LIFT Baseline Survey Report

SIAPAC

APRIL 2016

LIFT
LAND INVESTMENT FOR TRANSFORMATION PROGRAMME

UKaid
from the British people

MINISTRY OF AGRICULTURE

Contents

Acknowledgements

This research was commissioned by LIFT but has been conducted by an independent consultancy and does not necessarily represent the views of LIFT.

This material has been funded by UKaid from the UK government; however, the views expressed do not necessarily reflect the UK government's official policies.

Acronyms

CSA	Central Statistical Agency (of the Government of Ethiopia)
DFID	Department for International Development
EETSP	External Evaluation Technical Service Provider
FHH	Female-Headed Household
FLLC	First Level Land Certification
ha	Hectare
ITSP	Internal Technical Service Provider
LAC	Land Administration Committee
LIFT	Land Investment for Transformation
M&E	Monitoring and Evaluation
MHH	Male-Headed Household
na	Not applicable
PPP	Probability Proportionate to Population
RBM&E	Results-Based Monitoring and Evaluation
SACCOC	Savings and Credit Co-operative
SLLC	Second Level Land Certification
SNNP	Southern Nations, Nationalities and Peoples
SPSS	Statistical Package for the Social Sciences
ToC	Theory of Change
TOR	Terms of Reference
UK	United Kingdom

Executive Summary

Overview

This report presents findings from a baseline survey conducted in area locations of the Land Investment for Transformation (LIFT) Programme coupled with matched control areas proximate to the LIFT Programme area. Findings across the treatment and control areas reflect strong similarities across the two. Altogether, 7199 interviews were conducted. A follow-on midline survey will take place in 2017, an endline in 2019, and an impact assessment survey in 2024, with findings compared against the baseline. This report has been prepared by the Internal Technical Service Provider (ITSP) and focuses on implications for LIFT Programme implementation and the LIFT Programme tools, including the Logframe, Risk Matrix and Value for Money Matrix. It complements a second report prepared by the External Evaluation Technical Service Provider (EETSP) focused on evidencing the Theory of Change (ToC) and learning lessons more broadly.

Land Findings

Key land findings of relevance to the LIFT Programme are as follows:

- The mean and median number of parcels in the LIFT Programme area is higher than the initial programmatic assumption of 2.3, at 3.68 (mean) and 3 (median) parcels per household. This requires adjusting for the number of affected households and parcels. Male-headed households (MHH) had a higher average number of parcels than female-headed households (FHH), while agricultural findings suggest that FHHs are less able to apply additional labour to land.
- Renting land was uncommon, at some 4% of all plots. Rental markets are geographically limited, with word of mouth the main means of identification.
- The experience with First Level Land Certification (FLLC) suggests that listing both males and females on certificates will not likely be a problem, but that the implications of these listings is uncertain. There is a specific need to actively engage both women and men in certification processes, something often lacking during FLLC. Listing non-heads and spouses of heads was very rare and needs specific attention for Second Level Land Certification (SLLC).
- Certificates from FLLC were collected, held and retained by only half of the households in the survey area. Some were missed from the certification process, others had not collected their certificates, and some had lost their certificates. In some cases, certificates had not been collected even with repeated trips to collect, because the certificates were not ready in a timely manner.
- For those who have transacted land since FLLC, which is a relatively small number, less than half had reported these transactions to land authorities. This also means that most households have not changed the status of their properties. Between this and the low number of land 'transactions', it is likely that the LIFT Programme assumption that 70% of FLLC parcels will have lost benefits of certification due to the lack of updating is too high. Instead, the issue is non-reach for some households, lack of retaining certificates, and lack of certificates being available in a timely manner.
- Irrigation is uncommon, and investment in irrigation infrastructure is low.
- Access to credit is uncommon. When credit has been secured, it had often been used for agricultural purposes.
- Perceptions of risk of unfair land loss were low, and experience with unfair land loss among current holders was also low.
- Boundary disputes were fairly common, followed by inheritance disputes, with all disputes affecting some 10% of LIFT Programme area households. Findings suggest a high willingness to invest in dispute resolution, and therefore value given to SLLC boundary lines. Findings also highlight the likelihood that disputes will rise as SLLC proceeds before falling, because the process of certification will bring to the fore latent disputes.

Context Findings

Key context and description of the population findings of relevance to the LIFT Programme are as follows:

- Most household heads were male (85%), and most female household heads had become heads due to the death of their husband, or through divorce. Data suggest some patterns of vulnerability affected female-headed households more than male-headed households associated with factors that would limit their ability to improve agriculture practices, most specifically labour availability.

- Livelihoods are narrow and heavily reliant on on-farm production and sales, highlighting the central importance of land in rural livelihoods. On-farm investments were considerable, as were investments designed to respond to and prevent environmental degradation, while findings suggest that there is high willingness to expand these investments.

Executive Summary Findings

Overview

This report presents findings from the Baseline Survey conducted in the LIFT Programme area and in proximate control locations in the last quarter of 2015. It has been prepared by the (Monitoring and Evaluation) M&E Advisor for the Internal Technical Service Provider (ITSP) which is managing the LIFT Programme, in collaboration with the M&E Manager who is a full-time member of the LIFT Programme team. This ITSP Baseline Report is intended specifically to inform LIFT Programme implementation, and track logframe, risk matrix and value for money indicators over time.

This is one of two reports prepared for the Baseline Survey, with the second report prepared by the External Evaluation Technical Service Provider (EETSP). The EETSP report is intended to serve as an analytical work to inform both the external evaluation and the Theory of Change (ToC).

Methods

A large-scale quantitative survey was implemented across 7,200 households, 3,600 in the LIFT Programme Area (referred to as the 'treatment' location), and 3,600 in control locations proximate to the LIFT Programme Area (referred to as the 'control' locations). The survey was jointly implemented by the ITSP and the EETSP, working with an Ethiopian consultancy firm, Abcon.

A highly structured quantitative questionnaire was developed by the ITSP, and thereafter shared with the EETSP for their inputs. The two teams came together first in a four-day session involving the ITSP M&E Advisor and the EETSP's chief survey analyst in Washington, D.C., and thereafter in a two-day workshop to prepare a 'pre-training draft' of the quantitative questionnaire in Nairobi, Kenya.

This version of the quantitative questionnaire was used at the start of training, and regularly revised as training and pre-testing took place, and as further questionnaire reviews and revisions took place in meetings between the ITSP and the EETSP. After training an initial pilot survey was carried out, with the questionnaires administered during this pilot being reviewed by the survey management team members in a one-day retreat. The questionnaire was thereafter issued in final draft as Version 34 - Final Version: Quantitative Questionnaire.

The questionnaire was translated into Amharic in an early version prior to training, updated repeatedly during training, and translated into Oromifa and Tigrigna prior to finalisation in all four languages (including English). Final checks of translations were carried out on a regular basis during training and prior to field implementation.

Each field team comprised 1 Field Supervisor, 4 Enumerators, and 1 Driver. Sets of four field teams were supervised by a Field Manager, and this structure was supervised by two Quality Control Officers. Data entry was in CSPro and centralised in Addis Ababa. The database was cleaned and finalised with support from a Data Quality Control Officer and SwissPeaks- a UK based firm made up of data processing professionals who were employed by the EETSP.

Findings of Relevance to LIFT Programme Implementation

The following findings should be considered for LIFT implementation purposes:

Land Holding and Certification

- The median number of parcels that households had direct access to, including parcels that they had rented out or sharecropped out, was 3 for both treatment and control locations, and for male- and female-headed households. This rises to 4 for both treatment and control locations, but only for male-headed households, once rented-in and sharecropped-in households are included. The number of parcels was especially low in SNNP, with a median of 2, and was highest in Amhara, with a median of 5.
- Mean parcel size, in hectares for *all* parcels combined, was 2.2 for treatment locations, and 2.3 for control locations. The mode was 1 and the median was well below the mean, at 1.4 in treatment locations and 1.2 in control locations, reflecting a small number of households with multiple parcels. For one-third of all households, total parcel holdings were under one hectare. An additional one-third held 1-1.99 hectares. Only 10% held four or more hectares in total. For first parcels, median household size was only 0.3, holding for both treatment and control locations. Only 17% had parcels of one or more hectares. Second and third parcels tended to be somewhat smaller than first parcels. Parcel size was smallest in SNNP (0.7ha), where the number of parcels was also the lowest. Parcel size was largest in Oromia, followed by Amhara.

- The average number of plots per parcel was one (median), with two-thirds of all parcels having a single plot. However, one-third of all parcels were divided into multiple plots, with half of these divided into two plots, and half into three or more. Sub-division of parcels into plots was most common in SNNP, with less than one-third of all parcels forming only one plot.
- At this time in the programme area both women and men are noted as sharing control over parcels for married couples, while household heads were commonly noted as holders in cases where the head was unmarried. Control did not extend much beyond the household head and spouse to other household members, and therefore the relationship between First Level Land Certification (FLLC) and strengthened rights to inheritance are uncertain. It may be that the FLLC process, along with new land legislation, have yielded or strengthened joint control among married couples, suggesting that Second Level Land Certification (SLLC) expectations in terms of joint control are realistic. Beyond this, it appears from other findings on control over parcels that joint decision-making is the stated norm. What this means in terms of situation specific and actual decision-making power would require additional attention by LIFT.
- Prior to the survey it was expected that virtually all households in the survey area would have been reached with FLLC. Yet one-quarter of the households interviewed had not been reached with FLLC at all, some of those reached had not collected their certificates, and some of those who had collected their certificates had not retained them. Overall, only half of all households were holding first level land certificates. The reasons why households had not been reached are uncertain, but three points are relevant for LIFT: 1) a significant number of households had been missed by the FLLC process; 2) some of the households that had been reached with FLLC had gone to collect their certificates but were told that they were not available, highlighting the importance of timely availability; and 3) not all households that had received their certificates had retained them, despite noting that they were of value, highlighting the importance of certificate utility in encouraging retention of the FLLC certificates. Certificate collection appeared to be most problematic in Oromia and SNNP. Unavailability of the certificate when a household tried to collect it was a particular problem in SNNP.
- There appeared to be no resistance to the idea of both women and men appearing on the FLLC certificates, suggesting that this would also apply to SLLC. Having said this, the *process* of FLLC was heavily focused on male engagement, highlighting the importance of actions directly aimed at male and female involvement before and during certification.
- Other names did not normally appear on the FLLC beyond the husband and wife, male head, and female head. The issue of the rights of other family members in terms of certification needs to be clearly decided and pursued as part of SLLC.
- In reviewing decision-making authority over parcels, decision-making appears to cluster more heavily among household heads than household heads and spouses, even when spouses appear on certificates. Findings highlight the importance of the gendered impacts of SLLC, and the need to concentrate attention on these gendered impacts.
- A number of those who had obtained FLLC and needed to change the status of the certificate due to a change on a plot had notified authorities at *kebele* level of this change, but not all of them had received a revised certificate. Some had even gone to *woreda* level to register changes. It also appears that some of those who should have notified authorities of any change had not done so. While fairly small in number (under 10% were in situations where registering changes would be required), the findings highlight the importance of *kebele* level land administration services. As discussed later, disputes are often seen as serious enough to be taken to a higher level, but it is not clear whether non-dispute issues would be registered unless services were widely available and accessible. Elsewhere in the questionnaire respondents were asked whether they would take any disputes to *woreda* level if they were not resolved at *kebele* level. A high proportion of respondents argued that they would do so in cases where changes were required to certificates, while for 'minor things' such as small changes made within the family on who is considered to hold land, respondents still suggested that they would do what was required. It is assumed that this responsiveness would remain high, but only if land administration services functioned well.
- Respondents placed value on land certification, suggesting that SLLC would be well received.
- Perceptions of risk were generally not high, nor were experiences of what was perceived to be unfair land loss. This held for both male- and female-headed households. Nevertheless, respondents were supportive of certification as a means to improve security, with strong agreement in particular that certification would help improve opportunities for renting land out or in. Findings suggest that casting

SLLC as a means of lowering risk may be useful, while recognise that experience with such risk is relatively low.

Land Availability and Land Disputes

- In the two years before the survey, some 7% of all households had at least one member who had moved to another area due to land shortages. Findings underline the value of improved rental market information that extends beyond neighbours and *kebele.* Disputes were most common in Tigray and Oromia.
- Land disputes were fairly common, at 10% over the past two years. Boundary disputes were most commonly mentioned, comprising half of all disputes. Findings would suggest: 1) that the SLLC *process* would identify these disputes; and 2) that, once resolved during the SLLC process, boundary disputes would be less common.
- While disputes over irrigation were uncommon, given that only 13% of households engaged in irrigated agriculture, up to one in fifteen households involved in irrigation had an irrigation-related dispute with a neighbour in the two years before the survey. Findings highlight the need to consider carefully the impacts of certification and boundary identification on irrigation disputes, and endeavour to prevent these disputes.

Land Practices and Livelihoods

- Findings reflect considered investment of time and resources in agriculture, from a range of on-farm investments, to planting trees, to applying fertilisers. Almost all households applied fertilisers, using a range of chemical and organic fertilisers. Irrigation is uncommon, and investment in irrigation is limited and rarely involves improved infrastructure. Irrigation is generally focused on high value crops. Accessing credit to improve farming was limited, and few of those who were involved in irrigation accessed credit to build or expand irrigation systems.
- Findings suggest that there is a high willingness to invest in agricultural intensification and practices designed to expand yields and improve incomes, but that this is currently constrained due to limited access to external financial support.
- Irrigation is extremely uncommon. If SLLC yields improved security of tenure, and if M4P interventions encourage agricultural intensification, there would appear to be substantial room for growth in this regard.
- Household economic strategies were narrow and focused on the sale of non-food and staple crops. This low diversity was reflected in the estimate by households that between 70-100% of household income comes from a single source. In such an environment, and where levels of irrigation are low, the failure of rains (as happened in the final months of 2015) can have significant impacts on livelihoods security.
- Most households held a number of productive and consumable assets but were limited in terms of social infrastructure at household level (e.g., water, sanitation). With narrow sources of income, the ability to build resilience is somewhat limited, but does exist for a majority, as shown in the ranking of household poverty.

Renting and Sharecropping

- Directly held for sole use by the household comprised 85% of all households in both treatment and control locations, with sharecropping in land holding for another 7.8% of parcels. Renting was uncommon, at 1% rented out and 3% rented in for the LIFT Programme area. Most land was rented to people outside of the family, at some three-quarters of all households. Renting out was driven largely by the urgent need for cash. Renting was largely to local persons.
- LIFT may want to further investigate returns on investment from renting, especially compared to sharecropping, and link this to discussions of certification. Further, perceptions of risk may well vary across ‘winners and losers’, and as the survey will have interviewed those who hold land, those who may have been disenfranchised (e.g., a son or daughter did not receive land through inheritance) may have higher levels of risk perception.
- Most rental properties are identified through word of mouth, and land rental markets are quite limited. Few respondents felt that information on rental markets were currently constrained, but this is likely due to the limited use of these markets. Given that more formalised markets are anticipated, concerns about constrained access to information about these markets may emerge.

Demographic Findings

- Most households are headed by males. The majority of female-headed households are headed by wives who have lost their husbands or, less commonly, divorced their husbands. Very few households were ‘de

facto' female headed, indicating that levels of out-migration of male heads for work who retained their household membership in rural areas was very low. Female-headed households were more common in Tigray and SNNP than in Amhara and Oromia.

- Numerous checks of male versus female headed households were made. Most findings reflect similarities in terms of these household's demographic and socio-economic status, but as indicated below some differences in terms of land issues. This was particularly the case in terms of labour availability, which has implications for being able to take advantage of on-farm investments.
- Households were relatively small, with the median being three, but these households tended to be proximate to other extended family households that remained socially and economically close. Social networks were quite strong locally, with the implication that this helps protect against the impacts of shocks and poverty.

Financial Services

- Findings indicate that experience with credit is low and services are not widely available, that concerns about an inability to pay back the loan limits demand for formal services, and that amounts borrowed were larger for formal services compared to borrowing from friends and relatives. Access to credit from formal banks was uniformly low across regional states but rose considerably when micro-finance agencies were included. Micro-finance credit was highest in Amhara.
- Some who had borrowed were unable to repay the loans on time. Involvement in savings and credit groups was higher in Amhara than in other regional states.
- As the extent to which credit services are available in rural areas is understood to be constrained, it could well be that there is pent-up demand for these services. However, over half of those who had not applied for microfinance loans did not do so because of fears over an inability to pay or a lack of experience, highlighting the considered efforts required to support demand creation.
- Credit was most commonly applied to improving agriculture, suggesting that expanded access to credit should be directly tied to on-farm investment.

Findings of Relevance to LIFT Programme Logframe

The following findings are relevant for the LIFT Programme Logframe:

- **Impact Indicator 1: Poverty headcount ratio at rural poverty line.** Most households were classified as poor, but of these, over half were felt to have access to sufficient resources to protect themselves from shocks and build stronger livelihoods. Less than 10% were classified as 'severely poor' or 'very poor'. Poverty was highest in SNNP. Animal assets were quite diverse, with many households holding dairy cattle, oxen, other cattle and chickens, and to a lesser extent donkeys, sheep and goats. Kinship and social networks in most of the communities where interviews were conducted were noted to be strong and may allow greater risk taking associated with things like credit, irrigation investments, and other on-farm investments.
- **Impact Indicator 2: Agricultural production - major food crops.** A total of 13% of all farming households were involved in irrigated agriculture, the majority of which did not use improved infrastructure to do so, instead employing gravity feed systems and dirt canals. Irrigation access was not a motivating factor in renting in and sharecropping in land. Only 10.1% of all LIFT Programme area households had invested in an irrigation canal or a well.
- **Impact Indicator 3: Protection of Arable Land Against Environmental Degradation.** Just over 20% of all households had experienced land degradation to an extent that it had harmed agricultural production in the two years before the survey. The problem was noted as most severe in Tigray, followed by Amhara.
- Many households instituted a range of conservation practices in the two years before the survey. Within the category 'physical soil conservative prevent erosion', this included soil bunds (87%), stone terracing (60%), and barriers to prevent water damage (36%). Overall, respondents felt that these practices were very worthwhile, with 71.9% of those in the LIFT Programme area arguing that the cumulative impacts had 'very positive' impacts, with almost all of the remainder arguing that the impacts were 'somewhat positive'
- Use of a range of fertilisers was common across all regional states, with farmers using both chemical and organic fertilisers. For organic fertilisers, some 90% were obtained from on-farm animal waste and crop residue along with other compost items, holding across all regional states. Of the high proportion using organic fertilisers, one-third had enriched these organic fertilisers. While use of fertilisers did not vary

across male- and female-headed households, enrichment was more common for male-headed households.

