 5.5 Comparisons of CPI Changes at Country & Addis Ababa City Level**

Consumer price index (CPI) measures the average change in inflation based on comparison of current versus last year's similar month to understand the current inflation situation. According to CSA (2021b), taking December 2016 prices as a base year, the price index of food items doubled with in four years and the general price index increased by 93 per cent, both at national level and Addis Ababa city level. As can be seen from the figure (Figure: 5.5), the general year-on-year inflation rate in February 2021 at country level increased by 20.6 per cent as compared to the one observed in February 2020. In the same way, the February 2021 general year-on-year inflation in Addis Ababa increased by 19.1 per cent as compared to the one observed in February 2020. Correspondingly, in the same period, the annual food and non-food inflation rose by 22.8 per cent

and 18.0 per cent, respectively, at national level while it grew by 25.7 per cent and 14.1 per cent, respectively, in Addis Ababa (CSA 2021b).

For example, some of the food items that showed high price increases in February 2021 as compared to February 2020 include Bread and Cereals (29.7 per cent), Meat (13.2 per cent), Fish and Seafood (21.9 per cent), Milk, Cheese and Eggs (23.0 per cent), Oil and Fats (35.7 per cent), Non-Alcoholic beverages and Coffee (27.3 per cent), and Vegetables, Pulses, Potatoes and Tubers (14.7 per cent) (CSA 2021b).

**Table 5.15: Perception of households on effects of food prices**

	A/ketema woreda-5	Arada woreda-4	Gulele woreda-1	Yeka woreda-4	Total	
Per cent age of households who perceived increasing price inflation in the past two years	100 %	100 %	100 %	100 %	100 %	
Per cent age of HHs who perceived that the increase in food prices adversely & significantly affected their dietary programme	100 %	100 %	100 %	100 %	100 %	
Strategies used to cope with the price inflation	Reducing consumption	34 %	60 %	96 %	52 %	60.5 %
	Working any available work and more hours	6 %	16 %	0	20 %	10.5 %
	Asking support from others	4 %	6 %	0	4 %	3.5 %
	No response	56 %	18 %	4 %	24 %	25.5 %

*Source: Household survey, 2021*

From the survey data, the major difficulties that impacted households' ability to meet their food and non-food needs in the last one year were identified. Increasing food prices and incidence of COVID-19 pandemic were the two most important problems, reported by all the surveyed households (100per cent), which have negatively affected their livelihoods. This finding is similar to that of Hirvonen et al (2020). Their findings indicate that the incomes of majority of households in Addis Ababa were adversely affected by the pandemic; particularly, the poor are disproportionately affected. Relative to the pre-pandemic period, the food and nutrition securities of households in Addis Ababa have been deteriorating in the post-pandemic period due to increasing food prices and declining of their incomes (Hirvonen et al 2020).

In addition to increasing prices and incidence of COVID-19, loss of employment, increasing house rent and others (including sickness, divorce and house fire) were reported by 36.5 per cent, 16 per cent and 15.5 per cent of the surveyed households, respectively, to have adversely impacted their livelihoods outcomes. Increasing prices has continued to adversely impact the livelihoods and food security of the urban community. As indicated in MoUDH (2016), price hikes, particularly in relation to supply shortages, was among the major causes of food insecurity in urban Ethiopia.

**Table 5.16: Shocks impacting households' livelihoods**

Items	A/ketema woreda-5	Arada woreda-4	Gulele woreda-1	Yeka woreda-4	Total
Major difficulties that impacted HHs ability to meet their food & non-food needs in the last one year					
Increasing food prices	100 %	100 %	100 %	100 %	100 %
Incidence of COVID-19 pandemic	100 %	100 %	100 %	100 %	100 %
Loss of employment	28 %	2 %	92 %	24 %	36.5 %
Increasing house rent	12 %	18 %	30 %	4 %	16 %
Increasing transport costs	0	10 %	2 %	12 %	6 %
Others (sickness, divorce, house burning, ...)	18 %	2 %	34 %	8 %	15.5 %

*Source: Household survey, 2021*

The data obtained from the key informant interview asserted that the increase in prices of basic needs and the incidence of COVID-19 have greatly challenged and adversely impacted the livelihoods of the beneficiaries. In 2020, the first beneficiary groups (2017-19) were already graduated and out of the programme in which some of them were still waiting for a job through the livelihood service. In the same year, the second beneficiary groups (2018-20) were at their last year of participation in which only 20 days of work per person are allowed in the year. The implication is that with no or limited income from the public work and with no or limited employment income from other sources associated with COVID-19 and accompanied by price inflation has seriously affecting the already fragile food insecurity situation of the beneficiaries.

A recent report of FAO on food security and nutrition of Africa region indicated the effect of the pandemic in a similar way. The economic recession associated with COVID-19 has led to declining incomes while food prices have been increasing since June 2020. Although the declining incomes and growing food prices may not necessarily lead households to lesser food

consumption, households may be forced to switch to lower cost and less nutritious food, thus lowering the quality of the diet. In addition, households may reduce spending on health and education, thus adversely affecting the development of human capital in the region (FAO, ECA & AUC 2021).

#### **5.4.2. Food Insecurity and Coping Strategies**

The survey data indicated that all the surveyed households (99.5 per cent) encountered food shortages in the past 12 months. They reported that although the food insecurity problem was improving after they had joined the UPSNP, it has again aggravated since 2020 following the incidence of COVID-19. Particularly, the food shortage became critical after the mid of 2020 and sustained for 9 months at the time of survey (until February 2021). According to the survey, the major reasons for the food shortage were increasing food prices, income decline and employment loss, which were intensified mainly by the outbreak of COVID-19 pandemic.

Although the various measures taken by governments meant for slowing the spread of COVID-19 could be effective, they would have significant economic consequences. Particularly, the problem is considerable in developing economies where significant proportion of the population is self-employed and works in the informal sector with low income level and vulnerable food security status (Hirvonen et al 2020; Hirvonen, de Brauw & Abate 2021; Devereux et al 2020). In assessing the effect of the COVID-19 in Ethiopia, Degye et al (2020) argued that the income of 49.8 per cent of rural households and 52.4 per cent of urban households exhibited reduction after the occurrence of COVID-19 pandemic. Particularly, total income loss among urban households (8.1 per cent) was higher than rural households (1.8 per cent) in the country, mainly because of job losses related to the pandemic. Households in Addis Ababa (11.9 per cent) experienced the highest total income loss followed by Tigray (10.2 per cent) and Harari (7.6 per cent) regions (Degye et al 2020). Comparing the severity of the current food shortage with the previous one, 80 per cent of the surveyed households perceived that it was worse than the previous one while 19.5per cent stated that it was bad.

In an attempt to cope with the food shortage problem, they have been using different livelihood-based and food-based coping strategies. The livelihood-based coping strategies employed were



mainly stress strategies including spending savings, receiving support from relatives/friends, borrowing money from relatives/friends, and purchasing food on credit basis. Almost 80 per cent of the surveyed households opted to spend their savings to cope with the food shortage they encountered. About 33 per cent of them received support from relatives/friends while 15 per cent borrowed money from relatives/friends to purchase food and cope with the food shortage.

**Table 5.17: Severity of food insecurity and coping strategies**

		A/ketema woreda-5	Arada woreda-4	Gulele woreda-1	Yeka woreda-4	Total
Per cent age of HHs who encountered food shortages		100 %	99 %	100 %	100 %	99.5 %
Number of months the HHs were in food shortages		9 months (since May 2020 following the state of emergency for COVID-19)				
Major reasons for the HHs' food shortages		Increasing food prices, income decline and employment loss				
Severity of food shortage encountered relative to the previous one	Worse	94 %	80 %	82 %	64 %	80 %
	Bad	6 %	18 %	18 %	36 %	19.5 %
	No change	0	2 %	0	0	0.5 %
Livelihood-based coping strategies (stress strategies)	Borrowing money from relatives/friends	4 %	2 %	14 %	40 %	15 %
	Receiving support from relatives/friends	12 %	38 %	36 %	44 %	32.5 %
	Purchasing food on credit basis	6 %	2 %	8 %	8 %	6 %
	Spending savings	96 %	70 %	88 %	64 %	79.5 %
Livelihood-based coping strategies (crisis strategies)	Selling HH assets	0	2 %	6 %	0	2 %
	Sending children to work	0	0	6 %	0	1.5 %
Food-based coping strategies	Reducing number of meals consumed in a day	100 %	94 %	100 %	100 %	98.5 %
	Reducing amount consumed during each meal	100 %	92 %	88 %	92 %	93 %
	Consuming less preferred, lower quality, or less expensive foods	0	62 %	30 %	32 %	31 %

*Source: Household survey, 2021*

As can be seen from Table 5.17, spending savings as coping strategy was more pervasive among the already graduated first year beneficiaries of Addis Ketema woreda-5 (96 per cent) and Gulele woreda-1 (88 per cent) than the second year beneficiaries of Arada woreda-4 (70 per cent) and Yeka woreda-4 (64 per cent) who are about to graduate.

The interview made with key informants from ketena to the federal level provided important and similar data with the one obtained through the household survey. In addition to the public works that they were participating in, most of the beneficiaries of the programme support their livelihood

through daily labour and self-employment in the informal sector. Following the incidence of COVID-19, the demand for daily labour and for informally produced and sold goods on the street such as fast foods and vegetables substantially decreased. The process of getting involved the graduated beneficiaries into new jobs were slow. As one key informant interviewee from Gulele woreda-1 puts it, '*...because the process of creating sustained employment to the graduated beneficiaries has been slow, some beneficiary households were forced to spend not only their savings but also the grant money they received for consumption purposes*'. On top of that, the prices of goods and services are increasing fast. All these imply negative effects on the encouraging changes that were observed at the beginning of the programme before the outbreak of COVID-19. Consequently, leading beneficiaries to spend their savings for financing subsistence consumption; and if it continues and not managed timely, it will eventually fall them to severe food insecurity problems.

In relation to the food-based coping strategies, it was observed that households compromised on both the quantity and quality of food consumed. As a coping mechanism, almost 99 per cent of the households reported that they reduced the number of meals consumed in a day and 93 per cent of them reduced the amount consumed during each meal. Yet, about 31 per cent of the surveyed households compromised on quality of food by consuming less preferred, lower quality or less expensive foods as a strategy to cope with the food shortage.

In sum, to survive the effects of the price inflation and reduce vulnerability, households were making every effort to work any available work and more hours whenever the opportunity existed, and opted reducing consumption of food as a survival strategy. According to the interview made with *ketena* leaders, since the beneficiary households are the poorest segment of the society, reducing the quantity and quality of food consumption as food-based coping strategies is not a new experience to them as they have been practicing it for a long time.

#### **5.4.3. Transfers and Social Assistance**

The study participants were asked about their experience on transfers and assistance from and to others in the last one year, in 2020. Out of the surveyed households, 30.5 per cent of them had received support, either in cash or in kind, from others outside of the household, such as from

relatives, government or nongovernmental organizations. The frequency of support and the amount received varied across households. The average amount of support received per a household per year was 1714 Ethiopian Birr, though the frequency of support was irregular ranging from quarterly to annually. Even if the households under discussion were the income poor, a few of them (5 per cent) had provided support for their parents or extended family either quarterly or occasionally with an average amount of 1400 Ethiopian Birr per year.

**Table 5.18: Transfers and assistance**

Item		A/ketema woreda-5	Arada woreda-4	Gulele woreda-1	Yeka woreda-4	Total
Percentage of HHs who had provided support to other extended family/ parents	Before	0	2 %	0	0	0.5 %
	After	0	12 %	0	8 %	5 %
Average amount of support provided per HH per year in Birr		0	1167	0	1750	1400
Frequency of support	Quarterly		50 %		50 %	
	Occasionally		50 %		50 %	
Percentage of HHs who received support from others (Gov't, NGOs, relatives,...)	Before	0	6 %	8 %	16 %	7.5 %
	After	22 %	18 %	42 %	40 %	30.5 %
Average amount of support received per HH per year in Birr		800	2711	1626	1860	1714
Frequency of support	Quarterly	6 %	8 %	8 %	16 %	9.5 %
	Occasionally	0	8 %	6 %	16 %	7.5 %
	Annually	16 %	2 %	28 %	8 %	13.5 %

*Source: Household survey, 2021*

Comparing the last one year experience of households in providing or receiving support with the one before joining the urban productive safety net programme, one can see a significant improvement. The percentage of households who had received support from others rose from 7.5 per cent (before) to 30.5 per cent after joining the urban productive safety net programme. Similarly, the percentage of households who had provided support to others increased from 0.5 per cent (before) to 5 per cent after joining the urban productive safety net programme. According to the interview made with a team leader in Addis Ketema sub city, there were some efforts to support the needy, including the urban productive safety net programme beneficiaries, both by the government and nongovernment organizations after the outbreak of the pandemic. He,

particularly, pointed out that the financial support made by UNICEF for three consecutive months to the second year beneficiary households was notable. Nevertheless, it should be noted that the support was given universally to the poor intended to minimize the adverse effects of COVID-19, and not uniquely given to them because they are UPSNP beneficiary households.

## **5.5. Perception of Beneficiaries on the Contribution of the UPSNP to Livelihoods**

### **5.5.1. Perception of beneficiaries on targeting and contribution to livelihoods**

Households were asked about their perception on the appropriateness and fairness of selecting target beneficiaries to the programme. Most of the households (91.5 per cent) perceived that the selection of the target beneficiaries was appropriate and fair. Likewise, the data from key informants interview revealed that the targeting of beneficiaries was appropriate as the process passed a number of steps before the actual enrolment of beneficiaries. The first is related to geographic targeting in which woredas with the largest number of poor households were selected and the quotas were established for each woreda. The second step involved the preparation of list of poor households by ketena targeting committees in each woreda. In the third step, the ketena targeting committee pre-selected beneficiary households and established a long list of potential households based on targeting criteria. Fourthly, data was collected from the long list and proxy mean test (PMT) was calculated. Lastly, the list of selected households was validated by the community and beneficiaries were enrolled. Households are free to appeal along the targeting process. Only 2.5 per cent of them perceived that it was inappropriate while 6 per cent opted to give no comment. The discussion with key informants did also provide us with important awareness on retargeting. Although the targeting was implemented appropriately and fairly, there were some errors of exclusion and inclusion through the process. For instance, because one of the exclusion criteria was possession of household furniture, those who owned Sofa and Television were excluded while they were severely food insecure. On the other hand, few non-poor people were included mistakenly or deliberately while they were relatively better off. Such errors were, however, corrected by retargeting through time whenever appeals are submitted by potential beneficiaries or grievances are reported by any other body in the ketena. As an interviewee from a sub city emphasised, this could be among the flexible and innovative features of the programme.