- Given that almost all households state that they apply one or more organic fertilisers, the fertiliser indicator might be best shifted to biological improvements to these fertilisers before application.
- **Impact Indicator 4: Economic empowerment of women.** Evidence for FLLC suggests that husbands and wives as well as male and female heads were equally reached, but that women were less likely to be engaged in the FLLC process. Further, while spouses in male-headed households were equally likely as male heads to be listed on the certificate, when asked about decision-making, spouses were less likely to be identified as decision-makers for these parcels.
- Both women and men are noted as sharing control over parcels for married couples, while household heads were commonly noted as holders in cases where the head was unmarried.
- Male- and female-headed households did not vary across a number of measures associated with assets, socio-economic status, land practices and livelihoods. Male-headed households tended to have greater labour availability and a higher median number of parcels.
- **Outcome Indicator 1: Number of rural households and people that have strengthened security of tenure as a result of SLLC.** The deepened logframe noted that there was an average of 2.3 parcels per household, but the survey has found higher numbers. The median value was 3, while the mean was 3.68 for the LIFT Programme area. Total parcel holdings were small, with one-third holding less than one hectare, an additional one-third holding 1-1.99ha, and most of the remainder holding 2-2.99ha. Only 6.6% of households in the LIFT Programme area held 5 or more hectares of land.
- Levels of concern about loss to a family member, a renter, a neighbour, or a business were low. Some 5% were concerned about loss to state or federal authorities. Despite low levels of perceived risk, there was strong agreement that certification would be a useful mechanism to reduce risk.
- Boundary disputes may intensify as SLLC implementation proceeds, as it appears that there are disagreements regarding boundary lines among neighbours.
- The deepened logframe assumes that 70% of FLLC parcels have lost benefits of certification due to the lack of updating information. In reviewing the results of data on needed changes and what was done when changes were needed, it appears that the 70% figure is well at odds with what is happening in the field. Under 10% would appear to have needed to make any alterations, and a large minority of these have been able to take their certificates to a local authority for adaptation. Furthermore, perceptions of utility of FLLC are quite high, and disillusionment with FLLC would appear to be low.
- **Outcome Indicator 2: Number of rural households that benefit from increased income.** Findings reflect narrow livelihoods highly dependent on on-farm production. Household members heavily invest time and energy into staple crops, but household income came from both staple crops and non-food crop sales. As noted under 'diversity of income' above, over one-quarter of all households derive their entire income from a single source, and most of the remainder are highly dependent on 1-2 sources.
- **Outcome Indicator 3: % of rural households where women have equal rights over land as male members.** Evidence for FLLC suggest that husbands and wives as well as male and female heads were equally reached, but that women were less likely to be engaged in the FLLC process. Further, spouses of male heads were often not considered to be decision-makers for parcels, even when they appeared on certificates.
- **Outcome Indicator 4: Increase in the proportion of farmers who are using organic fertilisers.** Use of a range of organic fertilisers was common across all regional states, with 90% being obtained from on-farm animal waste and crop residue along with other compost items.
- Of the high proportion using organic fertilisers, one-third had enriched these organic fertilisers. While use of fertilisers did not vary across male- and female-headed households, enrichment was more common for male-headed households. Given that almost all households state that they apply one or more organic fertilisers, the fertiliser indicator might be best shifted to biological improvements to these fertilisers before application.
- **Output 1.2: Cumulative number of parcels supported by LIFT for demarcation, certificates issues, certificates collected.** The deepened LIFT logframe noted that there was an average of 2.3 parcels per household, but the survey has found far higher numbers in all regional states except SNNP. The median in the LIFT Programme area is 3 directly held, with the mean at 3.68. This means that the number of parcels affected by the LIFT Programme should be significantly higher, but that the number of households

reached will be lower. It should also be remembered that renting and sharecropping often occurs at sub-parcel (plot) level.

- In addition, findings indicate that FLLC certification has not been as widespread as expected. The reasons for this unexpectedly low reach are not certain but warrant further consideration by LIFT to avoid similar problems.
- Three-quarters of all households had been reached with FLLC, but some of those reached had not collected their certificates (often because they went and found they were not available), and some of those who had collected their certificates had not retained them. Overall, only half of all households were holding first level land certificates. The reasons why households were not holding certificates are uncertain, but three points are relevant for LIFT: 1) a significant number of households had been missed by the FLLC process; 2) some of the households that had been reached with FLLC had gone to collect their certificates but were told that they were not available, highlighting the importance of timely availability; and 3) not all households that had received their certificates had retained them, despite noting that they were of value, highlighting the importance of certificate utility in encouraging retention of the FLLC certificates
- **Output 1.3: Number of households and individuals named on at least one certificate through the SLLC process.** As noted above, beyond household-heads and spouses, other names did not normally appear on the FLLC.
- Furthermore, in the deepening of the logframe regarding Output 1.3, the ratio of men to women for appearance on certificates is estimated at 70% for males and 30% for females. Findings from the baseline survey would suggest that FLLC yielded closer to a 50:50 split. This indicator may need to change to engagement in the SLLC process, as with FLLC the process was more male-focused. Where the split is closer to 70:30 is *decision-making authority* over these parcels, and that needs attention.
- MHHs have more parcels than FHHs, at 4 compared to 3 (median values), but this is specifically due to MHHs being more likely to be renting in or sharecropping in parcels. Excluding these properties, and the median values are the same, at 3 for MHHs and FHHs.
- **Output Indicator 2.1**: Number of land transactions (disaggregated by gender) recorded in the improved land registers FLLC had taken place between a few years and a decade before the survey took place. Despite this, only 4% of all FLLC certificates had been altered or corrected, although it would appear that up to 15% should have been altered based on the number of situations where changes were made on parcels that should have been taken to an authority to alter the FLLC.
- **Output Indicator 2.2 - Percentage of rural households satisfied with land administration services in certified woredas.** A majority of those with FLLC were satisfied both with land administration services and how they had been treated during the FLLC process. While a small minority of households had interacted with land authorities beyond FLLC, those who had were also satisfied.
- **Output Indicator 2.3 - Queries per year received on rural land information database as % of total parcels on database.** Most attempts to secure information on land availability from the formal system were done locally, through the Kebele Land Administration Committee. Other questions in the questionnaire found that there was a high level of trust in these authorities.
- **Output Indicator 3.1 - Cumulative additional number of rural households accessing finance by using second stage certificates in certified woreda.** Findings highlight low levels of access to credit services and constraints affecting increased update, but a likelihood that expanded access to credit would mean greater on-farm investments. Some 10% of those engaged in irrigation accessed credit to do so, or 1.3% of all households. Credit use was also low for other investments. Nevertheless, there were a number of households with at least one member who was involved in a saving and credit group, suggesting there may be room for expansion of credit services in this regard.
- **Output Indicator 3.2 - Cumulative additional percentage of rural households renting out their land in certified woredas that receive second level land certification.** The percentage of all plots directly held and used by households was 84.7% in the LIFT Programme area. Land directly held and rented out only applied to 1% of plots, while 3.5% was held and sharecropped out. Land rented in comprised 3% of all plots, while sharecropping in was more common, at 7.8%. Renting property out was most commonly to non-family members, at over 80% of all rentals. Renting out was largely driven by the urgent need for income.

- While renting in only affects a very small number of MHHs and FHHs, MHHs appear to rent in higher numbers of parcels, with the result that the mean number of parcels grows in particular for MHHs when renting in is included.
- There was high agreement with attitudinal scale statements suggesting that SLLC would help increase rental activities.
- Information on rental opportunities was quite localised and often word-of-mouth, with few formal systems and little engagement with land authorities to explore land rental opportunities.
- **Output Indicator 4.2: Rural households involved in land-related disputes**. In the LIFT Programme area, 10.4% of all households had been affected by at least one land dispute in the two years before the survey. Disputes did not vary greatly between male- and female-headed households, at 12% for female-headed households and 10.1% for male-headed households in the LIFT Programme area. Disputes were most common in Tigray regional state, followed by Oromia, and was lowest in SNNP

Introduction

This report presents findings from the 2015 LIFT Programme Baseline Survey. The main objectives of the report are to: 1) inform LIFT Programme implementation; 2) populate the LIFT Programme Logframe, risk matrix and value for money matrix as required; and 3) to triangulate programme monitoring data. The report has been prepared by the M&E Advisor, working with the M&E Manager, from the Internal Technical Service Provider (ITSP) that is implementing the LIFT Programme.

This report complements a second report, prepared by the External Evaluation Technical Services Provider (EETSP), meant to inform external evaluation over time, and to help populate the Theory of Change (ToC). The ITSP and EETSP worked as a single team in the implementation of the baseline survey.

This ITSP Baseline Report also complements LIFT Programme monitoring activities that help inform the Logframe.

Overview of the LIFT Programme

The objective of the LIFT programme is to improve the incomes of the rural poor and to enhance economic growth, through SLLC, improved rural land administration, cross-cutting policy reviews in line with international good practice and human rights obligations, and development of the rural sector to enhance productivity and investment.

LIFT will be implemented in a stepped approach, with 3 million parcels certified up to the mid-term review in late 2017. After the completion of the mid-term review, experience and evidence at this point will inform whether a further 5 million parcels will be certified at a total cost of £45 million, or whether a scaled-up trajectory of 11 million further parcels at a cost of £65.4 million will be pursued. Complementary interventions will be implemented to ensure that the benefits of SLLC and RLAS are maximised through a Making Markets Work for the Poor (M4P) approach. The third component of the programme will support the Government of Ethiopia (GoE) in reviewing existing proclamations and regulations to improve security of tenure for communal land holdings, pastoralists and customary land use and the transparency of land allocation, in line with international good practice and human rights obligations.

The results expected of LIFT in the maximum investment scenario (£65.4 million), attributable to DFID, include:

- Second stage certification of up to 14 million parcels[1] in approximately 140 woredas[2] for an estimated 6.1 million households (around 70% of parcels being jointly or individually owned by women), contributing to the DFID global result on access to land/property rights;
- Land administration systems implemented in the same 140 woredas;
- An increase of 13% in the number of land rental agreements particularly benefiting female headed households;
- Up to 1.36 million smallholder farmers' incomes increasing by at least 20.5% as a result of programme activities, contributing to this headline result in DFID E's Operation Plan;[3]
- A reduction in the percentage of households involved in land-related disputes from 21.1% to 15%;
- A total of 40 regulations, strategies, procedures and plans at different levels drafted and approved to improve the functioning of the rural land sector's productivity and investment; and,
- 25 research and evidence-based assessments, action plans and progress assessments produced to allow the GoE to make informed decisions on land governance.
- Ethiopia's domestic resource mobilisation enhanced through an increased rural tax base and more effective land tax system.
- Mechanisms developed that will allow GoE to provide formal land tenure security to customary and communal land use rights holders.
- Land governance systems are aligned with international good practice[4] and human rights obligations.

1 A parcel is a defined area of land, of no particular size, with defined boundaries, held by a landholder and bordered by others held by other or the same landholder. A landholder may own more than one parcel. The average rural parcel size is 0.63 hectare.
2 A woreda is the main unit of local government, equivalent elsewhere to district.
3 LIFT will contribute to this pillar, with first impact in the last year of the plan – 2014/15. Other programmes such as PEPE will also contribute to this pillar.
4 E.g. the Framework and Guidelines on Land Policy of the African Union and the Food and Agriculture Organisation's Voluntary Guidelines on Land Tenure

- The achievement of these expected results will be monitored through a robust monitoring and evaluation (M&E) system including independent annual, mid-term and end of programme reviews, which will inform decisions as to whether the programme spend size should go to the upper limit of £67.3 million or not.
- The sustainability of the programme's impact will be safeguarded through strengthened institutions, increased awareness of rights and upward pressure from beneficiaries. Interventions in the rural land sector are aimed at catalysing change for longer term impact. This will be verified by the independent impact assessment planned five years after the programme has been completed.

Overview of Survey Approach

Introduction

For purposes of brevity, this sub-section covers the overall approach to the survey.

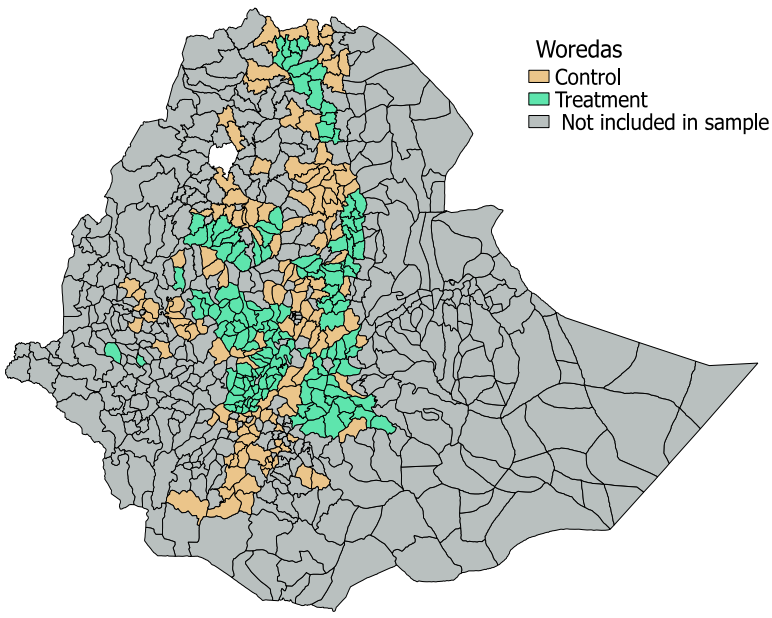
Approach

The approach comprised the development and administration of a single highly-structured quantitative questionnaire covering both treatment and control locations. Design activities began with the ITSP and extended to the EETSP prior to implementation. Extended meetings were held within the LIFT Programme team and between the ITSP and EETSP teams as the process continued. This was followed by extended ITSP and EETSP team engagement in field officer training, questionnaire piloting and revision involving a range of team members. Altogether the questionnaire went through 34 versions, including versions prepared based on training, pre-testing and piloting.

The sampling procedure comprised a probability proportion to population approach based on the most recent census, with the sample frame initially comprising the LIFT Programme area, and randomly sampled clusters within the Programme area. Control locations falling outside of the LIFT Programme area were matched by the statistical advisor for the EETSP and confirmed within the EETSP team after repeated reviews. An equal number of interviews were conducted in each grouping (treatment and control)[5]. Findings from the baseline survey highlight strong similarities between treatment and control locations across almost all variables in the study.

The selected *woredas* (districts) are included in the following figure:

Figure 1: Population Map for Survey (Treatment and Control)



Of the 140 LIFT Programme *woredas*, 132 formed the treatment area population for sampling purposes. The reason was that the LIFT Programme had already started implementation in these locations, and therefore could not be treated as part of the baseline.

5 One interview was missed in a treatment location, giving a total of 7199 interviews, of which 3599 were conducted in treatment locations, and 3600 of which were conducted in control locations.

The ITSP and EETSP integrated field teams worked across treatment and control locations. Joint training took place, and field teams comprising four enumerators and one supervisor, supported by a driver, conducted the field surveys. These teams were supervised by field managers and quality control officers.

Data entry took place using CSPro and was centred in Addis Ababa. All questionnaires were double entered, with data entry oversight by a Data Manager, and final data cleaning conducted by two data officers (one from the ITSP and one from the EETSP), and verification by an external data verification agency under the purview of the EETSP.

The level of co-operation among survey respondents was high, with 85% of respondents in all locations being rated as 'highly' co-operative, and virtually all the rest rated as 'medium' co-operative.

Analysis was conducted by both the ITSP and the EETSP. The former focused on the relevance of findings to inform LIFT Programme implementation and the LIFT Programme logframe, while the latter focused on the needs of external evaluation and evidencing the Theory of Change (ToC). Two reports are therefore issued for the baseline survey.

Programme Considerations: Context and Description of the Population

Demographic and Socio-Economic Findings

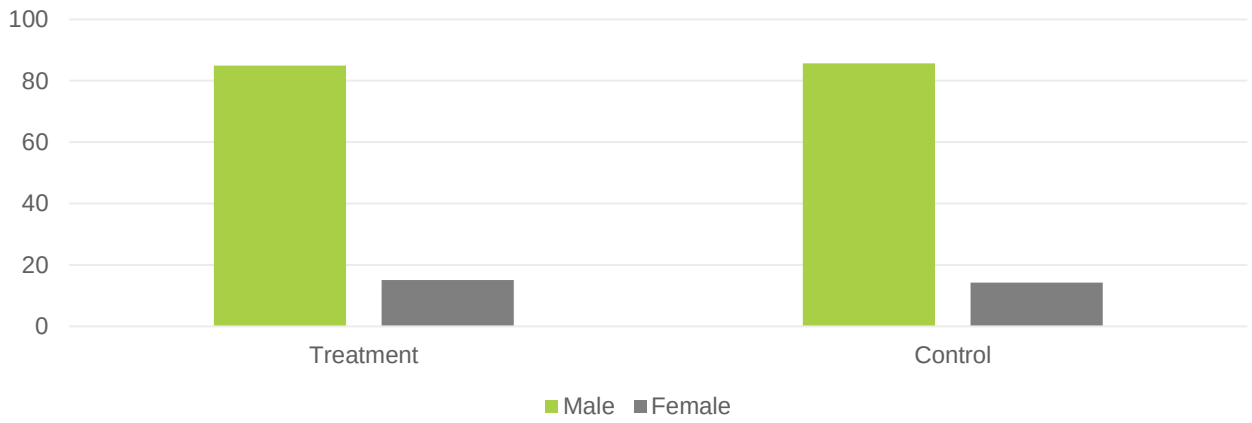
Introduction

This chapter presents findings from the survey describing the population. This includes gender of household head, household composition, marital status, and education in terms of demographic issues, while socio-economic status includes income, livelihoods and assets.

Gender of Household Head

Gender of household head is indicated in the following figure. Female heads were either self-identified as head of the household or were acting in cases where a male head was absent at least six months continuous over the year before the survey.

Figure 2: Gender of Household Head



Just over 85% of all households were headed by males, and just under 15% were headed by females. Female heads were asked how they had become head of the household. Two-thirds had become heads when their husband died, and an additional 17% had become head through divorce or, less commonly, separation. Most female heads had been household heads for long periods of time, with the median at more than ten years.

Female-headed households were more common in Tigray and SNNP regional states, at 22.1% and 20.8% (respectively) of all households in treatment locations, with the figure for the remaining two regional states much lower at 11.2% (Amhara) and Oromia (13.2%) (treatment -- chi-square significant at the .1 level; 47.740, p=.000; control -- 49.317, p=.000).

Females acting as household heads due to the absence of their husbands only applied to 7% of all female-headed households. This means that only 1% of all households were headed by a female because of the absence of the husband.

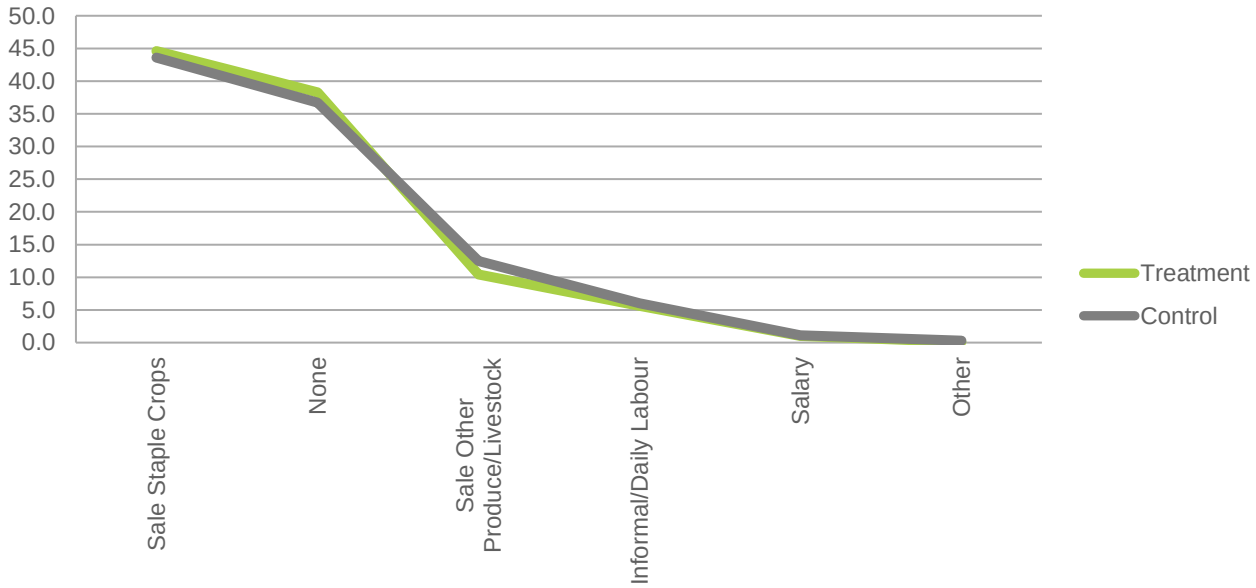
Demographic Composition of the Household

The median number of household members was three, with the majority of households having between two and five members. Only 20% had six or more members. Just over 2% of adult household members were in a polygamous marriage. Over half of all household members were aged 0-17, with 10% under the age of five. Only 5% were aged over 55. Males comprised just over 51% of all household members. Virtually all household members over the age of six had attended at least some schooling. Female headed households were largely comprised of single women, at almost 90%, with only 12% married.

Income and Livelihoods

The main source of cash income for household members is summarised in the following figure:

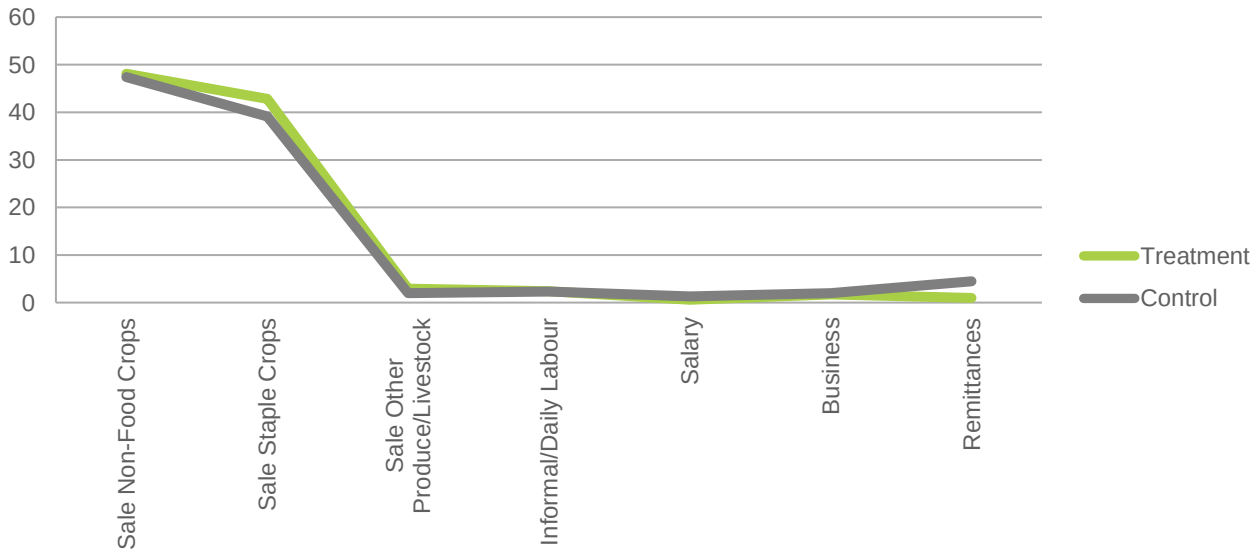
Figure 3: Main Source of Cash Income for All Household Members



The majority of adult household members either did not contribute to the household's income ('none' in the figure) and instead fulfilled other roles or were unable to contribute or were involved in the production and sales of staple crops. Salaried employment was rare, at 1%. Findings were similar for male- and female-headed households.

Later in the questionnaire the main source of household-level income (as opposed to household members engaged in income-related activities) was considered. Findings on the main source of cash income are indicated in the following figure:

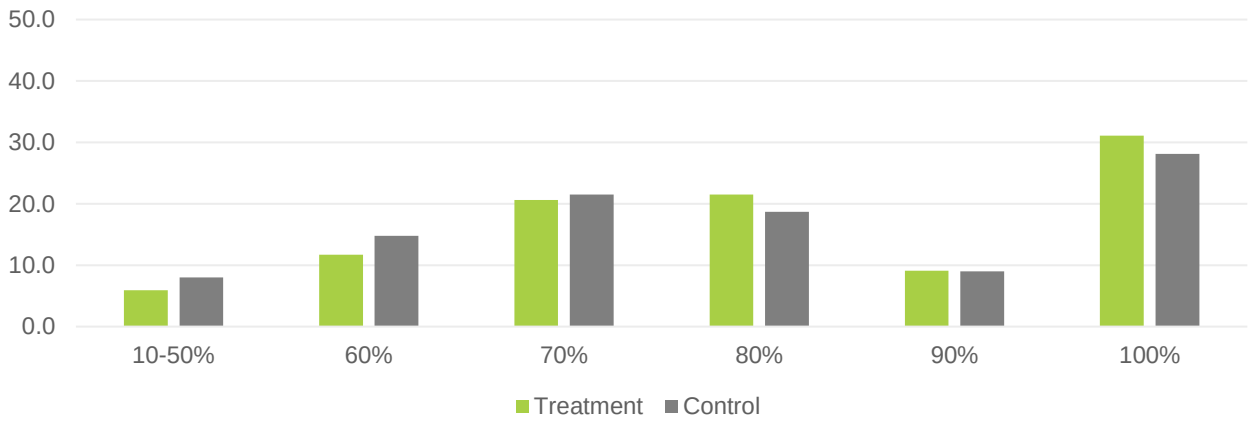
Figure 4: Household-Level Main Source of Cash Income



Cash income from non-food crops was as important as income from food crops. Few households reported other sources of income as their main source. Findings highlight the importance of non-food crops as well as food crops as income sources. As noted above, one-third of all households did not have another source of income beyond this main source. For those who did have a second source of income, food crop sales were mentioned by one-quarter, followed by production and sales of livestock and livestock products. Business was mentioned by only 10%, almost all informal businesses, while 8% indicated remittances.

The relative narrowness of household income strategies is highlighted in findings from an exercise where respondents were asked to allocate a number of stones based on the importance of their main source of income. The higher the percentages in the right-hand columns, the less diversified the income base.

Figure 5: Diversity of Income



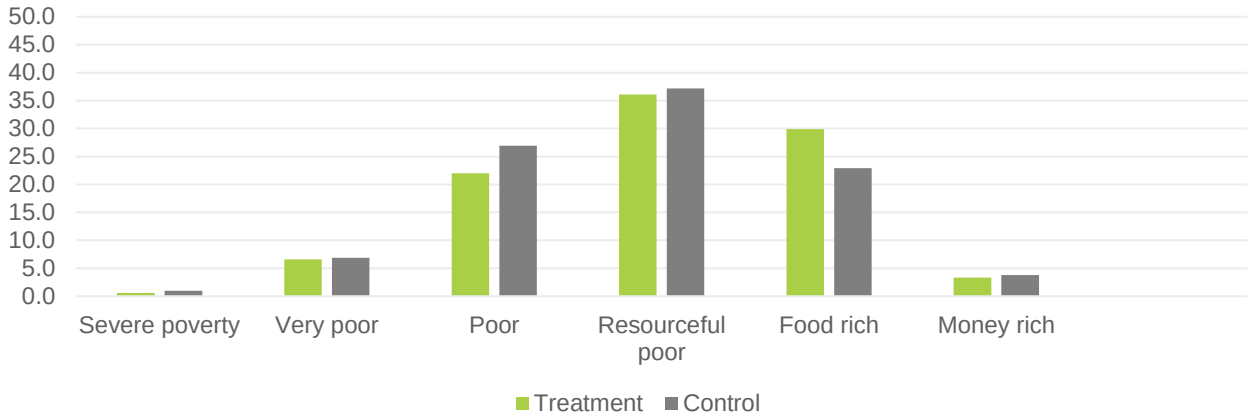
Findings reflect the fact that some one-third of all households relied on a single source for cash income. Most of the remainder relied on the main source of cash income for over half of their household's total income. Income diversification was higher for SNNP than the other regional states and did not vary significant across the other three regional states (treatment -- chi-square significant at the .1 level, 121.143, p=.000; control -- chi-square significant at the .1 level, 132.142, p=.000). Similarly, female-headed households had slightly narrower livelihood sources than male-headed households (treatment -- chi-square significant at the .1 level, 16.112, p=.007; control -- chi-square significant at the .1 level, 10.903, p=.053).

Poverty Ranking

At the end of the interview respondents were asked to classify households into different poverty categories. These categories were agreed based on expert input during training, and inter-coder reliability was established during training. 'Severe poverty' and 'very poor' meant that households were unable to meet even basic requirements, with the former implying destitution. 'Poor' meant that households had little investible resources. 'Resourceful poor', on the other hand, meant that while the household was poor, there were opportunities for growth. 'Food rich' and 'money rich' meant households that had security either through own production, or through income, respectively.

Findings are summarised in the following figure:

Figure 6: Enumerator Ranking of Household Poverty Status



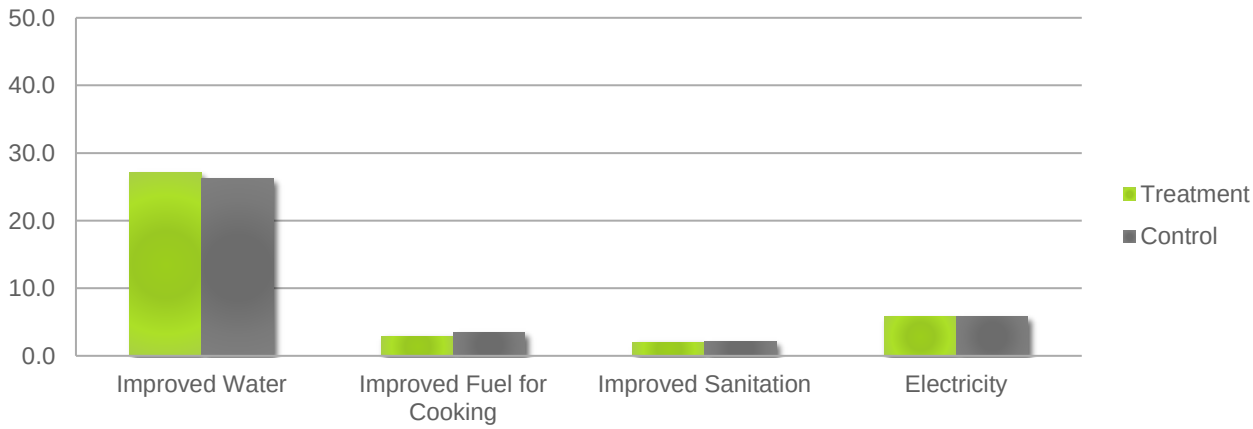
The majority of households were noted as having at least some resources for investment, or sufficient to meet basic needs. Less than 10% of all households were rated as too poor to meet basic needs. 'Money rich' were uncommon, perhaps not surprising given the low number of households with regular cash income from salaries.

Female-headed households were significantly more likely to be classified as poor, and less likely to be classified as rich, compared to male-headed households (treatment -- chi-square significant at the .1 level, 118,706, p=.000; control -- chi-square significant at the .1 level; 77.211, p=.000). Households in SNNP were more likely to have been classified as 'poor' or 'very poor' compared to the other regional states in treatment locations (chi-square significant at the .1 level; 246079, p=.000), holding as well for households in SNNP and Amhara compared to the other two regional states in control locations (chi-square significant at the .1 level; 152.226, p=.000).

Assets

A number of questions were asked about assets, including housing as well as disposable assets. Findings for key assets are included in the following figure:

Figure 7: Access to Key Services (including those that require investment by household)

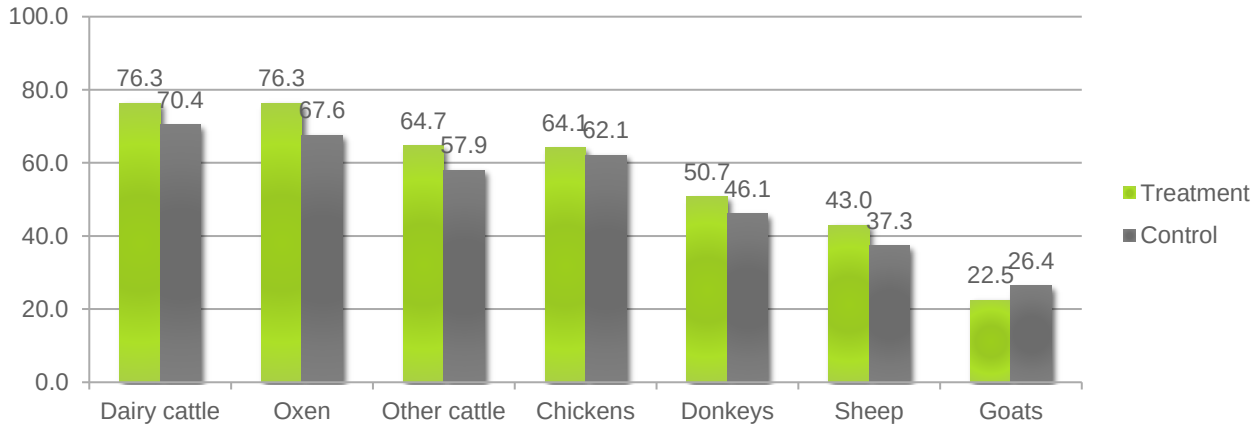


'Improved water' meant water that came from a source likely to be clean and requiring investment in infrastructure. 'Improved sanitation' meant improved pit latrines or waterborne sanitation.

Access to key services was very low across both treatment and control locations. Even improved water resources only reached one-quarter of all households, and improved sanitation was at 2%. There was little variation across male- and female-headed households.