In addition, 93.5 per cent of the surveyed households perceived that their livelihood and food security status has improved after joining the programme while 6.5 per cent of them perceived no change at all. Of course, these findings should be taken cautiously. According to the discussion made with the programme beneficiaries, they did reply so by taking into account the previous state that they were in before the outbreak of COVID-19 and also hoping that the current problem will be lasting a short time and will be improved and get right soon.

**Table 5.19: Perception on targeting and livelihoods contribution**

Item		A/ketema woreda-5	Arada woreda-4	Gulele woreda-1	Yeka woreda-4	Total
Perception of HHs on the appropriateness of selecting target beneficiaries to the programme	Appropriate	92 %	98 %	100 %	76 %	91.5 %
	No comment	0	0	0	24 %	6 %
	Inappropriate	8 %	2 %	0	0	2.5 %
Perception of HHs on their livelihood and food security status after joining the UPSNP	Improved	100 %	94 %	92 %	88 %	93.5 %
	No change	0	6 %	8 %	12 %	6.5 %

### 5.5.2. Perception of beneficiaries on the contribution of UPSNP to livelihood assets

The surveyed households were also asked about their perception on the contribution of the UPSNP to their livelihoods assets, livelihoods strategies, and livelihoods outcomes. They were made to reflect their perception using a 7-point likert scale: 0 for strongly disagree, 1 for disagree, 2 for moderately disagree, 3 for neutral, 4 for moderately agree, 5 for agree and 6 for strongly agree. The livelihoods assets were explained by five composite variables, namely human capital, financial capital, physical capital, social capital, and natural capital, each of which were in turn made up of two or three variables. The livelihood strategies and livelihoods outcomes were made up of seven variables each. The following section is meant for describing the perception of the surveyed households on the contribution of the UPSNP to each of the variables representing livelihoods assets, livelihood strategies and livelihoods outcomes. The median value was calculated for each of the variables and also to each of the composite variables. Although there are controversies among researchers about whether to use median or mean for likert type scales, Sullivan & Artino (2013) argue that it would be preferable to use the median value, instead of the mean, as the measure of central tendency for likert scale data.

Our discussion begins with the contribution of the UPSNP to livelihoods assets which were represented by five composite variables. The first composite variable is human capital, which is made up of three variables: improved health, improved skills training and improved education. With regard to the perception of beneficiaries on the contribution of the UPSNP to improved health, 31.5 per cent of the surveyed households did agree, 52 per cent of them did moderately agree while 13 per cent of them were neutral. The median value for the livelihoods asset variable pertaining to improved health was 4.0 implying that the surveyed beneficiaries did moderately agree on the contribution of the UPSNP to improved health. Relating to the contribution of the UPSNP to improved skills training, 15.5 per cent of the surveyed households did agree, 35.5 per cent did moderately agree, 29.5 per cent remained neutral, 13.5 per cent did moderately disagree while 6 per cent of them showed disagreement. The median value for the livelihoods asset variable pertaining to improved skills training was 4.0 implying that the surveyed beneficiaries did moderately agree on the contribution of the UPSNP to improved skills training. Regarding the contribution of the UPSNP to improved education, 15 per cent of the surveyed households did agree, 28 per cent did moderately agree, 36 per cent remained neutral while 18 per cent did moderately disagree. The median value for the livelihoods asset variable pertaining to improved education was 3.0 implying that the surveyed beneficiaries did neither agree nor disagree on the contribution of the UPSNP to improved education. Overall, the median value of the human capital was 3.67 which is found close to the moderately agree scale and hence a moderate recognition to the contribution of the UPSNP to human capital compared with the previous situation.

The second composite variable is financial capital made up of three individual variables, namely labour incomes, access to credit and savings. In assessing the perception of beneficiaries on the contribution of the UPSNP to increased labour incomes, it was found that 75 per cent of the surveyed households did agree or strongly agree while the remaining 25 per cent of them did moderately agree. The corresponding median value for the variable labour incomes was 5.0, indicating that the surveyed beneficiaries did agree on the contribution of the UPSNP to increased labour incomes. Similarly, 91.5 per cent of the surveyed households did agree or strongly agree that the UPSNP contributed to increased savings of beneficiary households with a median value of 5.0. On the other hand, 84 per cent of the surveyed households did disagree or strongly disagree on the contribution of the UPSNP to improved access to credit for the beneficiaries. As a result,

the median value for the variable access to credit was only 1.0, suggesting that the beneficiaries disagree on the contribution of the UPSNP to improved access to credit. In sum, the median value of the financial capital as a composite variable was 3.67 which was close to the moderately agree scale and hence a moderate recognition to the contribution of the project to financial capital relative to the previous situation.

The other composite variable is physical capital made up of three individual variables, namely housing, household furniture and road coverage. Regarding the contribution of the UPSNP to improved housing, 88 per cent of the surveyed households did disagree or strongly disagree while 18.5 per cent of them did moderately disagree. Hence, the median value for improved housing was only 1.0 implying that the surveyed beneficiaries perceived that the UPSNP did not contribute to improved housing. Similarly, relating to the contribution of the UPSNP to increased local road coverage, 49.5 per cent of the surveyed households did disagree, 19 per cent did moderately disagree, 11.5 per cent were neutral while 7.5 per cent did moderately agree and 10.5 per cent did agree. The corresponding median value for increased local road coverage was 1.0 implying the disagreement of beneficiaries on the contribution of the UPSNP to increased local road coverage. On the other hand, 18 per cent of the surveyed households did agree and 51.5 per cent moderately agree while 21.5 per cent remained neutral and 9 per cent did disagree on the contribution of the UPSNP to improved household furniture. The median value for this variable was 4.0, suggesting that the beneficiaries did moderately agree on the contribution of the UPSNP to improved household furniture. Overall, the median value of the physical capital as a composite variable was 2.33 which is roughly close to the moderately disagree scale and hence no recognition to the contribution of the UPSNP to physical capital compared with the previous situation.

Another composite variable among the livelihoods assets is social capital which was explained by two indicator variables, improved access to information and better support mechanism. The surveyed households were asked to rate their agreement, as per their perception, on the contribution of the urban productive safety net programme to these two variables. About 95.5 per cent of the respondents agreed or strongly agreed that the urban productive safety net programme contributed to improved access to information. In the same way, 95.5 per cent of them agreed or strongly agreed that the urban productive safety net programme contributed to better support mechanism for the beneficiaries. Accordingly, the two variables as well as the composite variable

social capital were found to have an equal median value of 5.0, signifying that the beneficiaries almost unanimously agreed and recognized the contribution of the UPSNP to social capital relative to the previous situation.

Natural capital was also made up of two related variables, namely clean & green environs and improved environmental protection. The natural capital variables, similar to the social capital variables, were highly and positively rated. About 98 per cent of the surveyed beneficiary households agreed or strongly agreed on the contribution of the urban productive safety net programme to clean & green environs as well as to improved environmental protection. Correspondingly, the two variables as well as the composite variable natural capital were found to have an equal median value of 5.0, suggesting that the beneficiaries almost unanimously agreed and recognized the contribution of the urban productive safety net programme to natural capital relative to the previous situation.

The data obtained from the interview did strongly support the perception of the beneficiaries. All the interview participants asserted that among the major contributions of the programme to livelihood assets, those observed on the environment and social aspects as well as on savings were remarkable. The surroundings of the villages have become clean and green and looked healthy. The beneficiaries have created strong social bond to each other and have better access to information, particularly through their monthly meetings. Above all, they have developed a desirable culture of saving, not only in modern financial institutions but also in traditional institutions such as iqub and idir. During the field observation, the researcher witnessed that the environs of the survey areas were clean and healthy; solid waste materials were properly collected and put in a plastic bag until taken to a landfill. Unlike the previous unhealthy and polluted environment with a heap of dirt materials and bad smell, the roads and road side drainages in the survey villages were clean and safe, and the planted trees were promising for conducive and liveable city environment.

*'In urban context, the success of livelihoods activities depend on financial, human, social capital and to some extent on natural resources'* (MoUDH 2016: 20). As stated in MoUDH (2016), the urban productive safety net programme is expected to contribute to the development of sustainable livelihoods of beneficiaries through its support to livelihoods assets. The expected



contribution of the UPSNP to livelihoods assets is compared with the perception of the beneficiaries as summarized below.

- i. *Financial capital:* the urban productive safety net programme was expected to providing cash payments for days worked; and grants as required, thereby substantially contributed to financial capital of beneficiaries. However, the beneficiaries actually recognized that the contribution of the urban productive safety net programme to financial capital was moderate, and hence below their expectation.
- ii. *Human capital:* the urban productive safety net programme was expected to promoting functional literacy classes among adults and helping parents send their children to school instead of work, thereby substantially contributed to human capital of the beneficiary households. However, the beneficiaries actually perceived that the contribution of the project to human capital was moderate and hence below their expectation. This was also confirmed by the woreda experts during the interview session in the same way.
- iii. *Social capital:* the project was expected to significantly building clients' confidence to engage in community affairs and strengthen their social network. In line with the expectation, beneficiaries actually acknowledged that the contribution of the project to social capital was substantial and met their expectations. In this regard, the key informants did respond very positively consistent with the perception of beneficiaries during the interview.
- iv. *Natural/physical capital:* the greenery, solid waste and watershed management approach as well as the physical infrastructure development adopted by the programme were expected to considerably contribute to the development of natural and physical capitals. The perception of beneficiaries on the contribution of the urban productive safety net programme was found mixed. On the one hand, they perceived that the contribution of the urban productive safety net programme to natural capital was high and met their expectations. On the other hand, their perception on the contribution of the UPSNP to physical capital was too low and far below their expectations.

In sum, the contribution of the urban productive safety net programme to livelihood assets is mixed and not conclusive. The programme beneficiaries significantly appreciated the contribution of the UPSNP to social capital and natural capital. Their appreciation to the contribution of the

urban productive safety net programme to human capital and financial capital was moderate while it was none to physical capital.

**Table 5.20: Perception of beneficiaries on the contribution of UPSNP to livelihood assets**

Livelihood Items		Median	<i>strongly agree</i>	<i>agree</i>	<i>moderately agree</i>	<i>Neutral</i>	<i>moderately disagree</i>	<i>Disagree</i>	<i>strongly disagree</i>
<b>On livelihoods assets</b>									
Human capital (3.67)	Contributed to improved health	4	0	31.5 %	52 %	13 %	3.5 %	0	0
	Contributed to improved skills training	4	0	15.5 %	35.5 %	29.5 %	13.5 %	6 %	0
	Contributed to improved education	3	0	15 %	28 %	36 %	18 %	3 %	0
Financial capital (3.67)	Contributed to increased labour incomes	5	8 %	67 %	25 %	0	0	0	0
	Contributed to improved access to credit	1	0	0	0	0	16 %	66.5 %	17.5 %
	Contributed to increased savings	5	18.5 %	73 %	7 %	0	1.5 %	0	0
Physical capital (2.33)	Contributed to improved housing	1	0	0	0	3.5 %	18.5 %	66 %	12 %
	Contributed to improved HH assets/ furniture	4	0	18 %	51.5 %	21.5 %	0	9 %	0
	Contributed to increased road coverage	1	0	10.5 %	7.5 %	11.5 %	19 %	49.5 %	2 %
Social capital (5.0)	Contributed to improved access to information	5	8.5 %	87 %	3 %	1.5 %	0	0	0
	Contributed to better support mechanism	5	8 %	87.5 %	3 %	1.5 %	0	0	0
Natural capital (5.0)	Contributed to clean & green environs	5	17.5 %	80.5 %	2 %	0	0	0	0
	Contributed to improved environmental protection	5	10.5 %	87.5 %	2 %	0	0	0	0

*Source: Household survey, 2021*

### 5.5.3. Perception on contribution of UPSNP to livelihood strategies

In this section, we assess the perception of beneficiary households on the contribution of the urban productive safety net programme to livelihoods strategies compared to their previous situation. The livelihoods strategies were represented by seven variables. While asking the surveyed beneficiaries on the contribution of the urban productive safety net programme to increased job opportunities/ income sources, 69.5 per cent of them agreed or strongly agreed and 29 per cent of

them did moderately agree. Consistent with the level of their agreement, the median value was found to be 5.0, reflecting that the beneficiaries agreed on the contribution of the urban productive safety net programme to increased job opportunities/ income sources as livelihoods strategy relative to their previous situation.

On the other hand, 57.5 per cent, 15 per cent and 23 per cent of the surveyed beneficiaries replied disagree or strongly disagree, moderately disagree and neutral, respectively, about the contribution of the UPSNP to establishment of MSEs. The corresponding median value was only 1.0, which indicates the disagreement and negative perception of the beneficiary households on the contribution of the UPSNP to the establishment of MSEs. In the same manner, 55.5 per cent, 20.5 per cent and 23.5 per cent of them responded disagree, moderately disagree and neutral, respectively, about the contribution of the UPSNP to the promotion of self-employment. The median value was only 1.0, suggesting that the beneficiaries did not acknowledge the contribution of the UPSNP to the promotion of self-employment.

Moreover, 85 per cent and 14.5 per cent of the surveyed beneficiaries replied disagree or strongly disagree and moderately disagree, respectively, about the contribution of the UPSNP to better access to credit, again with a median value of only 1.0. This means that the beneficiary households unanimously disagreed on and did not recognize the contribution of the urban productive safety net programme to access to credit compared with the previous situation. Regarding the contribution of the urban productive safety net programme to better access to skills training, 13 per cent agreed, 36 per cent moderately agreed, 31 per cent remained neutral, and 15.5 per cent moderately disagreed. The median value was 3.0 and equivalent to the neutral scale, implying that the beneficiary households neither agreed nor disagreed with the contribution of the UPSNP to better access to skills training.

With respect to the contribution of the urban productive safety net programme to strong social network, 17 per cent of the surveyed beneficiary households replied the strongly agree and 81.5 per cent of them replied the agree responses. As a result, the median value was 5.0 which could be regarded as the approval and recognition of the surveyed beneficiaries to the contribution of the UPSNP to strengthen their social network as a livelihood strategy. In the same way, 17.5 per cent and 81 per cent of the surveyed households responded strongly agree and agree, respectively,

about the contribution of the urban productive safety net programme to healthy living environs of their villages. The corresponding median was 5.0, implying again that the beneficiaries acknowledged the contribution of the urban productive safety net programme to healthy living environs compared with their previous situation.