Ownership of productive as well as consumable animal assets are summarised in the following figure:

Figure 8: Animal Assets

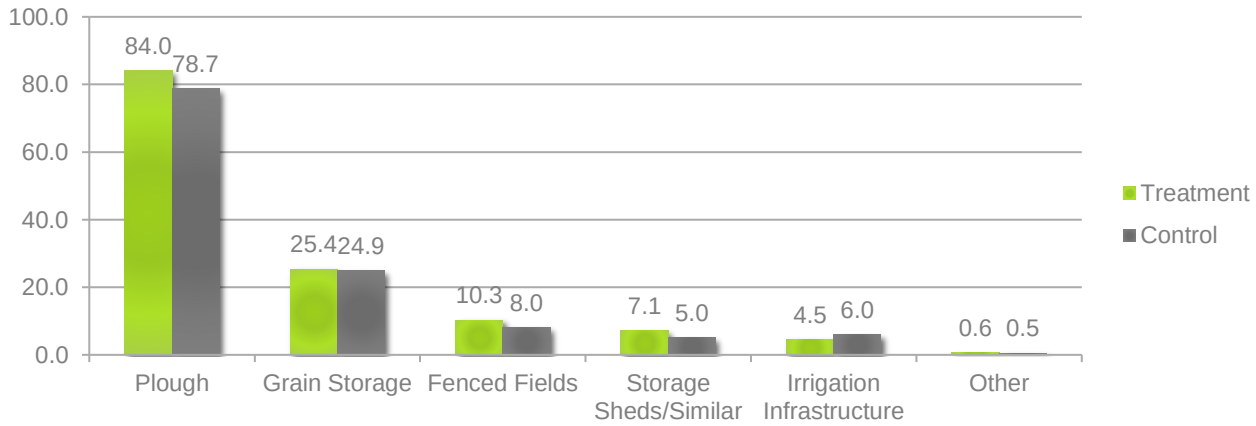


Most families owned a range of animals. Cattle and oxen ownership were especially high. Most oxen-owning households owned two or fewer oxen, also holdings for dairy cattle (two or fewer) and other cattle (ten or fewer). Goat and sheep herds were also relatively small, with almost all herds smaller than twenty animals; the same held true for chickens.

Male-headed households were significantly more likely to hold major livestock (cattle, oxen) than female-headed households, particularly for oxen (for oxen, for treatment locations chi-square significant at the .1 level, 171.074, p=.000; for control locations chi-square significant at the .1 level, 145.563, p=.000). Oxen holdings did not covary with parcel size, with t-tests insignificant at the .1 level for both treatment (.414) and control (.508) locations.

Productive assets used for agriculture were also measured. Key assets in this regard are indicated in the following figure:

Figure 9: Productive Assets for Use in Agriculture

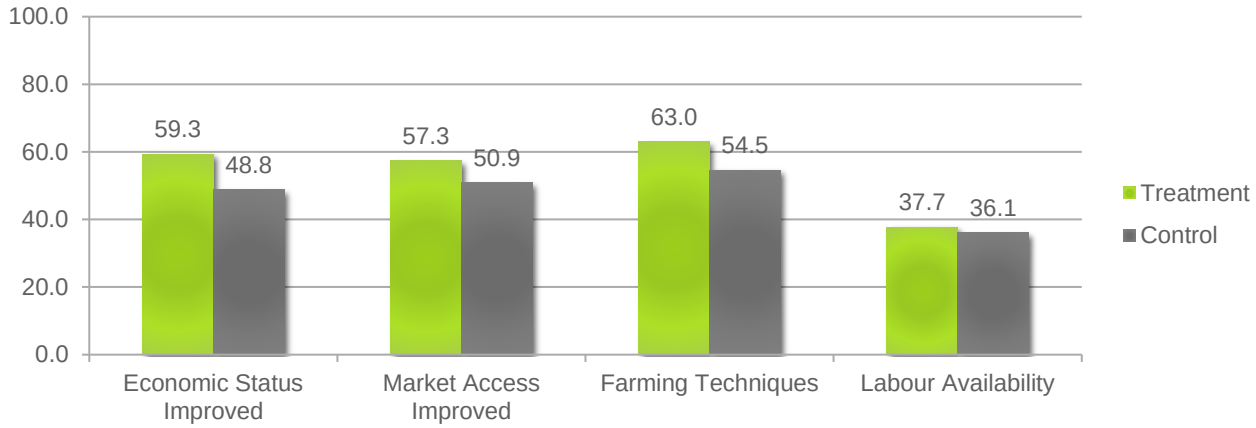


Households owned few productive assets, save ploughs. The hiring of assets for agriculture was also uncommon, where only some 7% hired oxen, 1% hired tractors, and some 0.1% hired planters or balers.

Economic Trends and Shocks

Respondents were asked to indicate trends in their economic situation, covering overall economic status, access to markets, farming techniques, and labour availability. Findings indicating those who said that the situation had improved are indicated in the following figure:

Figure 10: Trends



The majority of households argued that one or more aspects of their economic lives had improved over the past two years.

Social Capital

To establish the extent to which households were linked to others in local family, kinship and neighbour networks, respondents were asked questions about family members and community structure. Key findings were as follows:

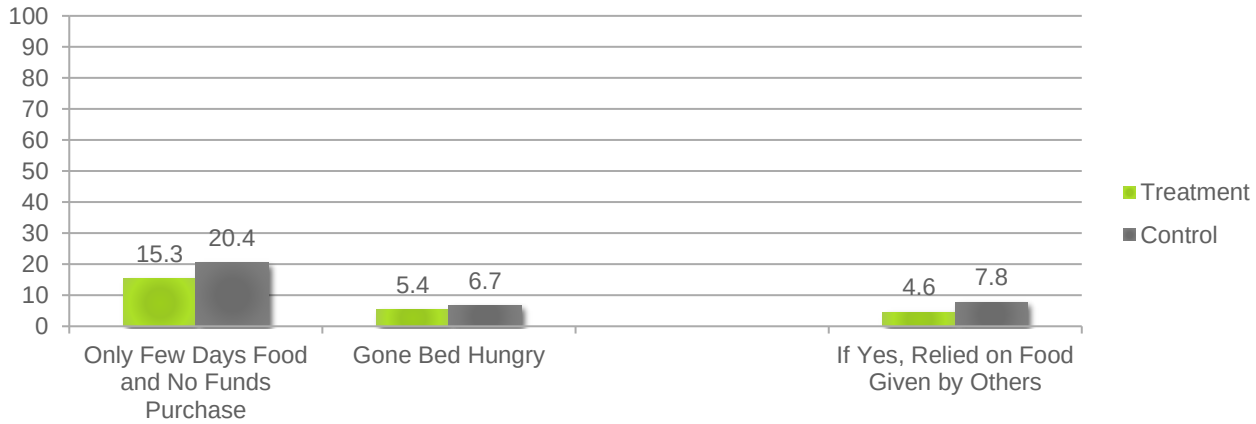
- Three-quarters of respondents argued that the 'sense of community' in their area was 'very strong', while almost all the remainder noted that it was 'somewhat strong'.
- Similar percentages noted that neighbours 'knew each other well'.
- Over 85% of households noted that there were members of their birth family nearby, and most interacted with them daily or weekly. A lower one-half noted that, if they had problems and needed outside assistance, they could 'always' rely on their birth family members. Most of the rest argued that they could 'sometimes' rely on them, and under 10% argued that they could 'never' rely on them.
- Levels of dispute did not vary across levels of community cohesion.

Findings overall suggest strong local networks, holding across all regional states (see Anna A, Table A84).

Food Security Status

Respondents were asked a number of questions designed to collect information on levels of food security and any patterns of food insecurity. Key findings are included in the following figure:

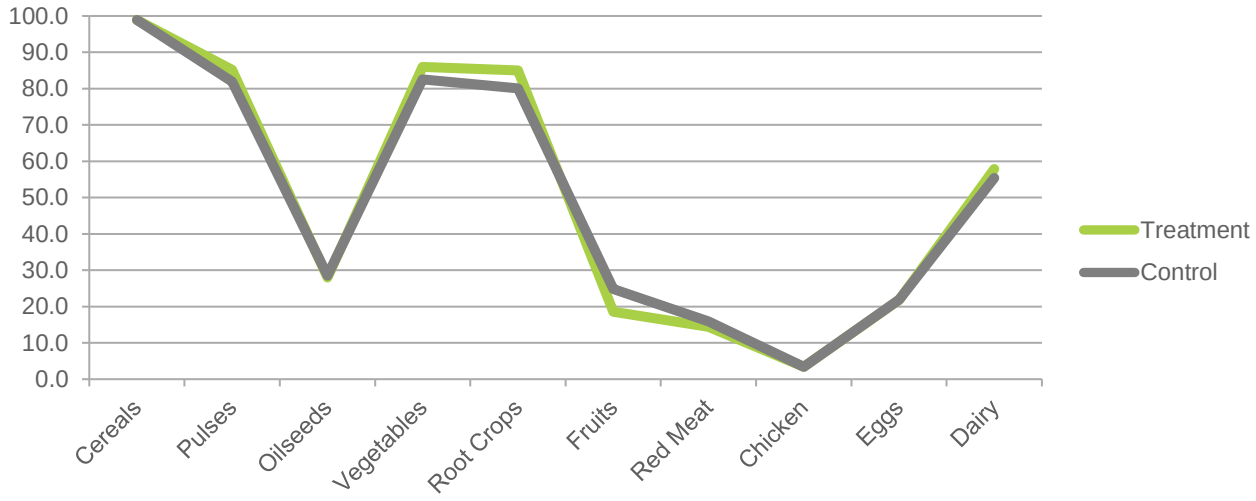
Figure 11: Measures of Food Insecurity (in the month before the survey)



Some 5.4% of all households were affected by short-term food shortages, and a portion of these had had at least one member who had gone to bed hungry because there was not enough food. For many of these, they relied on food given by non-household members. When asked whether this had happened in the month before the survey, almost 60% said yes. For those households where someone had relied on food given by others, 1.2% were in households where food had to be given every day for the entire month before the survey.

Types of foods consumed, broken down into key categories, are summarised in the following figure. The percentage refers to the percent of households that have eaten the type of food on average at least weekly over the month before the survey:

Figure 12: Types of Foods Consumed



Survey included time in the month prior to the beginning of the fasting season but may nevertheless systematically underestimate consumption of red meat and chicken.

Findings highlight consumption of a range of cereals and vegetables, as well as eggs and dairy products, among a majority of households, and low levels of meat consumption.

Findings of Relevance to LIFT Programme Implementation

Most households are headed by males. The majority of female-headed households are headed by wives who had lost their husbands or, less commonly, had divorced their husbands. Very few households were 'de facto' female headed, indicating that levels of out-migration of male heads for work who retained their household membership in rural areas was very low. Most findings reflect similarities in terms of these households' demographic and socio-economic status, but as indicated below some differences in terms of land issues. This was particularly the case in terms of labour availability, which has implications for being able to take advantage of on-farm investments.

Households were relatively small, with the median at three, but these households tended to be proximate to other extended family households that remained socially and economically close. Social networks were quite strong locally, with the implication that this helps protect against the impacts of shocks and poverty.

Household economic strategies were narrow, focused on the sale of non-food and staple crops. This low diversity was reflected in the estimate by households that between 70-100% of household income comes from a single source. In such an environment, and where levels of irrigation are low, the failure of rains (as happened in the final months of 2015) can have significant impacts on livelihoods and food security.

Most households held a number of productive and consumable assets but were limited in terms of social infrastructure at household level (e.g., water, sanitation). With narrow sources of income, the ability to build resilience is somewhat limited, but does exist for a majority, as shown in the ranking of household poverty. There were some measures that varied across regional states, with SNNP distinct in a few cases from the other three states. Household economic diversification is higher in SNNP than the other regional states, but still depended on land, where households in SNNP had fewer parcels.

Overall, findings highlight the centrality of land in rural livelihoods, and the value in reducing risk.

Findings of Relevance to LIFT Programme Logframe

Impact 1: Poverty headcount ratio at rural poverty line. Most households were classified as poor, but of these, over half were felt to have access to sufficient resources to protect themselves from shocks and build stronger livelihoods. Households in SNNP were rated as poorest. Less than 10% were classified as 'severely poor' or 'very poor'. Animal assets were quite diverse, with many households holding dairy cattle, oxen, other cattle, chickens, and to a lesser extent donkeys, sheep and goats. Kinship and social networks in most of the

communities where interviews were conducted were noted to be strong and may allow greater risk taking associated with things like credit, irrigation investments, and other on-farm investments.

Outcome 2: Number of rural households that benefit from increased income. Findings reflect narrow livelihoods highly dependent on on-farm production. Household members heavily invest time and energy into staple crops, but household income came from both staple crops and non-food crop sales. As noted under 'diversity of income' above, over one-quarter of all households derive their entire income from a single source, and most of the remainder are highly dependent on 1-2 sources. Less than 10% of all households had income diversity to the extent that they relied on their main source of income for half of all household income.

Access to and Use of Credit

Introduction

Improved access to credit is felt to be a key catalyst for on-farm investments, livelihood diversification, and poverty reduction linked to SLLC through M4P interventions. For this reason, a series of questions were asked about access to credit.

Savings and Banking Services

Respondents were asked whether any household members had any savings or checking accounts, or other means of savings in an institution. Findings are indicated in the following figure:

Figure 13: Access to Accounts

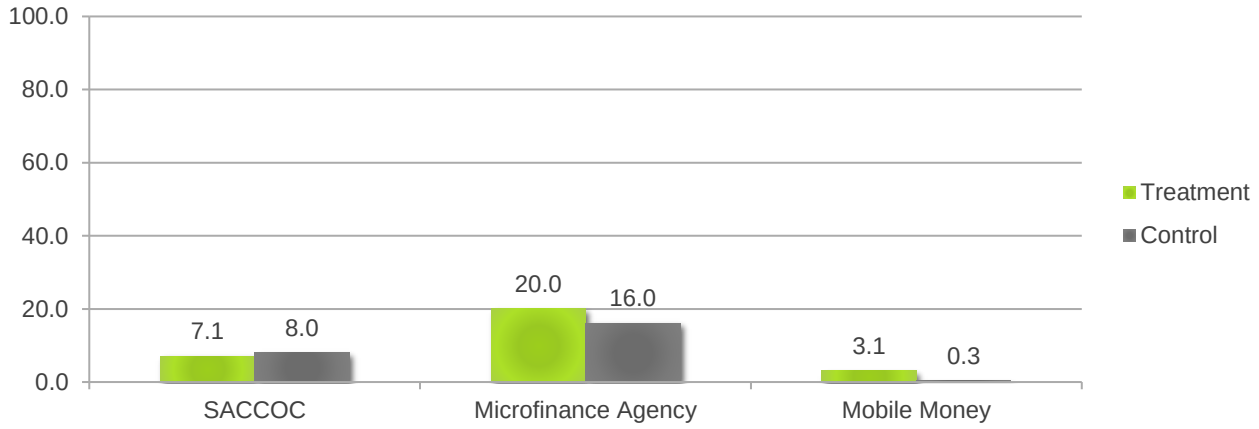
Access to banking services was very low, and even membership in savings and credit groups only covered one-in-five households.

Formal banking services were rare in the area, with only 0.4% of households having at least one member securing credit from a formal bank. Access to formal loans from banks was so low that it was not possible to assess variation across any variables of interest.

Co-operative and Savings and Loan Societies, Micro-Financial Services, and Mobile Money

Access to other sources of credit are summarised in the following figure:

Figure 14: Access to Other Credit Sources



SACCOC refers to a savings and loan co-operative.

Here again access to credit services is low, although one-in-five households in the LIFT Programme area had a member who had secured a loan from a microfinance agency. Of those who secured credit from a co-operative, the majority were able to secure the amount of loan they requested (79%), with the average value ranging from Birr 3,000-6,000. In two-thirds of these cases, the money was used for agricultural purposes. The majority had been able to pay off their received loan, although over one-quarter noted that they had been unable to do so. For those who secured credit from a microfinance agency, over 80% were able to secure the loan in the value requested, with the average value ranging between Birr 4,000-5,000. Here again, most had been able to pay off the loan, although almost one-third could not.

Households in Tigray and Amhara regional states were significantly more likely than households in the remaining two regional states to have secured finance from microfinance agencies (chi-square significant at the .1 level for treatment locations, 69.326, p=.000; control locations, 63.695, p=.000). In treatment locations, 31.1% of all households had secured microfinance credit in Tigray, as did 25.5% in Amhara. This compares to a much lower 13.9% for SNNP, and 17% for Oromia.

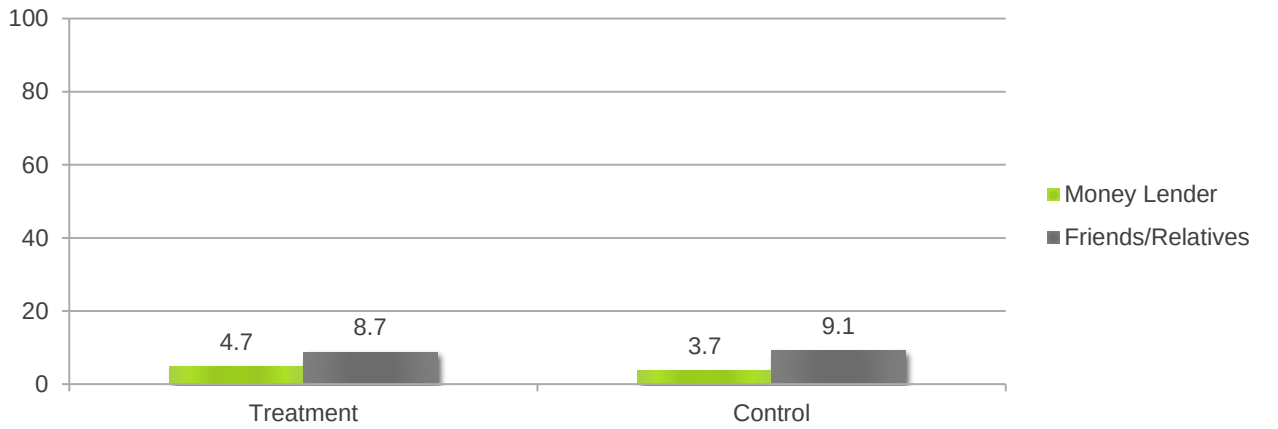
Households that did not apply for a microfinance loan were asked why they had not done so. Over half noted that they did not apply because they were concerned about an inability to pay the loan off, and one-third had not done so because they were unfamiliar with credit systems. Fear of an inability to repay the loans was a particular concern in Amhara regional state.

Access to credit services among female-headed households was lower than for male-headed households. There was little variation across poverty status and access to credit through savings and loan co-operatives.

Credit from Family, Friends and Non-Family Member

Experience with borrowing from family and friends, and from non-family members and money lenders, is summarised in the following figure:

Figure 15: Credit from Family, Friends and Non-Family Sources



Here again access to credit was uncommon, even borrowing from family members. For those who access credit from family members and friends, over 90% were able to secure the desired amount of money. Those who borrowed from family members or non-family money lenders were more likely to have been unable to pay off the loan compared to those who had borrowed from other sources. The value of loans was smaller from family members, ranging from Birr 1000-2000.

Access to credit services did not vary between male- and female-headed households.

Findings of Relevance to LIFT Programme Implementation

Findings indicate that experience with credit is low, that concerns about an inability to pay limits demand for formal services, and that amounts borrowed were larger for formal services compared to borrowing from friends and relatives. Microfinance agencies were most commonly mentioned in terms of sources of finance. Some who had borrowed were unable to repay the loans on time.

As the extent to which credit services are available in rural areas is understood to be constrained, it could well be that there is pent-up demand for these services. But, over half of those who had not applied for microfinance loans did not do so because of fears over an inability to pay or a lack of experience, highlighting the considered efforts required to support demand creation.

Credit was most commonly applied to improving agriculture, suggesting that expanded access to credit should be directly tied to on-farm investment.

Findings of Relevance to LIFT Programme Logframe

Output 3: Improved supporting functions for the rural land market. Indicator 3.1 on accessing finance. Findings highlight low levels of access to credit services and constraints affecting increased update, but a likelihood that expanded access to credit would mean greater on-farm investments.

Agriculture

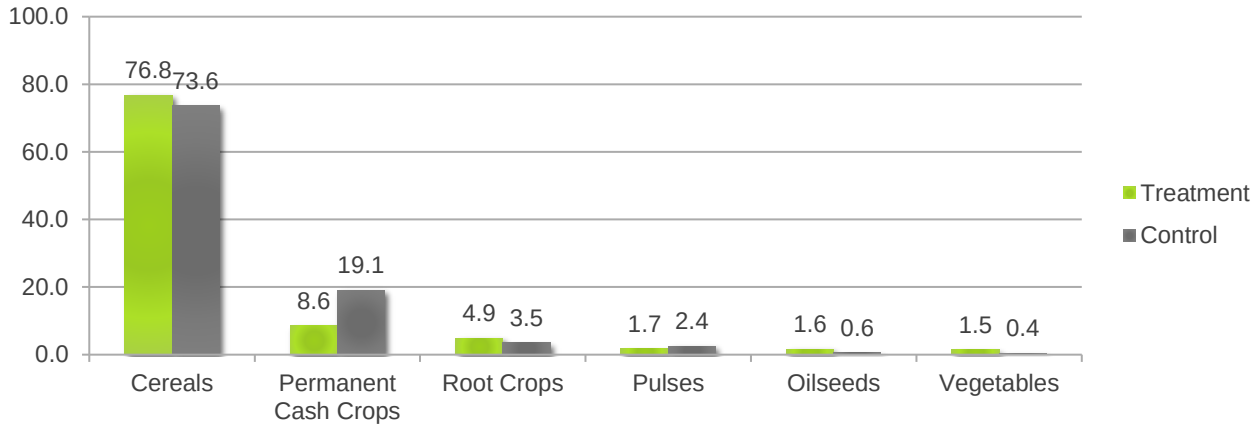
Introduction

This section provides additional information on agriculture and agricultural practices.

Cropping Practices

As noted in an earlier chapter, agricultural production represents the most important income source for almost all households in the survey. For two-thirds of all parcels, agricultural production serves as the main activity. Some 60% of agricultural land was devoted to cereal crops, 12% was devoted to pulses, 7% was allocated to root crops, 10% was allocated to cash crops and fruit, and 4% was allocated to vegetables. The proportion of agricultural land allocated to different crops is summarised in the following figure, showing the proportion that allocation 60% or more of their land to the particular purpose:

Figure 16: Proportion of Households that Allocate 60% or More of Agricultural Land to Each Crop



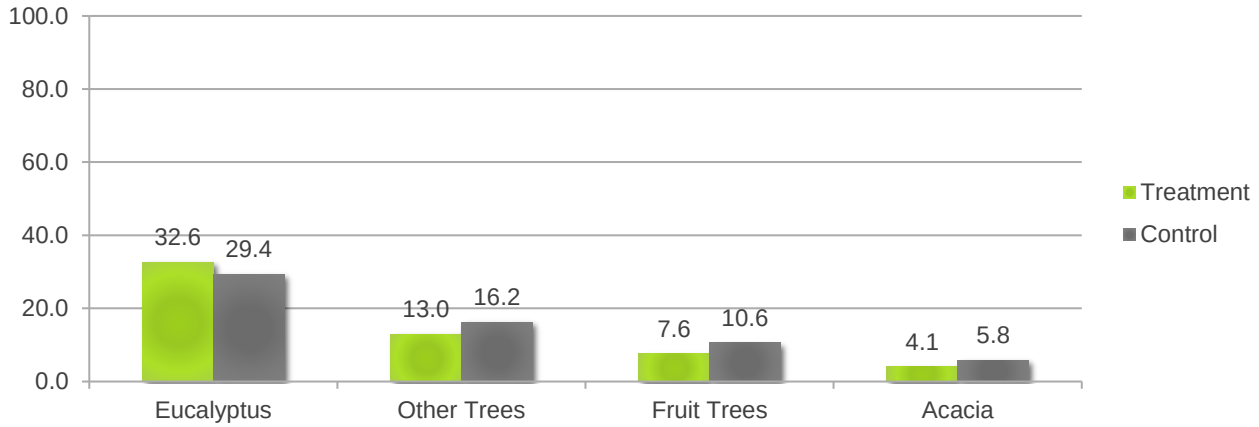
With intercropping, totals add to more than 100%.

Cereal crops dominate as the most important crop, followed by cash crops. As noted earlier, these two crops comprise the two main sources of household income. For the remainder, much of which requires less land area, between 10-20% of land area was used for production.

Trees

Many households planted trees on their parcels, as reflected in the following figure:

Figure 17: Planting Trees (in the two years before the survey)

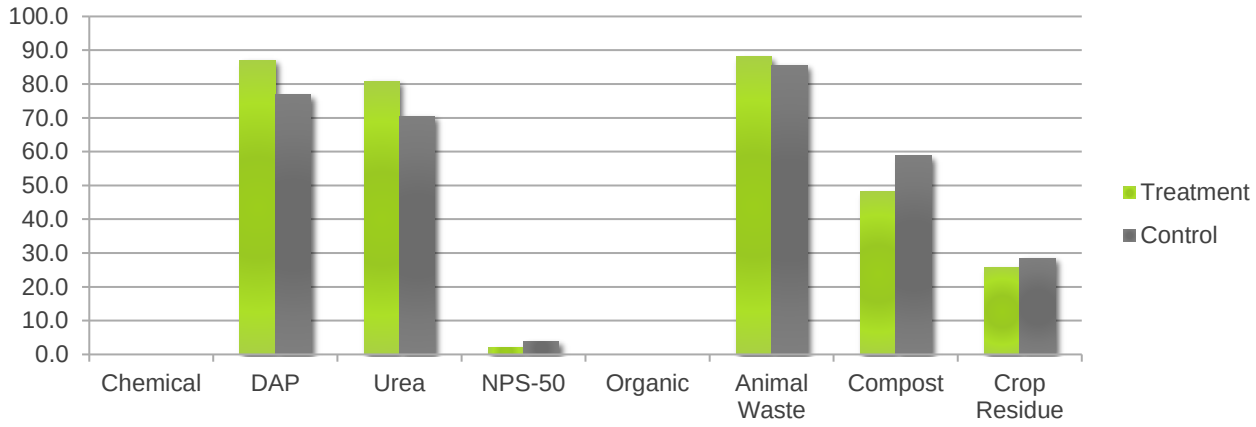


A number of households planted trees, with eucalyptus most commonly mentioned. The number of trees planted was considerable, with almost half planting over 100 eucalyptus trees, and most of the rest planting between 41-100. Half of those who had planted eucalyptus in the past two years had planted eucalyptus prior to this period. For acacia, only a few were planted, with two-thirds planting between 1-10 trees. This was also the case for fruit trees, and for 'other trees'. With the exception of eucalyptus, which male-headed households were more likely to have planted, there was little variation across female- and male-headed households. Planting trees did not covary with parcel size.

Fertilisers

Fertiliser application was widespread across farming households, as indicated in the following figure:

Figure 18: Use of Fertilisers

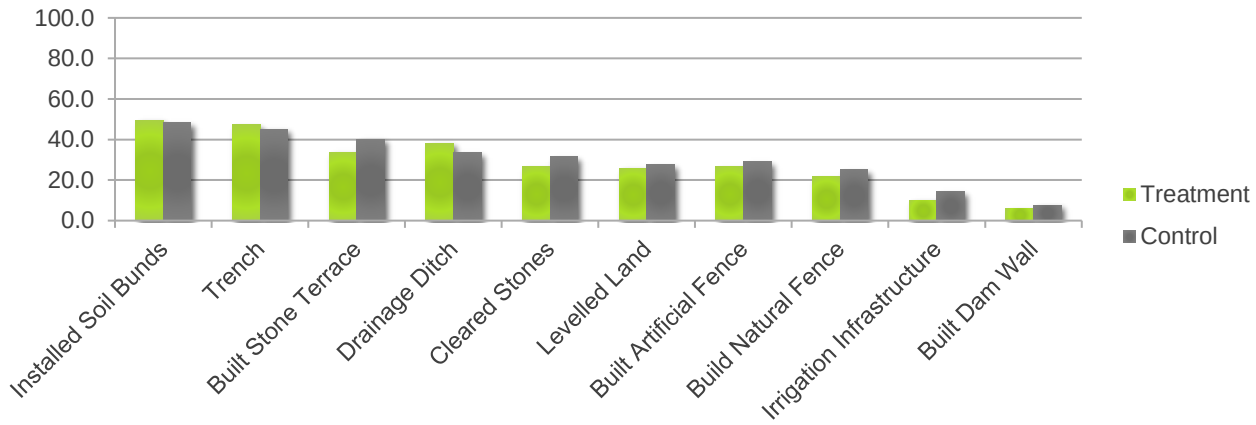


Use of a range of fertilisers was common, with farmers using both chemical and organic fertilisers. For organic fertilisers, some 90% were obtained from on-farm animal waste and crop residue along with other compost items. Of the high proportion using organic fertilisers, one-third had enriched these organic fertilisers. While use of fertilisers did not vary across male- and female-headed households, enrichment was more common for male-headed households.

On-Farm Investments

Respondents were asked to specify various types of on-farm investments in the two years before the survey. Findings are presented in the following figure, ranging from most common practices to least common practices:

Figure 19: On-Farm Investments (in the two years before the survey)



Respondents engaged in a range of on-farm investments in the two years prior to the survey, ranging from activities to expand or improve production, protect arable land, and prevent erosion.

There were a number of practices that were less likely to have been undertaken by female-headed households, often labour-intensive actions such as clearing land of stones, installing soil bunds, building drainage infrastructure, and planting trees and grass strips.

Respondents were asked whether they had altered cropping patterns in any important way in the two years prior to the survey. Half of all households had done so, with male-headed households more likely to have done so than female-headed households. Investments focused on planting higher value crops, efforts to secure higher profits, and investing in improved soil fertility. Of those who had invested in this regard, 15.1% of the LIFT Programme area households had accessed credit to make these investments, with the figure twice as high for male-headed as compared to female-headed households.

Half of all households had used improved seeds in the most recent cropping cycle; the figure was higher for male-headed households than for female-headed households. There was significant variation across regional

states, with use of improved seeds much lower in Tigray than in the other three regional states (chi-square significant at the .1 level for treatment locations, 151.322, p=.000; for control locations, 93.801, p=.000).

Irrigation

Some 13% of all households were involved in irrigating crops across any of their parcels. Almost all of these households secured water from nearby rivers/streams, at 80%. Only 3.5% had installed pipelines. Findings did not vary across male- and female-headed households, but did vary across levels of poverty, with households classified as not poor more likely to be engaged in irrigation (treatment -- chi-square significant at the .1 level, 27.946, p=.000; control -- chi-square significant at the .1 level, 36.072, p=.000).

Investment in irrigation was focused on being able to grow higher value crops, accessing markets that were growing, and securing higher profits. Some 10% of those who were involved in irrigation (or 13% of 10%, giving 1.3% of all households) used credit to build or expand their irrigation. Gravity feed systems predominated, at some 85% of all irrigated plots. By state, irrigation was most common in Amhara state.

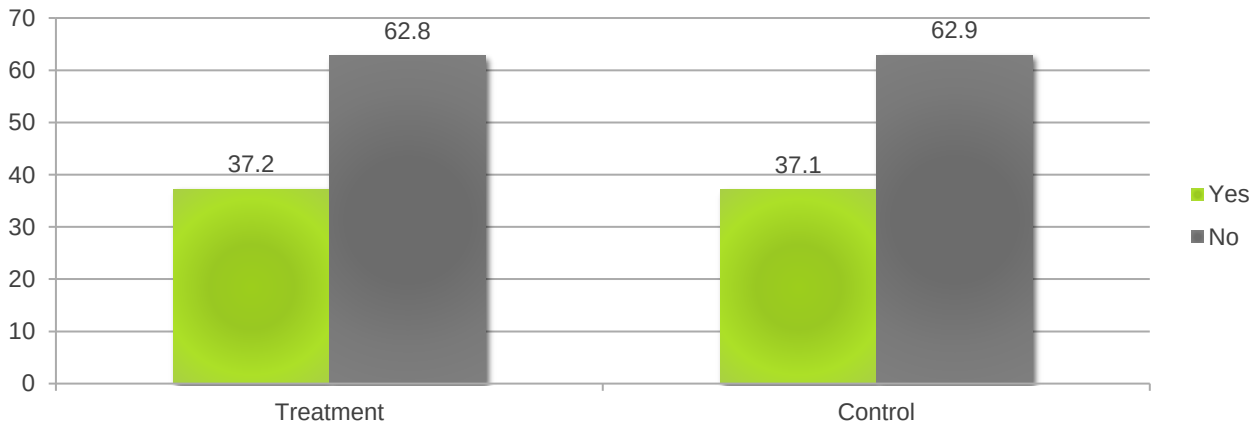
When asked about the main activity on each plot, only 1.4% of LIFT Programme area parcels were primarily set aside for irrigated agriculture. Findings suggest that irrigation is very limited, and likely concentrated on high value crops. Furthermore, only 0.2% of those renting in plots argued that gaining access to irrigation was a reason for renting in, and none of those who sharecropped in mentioned irrigation.

Of the 13% of all households engaged in irrigation, over one-third have had at least one dispute with a neighbour or authority over irrigation, affecting 5.1% of all LIFT Programme area households (and 5.9% for control locations). Most of these disputes were with neighbours rather than authorities.

Agricultural Co-operatives

Respondents were asked whether any household member was involved with an agricultural co-operative. Findings are indicated in the following figure:

Figure 20: Membership in Agricultural Co-operative



One-third of all households had at least one member in an agricultural co-operative. The majority of households had a single member, and this member was usually a male; female membership was one-third that of male membership, and part of the figure on females was due to female household head membership. Membership was most common in Tigray and Amhara regional states, compared to the other two regional states (treatment -- chi-square significant at the .1 level, 229.641, p=.000; control -- chi-square significant at the .1 level, 209.316, p=.000). Membership was least likely for households rated as 'extremely poor', but did not vary significant across all other categories, holding for both treatment and control locations.

Findings of Relevance to LIFT Programme Implementation

Findings reflect considered investment of time and resources in agriculture, from a range of on-farm investments, to planting trees, to applying fertilisers. Almost all households applied fertilisers, using a range of chemical and organic fertilisers. Irrigation is uncommon, and investment in irrigation is limited and rarely involves improved infrastructure. Irrigation is generally focused on high value crops. Accessing credit to improve farming was limited, and few of those who were involved in irrigation accessed credit to build or expand irrigation systems.

Findings suggest that there is a high willingness to invest in agricultural intensification and practices designed to expand yields and improve incomes, but that this is currently constrained due to limited access to external financial support.

Findings of Relevance to LIFT Programme Logframe

Impact 2: Agricultural production - major food crops. A total of 13% of all farming households were involved in irrigated agriculture, the majority of which did not use improved infrastructure to do so, instead employing gravity feed systems and dirt canals. Irrigation access was not a motivating factor in renting in and sharecropping in land. Only 10.1% of all LIFT Programme area households had invested in an irrigation canal or a well.

Given that almost all households state that they apply one or more organic fertilisers, the fertiliser indicator might be best shifted to biological improvements to these fertilisers before application.

Output 3: Improved supporting functions for the rural land market. Some 10% of those engaged in irrigation accessed credit to do so, or 1.3% of all households. Credit use was also low for other investments.

Assumption: Improved land governance increases willingness of farmers to invest. Findings from the baseline survey suggest that farming households are already investing heavily in farming operations.

Assumption: Increased security of tenure leads to increased investment in land and land rental markets. Findings from the baseline survey suggest that farming households are already investing heavily in their land. Land rental activities are, however, very limited, possibly constrained by highly localised and limited rental markets.

Assumption: Increased investment leads to increased incomes of the poor. Most of the investment in irrigation was among households classified as ‘the resourceful poor’, ‘the food rich’, and ‘the money rich’. For ‘irrigation canal’ investments, 80% of all those households who had invested were from these household types, suggesting challenges in reaching especially poor households.