**Table 5.21: Perception of beneficiaries on the contribution of the UPSNP to livelihood strategies**

Livelihood items	Median	strongly agree	agree	moderately agree	Neutral	moderately disagree	disagree	strongly disagree
<b>On livelihoods strategies</b>								
Contributed to increased job opportunities/income sources	5	9.5 %	60 %	29 %	1.5 %	0	0	0
Contributed to establishment of MSEs	1	0	0	4.5 %	23 %	15 %	53 %	4.5 %
Contributed to promotion of self-employment	1	0	0	0.5 %	23.5	20.5 %	52 %	3.5 %
Contributed to better access to credit	1	0	0	0	0.5 %	14.5 %	74 %	11 %
Contributed to better access to skills training	3	0	13 %	36 %	31 %	15.5 %	4.5 %	0
Contributed to strong social network	5	17 %	81.5 %	1.5 %	0	0	0	0
Contributed to healthy living environs	5	17.5 %	81 %	1.5 %	0	0	0	0

*Source: Household survey, 2021*

In total, the median value for the livelihood strategies, represented by the aforementioned seven variables, was 4.0 which is a moderate level of agreement of the surveyed households on the contribution of the UPSNP to livelihood strategies. Indeed, the levels of appreciation of the beneficiary households on the contribution of the UPSNP to livelihood strategies were found consistent with that of the livelihood assets. Their perception on the contribution of the programme to livelihood strategies (increased income sources, strong social networks and healthy living environs) was the same as to the livelihood assets (financial capital such as increased labour incomes and savings, social capital and natural capital).

#### **5.5.4. Perception on contribution of UPSNP to livelihood outcomes**

This section discusses about the perception of the surveyed households on the contribution of the UPSNP to their livelihood outcomes which were represented by seven variables as indicated below. While asked their perception on the contribution of the UPSNP to increased savings, 94.5 per cent of the surveyed households responded agree or strongly agree, with a median value of 5.0. This means that the beneficiary households were in agreement with and acknowledged that the UPSNP has contributed to increased savings as livelihood outcome relative to their previous

situation. The perception of beneficiary households on the contribution of the programme to savings was substantial and in agreement with livelihood assets and livelihood strategies. Consistent with the beneficiaries, the interview participants did also highly appreciate the contribution of the UPSNP to savings.

In contrast, 61.5 per cent of them disagreed or strongly disagreed and 25.5 per cent of them moderately disagreed on the contribution of the UPSNP to sustained employment as livelihood outcome. Consequently, the median value of this variable was 1.0, which is equivalent to the disagree scale and revealing that the beneficiary households did not agree with the contribution of the UPSNP to sustained employment as livelihood outcome. This result could be directly attributable to the contribution of the UPSNP to livelihood strategies in terms of establishment of MSEs and promotion of self-employment in which beneficiary households gave no value to its contribution. In addition, the key informant interview participants from Addis ketema woreda-5 and Gulele woreda-1 suggested that since creating employment opportunities through the livelihood services was sluggish, the contribution of the programme to sustained employment might not be valued as expected.

With regard to the contribution of the UPSNP to improved housing and furniture as livelihood outcome, 43.5 per cent of the respondents moderately agreed, 31.5 per cent of them were neutral while 16.5 per cent disagreed or strongly disagreed. The median value was 3.0, implying that the beneficiary households were indifferent about the contribution of the UPSNP to improved housing and furniture relative to their previous situation. Besides, 23.5 per cent of the surveyed households agreed and 75 per cent of them moderately agreed that the UPSNP did contribute to increased household consumption. The resulting median value was 4.0, which proved a moderate level of agreement of the beneficiary households on the contribution of the UPSNP to increased consumption as a livelihood outcome compared with their previous condition.

Also 40 per cent of the surveyed households replied agree and 58.5 per cent of them responded moderately agree that the UPSNP contributed to improved food security of the household. The median value was 4.0 and hence signifying a moderate level of agreement on the contribution of the UPSNP to improved food security as livelihood outcome of the beneficiary households relative to their previous state. Addressing the problem of food insecurity and vulnerability among

poor urban households is central to the UPSNP that can determine its success or failure. Although the beneficiaries were still food insecure, the key informants from bureau and sub city levels argue that the contribution of the programme to food security was undermined by the ever increasing price and the outbreak of COVID-19. Since the beneficiaries were the ultra-poor and severely food insecure, most of them were previously unable to eat more than once a day. After joining the programme, however, they progressively became moderately food insecure and even improved to mildly food insecure and were able to eat at least twice a day. This doesn't mean that they were able to meet the required quantity and quality of food. Following the outbreak of COVID-19 and the increase in prices of basic food items as well as the associated decline in households' incomes from other sources and from the UPSNP, the encouraging improvement was threatened and their food insecurity problem once again become a pressing issue.

The participants of the key informant interview at woreda level did also share the same view as those at sub city and bureau level. Nevertheless, they stressed that the incidence of COVID-19 and the price inflation did significantly make them vulnerable and return to their previous state. Particularly, as one interviewee from Addis Ketema woreda-5 stated, “... *although there were some promising changes, the beneficiaries were not food secure as intended even before the incidence of COVID-19. Even worse after COVID-19, majority of the graduated as well as those at the third year of their participation turned back to the food insecurity situation that they were in before.*”

Similarly, 40 per cent of them agreed and 60 per cent of them moderately agreed that the UPSNP contributed to improved health as livelihood outcome of the households. The corresponding median value was 4.0, implying a moderate level of agreement of the respondents on the contribution of the UPSNP to improved health as livelihood outcome relative to the previous condition. This result could be considered as being consistent with the contribution of UPSNP to livelihood assets (human capital and natural capital) and livelihood strategies (healthy living environs). The data from key informants interview, particularly at woreda and ketena level, did reinforce the contribution of the programme to improved health through its effect on natural capital. They believe that the healthy and clean environs considerably contributed to the reduction of diseases due to improper waste management, which as a result led to improved health status of the inhabitants of the intervention area.

Furthermore, all the surveyed households unanimously agreed that the UPSNP has contributed to improved social trust as livelihood outcome of the beneficiary households with a median value of 5.0. The rating to this variable is found consistently high in the livelihood assets, livelihood strategies and livelihood outcomes. The high rating and appreciation by the programme beneficiaries to the contribution of the UPSNP to social trust was strongly supported by the key informants interview participants too. According to the interview made with woreda and ketena level key informants, some of the beneficiary households were disgraced and distressed by the various stigmas that they were experiencing due to their poorness. Following their participation in the programme, they developed the culture of team work, respecting and trusting others, exchanging information and communicating with others, actively participating in community affairs and helping others. All these exercises helped them develop more self-confidence and self-respect than they had before, which in turn help them build social trust.

**Table 5.22: Perception of beneficiaries on the contribution of the UPSNP to livelihood outcomes**

<b>Livelihood items</b>	Me dian	<i>strongly agree</i>	<i>agree</i>	<i>modera tely agree</i>	<i>Neutra l</i>	<i>moderat ely disagree</i>	<i>disagre e</i>	<i>strongly disagre e</i>
<b>On livelihoods outcomes</b>								
Contributed to increased savings	5	20.5 %	74 %	5.5 %	0	0	0	0
Contributed to sustained employment	1	0	0	0	13 %	25.5 %	57 %	4.5 %
Contributed to improved housing and furniture	3	0	3.5 %	43.5 %	31.5%	5 %	14 %	2.5 %
Contributed to increased consumption	4	0	23.5 %	75 %	1.5%	0	0	0
Contributed to improved food security	4	0	40 %	58.5 %	1.5%	0	0	0
Contributed to improved health	4	0.5 %	39.5 %	60 %	0	0	0	0
Contributed to improved social trust	5	0	100 %	0	0	0	0	0

*Source: Household survey, 2021*

Over all, the median value for the livelihoods outcomes, represented by the aforementioned seven variables, was 4.0 which is the same as the moderately agree scale and hence a moderate recognition to the contribution of the UPSNP to livelihoods outcomes. As can be observed from the aforementioned findings, similar to the perception of the beneficiary households on the contribution of the programme to livelihood assets and livelihood strategies, their perception to livelihood outcomes in terms of increased savings and improved social trust was substantial.

## 5.6. Summary

In this chapter, the findings from the household survey data were presented in five sections in line with the remaining three objectives of the study. First, the various demographic and socioeconomic characteristics of the beneficiary households followed by their livelihoods were presented in detail. Next, the food insecurity levels of the beneficiary households were measured and discussed. In line with the third research objective, households' vulnerability to food insecurity and coping strategies were described. Lastly, the perception of beneficiaries about the contribution of the UPSNP on their livelihoods was presented in order to meet the fourth specific objective of the study.

With regard to the socio-demographic characteristics of the study participants, 90 per cent of the respondents were females, 56.5 per cent out of the surveyed households were female headed, and majority (73 per cent) of the respondents were within the age range of 35 to 64 years. About 43 per cent of the respondents were married, 24.5 per cent were widowed, and 18 per cent were divorced, while 14.5 per cent were single. The average family size of the surveyed households was 4.33. Ethnically, the largest proportion of the surveyed respondents belonged to three ethnic groups: Amhara (40 per cent), Guraghe (20.5 per cent) and Oromo (18.5 per cent). In relation to religious affiliation, 82 per cent, 10 per cent, and 8 per cent were followers of Orthodox Christianity, Islamic religion, and Protestant Christianity, respectively. In terms of education, 25 per cent had no any education, 38 per cent had some basic education (1-4 grade), 27 per cent attained primary education (5-8 grade), and 8.5 per cent attained secondary school. Regarding their migration status, about 88.5 per cent of the surveyed respondents were migrated from various regions of the country with a continuous duration of stay averaging 27.7 years.

The findings of the study showed some improvement on the status of livelihoods and the level of food insecurity of the surveyed households. After joining the UPSNP, employment among beneficiary households increased by 17.5 per cent and their livelihoods strategies changed favourably. However, their level of income was still below the national poverty line. Regarding to ownership of physical household assets, the findings indicated desirable changes after joining the project.



All the surveyed households had savings, and majority of them planned to start new businesses or expand existing ones. However, due to COVID-19 and the associated adverse effects on prices and incomes, there were fears that households' plan to start new businesses or expand existing businesses could be at risk. Even though it was challenged by increasing prices and the incidence of COVID-19, it could be possible to conclude that the status of livelihoods of the beneficiary households has shown some improvement.

Pertaining to the level of food insecurity, it was estimated using three different indicators: FCS, HFIAS and HFIAP. By the measure of the FCS, 75.5 per cent, 20 per cent, and 4.5 per cent of the surveyed households were under the poor, borderline, and acceptable range of food consumption groups, respectively. Based on the HFIAS score, households were categorized by the HFIAP indicator as severely food insecure (7 per cent), moderately food insecure (72 per cent), mildly food insecure (20.5 per cent), and food secure (only 0.5 per cent).

In general, the findings showed that, although they were still not food secure, most of them were found to be either moderately food insecure or close to the minimum threshold from below. Given the earlier background of the households who were severely food insecure, the observed current level of food insecurity can be considered as desirable improvement. The findings also indicated that the most important factors that have negatively affected the livelihoods outcomes of households and made them vulnerable to food insecurity were increasing prices, the incidence of COVID-19 pandemic, loss of employment, and increasing house rent, in their order of importance.

As revealed in the findings, beneficiaries generally perceived a positive contribution of the UPSNP to their livelihoods. Pertaining to livelihoods assets, the beneficiary households perceived a moderate contribution of the UPSNP to their livelihoods assets. Particularly, the contribution of the UPSNP to social capital and natural capital was substantial while it contributed moderately to human capital and financial capital, and none to physical capital. Likewise, beneficiaries perceived a moderate contribution of the UPSNP to livelihood strategies. Specifically, the contributions to job opportunities, social network, and healthy living environs were found substantial while the contributions to the establishment of MSEs, the promotion of self-employment and access to credit were not acknowledged.

In addition, the perceived contributions of the urban productive safety net programme to livelihood outcomes were moderate. Beneficiaries witnessed a relatively high contribution to increased savings and improved social trust while they acknowledged a moderate contribution to increased consumption, improved food security, and improved health. On the other hand, they didn't recognize the contribution of the UPSNP to sustained employment and to improved housing and furniture. The next and last chapter presents the summary of findings, conclusions and recommendations of the study.

## **CHAPTER SIX**

### **CONCLUSIONS**

#### **6.0. Introduction**

This part of the paper is the last chapter consisting of three sections in which the main findings of the study are concluded. The first section summarizes the main findings of the research with respect to each of the study objectives on the basis of the preceding chapters. The second section presents the conclusions of the study. The third section forwards recommendations deemed relevant for policy implications and further research.

#### **6.1. Summary of the Findings**

The main objective of this research was to analyse the livelihoods and food insecurity status of poor urban households involved in the urban productive safety net project (UPSNP) in Ethiopia with special emphasis to Addis Ababa City. Relaxing the general objective, the study attempted to address the ensuing specific objectives.

1. To describe the main characteristics of previous and existing social protection interventions in Ethiopia.
2. To analyse the main livelihoods and level of food insecurity among poor urban households.
3. To identify the factors leading urban households to vulnerability to food insecurity.
4. To evaluate the perception of beneficiaries on the contribution of the UPSNP to their livelihood outcomes.

For the purpose of convenience, the important findings of the study are summarized according to the aforementioned four specific objectives.

##### **6.1.1. Previous and existing social protection interventions in Ethiopia**

For the purpose of meeting this specific objective, social protection interventions before and after the launching of the national social protection policy (NSPP), including the urban productive safety net programme, were reviewed from relevant literature.

In Ethiopia, a number of informal social protection practices such as faith-based services, *Idir* (burial societies), *Iqub* (informal savings groups) and other support mechanisms have been practicing since earlier times. Formal social protection in Ethiopia had begun during the Imperial regime with the establishment of a civil servant pension scheme in 1963. Other social protection service in the form of humanitarian relief, a kind of charity model rather than a rights-based approach, was also introduced. Particularly, the founding of the Relief and Rehabilitation Commission (RRC) marked the beginning of relief operations through a public agency in Ethiopia. Later in the military regime (1974–1991), the charity model and ‘hand-out’ humanitarian food aid approach changed into food-for-work schemes. During this regime, large scale resettlement and villagization programmes were also introduced. Regardless of their limitations, the initiatives introduced in the military regime were considered as a paradigm shift in the history of the country’s social protection interventions.

In the post 1991 period, the EPRDF- led government declared Agricultural Development Led Industrialization (ADLI) as its major development strategy and introduced a developmental welfare policy in 1996. A number of policies and programmes pertaining to social protection services, including food security strategy (FSS) issued in 1996, were implemented under the developmental welfare policy framework. A series of ambitious midterm plans including PASDEP (2005/06-2009/10), GTP-I (2010/11 - 2014/15) and GTP-II (2015/16 – 2019/20) were also implemented intended for eradicating poverty and accelerating structural transformation. Until 2014, a number of support mechanisms and interventions, in harmony with the national plans, were put in place to serve various social protection purposes. For example, the social insurance programme, food security programme, health insurance, provision of basic social services, national nutrition Programme, support to vulnerable children, support to older persons, urban housing and grain subsidies are worth mentioning. Nevertheless, among the so far social protection initiatives in the country, the rural Productive Safety Net Programme (PSNP), which is at its fifth phase (PSNP-V) and reached near to nine million rural people, has been the dominant one. All these social protection interventions were, however, provided in a partial and fragmented manner and there was no comprehensive and integrated social protection system until the introduction of the national social protection policy (NSPP) endorsed in 2014.

The national social protection policy (NSPP) of Ethiopia brings a shift from the previous partial and fragmented efforts of social protection interventions oriented by developmental social welfare policy to a comprehensive and sustainable social protection system. The main mission of the NSPP is to achieve poverty and vulnerability reduction by providing social assistance and social insurance, promoting productive employment, and ensuring active participation of citizens. To attain its mission, the policy identified five focus areas as strategic directions. The first focus area is promoting productive safety nets, the second one is promoting employment and improving livelihoods, the third one is promoting social insurance, the fourth one is enhancing access to basic social services, and the fifth one is providing legal protection and support to address abuse, violence, neglect and exploitation. As a comprehensive and integrated social protection policy, the NSPP is designed to have a four dimensional objectives of actions as protection, prevention, promotion and transformation. For the purpose of operationalizing the policy, the five focus areas are coordinated with the four actions of protection from deprivations, prevention of deprivations, promotion of livelihoods, as well as transformation and empowerment.

Based on lessons drawn from the rural PSNP, the government planned to reach over 4.7 million urban poor living in 972 cities and towns across the country over a long-term period through urban safety net programme in a phased approach. Accordingly, the urban productive safety net project (UPSNP) became the first phase of the programme designed for five years (2016/17-2020/21) targeting 604,000 beneficiaries living below the poverty line in 11 major cities including Addis Ababa. The UPSNP has three major components; namely, safety net support, livelihood services, and institutional strengthening & project management. The targeted beneficiaries in the safety net support and livelihood services components/ sub programmes are selected based on evidence of resident and assessed poverty status validated by the Targeting Committee. The safety net support sub-programme included two main categories: conditional transfers (labour intensive public works) and unconditional transfers (permanent and temporary direct support). Beneficiaries in the public work category constituted 84 per cent while beneficiaries of the unconditional transfer constituted 16 per cent of the total beneficiary households of the sub-programme.

The programme beneficiaries were identified through a combination of geographic targeting, community-based targeting, proxy means tests (PMT) and self-selection. The process of targeting was bottom up starting from ketena to kebele to woreda/sub-city and then to city level. In the first

year, the programme started by selecting the poorest woredas while the remaining high and moderate poverty woredas were included in the second year. In the third year, low poverty woredas were also included. Apparently, the multiple method of targeting has contributed to minimizing the targeting errors of the programme. This was also supported by the survey result of this study in which 91.5 per cent of the surveyed households perceived that the targeting was appropriate and fair.

Beneficiary households under the public work category are required to have able bodied persons, have no income or earn inadequate income to meet their basic needs and allowed to participate a maximum of four members per a household. The types of public work proposed are essentially labour intensive work activities such as urban solid waste management and environmental cleaning, urban beautification and greenery, urban integrated watershed management and upgrading of social infrastructure. To encourage targeted households to search for other gainful jobs and reduce opportunity costs to the minimum possible, the daily payment rate is made lower than the average market wage rate for similar unskilled labour. The unconditional transfer category comprises three types of beneficiaries: the permanent unconditional transfer beneficiary households, the temporary unconditional transfer beneficiaries, and the psycho-social support beneficiaries including street children, the homeless and beggars.

The livelihood services sub-programme is the second component of the UPSNP which focuses on one member per a household from each of the public work beneficiary households under sub-programme-1. The livelihoods services component supports interventions that facilitate graduation from the programme and promote moving out of poverty through counseling and life skills development as well as financial support and training for livelihoods development. The UPSNP used a three-cycle integrated model to provide income support and increase employability through the safety net support and livelihood services in three years period. In the first cycle/year, beneficiaries received transfers conditional on meeting their co-responsibilities followed by life skills training and guidance on the employment pathways. In the second year, beneficiaries continued to receive the conditional transfers, the training and the job-matching services to expand employment options. In the third year, the beneficiaries may have the option to continue to receive a small amount of conditional transfers to supplement income derived from employment

secured as a result of the programme support or through other means. At the end of the third year, beneficiaries are expected to graduate.

In the case of conditional transfers, each eligible urban household stayed in the programme for three years and was entitled to transfers for over 12 months by providing labour for public works per average family of four members for up to 240 days in the first year, 160 days in the second year, and 80 days in the third year. A daily payment rate of Eth. Birr 60 per day (equivalent to USD 2.91, as of October 2015) was paid for the first and second years of the programme. Considering the increasing market prices of basic food commodities, this rate was revised later and made Eth. Birr 90 per day in 2020 (equivalent to USD 2.58, as of July 2020), showing a decline in real terms.

In the case of the unconditional transfers, the direct support (DS) clients received Eth. Birr 170 per person per month and a maximum of four persons per family received Eth. Birr 680 per month while the DS clients who are considered urban destitute received Eth. Birr 600 per person per month for 12 months.

As stated in MoUDC (2020a), the first phase of the programme supported by the UPSNP (2016/17 to 2020/21) has reached about 600,000 beneficiaries, of which about 60 per cent are women. A total of 152,703 bank accounts have been opened for previously financially excluded households. It was also reported that the beneficiaries said to have increased their incomes and savings, improved mental health, and improved children's education. Regardless of the encouraging efforts, however, the performance of the programme was affected by some external and internal factors such as increasing prices, incidence of COVID-19 as well as other internal factors associated with the weak institutional performance of the programme.

The newly designed Urban Productive Safety Net and Jobs Project (UPSNJP) is a continuation and expansion of the first phase (UPSNP) to further scale up the programme to additional 72 new cities or towns in the second phase. Like the first phase, the objective of the UPSNJP is to support and lift up poor urban households and individuals from absolute poverty to self-sufficiency through a variety of interventions in the coming five years. Particularly during Ethiopia's COVID-19 recovery phase, the UPSNJP will be focusing on livelihoods and labour market integration of

youth, protecting the most vulnerable groups as well as refugees and host communities. The second phase project, UPSNJP, with additional new components and features, is proposed to have the following five components.

Component 1, expand the urban productive safety net to improve the urban environment, has three sub-components. Sub-component-1 is aimed at engaging the urban poor in public works; sub-component-2 focuses on livelihood development through technical, financial, and behavioural change; and sub-component-3 is about integration of refugees and host communities, living near selected cities or towns, in a joint public works and livelihoods programme. Component 2, foster urban youth employment, has two sub-components. Sub-component-1 aims to offer a first work experience for less educated urban youth; while sub-component-2 intends to strengthen employment and intermediation services through appropriate interventions. Component 3, strengthen social assistance and services for the urban poor and destitute, has two sub-components. Sub-component-1 is meant for expanding permanent direct support (PDS) to labour-constrained people such as the elderly, people living with disabilities, orphans, and people with HIV AIDS or other chronic health issues. Sub-component-2 focuses on providing services for the urban destitute (the homeless) with no support from relatives, government, or NGOs. Component 4, institutional strengthening, project management and monitoring and evaluation, intends to build the institutional capacity of relevant institutes at various levels. Component 5, contingent emergency response component (CERC), will be activated and funded only in case of a declared emergency that affects the economy or the environment and threatens to increase the vulnerability of the urban population.

### **6.1.2. The main livelihoods and the level of food insecurity among poor urban households**

#### **❖ *Main Livelihoods***

The per cent age of employed household heads increased from 81.5 per cent before joining the programme to 98 per cent after joining the programme; and more importantly, their livelihoods strategies favourably changed after joining the UPSNP. For example, the per cent age of households with self-employment increased from 45.5 per cent to 50.5 per cent, casual/ daily labour decreased from 34 per cent to 25 per cent, and a new opportunity of public work (PW)



came into existence with a share of 21 per cent. This could be an indication of the positive contribution of the UPSNP to livelihoods strategies of beneficiary households. The beneficiaries acknowledged the PW for creating employment opportunity; and it was a useful supplement to their livelihoods, particularly in the first year of participation, although diminishing in the subsequent years.

While there were four types of PW sub-projects in the programme, the surveyed households were participating only in two PW sub-projects. Among the surveyed beneficiaries, 56 per cent of them were engaged in solid waste management and environmental cleaning sub-project while the remaining 44 per cent were in the beautification and greenery sub-project.

#### ❖ *Household Income*

In terms of household income, a great variation was observed among the monthly income of the surveyed households, with a minimum of 150 Eth. Birr and a maximum of 7300 Eth. Birr per month. Summarizing the total monthly income of household into three income brackets, 31 per cent of them had less than 1500 Eth. Birr, 45.5 per cent of them had between 1500 and 3000 Eth. Birr, while the rest 23.5 per cent had over 3000 Eth. Birr. The average monthly income of a household head was about 1043 Birr while the average total monthly income of a household was about 2257 Eth. Birr. The difference between the average income of a household head and the average total income of a household was 1214 Eth. Birr. This implies that about 53.8 per cent of the total household income was contributed by other members of the household other than the head. Assuming about 39 Eth. Birr per USD exchange rate at the time of the survey, the average household head monthly income of 1043 Eth. Birr was equivalent to 27 USD. This implies that a household head was generating on average only 0.9 USD per day. Similarly, the average household monthly income of 2257 Eth. Birr was equivalent to 58 USD. This means that the average household income was about 1.93 USD per day. If we further divide the average household daily income to the average household size, it would definitely be far below the minimum 1.25 USD per capita daily income. Regardless of underreporting their income level, however, about 88.5 per cent of the respondents perceived that their total household income was improved after joining the UPSNP.

### ❖ *Ownership of housing, facilities and assets*

Regarding housing ownership status, near half of the surveyed households (48.5 per cent) were living in a rented government houses, commonly known as '*Kebele*' houses, most of which are rented at cheaper rental price, old aged, and constructed from poor quality materials. On the other hand, more than one third (36 per cent) of the households were living in a house rented from private owners with a relatively high rental rate, irrespective of its quality. About 12.5 per cent of the households were living in a rent-free houses owned by religious or *Ider* institutions or houses owned by relatives. Only 3 per cent of the surveyed households were living in their own houses.

Relating to electricity, 90.5 per cent of the households had access to electric light while the remaining 9.5 per cent households had no access to electricity service. Among the households who had access to electric light, 55.2 per cent of them had a privately owned mode of access while 44.8 per cent of them had a shared or rented from neighbour mode of access. As regards source of energy for cooking and heating foods, 15.5 per cent were using electricity only, 22 per cent were using charcoal only, 8 per cent used wood only, while 54.5 per cent of them used a combination of the three sources.

Concerning sanitation facilities, 75 per cent of the households had a shared pit latrine, 14 per cent had a public pit latrine, and only 2.5 per cent had a private pit latrine facility, while 8.5 per cent of them had no any toilet facility and used open defecation. None of them were found to have a private flush toilet facility. On the other hand, only 3.5 per cent of the surveyed households had a shared bathing room while 96.5 per cent of them had no any bathing room and used either their living room or an open field or a nearby river to wash their body. In contrast, the dry waste disposal practices were found encouraging where 99 per cent of the households were using dry waste disposal service providers to dispose dry waste materials. As can be understood from the survey result, about 89 per cent of the surveyed households had either a shared pit latrine or a public pit latrine, which are characterized by poor facilities and unhygienic conditions. Addressing this problem would have a desirable outcome in improving the health of the community in general and the health of the poor community in particular. In this regard, upgrading and/or construction of public latrines through the urban social infrastructure and

services sub-project can be a good opportunity to deal with the existing poor sanitation and unhygienic related problems these poor households are facing.

Pertaining to ownership of physical household assets, at the time of survey, the most commonly reported assets were mobile phone, bed and television owned by 87.5 per cent, 87 per cent and 70 per cent of the surveyed households, respectively. The percentage of households who had these same assets before joining the UPSNP were 69 per cent (mobile phone), 82.5 per cent (bed) and 65.5 per cent (television), implying some changes after joining the project. Similarly, in descending order, other household assets owned during the survey period were satellite dish (58.5 per cent), chair & table (62.5 per cent), cooking stove (49 per cent), electric *mitad* (49 per cent), radio/tape (43 per cent), sofa (39.5 per cent) and fixed telephone (7.5 per cent). Before joining the UPSNP, the ownership status of households for the same assets were satellite dish (53.5 per cent), chair & table (53 per cent), cooking stove (44.5 per cent), electric *mitad* (44 per cent), radio/tape (40.5 per cent), sofa (38 per cent) and fixed telephone (7.5 per cent), implying some changes after joining the project.

#### ❖ *Household savings and access to credit*

Since the public work participants were required to save one-fifth of their incomes earned from the public work, all the surveyed households (100 per cent) had savings at the time of survey. However, before joining the UPSNP, only 3.5 per cent of these households had savings accounts in a formal bank. Indeed, the new saving experience after joining the UPSNP was one of the highly appreciated contributions of the programme by both the beneficiaries themselves and the concerned experts and officials at various levels, from ketena to federal level. The average amount of savings at the time of survey was about 4651 Eth. Birr. However, significant variations in the amount of savings were observed across households and between rounds. At the time of survey, the minimum amount of savings was 140 Eth. Birr while the maximum was 16,000 Eth. Birr. The average amount of savings for the first round beneficiaries (2017) was 5691 Eth. Birr while it was 3610 Eth. Birr for the second round beneficiaries (2018).

Concerning their plan to use the savings, almost three quarters of the surveyed households (73.5 per cent) intended to use their savings to start new businesses or expand existing ones while 15.5

per cent of them planned to use it for household emergency purposes. However, following the outbreak of COVID-19 and the associated adverse effects on prices and incomes, there have been some fears that households' plan to use their savings to start new businesses or expand existing businesses could be at risk. From the interview made with key informants, there were some incidences in which beneficiary households spent their savings for consumption purposes following COVID-19 and the associated price increases on basic food items.

With regard to access to credit and urban agriculture practices, the experience of the surveyed households was minimal. Only 4.5 per cent of them had access to credit services in the last three years. Similarly, only 5 per cent of the surveyed in two woredas had practiced urban agriculture and produced vegetables. Although the number of households engaged in urban agriculture was very small, the efforts made to produce vegetables were encouraging and practically witnessed the potential of urban agriculture in the city. In recent years, the Addis Ababa city administration has shown a growing interest in the development of urban agriculture and established the Farmers and Urban Agriculture Commission, which is fully in charge of urban agricultural development in the city. However, the potential of urban agriculture is still untapped and can be a strategic area for the city administration to deal with the prevailing food insecurity and shortage of vegetables and animal productions.