Environmental Practices

Introduction

Respondents were asked whether they had engaged in a range of practices associated with improved environmental actions. Some of these were discussed above regarding agricultural practices. The remainder are covered here.

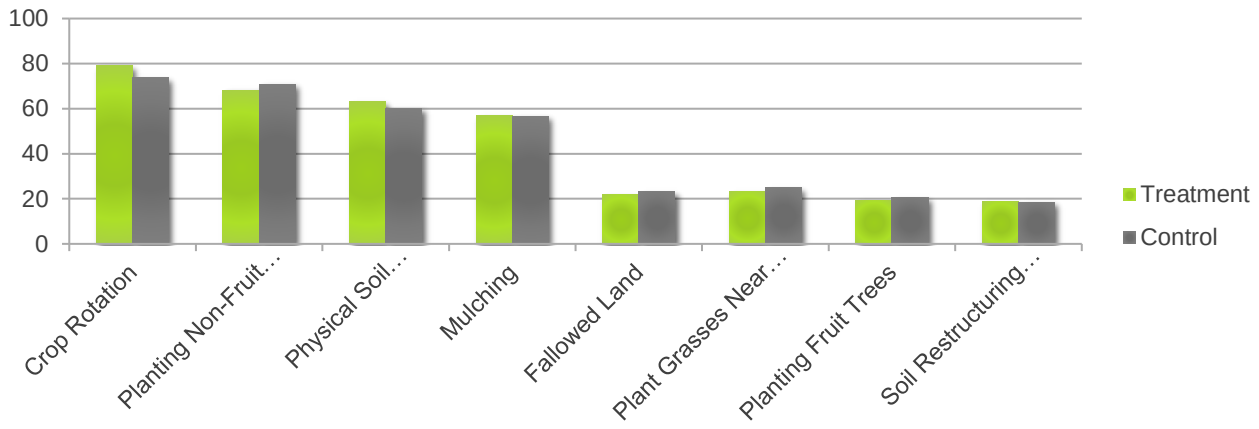
Experience with Environmental Degradation

Just over 20% of all households had experienced land degradation to an extent that it had harmed agricultural production in the two years before the survey. There were no clear patterns of variation across the size of parcel holdings.

Conservation Practices

On-farm conservation practices designed to prevent or respond to environmental degradation are summarised in the following figure:

Figure 21: Conservation Practices



Many households instituted a range of conservation practices in the two years before the survey. Within the category 'physical soil conservative prevent erosion', this included soil bunds (87%), stone terracing (60%), and barriers to prevent water damage (36%). Overall, respondents felt that these practices were very worthwhile, with 71.9% of those in the LIFT Programme area arguing that the cumulative impacts had 'very positive' impacts, with almost all of the remainder arguing that the impacts were 'someone positive'.

Findings of Relevance to LIFT Programme Implementation

Findings suggest that households regularly experience land degradation problems and take a number of actions designed to reduce this problem. Findings highlight a willingness to invest in improved environmental practices that would presumably intensify with higher production and greater profits.

Findings of Relevance to LIFT Programme Logframe

Impact 2: Agricultural production - major food crops. Findings reflect a high willingness to invest in environmental protection to prevent land degradation, and a strong perception that these practices are having positive impacts on farming.

Impact 3: Protection of arable land against environmental degradation. A high majority of farming households already practice a range of measures designed to protect their farming land.

Assumption: Improved land governance increases willingness of farmers to invest. Farmers already display high willingness to invest on the land. Elsewhere, findings highlight perceived positive effects of FLLC and a greater willingness to invest in land in this regard. Half of all farmers used improved seeds in the last planting season.

Assumption: Increased investment leads to increased incomes of the poor. Findings are not fully clear, but it appears that less poor households are more likely to invest on-farm than poorer households due to resource availability.

Programme Considerations: Land Findings

Land Holdings

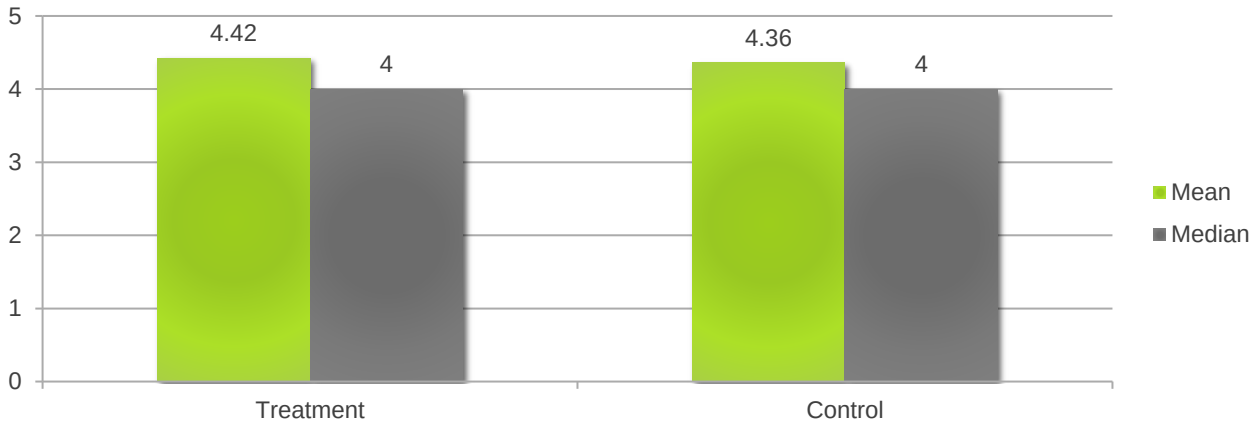
Introduction

The questionnaire included a series of questions about land holdings. This included direct holdings, land rented in and sharecropped in, as well as land rented and sharecropped out. Parcels are often sub-divided into plots, and these plots are sometimes used for different purposes, including renting and sharecropping out.

Parcel Holdings

Mean and median values for the number of parcels for direct access, including rented in and out and sharecropped in and out, are included in the following figure:

Figure 22: Average Number of Parcels Held or Accessed by Households

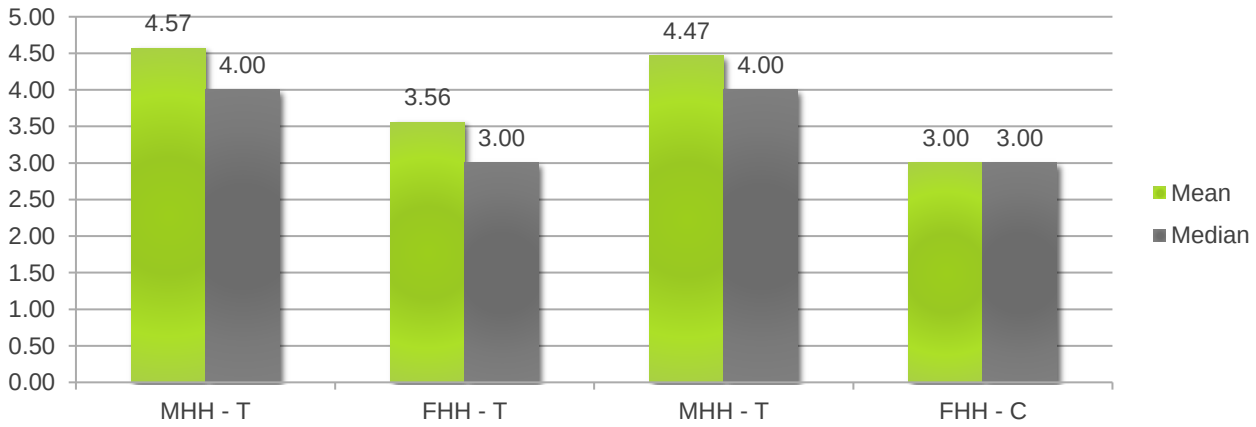


Of the parcels held or accessed, approximately 84% were directly held, with 16% rented or sharecropped in. For directly held, the mean number of parcels was 3.68 (treatment) and 3.71 (control), with the median dropping from 4 to 3 for both treatment and control.

There was no variation across treatment and control locations. Almost all parcels held were in the same *kebele*, while only 2% of households held or rented in or sharecropped in parcels outside of their *woreda*.

Both holding, and access were lower for female-headed households than male-headed households, as shown in the following figure:

Figure 23: Average Number of Parcels Held or Accessed by Female- and Male-Headed Households



T = treatment, C = control. MHH = male headed household. FHH = female headed household. For treatment and control locations, plot sizes were smaller for female- rather than male-headed households. For treatment locations, chi-square significant at the .1 level, 56.390, p=.000; for control locations, chi-square significant at the .1 level, 35.383, p=.000.

Parcel Size

Parcel size was similar across treatment and control locations, at around 2.25ha per parcel. The mean was much lower, however, reflecting a small number of households with larger parcels. The median size of parcels was 1.41 for treatment and 1.16 for control locations. When comparing medians, female-headed households had smaller parcels than male-headed households, with most parcels for female-headed households at less than one hectare, compared to an average of between 1-2ha for male-headed households.

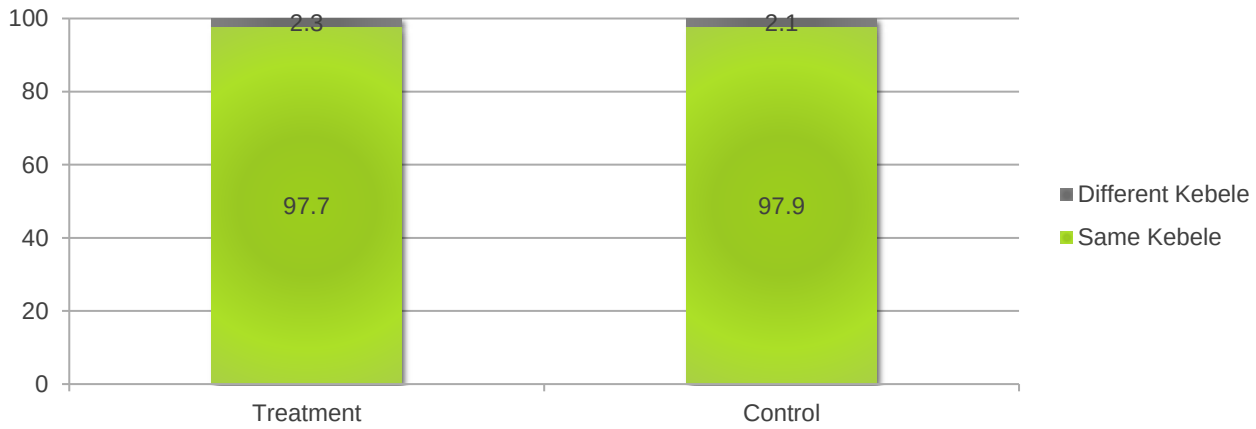
Parcel size was considerable larger in Amhara (2.91ha treatment), Oromia (2.47ha treatment) than in either Tigray (1.52ha treatment) and SNNP (1.11ha treatment).

In treatment locations, households with the smaller sized parcels were more likely to be poor, with 66.1% of those who were classified as 'very poor' holding land of less than one hectare in size, compared to only 19.4% of those classified as 'food rich'. Only 10% of those classified as 'very poor' or 'poor' held two or more hectares of land in treatment locations (chi-square significant at the .1 level, 463.959, p=.000). These findings also held for control locations (chi-square significant at the .1 level, 325.077, p=.000).

Parcel Location

Very few households held or accessed parcels in locations other than their own residential *kebele*, as shown in the following figure. This held for both male- and female-headed households. There was no variation across treatment and control locations.

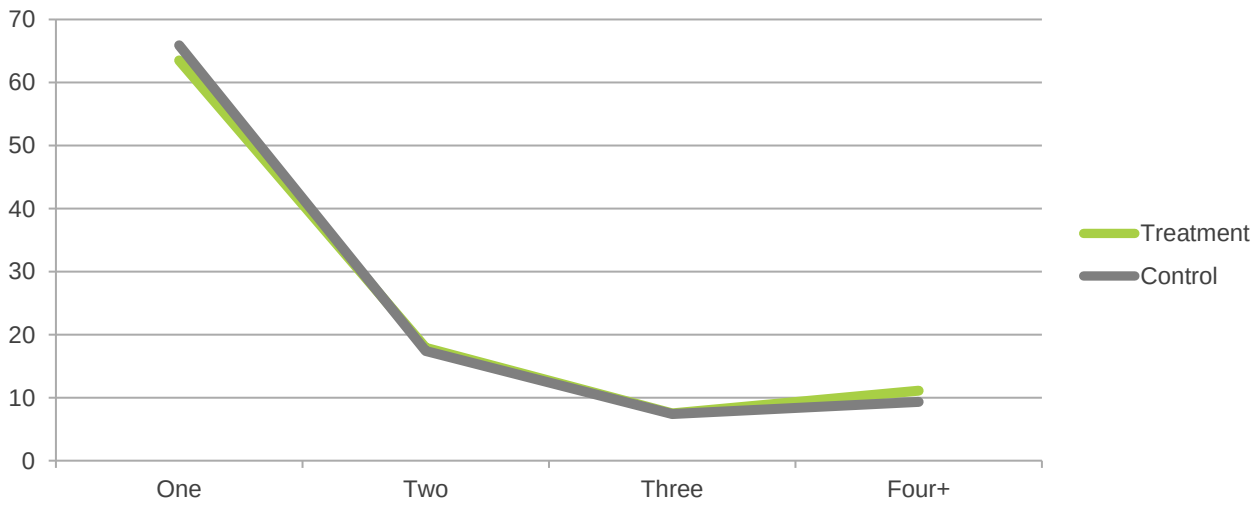
Figure 24: Parcel Location



Plots and Parcels

Parcels are sometimes sub-divided into plots for use by different household members, for renting out or sharecropping out, or used for different purposes. The breakdown is shown in the following figure:

Figure 25: Number of Plots Per Parcel

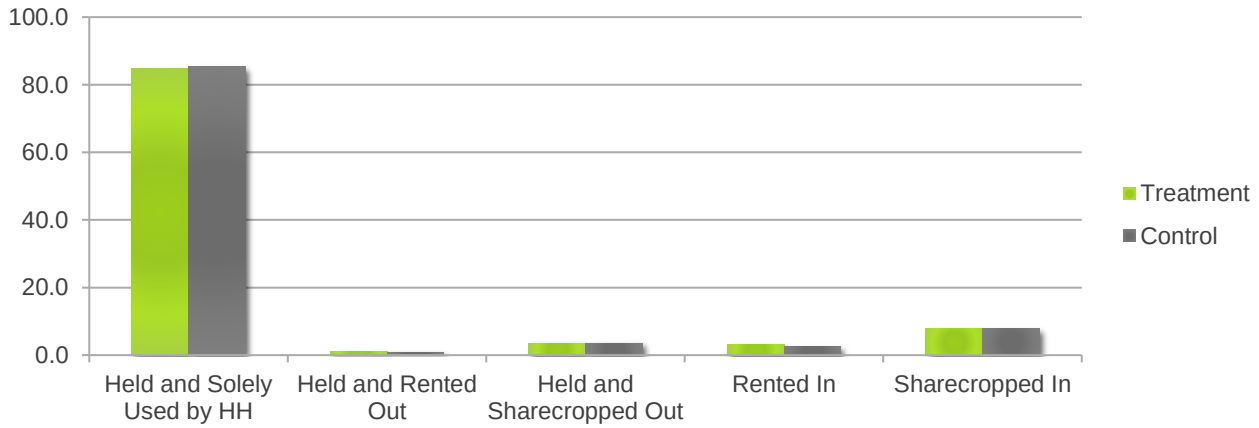


The median number of plots per parcel was one, meaning that the majority of parcels were not divided into plots. For those households who sub-divided parcels into plots, the majority had parcels divided into two (17.9% treatment and 17.4% control), while the remainder (11.1% treatment and 9.3% control) further divided parcels into plots, with most of these dividing parcels into 3-5 plots. The median number of plots per parcel was 1 for all three regional states except SNNP, where the median was 2.

Plot Use

Respondents were asked to elaborate the main use of the plots. Plot was used instead of parcel, as parcels could have multiple uses. This figure includes plots rented and sharecropped in. Findings are indicated in the following figure:

Figure 26: Plot Use



Sole use by the household was far more common than any other use. Renting out was extremely rare, applying for only 1% of plots. Neither varied across MHH and FHH. Sharecropping out was more common, at 3.5%, but was still extremely uncommon. Sharecropping out was slightly less common for FHH than MHH but was rare for both.

Similarly, the vast majority of plots were held by households for a long period of time, with 83% holding the plots for ten years or more. Only 3.4% of plots were held for less than two years. Female-headed households were slightly more likely to have held plots for a longer period of time, with 90% having held the plots for ten or more years compared to 82% for male headed households.

Almost half of all parcels were acquired through inheritance. 'Redistribution by law' affected some 30% of all parcels, while some 10% were secured through reallocation of land via the Kebele Land Committee. An additional 9% noted that they had secured the parcels through 'land reform'. 'Purchase' affected only 2.5% of all parcels, while resettlement and 'land grab' were even less common.

Renting Out Land

As noted, renting out land was very uncommon, at only 1% of all plots. The vast majority of all plots rented out were rented to non-family members, both males and females. The main reasons for renting out was 'urgent need for cash', which affected over half of all households who had rented out, followed by some 20% who noted that their household had been 'unable to farm the land'; the number of cases was too small to check against gender of household head. Almost all renters were from the same *kebele*. Renting tended to be for periods up to five years. In almost all cases, the person they rented to had been known to the household renting out the property. Two-thirds had written agreements, but only one-quarter had had the agreement signed by any authority.

For the majority of farmers who had not rented out any land, the most common reasons were 'use the land ourselves', and 'more profitable farming it ourselves'. However, the most common reason mentioned was 'no spare land to rent', affecting some three-quarters of all households.