#### ❖ *Household expenditure*

As stated in WFP (2015), the most commonly accepted method for determining the economic vulnerability of a household is its poverty status defined by comparing against the national poverty line. The national poverty line represents the value, in local currency, of a standard consumption bundle of goods and services (minimum basic needs) required for an average adult to live satisfactorily. In the absence of adequate data for poverty line, economic vulnerability can be determined based on the food poverty line measured by the share of household expenditures spent on food. The food poverty line, which is part of the poverty line, represents the minimum cost of a food basket required to ensure sufficient calorie consumption for an adult. The food expenditure share indicator is important based on the idea that the larger the share of food expenses within a household's total budget, the more economically vulnerable the household (WFP 2015). The food expenditure share indicator is measured as a ratio of the total food

expenditures to the total household expenditures. The food poverty line in Ethiopia was set at 3772 Eth. Birr per year per adult person in 2016 (WFP & CSA 2019).

The main expenditure items of the households, in their order of importance, were food, housing, energy, health, social issues, transport, and education. The average monthly spending on food items was 1504 Eth. Birr which accounted for 60.3 per cent of all expenses a household spent in a month. According to WFP (2015), based on the level of their food expenditure share, households can be classified into four levels of food insecurity (household food insecurity access prevalence). Households are categorized as food secures (with a value of 1) and considered to have low vulnerability, if their food expenditure share is below 50 per cent of their total household expenditure. They are classified as marginally food secures (with a value of 2), if their food expenditure share is between  $\geq 50$  per cent and  $< 65$  per cent. Those households with food expenditure share  $\geq 65$  per cent but  $< 75$  per cent are moderately food insecure (with a value of 3) while households spending more than 75 per cent of their total expenditure on food are regarded as severely food insecure and highly vulnerable (with a value of 4). In this sense, the surveyed households of the present study could be considered as mildly food insecure. However, this result might be misleading and should be interpreted cautiously as the expenditures were self-reported and lacked accuracy.

A wide range of food expenditure pattern was observed among the surveyed households, the minimum household spending on food was 200 Eth. Birr while the maximum was 3500 Eth. Birr. The percentage of households whose monthly spending on food items ranged from 200 to 1000 Eth. Birr was 37.5 per cent, from 1001 to 2000 Eth. Birr was 45.5 per cent and from 2001 to 3500 Eth. Birr was 17 per cent.

The second important household expenditure, reported by 80 per cent of the households, was on housing with an average rent of 408 Eth. Birr per month which accounted for 16.4 per cent of all expenditures. Expenditure on energy was the third important household spending, as mentioned by 96 per cent of the households, with an average monthly expense of 384 Eth. Birr and accounted for 15.4 per cent of all expenses of a household. In the context of the surveyed households, expenditures on energy include electricity bill, purchase of charcoal and firewood. The average monthly spending on health related services was about 87 Eth. Birr. Since most of the households

were covered by the community based health insurance scheme, only 12 per cent of the households reported cash spending on medical services. Expenditure on social issues mainly include expenses on Idir, which is a kind of traditional insurance, and amounted on average 57 Eth. Birr per month.

The total monthly spending of the surveyed households on all items amounted, on average, 2495 Eth. Birr. If we convert the monthly spending into annual basis, the average spending will be about 29,940 Eth. Birr per household per year. Although their household expenditure has increased due to the increase in their income from their participation in the public work, their real incomes have declined significantly because of the ever increasing prices; and as a result, the amount of basic items that they used to purchase before has decreased now.

#### ❖ *Level of food insecurity*

The level of households' food insecurity was assessed using three different indicators, namely, food consumption score (FCS), household food insecurity access scale (HFIAS) and household food insecurity access prevalence (HFIAP). As regards the food consumption patterns of the surveyed households, the data demonstrated that all the surveyed households (100 per cent) consumed staple foods made of cereals and tubers almost in all days of the week (6.8 days) prior to the survey. Similarly, oil and sugar were consumed by 100 per cent and 98.5 per cent of the surveyed households nearly in all days of the week, on average 6.86 and 6.76 days, respectively.

On the other hand, vegetables and pulses were consumed only by 54 per cent and 49.5 per cent of the households, on average, for 1.2 and 1.1 days, respectively. Only 17.5 per cent and 10 per cent of the households consumed fruits and eggs, on average, for 0.3 and 0.2 days, in that order. Even less, milk and meat products were consumed by less than 5 per cent of the households with negligible frequencies. This may not be surprising as the surveyed households were the poorest and food insecure segment of the society, and hence were included in the UPSNP. In fact, as reported in a study conducted in Addis Ababa by Wolle et al. (2020), the fruit consumption of households did not significantly vary by income level. This implies that the poor fruit consumption pattern of households in Addis Ababa could be attributable, more importantly, to other factors instead of income level.

The status of the households' food consumption group was determined by comparing the calculated food consumption score (FCS) of each household with a pre-established standard cut-offs. The three standard cut-offs set were 0 to 28 for poor consumption, 28.1 to 42 for borderline consumption and above 42 for acceptable consumption. In view of that, 75.5 per cent of the surveyed households were categorized under the poor food consumption group, 20 per cent under the borderline food consumption group, and only 4.5 per cent were found in the acceptable range of food consumption group. Since three-quarters of them were under the poor consumption, the overall average FCS was 26.35, which is just below the minimum threshold of 28 and within the poor consumption range. According to WFP & CSA (2019), households in the acceptable consumption group are considered having adequate food consumption, whereas those households in the borderline and poor consumption groups are regarded as having inadequate food consumption (inadequate diet quantity). In this sense, about 95.5 per cent of the surveyed households of the present study were having inadequate food consumption.

About the adequacy of households' food consumption, nine in ten of the study households had sometimes not enough to consume; the average number of meals per day for adults was 2 while it was 2.7 for children. Nearly 96 per cent of the study households consumed a staple food *Injera* with *Shiro wat* almost all days of the week. Indeed, this is a kind of monotonous diet which is nutritionally inadequate and a result of income poverty.

The other indicator of food insecurity at household level is the HFIAS score, which is a simple and effective tool to measure the magnitude of food insecurity (access) based on a household's food consumption experience in the last four weeks prior to the survey period. In this study, the HFIAS had nine questions which reflect three different domains of food insecurity; namely, anxiety and uncertainty, insufficient quality, and insufficient quantity.

Under the anxiety and uncertainty domain, all the surveyed households (100 per cent) were experiencing worry or anxiety that their household would not have enough food for the last four weeks during the time of the survey. With respect to the second domain, inadequacy of food quality, almost all the study households (99.5 per cent) were not able to consume the kinds of foods they preferred. The third domain is about the insufficiency of food intake, in which 97.5 per cent of the surveyed households experienced a reduction in the amount of food consumed in a

day, 95 per cent reduced the frequency of meals in a day, 71 per cent of them had no food to eat whole day while 68.5 per cent experienced sleeping hungry because of lack of enough food.

The nine questions with four alternative responses and attached weights were examined and calculated at household level, and resulted in HFIAS score for each household. Accordingly, households with HFIAS score of zero to one were categorized as food secure, those with score of two to eight were grouped as mildly food insecure, those with score of nine to sixteen were categorized as moderately food insecure while those with score above 16 were classified as severely food insecure households. Another categorical indicator, commonly known as the household food insecurity access prevalence (HFIAP), was used to determine households' food insecurity level based on the HFIAS score.

The HFIAP indicator specified that 7 per cent of the surveyed households were severely food insecure, 72 per cent of them were moderately food insecure, 20.5 per cent of them were mildly food insecure while only one household (0.5 per cent) was found to be food secure. The overall average HFIAS score was 11.56, which implies that the surveyed households, on average, were moderately food insecure. According to Coates et al (2007), a moderately food insecure household eats preferred food less frequently, consume a monotonous diet or undesirable foods sometimes or often, and/or has started to limit quantity by decreasing the size or number of meals, sometimes or rarely. The level of food insecurity level estimated by the HFIAS score is consistent with the one obtained using the FCS.

### **6.1.3. Factors leading urban households to vulnerability to food insecurity**

#### ***❖ Households' vulnerability to food insecurity***

In analysing the factors responsible for making households vulnerable to food insecurity, respondents were asked about their perception on price inflation, shocks that impact livelihoods, types of coping mechanisms and social assistance practices. Evidences demonstrate that food prices are generally high in Africa. According to the mainstream economics, increasing market prices of goods and services lead to declining purchasing power of existing incomes of households, *ceteris paribus*.



Similarly, in this study, the surveyed households believed that prices have been increasing rapidly since the last two years in Addis Ababa and as a result their dietary programme has been adversely and significantly affected. Since the UPSNP beneficiaries had been selected for being the ultra-poor, the soaring prices could have aggravated their food insecurity problem. The adverse effect of the price inflation has been observed not only among the poorest households but also among the non-poor households, especially after the incidence of the COVID-19 pandemic. In general, the results of this study indicate that increasing food prices, incidence of COVID-19 pandemic, loss of employment and increasing house rent were among the most important problems that have negatively affected the livelihoods outcomes of the surveyed households.

#### ❖ *Households' coping strategies*

Although the food insecurity problem of the surveyed households was improving after they had joined the UPSNP, it has again aggravated following the incidence of COVID-19. The major factors responsible for the food shortage were increasing food prices, income decline and employment loss, which were further intensified by the outbreak of the COVID-19 pandemic. Comparing the severity of the current food shortage with the previous ones, 80 per cent of the surveyed households perceived that it was worse than the previous.

To cope with the food insecurity problem, households have been using various livelihood-based and food-based coping strategies. The livelihood-based coping strategies employed were mainly stress strategies including spending savings, receiving support from relatives/friends, borrowing money from relatives/friends, and purchasing food on credit basis. Almost 80 per cent of the surveyed households opted to spend their savings to cope with the food shortage they encountered.

Through the food-based coping strategies, households compromised on quantity of food by reducing the number of meals consumed in a day and the amount consumed during each meal. They also compromised on quality of food by consuming less preferred, lower quality or less expensive foods as a strategy to deal with the food shortage. In sum, to survive the effects of the price inflation and reduce vulnerability, households pursued to work any available work and more hours as well as opted to reduce consumption of food as a survival strategy.

Furthermore, the transfer and social assistance experiences of the urban poor households in the form of receiving and providing support from and to others were looked. Out of the surveyed households, 30.5 per cent of them had received support from others in the last one year, on average 1714 Eth. Birr per a household. Although small in number, about 5 per cent of them had provided support for their parents or extended family with an average amount of 1400 Eth. Birr per year.

#### **6.1.4. The perception of beneficiaries on the contribution of the UPSNP to livelihoods**

In terms of targeting, majority of the surveyed households (91.5 per cent) perceived that the selection of the target beneficiaries was appropriate and fair. In addition, 93.5 per cent of the surveyed households perceived that their livelihood and food security status improved after joining the programme. The degree to which beneficiaries agree or disagree with the contributions of the UPSNP to their livelihoods assets, livelihoods strategies, and livelihoods outcomes were analysed using a 7- point likert scale.

##### *❖ Perception on the contribution of UPSNP to livelihood assets*

The contribution of the UPSNP to livelihoods assets were explained by five composite variables: human capital, financial capital, physical capital, social capital, and natural capital. The contribution of the UPSNP to human capital was examined in terms of three indicator variables: improved health, improved skills training and improved education. The median value for improved health, as an indicator of human capital, was rated 4.0, implying that the surveyed beneficiaries did moderately agree on the contribution of the UPSNP to improved health. Likewise, the median value for improved skills training was rated 4.0, implying a moderate agreement of beneficiaries on the contribution of the UPSNP to improved skills training. On the other hand, the median value for improved education was rated 3.0 implying beneficiaries' neutral perception on the contribution of the UPSNP to improved education. Overall, the median value for human capital was rated 3.67 and close to the moderately agree scale, and thus a moderate recognition to the contribution of the UPSNP to human capital compared with the previous situation.

The second composite variable was financial capital consisting of labour incomes, savings and access to credit. The median scale of labour incomes was rated 5.0, indicating beneficiaries' agreement on the contribution of the UPSNP to increased labour incomes. In the same way, the median scale of savings was rated 5.0, signifying the strong agreement of beneficiaries on the contribution of the UPSNP to increased savings. On the other hand, the median scale of access to credit was rated only 1.0, suggesting beneficiaries' disagreement on the contribution of the UPSNP to improved access to credit. In sum, the median scale of the financial capital as a composite variable was rated 3.67 which was close to the moderately agree scale and hence a moderate recognition to the contribution of the UPSNP to financial capital.

The third composite variable was physical capital consisting of housing, household furniture and road coverage. The median scale of improved housing was rated just 1.0, implying beneficiaries' denial about the contribution of the UPSNP to improved housing. As well, the median scale for increased local road coverage was rated 1.0, implying the disagreement of beneficiaries on the contribution of the UPSNP to increased local road coverage. On the other hand, the median scale for household furniture was rated 4.0, suggesting a moderate agreement of beneficiaries on the contribution of the UPSNP to improved household furniture. Overall, the median scale for physical capital was rated 2.33 which is roughly close to the moderately disagree scale and hence no recognition to the contribution of the UPSNP to physical capital.

Social capital was the fourth composite variable meant for explaining livelihoods assets, which in turn was explained by improved access to information and better support mechanism. Nearly all respondents (95.5 per cent) did agree or strongly agree with the positive contribution of the UPSNP to improved access to information and better support mechanism. Consequently, the two variables as well as the composite variable social capital were found to have an equal median scale of 5.0. This indicates that beneficiaries were unanimous in their agreement on and recognition to the contribution of the UPSNP to social capital relative to the previous situation.

Natural capital, the fifth composite variable as a livelihoods asset, was explained by two related variables: clean & green environs and improved environmental protection, which were also highly and positively rated by all respondents. As a result, the two variables as well as the composite variable natural capital were found to have an equal median scale of 5.0, suggesting that

beneficiaries were in complete agreement on the contribution of the UPSNP to natural capital relative to the previous situation.

❖ *Perception on contribution of UPSNP to livelihood strategies*

Seven indicator variables were used to assess the perception of beneficiary households on the contribution of the UPSNP to their livelihoods strategies. The first indicator, job opportunities or income sources, was found to have a median scale of 5.0. This signifies beneficiaries' agreement on the contribution of the UPSNP to increased job opportunities/ income sources as livelihoods strategy relative to their previous situation.

On the other hand, the median scale for establishment of MSEs was rated only 1.0, which indicates the disagreement and negative perception of the beneficiary households on the contribution of the UPSNP to the establishment of MSEs. In the same manner, the median scale for self-employment was rated merely 1.0, suggesting that the beneficiaries did not acknowledge the contribution of the UPSNP to the promotion of self-employment. Moreover, the beneficiary households unanimously disagreed on the contribution of the UPSNP to access to credit compared with the previous situation. Regarding the contribution of the UPSNP to better access to skills training, the median scale was rated 3.0, implying that the beneficiary households were neutral on the contribution of the UPSNP to better access to skills training.