Sharecropping Out Land

While more common than renting out land, sharecropping out land was uncommon, at 3.5% of all plots. Sharecropping out was most common to non-family members, but rarely to females without including the husband (less than 3% of all sharecropping was to single females). Over one-quarter of sharecropping was to family members, but here this was almost entirely to male family members (29% versus 1.8%). Unlike

renting out, where the urgent need for income (in cash or in kind) was a key factor, for sharecropping an inability to farm the land was more commonly mentioned. As with renting, the vast majority of sharecroppers were from the same *kebele*. Similar to renting, the majority of parcels had been sharecropped out for five years or less. Written agreements were uncommon, unlike rental arrangements, with some one-quarter having written agreements. This likely reflects the difference in who rental properties were rented to (non-family) compared to sharecropped out plots (family). In the few cases where written agreements existed, only a few had the agreement certified by an authority.

For the majority of farmers who had not sharecropped out any land, the most common reasons were 'use the land ourselves', and 'more profitable farming it ourselves'. As with reasons not to rent out land, the most common reason mentioned for not sharecropping out was 'no spare land to rent', affecting some three-quarters of all households.

Renting in Land

Less than 3% of parcels were rented in. Of these, male non-family members were most commonly mentioned as those who provided rental properties, at three-quarters. Female non-family members and husband/wife non-family member couples were thereafter noted but affecting less than 15% overall combined. Family members were rarely mentioned, at some 7%.

Over two-thirds of those households who rented in land had no land of their own, and most of the remainder noted that they did so because they held insufficient land. Few other factors were mentioned. Renting in was generally a short-term arrangement, with some 80% having rented for less than two years. In 80% of all cases, the plot was rented from a neighbour. Very few written agreements existed, and only one-third of these were certified by an official. Brokers and land officers were rarely mentioned.

Sharecropping in Land

Almost 8% of all parcels were sharecropped in. Sharecropping in plots were from a wide range of households, from male and female family members (some 45%) to non-family married couples and females and males (55%). The most common factor mentioned was lack of land and therefore the need to sharecrop in or sharecropping as a means to expand production and improve food security. Sharecropping arrangements tended to be for longer periods than renting in, with most noting that they had been in sharecropping arrangements for 2-5 years.

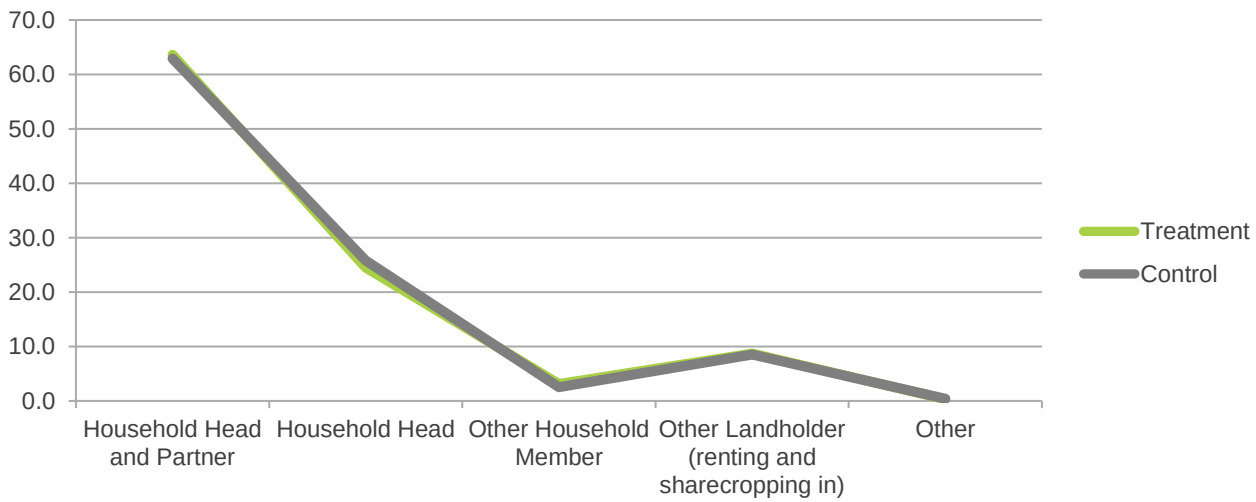
In almost all cases, the household knew someone from the household they were sharecropping with. Brokers and land officers were rarely mentioned.

Sharecropping arrangements almost always meant that the production was split in half (87%). In three-quarters of all cases, no written agreement existed, and even in the few cases where there had been a written agreement, only a few had the agreement certified by an official.

Plot Decision-Makers

Respondents were asked to identify the main decision makers for each plot. Findings are summarised in the following figure:

Figure 27: Main Decision-Makers for Plots Held and Accessed

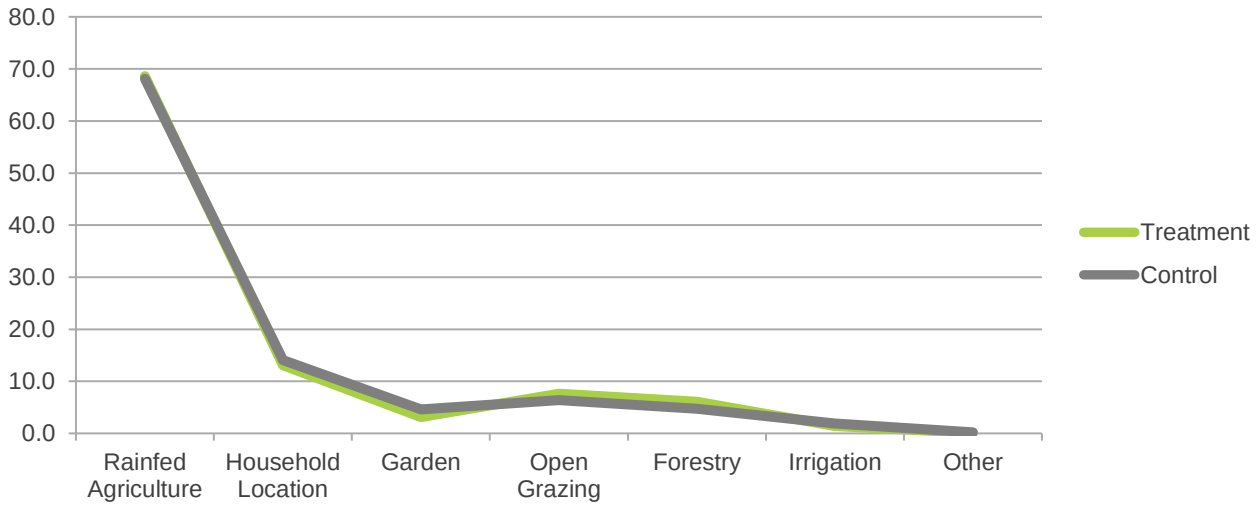


The vast majority of married household heads held plots with their spouses, holding for both male and female headed households. In cases where plots were held solely by the household head, this usually applies mostly to unmarried household heads.

Main Activity on Plots

Respondents were asked about the main activity on each property (agricultural use is discussed in the section on agriculture above).

Figure 28: Main Activity on Each Plot

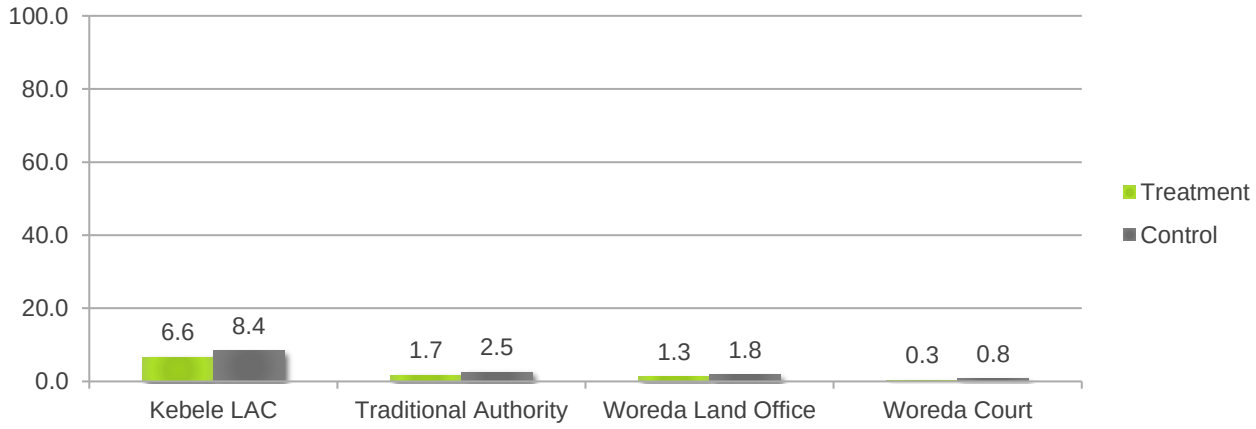


Rainfed agriculture was by far the most dominant activity, holding for two-thirds of all properties. Irrigation was uncommon, and most of this irrigation took place with unimproved infrastructure.

Access to Information on Land

Respondents were asked whether they had requested information on land availability from a range of sources. The aim of these questions was to establish a baseline value on use of these sources, and track this over time. Findings indicate that accessing information on land availability from various sources was very uncommon, with the exception of the Kebele Land Administration Committee. Findings are summarised in the following figure:

Figure 29: Access Information on Land Availability (past two years)



Most attempts to secure information on land availability from the formal system were done locally, through the Kebele Land Administration Committee. Other questions in the questionnaire found that there was a high level of trust in these authorities. Requests for information about land were far higher in Tigray regional state than in the other three states, specifically with reference to the Kebele Land Administration Committee. For treatment locations, the figure was 25.6% for Tigray, compared to 6% or lower for the remaining regional states.

Findings of Relevance to LIFT Programme Implementation

The following findings are recommended for consideration for LIFT implementation purposes:

- Renting is extremely uncommon. As increasing rental market activities is a key objective of LIFT (reasons for renting out are included in the next chapter), the rarity of the practice may mean that there are considerable constraints affecting the rental market, beyond those already being considered through LIFT. At the same time, low levels mean that if the right stimulus is provided, there may be opportunities for rapid growth in rental markets.
- At this time in the programme area both women and men are noted as sharing control over parcels for married couples, while household heads were commonly noted in cases where the head was unmarried. Control did not extend much beyond the household head and spouse to other household members. It may be that the FLLC process yielded or strengthened joint control among married couples, suggesting that SLLC expectations in terms of joint control are realistic. Beyond this, it appears from other findings on control over parcels that joint decision-making is the stated norm. What this means in terms of situation specific and actual decision-making power would require additional attention by LIFT.
- Irrigation is extremely uncommon. If SLLC yields improved security of tenure, and if M4P interventions encourage agricultural intensification, there would appear to be substantial room for growth in this regard.
- Request for information from Kebele Land Administration Committees was quite high in Tigray regional state, but low in the remaining three. Findings from Tigray would suggest that there is some demand for land information from these authorities and therefore room for growth, but that this does not apply to any other land authority.

Findings of Relevance to LIFT Programme Logframe

Outcome 1: Number of rural households and people that have strengthened security of tenure as a result of SLLC. The deepened logframe noted that there was an average of 2.3 parcels per household, but the survey has found far higher numbers. For directly held and used in the LIFT Programme area, the median is 3, and the mean is 3.68. This means that the numbers of parcels affected by the LIFT Programme's reach should be significantly higher, but that the number of households reached will be lower.

Outcome 2 - Average number of households renting out land. The baseline survey shows a figure of 1% renting out plots.

Output Indicator 1.3 - Number of households and individuals who are named on at least one certificate through the SLLC process. Also, the Assumption 'increased security of tenure leads to increased investment in land and land rental markets'. Renting in or out does not vary across MHH and FHH. Sharecropping in varies slightly across MHH and FHH, but it remains rare overall. It was initially assumed that FHHs would be more likely to sharecrop and less likely to rent than MHH, but the data do not show this.

Output Indicator 1.3 - Number of households and individuals who are named on at least one certificate through the SLLC process. MHHs have more parcels than FHHs, at 4 compared to 3 (median values). The difference is even greater when comparing means, reflecting the fact that some MHHs have a high number of parcels. For sole use, this difference declines, suggesting that MHHs are more likely to be engaged in renting and sharecropping in than FHHs.

First Level Land Certification

Introduction

In order to assess experiences with First Level Land Certification (FLLC) and consider what this might mean for Second Level Land Certification (SLLC), a section of the questionnaire, and questions elsewhere in the questionnaire, covered FLLC issues. This included the extent of certification, perceived rights, land transactions and FLLC, and attitudes about the efficacy of certification. FLLC refers only to parcels held by the household and did not include renting in or sharecropping in property that was held by other households. Findings are included in this chapter.

FLLC Levels

Three-quarters of households had been issued with FLLC, and one-quarter of households had not been issued. Of those who had gone through the certification process, only three-quarters had collected the certificates. Of these, almost 90% had retained the FLLC. In total, just under 60% of all households had been issued with FLLC and had collected the certificate. Overall, *this means that only half of all households were*

holding their FLLC certificates, and half did not. For those who had not collected their certificates even though they had applied, most had tried to collect their certificates but had been informed that they were not ready (over half). These findings were unexpected, as it was understood that virtually all households had been reached with FLLC, that these certificates had been made available, and that most households had obtained their certificates.

Findings did not vary across male- and female-headed households. There was some variation across regional states, with Oromia least likely to have secured FLLC, with little variation across the other three regional states.

Across the LIFT Programme area and the control area, 3.7% and 4.6%, respectively, had secured second level land certification.

FLLC Holders

Respondents with FLLC who held their certificates were asked whether those who they regard as holders of parcels appeared in the FLLC certificate. This held for virtually all cases, with 100% of those with FLLC certificates noting that parcel holders appeared in the certificate. Both women and men appeared in the FLLC in numbers consistent with the population of adult males and females, suggesting no systematic bias in this regard.

FLLC and Land Administration

Those who engaged in the FLLC process, whether they obtained their certificates or not, were asked a series of questions about interactions with land authorities during and after the process. Of those who had engaged in FLLC, just under three-quarters remember the process. Relatively small numbers of these were reached via print media (13%) or broadcast media (20%), but almost all households had been involved in one or more meetings held to discuss FLLC, at almost 90%.

Males were significantly more likely to have attended than females, at 90% versus 35%. Only 10% of the households noted that specific meetings were held for women, but in these few cases two-thirds of women from the interviewed households attended. Most of those who attended were male household heads, and this also applied for female household heads. Findings suggest that half of the females who attended the meetings were female household heads, and almost all the remainder were spouses of male heads. Few other household members attended meetings. The local meetings would seem to have been informative, as over 80% of the respondents argued that the FLLC process was clear, and that this process was clear during implementation as well.

Female heads of households were less likely to agree with the statement ‘women and men were both equally informed of the first level land certification process before the people came to our household’ than were males from male-headed households. Nevertheless, both women and men tended to feel that, as FLLC certification was carried out at the household, they tended to speak with both women and men.

When the FLLC process was completed, only 20% indicated that they were approached to voice their opinions about FLLC.

FLLC and Transactions

FLLC had taken place between a few years and a decade before the survey took place. Despite this, only 4% of all FLLC certificates had been altered or corrected, although it would appear that up to 15% should have been altered. The 15% includes those who should have taken the certificate for alteration but did not know this or did not feel that it was necessary, at over 13% of all households, as well as the one-fifth of the 4% of households who had it altered but did not take it to any authority to do so. For the 95% who said that they did not have the certificate altered, about 9% in the treatment area had names missing from their certificates and did not have these names added to the certificate. Of the 10% who had gifted land to another family member, only one-in-ten had taken the certificate to an authority to reflect this gifting.

It is interesting to note that, while alterations or corrections were uncommon, over one-quarter of all households had at least one interaction with a land authority following FLLC. Respondents reported satisfaction with these interactions. Follow-on questions suggest that interactions with land authorities do not relate to changes in certification or land status, and rather focus on disputes or queries, with a willingness to take disputes up to *woreda* level if required.

For these few cases where alterations had taken place, over three-quarters had been taken to an authority to certify the change, with most going to the Kebele Land Administration Committee. Six percent of land holders

with FLLC had applied for new land since they had received the certificate, and they also tended to take the certificate to an authority to register the transaction. Nevertheless, a minority did not.

Nine percent had gifted land to a family member, and 11% had gifted land to a non-family member. Three percent had changed the status of a parcel by exchanging this parcel with another household, and a similar percentage had sub-divided a parcel for purposes of inheritance. For these less formal processes, the majority of respondents had not registered the transactions, and therefore the FLLC certificate was not up to date.

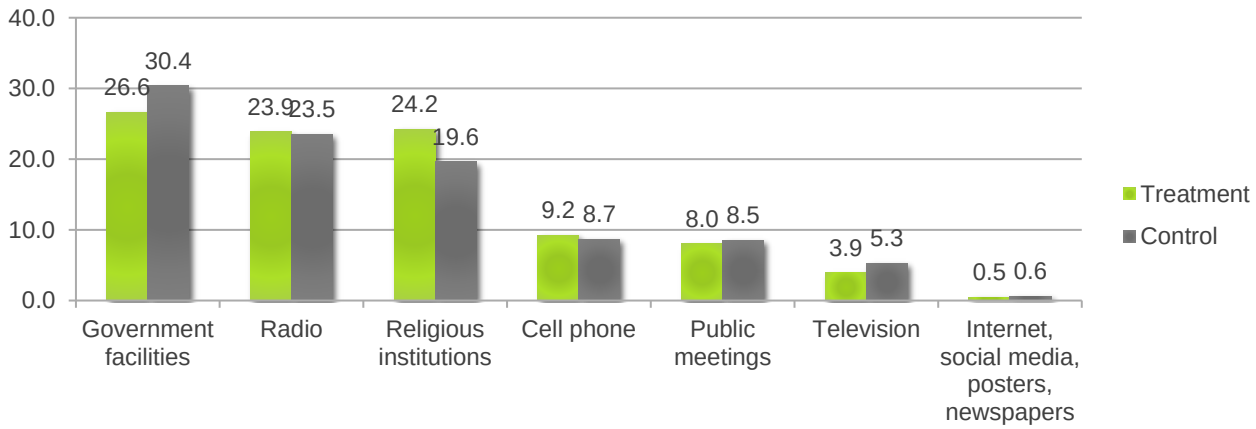
Overall, findings suggest that a majority of land transactions (despite their having been few such transactions) had not yielded updates to the FLLC.