Concerning the contribution of the UPSNP to strong social network, almost all participants (98.5 per cent) agreed, with a median scale of 5.0, with the contribution of the UPSNP to strengthen their social network as a livelihoods strategy. Likewise, almost all the surveyed households (98.5 per cent) were unanimous in their agreement, with a median scale of 5.0, on the contribution of the UPSNP to healthy living environs of their villages compared with the previous situation.

In total, the median scale for the livelihoods strategies, represented by the aforementioned seven variables, was 4.0 which is a moderate level of agreement of the surveyed households on the contribution of the UPSNP to livelihoods strategies.

❖ *Perception on contribution of UPSNP to livelihood outcomes*

The perception of the surveyed households on the contribution of the UPSNP to their livelihoods outcomes were assessed by seven indicator variables: increased savings, sustained employment, improved housing and furniture, increased consumption, improved food security, improved health and improved social trust.

The median scale for increased savings was rated 5.0, which means that the beneficiary households were in agreement with and acknowledged the contribution of the UPSNP to increased savings as livelihoods outcome relative to their previous situation. In contrast, the median scale for sustained employment was rated simply 1.0, which demonstrated the disagreement of the beneficiary households on the contribution of the UPSNP to sustained employment as livelihoods outcome.

The median scale for improved housing and furniture was rated 3.0, implying that the beneficiary households were neither agreed nor disagreed with the contribution of the UPSNP to improved housing and furniture relative to their previous situation. The median scale for increased household consumption was rated 4.0, which proved a moderate level of agreement of the beneficiary households on the contribution of the UPSNP to increased consumption as a livelihoods outcome compared with their previous condition.

Also, the median scale for improved food security was rated 4.0, demonstrating a moderate level of agreement of the respondents on the contribution of the UPSNP to improved food security as livelihoods outcome relative to their previous state. Again, the median scale for improved health was rated 4.0, implying a moderate level of agreement of the respondents on the contribution of the UPSNP to improved health as livelihoods outcome relative to the previous condition. On the other hand, with a median scale of 5.0, all the surveyed households unanimously agreed that the UPSNP contributed to improved social trust as livelihoods outcome of the beneficiary households.

Over all, with a median scale of 4, the surveyed households did moderately agree with the contribution of the UPSNP to their livelihoods outcomes as represented by the aforementioned seven variables. Similar to the perception of the beneficiary households on the contribution of the

programme to livelihood assets and livelihood strategies, their perception to livelihood outcomes in terms of increased savings and improved social trust was especially substantial.

## **6.2. Conclusions**

This study analysed the status of livelihoods and the level of food insecurity of the UPSNP beneficiary households. The study concludes that the status of livelihoods and the level of food insecurity of the programme beneficiaries have shown some desirable changes while their sustainability could be challenged by the rising prices and the outbreak of COVID-19 pandemic. Based on the findings of the present study, the following conclusions can be drawn.

### **6.2.1. Various social protection interventions were implemented in Ethiopia**

- i. This study has shown that there had been a number of support mechanisms and interventions put in place by the government to serve various social protection purposes since the Imperial regime. Particularly, the rural Productive Safety Net Programme (PSNP) in the EPRDF regime has been the dominant one among the so far social protection initiatives in Ethiopia.
- ii. However, all the social protection interventions were provided in a partial and fragmented manner until the national social protection policy (NSPP) was endorsed in 2014. The introduction of the NSPP has been considered as a landmark for comprehensive and sustainable social protection system in Ethiopia with a mission to achieve poverty and vulnerability reduction. Productive safety nets, employment and livelihoods, social insurance, access to basic social services, and providing legal protection and support were the five focus areas identified in the policy. These focus areas are to be strategically implemented to bring about protection from deprivations, prevention of deprivations, promotion of livelihoods, as well as transformation and empowerment.
- iii. In accordance with the focus areas of the NSPP, the first UPSNP was designed and implemented for five years (2016/17 – 2020/21) targeting 604,000 ultra-poor living in 11 major cities. The safety net support and livelihood services were the two components through which the UPSNP supported the targeted beneficiaries. Beneficiaries in the safety net support component were either in the public works (conditional transfers) category or in the direct support (unconditional transfers) category, which constituted 84 per cent

and 16 per cent, respectively. In the process of screening beneficiaries, the programme employed a multiple targeting mechanism which included a combination of geographic targeting, community-based targeting, proxy means tests (PMT) and self-targeting. It seems that the multiple method of targeting, as also supported by the perception of the study participants, has contributed to fair selection of the programme beneficiaries.

- iv. The types of work activities designed for the public work were not only labour intensive but also relevant to enhance environmental cleaning and social infrastructure around the programme area. While the daily payment rate was made intentionally lower than the average market wage rate to encourage beneficiaries to search for other gainful jobs, it was too small compared with the rapidly increasing prices and less elastic relative to the market wage rate. Although beneficiaries were expected to graduate at the end of the third year, most of them were less optimistic to transform themselves to new employment opportunities. A number of factors, such as the incidence of COVID-19 and the associated declining of market demand, may be responsible for their pessimism and for the graduation not to go as planned. Whatever the case is, however, this may create doubt on the effectiveness of the programme and needs further study to identify the root causes.
- v. On the other hand, the second phase of the programme, Urban Productive Safety Net and Jobs Project (UPSNJP) seems to improve the drawbacks of the UPSNP as it comprises additional new components and features. Particularly, the UPSNJP will be focusing on livelihoods and labour market integration of youth, protecting the most vulnerable groups as well as refugees and host communities taking into account the recovery phase of COVID-19. This is, indeed, a promising measure of the government that should be appreciated.

#### **6.2.2. Status of livelihoods and level of food insecurity improved**

##### ***Livelihoods of beneficiaries improved, although still below the national poverty line***

- i. After joining the UPSNP, employment among beneficiary households increased by 17.5 per cent and their livelihoods strategies changed favourably owing to the new job opportunities created by the PW. However, the average monthly income of 2257 Eth. Birr per a household, equivalent to 6,299 Eth. Birr per head per annum was found to be 12.3

per cent short of the national poverty line of 7,184 Eth. Birr. On the other hand, indirectly estimating the household income by the household spending resulted in an average spending of 6963 Eth. Birr per person per year, which is higher than the average income and only 3 per cent short of the national poverty line. Given the beneficiaries were the poorest of the poor, any change that approaches to the poverty line from below could be considered as improvement.

- ii. The findings pertaining to ownership of physical household assets indicated that the changes observed relative to the previous condition were statistically significant implying some changes after joining the project.
- iii. All the surveyed households had savings and almost three quarters of them planned to start new businesses or expand existing ones. However, due to COVID-19 and the associated adverse effects on prices and incomes, there have been some fears that households' plan to start new businesses or expand existing businesses could be at risk.
- iv. Nevertheless, regardless of the expected underreporting of income level, majority of the respondents perceived that their total household income improved after joining the UPSNP. One possible justification is that because the earlier beneficiary households selected in the first and second year were the poorest of all, one can expect the then time average income to be farthest below the national poverty line, and hence a high poverty gap. In this sense, any change that narrows the distance between the average income and the poverty line could be considered as improvement.
- v. Therefore, it is possible to conclude that the status of livelihoods of the beneficiary households has shown improvement although it has been challenged by increasing prices and the outbreak of COVID-19.

#### ***Food insecurity level of households improved***

- i. The level of food insecurity of the surveyed households was estimated using three different indicators: FCS, HFIAS and HFIAP. Using the FCS, 75.5 per cent of the surveyed households were categorized under the poor food consumption group, 20 per cent under the borderline food consumption group, and only 4.5 per cent were found in the acceptable range of food consumption group. The overall average FCS was 26.35, which is just below the minimum



threshold of 28 and within the poor consumption range implying inadequate food consumption of the surveyed households.

- ii. On the basis of the HFIAS score, the HFIAP indicator categorized households as 7 per cent of them were severely food insecure, 72 per cent were moderately food insecure, 20.5 per cent were mildly food insecure and almost none was found to be food secure. The overall average HFIAS score was 11.56, which means that the surveyed households were moderately food insecure. According to Coates et al (2007), a moderately food insecure household eats preferred food less frequently, consume a monotonous diet or undesirable foods sometimes or often, and/or has started to limit quantity by decreasing the size or number of meals, sometimes or rarely.
- iii. Given the earlier beneficiary households participated in the first and second year were the poorest of all, most of them were severely food insecure. On the other hand, the present findings indicate that most of these households are found to be either moderately food insecure or close to the minimum threshold from below. In general, although they are still not food secure, it is obvious that there is some desirable improvement in the food insecurity level of the households.

### **6.2.3. Increasing prices and other factors made households vulnerable to food insecurity**

- i. The most important factors responsible for making households vulnerable to food insecurity and that have negatively affected the livelihoods outcomes of the surveyed households were increasing prices, incidence of COVID-19 pandemic, loss of employment, and increasing house rent.
- ii. To cope with the effects of the price inflation and thereby reduce vulnerability, households pursued to work any available job and more hours, and opted to compromise the quantity and quality of food they consume as a survival strategy.

### **6.2.4. Beneficiaries perceived a positive contribution of the UPSNP to livelihood**

*Beneficiaries perceived targeting fair and their livelihoods improved*

- i. The study has shown that, as majority of the surveyed households perceived, targeting of the programme beneficiaries was made appropriately and fairly.

- ii. Beneficiary households also perceived that their livelihood and food security status has improved after joining the programme.

***Beneficiaries perceived a moderate contribution of the UPSNP to livelihood assets***

- i. The contribution of the UPSNP to human capital was close to the moderately agree scale, and thus a moderate improvement compared with the previous situation.
- ii. The financial capital as a composite variable was close to the moderately agree scale and hence a moderate recognition to the contribution of the UPSNP to financial capital compared with the previous situation.
- iii. On the other hand, the median scale for physical capital was close to the moderately disagree scale and hence no improvement in physical capital due to the UPSNP.
- iv. With regard to the contribution of the UPSNP to social capital, almost all the surveyed households agree or strongly agree on the positive contribution of the UPSNP to social capital relative to the previous situation.
- v. Likewise, the surveyed beneficiaries were in complete agreement on the contribution of the UPSNP to natural capital relative to the previous situation.
- vi. In sum, based on the perception of the beneficiary households, the contribution of the UPSNP to social capital and natural capital is significant while it contributes moderately to human capital and financial capital, and none to physical capital.

***Beneficiaries perceived a moderate contribution of the UPSNP to livelihood strategies***

- i. The perception of households on the contribution of the UPSNP to job opportunities or income sources, social network, and healthy living environs was found substantial while they were indifferent about the contribution of the UPSNP to access to skills training.
- ii. On the contrary, the surveyed households did not acknowledge the contribution of the UPSNP to the establishment of MSEs, the promotion of self-employment and access to credit.
- iii. Overall, the surveyed households moderately agree on the contribution of the UPSNP to livelihoods strategies.

### ***Beneficiaries perceived a moderate contribution of the UPSNP to livelihood outcomes***

- i. The contribution to increased savings and improved social trust was relatively high while it was moderate to increased consumption, improved food security, and improved health.
- ii. On the other hand, the surveyed households disagreed on the contribution of the UPSNP to sustained employment while they did neither agree nor disagree on the contribution to improved housing and furniture.
- iii. In general, the surveyed households did moderately agree with the contribution of the UPSNP to their livelihoods outcomes.

## **6.3. Recommendations**

### **6.3.1. Policy Implications**

The overall conclusions drawn above tend to appreciate the contribution of the UPSNP to the improvement of livelihoods of the beneficiary households in Addis Ababa. However, regardless of the perceived livelihoods' improvement, there are still concerns on the sustainability of livelihoods as the beneficiaries are still not food secure. Therefore, on the basis of the findings, the following policy implications are recommended.

#### ***i. Improving the monthly income of programme beneficiaries***

Encouraging improvements in the status of livelihoods and food insecurity situation of the beneficiary households were observed. However, owing to the limited employment opportunities and the inflationary pressure, their incomes were still below the national poverty line and they were still not food secure. Therefore, the wage rates for the public work participants need to be flexible enough and adjusted for the rising prices. Alternatively, increasing the number of working days in a month will increase the monthly income, and hence, the annual income of the programme beneficiaries.

#### ***ii. Reinforcing the coping mechanisms of beneficiary households***

Increasing prices and incidence of COVID-19 pandemic were among the most important factors that made households vulnerable to food insecurity and that have negatively

affected their livelihoods outcomes. One important measure could be supplying basic food items or staples to beneficiary households with relatively lower prices so as to stabilizing the market and addressing the undesirable effect of COVID-19. This would reinforce the coping strategy of beneficiary households to reduce vulnerability and improve livelihood outcomes in a sustainable way.

### *iii. Enhancing the contribution of the UPSNP*

The perceived contributions of the UPSNP to physical capital (livelihood assets), establishment of MSEs, promotion of self-employment and access to skills training (livelihoods strategies), as well as to sustained employment and improved housing and furniture (livelihoods outcomes) were found limited or none. If the objective of the UPSNP is to be attained, its contributions, especially to livelihoods assets and livelihoods strategies need to be enhanced concurrently. This could be possible, among others, by strengthening the institutional capacity of the implementing sectors.

### **6.3.2. Future Research**

This study is believed to be relevant in shedding light on the literature in the context of developing countries, in providing background information for further research in urban safety net practices and hence for the development of knowledge in the area. On the other hand, since the existing urban PSNP in Ethiopia has been researched inadequately, there are still grey areas that need to be clarified by further researches.

- ❖ Although beneficiaries were expected to graduate at the end of the third year, most of them were less optimistic to transform themselves to new employment opportunities. A number of factors, such as the incidence of COVID-19 and the associated declining of market demand, may be responsible for their pessimism and for the graduation not to go as planned. If the situation continues, it will negatively affect the effectiveness and sustainability of the programme. This requires further study and in-depth understanding of the potential problems to clearly identify the root causes.
- ❖ The current study was undertaken on the basis of samples taken from Addis Ababa city. While the findings provide good insights to the situations of other urban areas of the

country where the UPSNP has been implemented too, it may not capture some issues that are more relevant to other cities across the country. Hence, further research should be conducted by taking additional representative samples from other regional cities.

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## Annexes

### Annex-1: Formulae for computing the four HFIAP categories (Coates et al. 2007)

HFIA Category 1\* Households who fall in “food secure” category

HFIA Category 2\*\* Households who fall in “mildly food insecure” category

HFIA Category 3\*\*\* Households who fall in “moderately food insecure” category

HFIA Category 4\*\*\*\* Households who fall in “severely food insecure” category

\*If  $((Q1A = 0 \text{ or } Q1A = 1) \& Q2 = 0 \& Q3 = 0 \& Q4 = 0 \& Q5 = 0 \& Q6 = 0 \& Q7 = 0 \& Q8 = 0 \& Q9 = 0)$ .

\*\*If  $((Q1A = 2 \text{ or } Q1A = 3 \text{ or } Q2A = 1 \text{ or } Q2A = 2 \text{ or } Q2A = 3 \text{ or } Q3A = 1 \text{ or } Q4A = 1) \& Q5 = 0 \& Q6 = 0 \& Q7 = 0 \& Q8 = 0 \& Q9 = 0)$ .

\*\*\*If  $((Q3A = 2 \text{ or } Q3A = 3 \text{ or } Q4A = 2 \text{ or } Q4A = 3 \text{ or } Q5A = 1 \text{ or } Q5A = 2 \text{ or } Q6A = 1 \text{ or } Q6A = 2) \& Q7 = 0 \& Q8 = 0 \& Q9 = 0)$ .

\*\*\*\*If  $[Q5a = 3 \text{ or } Q6a = 3 \text{ or } Q7a = 1 \text{ or } Q7a = 2 \text{ or } Q7a = 3 \text{ or } Q8a = 1 \text{ or } Q8a = 2 \text{ or } Q8a = 3 \text{ or } Q9a = 1 \text{ or } Q9a = 2 \text{ or } Q9a = 3]$  yields.

Q1 is “whether household members worry that they or their household would not have enough food”. Q2 is concerned with “any household member not able to eat the kinds of foods you preferred because of a lack”.

Q3 refers to if “any household member had to eat a limited variety of foods due to a lack”.

Q4 is whether “any household member have to eat some foods that you really did not want to eat because of a lack”.

Q5 is if any household member had to eat a smaller meal than you felt you needed because there was not enough food.

Q6 is about if any household member had to eat fewer meals in a day because there was not enough food.

Q7 is concerned with if there was ever no food to eat of any kind in the household.

Q8 is whether any household member go to sleep at night hungry because there was not enough food. Q9 is if any household member go a whole day and night without eating anything because there was not enough food.

## Annex-2: Household Survey Questionnaire

### Household Survey Questionnaire

#### PART A: BASIC CHARACTERISTICS OF THE HOUSEHOLD

##### I. Household Head's Basic Information

1	Code of HH head _____		Sub City _____		Woreda _____		Ketena _____		
2	Age (in years)		3	Sex		4	Marital Status		
5	Ethnicity			6	Highest level of education completed				
7	Religion			8	Place of Birth				
9	Continuous duration of stay at current place (in years)								
10	Number of permanent HH members (family size)			Female _____		Male _____		Total _____	
11	Do you have any special skills of training other than formal education?			1. Yes 0. No			Before		
							Now		
12	Employment status			1. Employed 2. Unemployed 3. Inactive			Before		
							Now		
13	If <b>inactive</b> , why?		1. Sick 2. Aged 3. Disabled 4. Mother (Pregnant/ lactating) 5. Other, specify						
14	If " <b>unemployed</b> " how do you get your means of livelihood?		1. Pensioned 2. Support from relatives 3. NGO support 4. Gov't grant/ UPSNP 5. Rent part of house 6. Other					Before	
								Now	
15	If ' <b>employed</b> ', type of employment/ your livelihoods strategies		1. Wage empl't – Gov't 2. Wage empl't – Private 3. Self-employed-formal MSE 4. Self-employed-informal (Gulit, Street vending) 5. Casual (temporary/ daily labour) 6. UPSNP-conditional					Before	
								Now	
16	Type of occupation: (rank top three livelihoods strategies)		Primary occupation (1 <sup>st</sup> )						
			Secondary occupation (2 <sup>nd</sup> & 3 <sup>rd</sup> )						
17	Employment status of spouse			1. Employed 2. Unemployed 3. Inactive			Before		
							Now		
18	When did you start participating in UPSNP?			Year		Month			
19	What type of beneficiary you are?		1, Public Work 2. Unconditional permanent 3. Unconditional temporary 4. Livelihood service						
20	If public work beneficiary, type of work and labour hours allocated?		Type of public work						
			Amount of labour hours allocated per week						
21	Total net monthly income of the head (Birr)			From UPSNP _____		from other sources _____		Total _____	

## II. Characteristics of Permanent Members of the Household

S/ N	1.Code of HH members	2. Relationship with HH head CODE I	3.Sex M= 0 F =1	4.Age in years (if< 1 yr in months)	5.Employment status CODE II	6.Highest level of education completed CODE III	7. Currently attending school? (For < 25 yrs) Yes= 1 No =0	8.Reason for not attending school CODE IV	9. Has special skill of training Yes= 1 No =0	10. Participated in UPSNP? Yes= 1 No =0	11. If yes, type of programme component CODE V	12. Monthly income earned/ received (Br)
	01											
	02											
	03											
	04											
	05											
	<b>CODE I</b> 1.Spouse 2.Son/Daughter 3. Father/Mother 4.Grandchild 5. Other relative		<b>CODE II</b> 1. employed 2.unemployed 3.inactive 4. in school		<b>CODE III</b> 1.under school age 2.primary education 3.Secondary education 4.College/ Vocational Diploma 5.Bachelor degree 6. Masters or above 7.illitrate			<b>CODE IV</b> 1.Cannot afford school fees/ tuition 2.Needs to work 3. Too young 4. Completed needed schooling 5.Other (specify)		<b>CODE V</b> 1, Public Work 2. unconditional permanent 3. Unconditional temporary 4. Livelihood service 5. Other, specify		
13	Total Number of permanent HH members at the time of survey Female _____ Male _____ Total _____											
14	Total income of the HH (Head + other members of the HH) in Birr _____											
15	How do you perceive your overall HH income status after joining the UPSNP?							1. Improved    2. No change    3. Worsen				

## PART B: ASSETS AND LIVELIHOODS STRATEGIES OF THE HOUSEHOLD

### III. Housing, Electricity, Water, and Toilet Facilities

			Before	Now
1	Ownership status of housing (If own, skip to question 1.2)		1. Own      2. Rented	
1.1	If rented,	rented from	1. Government (Kebele)   2. Private owner	
		monthly cost of renting the house (Birr)		
1.2	Number of rooms of the house			
1.3	The building material of the house		1. Wood and mud, earth floor   2. Wood and mud, cement floor 3. Blocket/Brick, cement floor   4. Other (specify) _____	
2	House distance from local market			
3	Does the HH have access to electricity?		1. Yes      0. No	
3.1	Mode of accessing electricity		1. Own (private)   2. Shared (from neighbor)	
3.2	Source of energy for cooking and heating foods?		1. Electric power   2. Charcoal   3. Kerosene 4. Wood   5. Other, specify _____	
3.3	Average monthly electric bill (Birr)			
4	Do you have private piped water? (If yes, skip to Q 4.3)		1. Yes      0. NO	
4.1	If No: what is the most important source of drinking water?		1. Piped water-public (Bono/ community) 2. Piped water-private (Purchase) 3. River   4. Public/ community bath house 5. Other Specify _____	
4.2	What is your primary source of water for washing and bathing			
4.3	Number of days piped water is available per week			
4.4	Number of hours piped water is available per day			
4.5	Average monthly water bill (Birr)			
5	Toilet facilities used by the household		1. Private flush toilet   2. Private pit toilet   3. Shared pit toilet   4. Public pit toilet   5. No toilet (use field/ open defecation)	
6	Bathing facilities used by the household		1. Private bath room   2. Shared bath room   3. Public community bath service   4. No bath facility (use field/ river)	
7	Means of dry waste disposal		1. Burning   2. Burying   3. Throw into nearby open space/ river 4. Use waste disposal service providers   5. Other, specify _____	

#### IV. Asset Ownership of the Household

	Type of Asset	Yes= 1	No=0	Number of Items			Type of Asset	Yes= 1	No=0	Number of Items	
		Before	Now	Before	Now			Before	Now	Before	Now
1	Radio/Tape					12	Sideboard/ Cabinet				
2	DVD/CD player					13	Cupboard/ Locker				
3	Television					14	Bed				
4	Satellite Dish					15	Water tank/ Barrel				
5	Fixed line telephone					16	Refrigerator				
6	Cell Phone/Mobile					17	Washing Machine				
7	Cooking Stove					18	Jewelry				
8	Electric Mitad					19	Bicycle				
9	Baking Oven					20	Motorbike				
10	Chair and Table					21	Vehicle				
11	Sofa Sets					22	House				

#### V. Household Savings

1. Do any adult household members have any savings?      Yes = 1      No = 0      Before      Now

2. If yes, ask and complete the table below

Role of HH member who has savings (use CODE below)	Where do you save? (use CODE below)		Total amount saved (Birr)		Plan to use savings? (use CODE below)	
	Before	Now	Before	Now	Before	Now
1						
2						
4						
1. Head 2. Spouse 3. Son/ daughter 4. Other (specify)	1. Bank 2. Savings & Credit Institute/Microfinance 3. Equip 4. In the house				1. Building house 2. Starting business 3. Purchasing household furniture 4. Condominium house loan 5. Emergency purpose 6. Other (Specify)_____	

## VI. Household Access to Credit

			Before	Now
1	Have you or any member of the HH accessed credit in the last three years?	Yes = 1    No = 0		
2	If your answer is yes, please give the following information			
2.1	Amount of credit received	In Cash		
		In Kind (estimated in Birr)		
2.2	Source of Credit	1= Banks   2= Savings & Credit Institute/Microfinance   3= Friend/ Relative 4= Neighbor, 5= Private lender   6= Other, Specify		
2.3	Purpose of Credit	1= Start/ expand a business   2= buy housing   3=household furniture 4=School fees   5=Repair house   6=loan repayment   7=Healthcare costs 8=family events   9= others, specify		

## VII. Urban Agriculture

			Before	Now
1	Does the household have access to land for growing vegetables, or raising animals/ poultry? <b>(If No, skip to next part)</b>	Yes = 1    No = 0		
2	What is the size of the land? (m <sup>2</sup> )			
3	In the last 6 months, has the household grown any vegetables on this land? <b>(If No, skip to Q4)</b>	Yes = 1    No = 0		
3.1	What types of vegetables have you grown? <b>(multiple responses are possible)</b>	1. Potatoes   2. Cabbage   3. Onion   4. Carrot 5. Spinach   6. Other (specify)		
3.2	What proportion of the vegetable production is sold to the market?	1. None   2. Very little.   3. Less than half. 4. About half   5. More than half   6. Almost all		
3.3	The last six month net income from vegetable production (Birr)			
4	In the last 6 months, has the household raised any animal?	Yes = 1    No = 0		
4.1	What kind of animals have you raised? <b>(multiple response possible)</b>	1. Cow (Milk Cow)   2. Sheep/ Goat 3. Poultry   4. Other (specify)		
4.2	What proportion of the animal production is sold to the market?	1. None   2. Very little.   3. Less than half. 4. About half.   5. More than half   6. Almost all		
4.3	The last six month net income from animal production (Birr)			
5	The household's total <b>net</b> income from urban agriculture over the			

last 6 month? (sale of vegetables + animal production) (Birr)			
---	--	--	--

**VIII. Transfers and Social Assistance**

Following is about money and goods that the household received from sources other than employment as well as any assistance given to anyone living outside the household in the last one year.

1. Does the household provide support to anyone living outside the home with money or food ?

Yes =1      No = 0      Before    Now

1.1. If yes, to whom? *(multiple responses possible)*

- a. Children in school/University elsewhere
- b. Other extended family/ parents living in Addis
- c. Other extended family/ parents living elsewhere outside Addis
- d. Other, if any specify \_\_\_\_\_

1.2. Total amount of support provided (estimated in Birr)? \_\_\_\_\_

1.3. Frequency of support provided?    1. Regularly (monthly or quarterly)    2. Occasionally

2. Does the household receive support from anyone outside the household?

Yes =1      No = 0      Before    Now

2.1. If yes, from whom? *(multiple responses possible)*

- a. Pervious HH member, who is now living by his/her own (in Addis)
- b. Previous HH member, who is now living abroad (outside Ethiopia)
- c. Close relatives and/ or Friends
- d. Government programmes (such as UPSNP)
- e. NGOs/ Charity groups      f. Other, if any specify \_\_\_\_\_

2.2.Total amount of support received (estimated in Birr)? \_\_\_\_\_



2.3. Frequency of support received? 1. Regularly (monthly or quarterly) 2. Occasionally

**IX. Expenditure Information**

1. Major expenditure items and total expenses of the household. In the last month, how much did the HH spend on the following items?

	Consumption/ expenditure items	Amount estimated (Birr)		Rank three most important expenditure items	
		Before	Now	Before	Now
1	Food items				
2	Energy (cooking, heating, lighting)				
3	Clothing				
4	Health (Medical services)				
5	House Rent				
6	Education				
7	Transport				
8	Entertainment				
9	Condominium house loan repayment				
10	Other loan repayment				
11	Other specify				
	<b>Total Monthly Expenditure</b>				

2. Do you think that there is price inflation in the City? Yes =1 No = 0

3. How do you describe the increase in food price in the last two years?

- a. Significant that it affected the HHs dietary programme
- b. Significant, but the HH was able to withstand it through increased expenditure on food items
- c. Not significant
- d. Other (specify) \_\_\_\_\_

4. What strategies did you use and/or are you using to cope with the price inflation?

a. \_\_\_\_\_

b. \_\_\_\_\_

c. \_\_\_\_\_

**X. Shocks Impacting Households' Livelihoods**

1. In the last one year, what difficulties have impacted your household's ability to meet your food and nonfood needs?

	Shocks/ unexpected events facing the household	CODE (circle all difficulties faced by the HH)	Rank top 3 difficulties
1	Loss of employment of HH member	01	
2	Relocation to new dwelling	02	
3	Sickness and associated health expenses	03	
4	Unexpected pregnancy	04	
5	Death of HH member and associated funeral expenses	05	
6	High food prices	06	
7	High transport cost	07	
8	Increasing house rental price	08	
9	Irregular/unsafe drinking water	09	
10	Insecurity/thefts	10	
11	Difficulty to repay loan	11	
12	Bankruptcy/ Failure of a small business	12	
13	Divorce/separation	13	
14	Other 1 (COVID-19 lockdown)	14	
15	Other2 specify	15	

## PART C: FOOD SECURITY STATUS AND COPING STRATEGIES

### XI. Food Insecurity and Coping Strategies

	<b>Food Insecurity status</b>	Before	Now
1	Did you encounter food shortage? ( <i>Yes =1 No = 0</i> )		
2	If yes, how many weeks/ Months were you in food shortage?		
3	What are/were the major reasons for the HH's food shortage? ( <b>CODE: 1. Decline in income 2. loss of employment 3. decline in food availability 4. increase in food prices 5. sickness of the HH head or his/her spouse 6. Other (specify) __</b> )		
4	How do you compare the severity of the food shortage currently encountered with the previous one? ( <i>5= Better 4=good 3=No change 2=Bad 1=worse</i> )		
	<b>Livelihood-based Coping strategies</b>	Before	Now
5	Which of the following livelihoods coping mechanisms did your HH apply during food shortage? (multiple responses are possible)		
5.1	<b>Stress strategies</b> ( <b>CODE: 1. Borrowing money from relatives/ friends/ neighbors 2. Receiving support from relatives/friends 3. Buy food on credit basis 4. Spent savings</b> )		
5.2	<b>Crisis strategies</b> ( <b>CODE: 1. Selling household assets 2. Sending children to work 3. Reduce expenditures on education/ Withdrawing children from school 4. Reduce expenditures on health</b> )		
5.3	<b>Emergency strategies</b> ( <b>CODE: 1. Selling of house 2. Being involved in illegal activities 3. Begging 4. Other (specify)</b> )		
	<b>Food-based coping strategies</b>	Before	Now
6	Which of the following types of consumption related or food-based coping strategies did you use during food shortage? (multiple responses are possible) ( <b>CODE: 1. Reduce the number of meals consumed in a day 2. Reduce amount consumed during each meal 3. Eat less preferred, lower quality or less expensive foods 4. Increase consumption of foods prepared on streets 5. Borrowing food from others</b> )		

## XII. Food Security-Access

1. **Type and Source of Food Consumed** (How many days in the past week your HH has eaten the following foods and what was the main source of each food item consumed?)

No	Food groups/ Items	Was it consumed in the last 7 days? (Yes=1 No=0)	If yes, how many days in the week	Main sources				
				Purchased from			Own Production	Government/ NGO charity/ kebele or shemachoch
				Main market	Gulit/ Small Shop	Grain mill/Supermarket		
1	Any bread, injera, or any other foods made from teff, millet, sorghum, maize, rice, wheat or barley?							
2	Any potatoes/other food made from roots or tubers?							
3	Any vegetables (cabbage, tomato, carrot, etc.)?							
4	Any fruits (orange, papaya, mango, avocado, etc.)							
5	Any meat (beef, chicken, lamb, etc.)?							
6	Any eggs?							
7	Any foods ('wat') made from beans/peas/ lentils ..?							
8	Any milk, yogurt, cheese or other milk products?							
9	Any oil/ butter?							
10	Any sugar or honey?							

2. Which of these statements best describe the food consumption of your HH in the last 12 months?
- a. We always have enough to eat and the kinds of food we want    b. There is enough food, but not the kinds we want  
c. Sometimes we don't have enough to eat        d. Often we don't have enough to eat
3. On average, how many meals did the adult in this HH eat yesterday? No of meals \_\_\_\_\_
4. How many meals did the children (age 6-18 years) in this HH eat yesterday? No of meals \_\_\_\_\_
5. What is the combination of the most common food? How often do you eat this food in your HH?  
The most common food is \_\_\_\_\_ we consume it \_\_\_\_\_ times a week.
6. What type(s) of cereal do you use to bake injera and/ or kita (bread)?

Injera \_\_\_\_\_ kita/ ambasha/ bread) \_\_\_\_\_

**XIII. Household Food Insecurity Access Scale (HFIAS).** (Circle only ONE answer for each question)

No	Household Food Insecurity Access Scale (HFIAS) for the last four weeks	No (If not at all)	Rarely (once/twice)	Sometimes (3-10 times)	Often (more than ten times)
1	In the last four weeks, did you worry that your HH would not have enough food?	0	1	2	3
2	In the last four weeks, were you or any HH member not able to eat the kinds of food preferred because of lack of resources?	0	1	2	3
3	In the last four weeks, did you or any HH member have to eat a limited variety of foods due to lack of resources?	0	1	2	3
4	In the last four week, did you or any HH member have to eat some foods that you normally did not want to eat because of lack of resources to obtain other types of food?	0	1	2	3
5	In the last four weeks, did you or any HH member have to eat a smaller meal because there was not enough food?	0	1	2	3
6	In the last four weeks, did you or any other HH member have to eat fewer meals in a day because there was not enough food?	0	1	2	3
7	In the last four weeks, was there ever no food to eat of any kind in your HH because of lack of resources to get food?	0	1	2	3
8	In the last four weeks, did you or any HH member go to sleep at night hungry because there was not enough food?	0	1	2	3

**PART D: Contribution of the UPSNP on Livelihoods of Beneficiaries**

**XIV. Perception of Beneficiary Households about the Contribution of the UPSNP on Livelihoods**

1. How do you describe the appropriateness of selecting target beneficiaries to the programme?
  - a. Appropriate
  - b. No comment
  - c. Inappropriate
2. How do you describe your overall livelihood and food security status after joining the UPSNP?
  - a. Improved
  - b. No change
  - c. Worsen

3. How do you perceive the contribution of the UPSNP to your HH, compared to your previous condition, on the basis of the following items?

(Use the Likert scale below for your response: 6=strongly agree 5=agree 4=moderately agree 3=Neutral 2= moderately disagree 1= disagree 0= strongly disagree)

SN	Livelihood Items		6	5	4	3	2	1	0
<b>1</b>	<b>On Livelihoods Assets</b>								
<b>1.1</b>	<b>Human Capital</b>	Contributed to improved health							
		Contributed to improved skills training							
		Contributed to improved education							
<b>1.2</b>	<b>Financial Capital</b>	Contributed to increased labour incomes							
		Contributed to improved access to credit							
		Contributed to increased savings							
<b>1.3</b>	<b>Physical Capital</b>	Contributed to improved housing							
		Contributed to improved HH assets/ furniture							
		Contributed to increased road coverage							
<b>1.4</b>	<b>Social Capital</b>	Contributed to improved access to information							
		Contributed to better support mechanism							
<b>1.5</b>	<b>Natural Capital</b>	Contributed to clean & green environs							
		Contributed to improved environmental protection							
<b>2</b>	<b>On Livelihoods Strategies</b>								
	Contributed to increased job opportunities/ income sources								
	Contributed to establishment of MSEs								
	Contributed to promotion of self-employment								
	Contributed to better access to credit								
	Contributed to better access to skills training								
<b>3</b>	<b>On Livelihoods Outcomes</b>								
	Contributed to increased savings								
	Contributed to sustained employment								
	Contributed to improved housing and furniture								
	Contributed to increased consumption								
	Contributed to improved food security								
	Contributed to improved health & living environs								

## Annex-3: Key Informant Interview Guide

### Key Informants Interview (KII) Guide

#### **Analysis of Livelihoods and Food Security of Poor Urban Households: The Case of Urban Productive Safety-net Beneficiaries in Ethiopia**

Interviewer's Name \_\_\_\_\_ Date of interview \_\_\_\_\_ signature \_\_\_\_\_

Start time: \_\_\_\_\_ End time: \_\_\_\_\_

#### **Background information**

- Code of the Interviewee \_\_\_\_\_
- Sex: \_\_\_\_\_ Age: \_\_\_\_\_
- Education Level: \_\_\_\_\_
- Name of the office: \_\_\_\_\_
- Address: Sub City: \_\_\_\_\_ Woreda: \_\_\_\_\_
- Position: \_\_\_\_\_
- Work experience \_\_\_\_\_

#### **Dear Interviewee,**

Thank you so much for your cooperation and commitment to the interview devoting your precious time. I am conducting a research entitled **Analysis of Livelihoods and Food Security of Poor Urban Households: The Case of Urban Productive Safety-net Beneficiaries in Ethiopia** for academic purpose to earning my doctoral degree (PhD). You are purposely selected to participate in this group discussion because you are the appropriate person to give firsthand information on the issue. I, therefore, kindly request you to provide genuine information.

Please be sure that all the information provided in this questionnaire shall be used for the research purpose only and treated with at most confidentiality. You are not obliged to answer any interview question that you don't want to answer. Your participation in this study doesn't involve any direct risk or benefit for you but it is very useful for the successful completion of the study.

#### **Checklists for Interview:**

1. How do you describe the **livelihoods situation** of households before and after joining the UPSNP?
2. How do you describe the **food security status** of households before and after joining the UPSNP?
3. Is there any **seasonal variability** in terms of income and food availability among the households? Why?
4. Do you think that food items are **accessible, available, and affordable** in Addis Ababa? Explain how it is or is not.
5. What were/are the **coping strategies** of households? Compare the strategies before and now.
6. Do the households practice **urban agriculture**? Discuss.
7. What are the main **factors leading households to food insecurity**?
8. How was the **targeting** of the UPSNP participants made? Discuss its fairness.
9. How do you evaluate the **livelihood outcomes** of beneficiaries? Compare the situation before and now.
10. Discuss the strengths/ opportunities and weaknesses/ threats (**merit/demerit**) of the UPSNP?
11. What is your overall evaluation of the **contribution of the UPSNP on the livelihood and food security** status of the beneficiary households?

## **Annex-4: Observation Checklist**

### **Observation Checklist**

#### **I. General Information of the site to be observed**

1. Sub city: \_\_\_\_\_
2. Woreda: \_\_\_\_\_
3. Ketena and/ or village: \_\_\_\_\_
4. Date and time of the site visit: \_\_\_\_\_
5. Name of the observer /visitor and notetaker: \_\_\_\_\_

#### **II. Issues to be considered during the observation**

The researcher will conduct a direct personal observation and take notes on the following points.

1. The clothing and physical appearance of the household heads.
2. The physical conditions of residential houses of the programme beneficiaries.
3. The infrastructure in the villages (such as village roads/coble stone roads/ walkways, etc).
4. The sanitation and greenery of the surrounding (such as the land scape, waste management, etc).
5. Urban agriculture activities (cultivated plots, availability of potential agricultural lands, etc).



**Annex-5: CONSENT TO PARTICIPATE**

**CONSENT TO PARTICIPATE IN THIS STUDY**

*(For the survey questionnaire)*

I, \_\_\_\_\_ , the study participant, confirm that the person asking my consent to take part in this research has told me about the nature, procedure, potential benefits and anticipated inconvenience of participation. I have read (or had explained to me) and understood the study as explained in the information sheet.

I have had sufficient opportunity to ask questions and am prepared to participate in the study. I am informed that to mitigate any risk associated with COVID-19, strict safety measures will be taken and I will be presented the questionnaire in a sanitized postbag. I understand that my participation is voluntary and that I am free to withdraw at any time without any penalty.

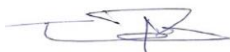
I am aware that the findings of this study will be processed into a research report/ thesis and/or journal publications, but that my participation will be kept confidential unless otherwise specified. I agree to the recording of the information that I provide by means of questionnaire.

I have received a signed copy of the informed consent agreement.

Participant Name & Surname.....

Participant Signature.....Date.....

Researcher's Name & Surname Tegegn Gebeyaw WASSIE

Researcher's signature  Date

**CONSENT TO PARTICIPATE IN THIS STUDY**

*(For the interview)*

I, \_\_\_\_\_, the study participant, confirm that the person asking my consent to take part in this research has told me about the nature, procedure, potential benefits and anticipated inconvenience of participation. I have read (or had explained to me) and understood the study as explained in the information sheet.

I have had sufficient opportunity to ask questions and am prepared to participate in the study. I am informed that to mitigate any risk associated with COVID-19, strict safety measures will be taken and the interview will be either conducted by a telephone or mail instead of a face-to-face interview. I understand that my participation is voluntary and that I am free to withdraw at any time without any penalty.

I am aware that the findings of this study will be processed into a research report/ thesis and/or journal publications, but that my participation will be kept confidential unless otherwise specified. I agree to the recording of the information that I provide by means of interview.

I have received a signed copy of the informed consent agreement.

Participant Name & Surname.....

Participant Signature.....Date.....

Researcher's Name & Surname Tegegn Gebeyaw WASSIE

Researcher's signature



Date

## Annex-6: Ethical Clearance Certificate



### COLLEGE OF HUMAN SCIENCES RESEARCH ETHICS REVIEW COMMITTEE

17 September 2020

Dear Tegegn Gebeyaw Wassie

NHREC Registration # :  
Rec-240816-052  
CREC Reference # : 2020-  
CHS-Depart-64016641

**Decision:**  
Ethics Approval from 17  
September 2020 to 17 September  
2023

Researcher(s): Tegegn Gebeyaw Wassie

Supervisor(s): Prof V Gumede

[gumedvt@unisa.ac.za](mailto:gumedvt@unisa.ac.za)

**Analysis of Livelihoods and Food Security of Poor Urban Households: The Case of Urban Productive Safety-net Beneficiaries in Ethiopia**

Qualifications Applied: PhD In Development Studies

Thank you for the application for research ethics clearance by the Unisa Department of Developmental Studies, College of Human Science Ethics Committee. Ethics approval is granted for three years.

The *low risk application* was reviewed and expedited by the Department of Development Studies College of Human Sciences Research Ethics Committee, on 17 September 2020 in compliance with the Unisa Policy on Research Ethics and the Standard Operating Procedure on Research Ethics Risk Assessment.

The proposed research may now commence with the provisions that:

1. The researcher(s) will ensure that the research project adheres to the values and principles expressed in the UNISA Policy on Research Ethics.

2. Any adverse circumstance arising in the undertaking of the research project that is relevant to the ethicality of the study should be communicated in writing to the Department of Development Studies Ethics Review Committee.
3. The researcher(s) will conduct the study according to the methods and procedures set out in the approved application.
4. Any changes that can affect the study-related risks for the research participants, particularly in terms of assurances made with regards to the protection of participants' privacy and the confidentiality of the data, should be reported to the Committee in writing, accompanied by a progress report.
5. The researcher will ensure that the research project adheres to any applicable national legislation, professional codes of conduct, institutional guidelines and scientific standards relevant to the specific field of study. Adherence to the following South African legislation is important, if applicable: Protection of Personal Information Act, no 4 of 2013; Children's act no 38 of 2005 and the National Health Act, no 61 of 2003.
6. Only de-identified research data may be used for secondary research purposes in future on condition that the research objectives are similar to those of the original research. Secondary use of identifiable human research data require additional ethics clearance.
7. No fieldwork activities may continue after the expiry date (17 September 2023). Submission of a completed research ethics progress report will constitute an application for renewal of Ethics Research Committee approval.

*Note:*

The reference number 2020-CHS-Depart-64016641 should be clearly indicated on all forms of communication with the intended research participants, as well as with the Committee.

Yours sincerely,

Signature :



Dr. K.J. Malesa  
CHS Ethics Chairperson  
Email: [maleskj@unisa.ac.za](mailto:maleskj@unisa.ac.za)  
Tel: (012) 429 4780

pp



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