Sources of Information on Government Programmes

As a proxy measure of likely desired sources of information for SLLC, respondents were asked to identify which types of media were felt to be reliable sources of information on government programmes. This is not necessarily a measure of reach, but rather desired mechanisms. But it is recognised that respondents were also thinking about the practicality of the sources when considering their response.

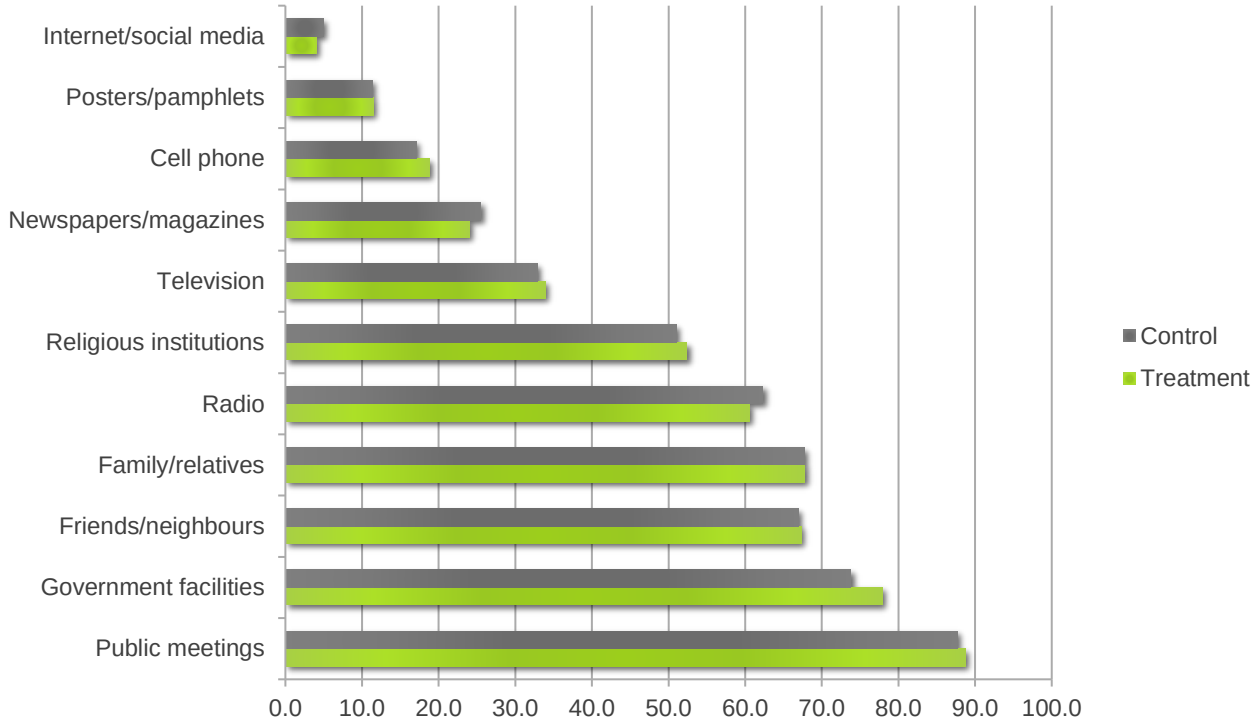
The first figure shows the summary comment on which sources were 'most valuable', while the second figure rates each source by itself within considering relative importance:

Figure 30: Most Valuable Source of Information About Government Programmes



Government facilities, radio and religious institutions rated far above other mechanisms. When considered one by one in terms of *reliable* sources, public meetings were most highly regarded, followed by government facilities, friends/neighbours and family/relatives.

Figure 31: Media Sources Regarded as Reliable for Information on Government Programmes



Findings of Relevance to LIFT Programme Implementation

Prior to the survey it was expected that virtually all households in the survey area would have been reached by FLLC. Yet one-quarter of the households interviewed had not been reached at all, some of those reached had not collected their certificates, and some of those who had collected their certificates had not retained them. Overall, only half of all households were holding first level land certificates. The reasons why households had not been reached are uncertain, but three points are relevant for LIFT: 1) a significant number of households had been missed by the FLLC process, a contributing factor to a number of these instances may be with new households being established, underlining the need to ensure systematic coverage and redundancy checks; 2) some of the households that had been reached by FLLC had gone to collect their certificates but were told that they were not available, highlighting the importance of timely availability; and 3) not all households that had received their certificates had retained them, despite noting that they were of value, highlighting the importance of certificate utility in encouraging retention of the FLLC certificates.

A number of those who had obtained FLLC and needed to change the status of the certificate due to a change on a plot had notified authorities at *kebele* level of this change, but not all of them had received a revised certificate in this regard. Some had even gone to *woreda* level to register changes. It also appears that some of those who should have notified authorities of any change had not done so. While fairly small in number (under 10% were in situations where registering changes would be required), the findings highlight the importance of *kebele* level land administration services. As discussed later, disputes are often seen as serious enough to be taken to a higher level, but it is not clear whether non-dispute issues would be registered unless services were widely available and accessible. Elsewhere in the questionnaire respondents were asked whether they would take any disputes to the *woreda* level if they were not resolved at the *kebele* level. A high proportion of respondents argued that they would do so in cases where changes were required to certificates, while for 'minor things' such as small changes made within the family on who is considered to hold land, respondents still suggested that they would do what was required. It is assumed that this responsiveness would remain high, but only if land administration services functioned well.

Respondents placed value on land certification, suggesting that SLLC would be well received.

There appeared to be no resistance to the idea of both women and men appearing on the FLLC certificates, suggesting that this would also apply to SLLC. Having said this, the *process* of FLLC was heavily focused on male engagement, highlighting the importance of actions directly aimed at male and female involvement before and during certification. This is especially important for SLLC, given that parcels are demarcated, holding for

males and females in the households where parcels are being demarcated, and for males and females in neighbouring households so that their interests are represented.

However, other names did not normally appear on the FLLC beyond the husband and wife, male head, and female head. The issue of the rights of other family members in terms of certification needs consideration.

Findings of Relevance to LIFT Programme Logframe

Impact 4: Economic empowerment of women as well as Outcome 3: % of rural households where women have equal rights over land as male members. Evidence for FLLC suggest that husbands and wives as well as male and female heads were equally reached, but that women were less likely to be engaged in the FLLC process.

Outcome 1: Number of rural households and people that have strengthened security of tenure as a result of SLLC. The deepened logframe assumes that 70% of FLLC parcels have lost benefits of certification due to the lack of updating information. In reviewing the results of data on required changes and what was done when changes were needed, it appears that the 70% figure is well at odds with what is happening in the field. Under 10% would appear to have needed to make any alterations, and a large minority of these have been able to take their certificates to a local authority for adaptation. Further, perceptions of utility of FLLC are quite high, and disillusionment with FLLC would appear to be low.

Output 1.2: Cumulative number of parcels supported by LIFT for demarcation, certificates issues, certificates collected. As noted above, the deepened logframe noted that there was an average of 2.3 parcels per household, but the survey has found far higher numbers. The median in the LIFT Programme area is 3 directly held, with the mean at 3.68. This means that the numbers of parcels affected by the LIFT Programme's reach should be significantly higher, but that the number of households reached will be lower.

In addition, findings indicate that FLLC has not been as widespread as expected. The reasons for this unexpectedly low reach are not certain but warrant further consideration by LIFT to avoid similar problems.

Output 1.3: Number of households and individuals named on at least one certificate through the SLLC process. As noted above, beyond heads and spouses, other names did not normally appear on the FLLC. The issue of the rights of other family members in terms of certification needs consideration.

Furthermore, in the deepening of the logframe regarding Output 1.3, the ratio of men to women for appearance on certificates is estimated at 70% for males and 30% for females. Findings from the baseline survey would suggest that FLLC yielded closer to a 50:50 split. This indicator may need to change to engagement in SLLC process, as the FLLC the system was more male-focused, likely yielding problems following certification regardless of who appears on the certificate.

Assumption: 'land users understand the importance of registering transactions'. FLLC findings highlight strong acceptance of certification. Constraints appear not to be on the side of demand, but rather supply.

Land Security

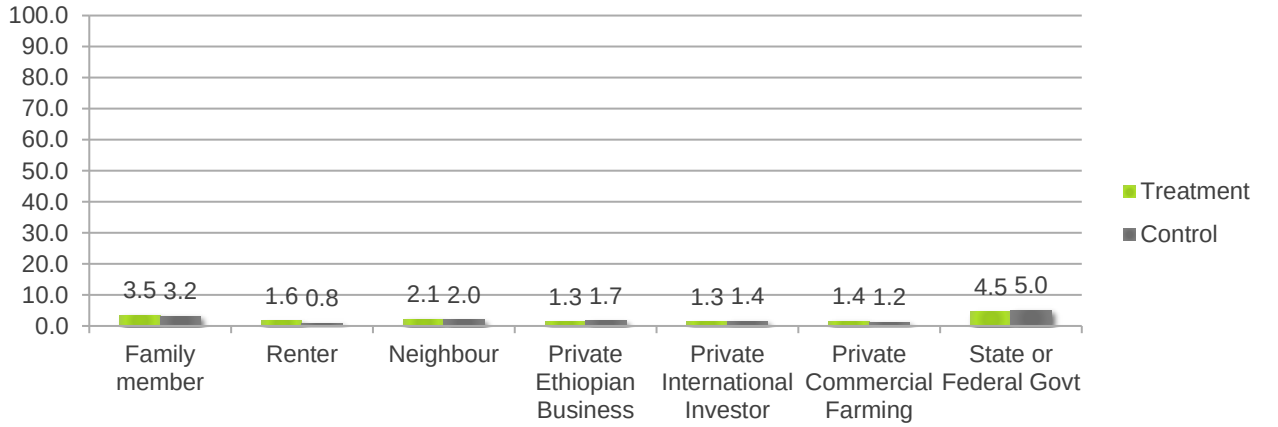
Introduction

Respondents were asked a series of questions considering actual risks and perceived risks associated with land. Findings are presented in this chapter.

Perceptions of Risk

Respondents were presented with a series of statements about perceived risk of 'unfair taking of all' by different actors. Findings are summarised in the following figure:

Figure 32: Perceptions of Risk



Perceptions of risk were *extremely* low, holding for all types of possible risk situations. The only figure that approach 5% was with regard to government. Findings did not vary across male- and female-headed households. For treatment locations, levels of risk were similar for male and female household heads. There was some variation across region, with risk perceived to be higher in Amhara and Oromia regional states, although rates were still very low.

It appears that risk perceptions are low in part because people have not experienced a particular risk. Two findings underline this conclusion (which is also further discussed in the next sub-section), and are specific to renting as expanded rental markets is key to LIFT Programme success:

- Respondents were asked to agree or disagree with the following statement: "If a written agreement was signed by a land authority showing that this was my household's parcel, I would be more confident to rent out that land if I needed to compared to not having a written agreement". Over 90% 'strongly agreed' or 'somewhat agreed' with this statement.
- Respondents were asked to agree or disagree with the following statement: "Sharecropping with neighbours and friends is better than renting, because they won't try and claim the land is theirs like a tenant can". Three-quarters of the respondents 'strongly agreed' or 'somewhat agreed' with this statement.

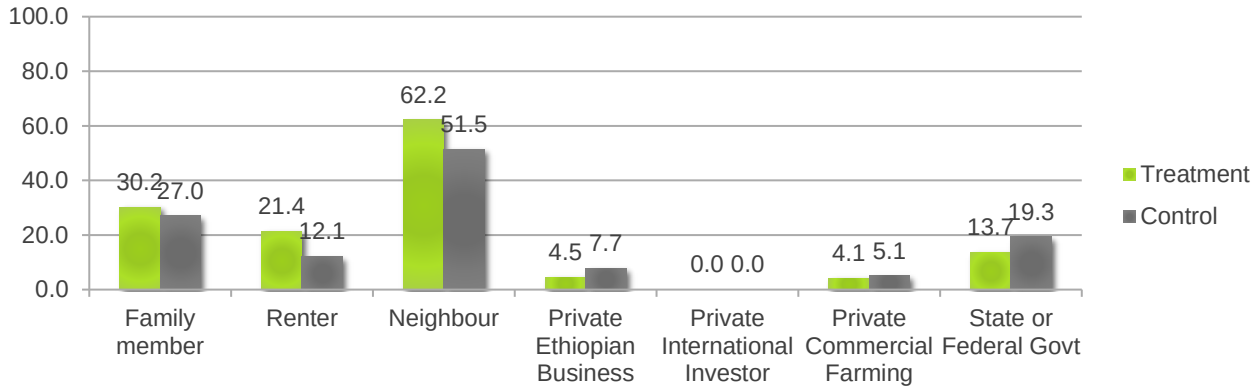
Findings suggest that, while risks are perceived to be low, land certification is viewed as something that would further reduce risk. This is also discussed under 'land rental markets and land security' below.

A final attitudinal scale statement was added: "Consider the parcels of land you currently hold. What do you think the likelihood is that your household will not have lost any of these parcels to what you would regard as unfair loss in the next twenty years". Some 60% of the respondents felt that the risk was 'somewhat low' or, most commonly, 'very low', while 40% rated the risk as 'very high' or 'somewhat high', with the majority of these arguing that it was 'very high'. Findings suggest ambivalence about risk issues in this regard.

Past Experience of Land Loss

For each category of potential risk, respondents were also asked whether their households had ever experienced 'unfair taking of land' by this group. Those who expressed a concern about risk (high, medium or low) were asked a follow-on question: 'has this ever happened to your household?'. Responses are summarised in the following figure:

Figure 33: For Those Concerned About Risk, Prior Experience



It is important to highlight that this is a percentage of a very low percentage and is NOT a percentage of the total population in the survey. Overall, only 1% raised concerns of this nature.

Of the *small percentage* who had experienced what they regarded as 'unfair taking of land', a fairly high proportion had experienced this particular problem with neighbours. This is not surprising, as under 'disputes' below findings show that most disputes are associated with neighbours and, presumably, boundary encroachment. Family disputes over land and inheritance issues were also not uncommon, affecting over one-quarter of those who were worried about this particular risk. Renter concerns were also noted by 21.4% of those who were concerned about risk in the LIFT Programme area, while concerns about state or federal taking of land was noted by around 16%.

Respondents were asked specifically whether the risk of land loss would be higher for female-headed households compared to male-headed households: "Households headed by women are more vulnerable to land taking because men can take advantage of their situations more easily than is the case for households headed by men". Just over one-third of the respondents strongly or somewhat agreed with the statement, but the majority disagreed, with most of them 'strongly disagreeing'. Of interest, in treatment locations female-headed households were *more likely* to disagree with the statement, suggesting that they did not feel that this was a problem that affected them specifically.

Land Rental Markets and Land Security

An expanded land rental market is one key desired impact from LIFT Programme actions. Attitudinal statements were therefore included in the questionnaire to assess levels of perceived risk in land markets, and are summarised for selected attitudinal statements in the table below:

*Table 1: Attitudinal Scale Statements Associated with Risk Perceptions and Renting Out Land**

Response	Treatment	Control
"Sharecropping with neighbours and friends is better than renting, because they won't try and claim the land is theirs like a tenant can"		
Strongly Agree	50.3	50.7
Somewhat Agree	26.9	28.7
Somewhat Disagree	11.3	8.8
Strongly Disagree	6.0	5.8
"If a written agreement was signed by a land authority showing that this was my household's parcel, I would be more confident to rent out that land if I needed to compared to not having a written agreement"		
Strongly Agree	74.3	73.1
Somewhat Agree	18.1	18.4
Somewhat Disagree	2.6	2.8
Strongly Disagree	0.6	0.6
"A written agreement signed by a local leader is good enough to ensure that we can rent out land and not worry that the tenant would try to claim that it was theirs"		
Strongly Agree	51.9	53.0
Somewhat Agree	34.0	32.6
Somewhat Disagree	5.8	5.6
Strongly Disagree	2.8	2.5

*Excludes those who said 'neither agree nor disagree' as well as 'do not know'

Findings suggest that many households see renting as having some risk, and that certification would be important in mitigating such risk.

There also appear to be some concerns about unequal access to information about land rental markets that would affect whether households can access land rental markets, as summarised in the following:

Table 2: Attitudinal Scale Statements Associated with Access to Information and Land Rentals

Response	Treatment	Control
"It is difficult to secure reliable information on who might be available to rent land if I wanted to rent out land"		
Strongly Agree	14.1	17.9
Somewhat Agree	25.1	25.0
Somewhat Disagree	24.7	22.4
Strongly Disagree	25.7	24.1
"It is difficult to secure reliable information on what land is available for rent"		
Strongly Agree	16.8	18.7
Somewhat Agree	24.0	23.7
Somewhat Disagree	23.7	21.8
Strongly Disagree	25.2	24.6
"A person really has to have power in the community to know what land will become available for rent"		
Strongly Agree	10.1	12.5
Somewhat Agree	14.5	17.5
Somewhat Disagree	23.5	18.8
Strongly Disagree	43.1	42.1

* Excludes those who said, 'neither agree nor disagree' as well as 'do not know'.

Respondents were ambivalent regarding access to reliable information but tended to feel that these were not serious problems and tended to feel that information was not withheld.

Findings of Relevance to LIFT Programme Implementation

Perceptions of risk were generally not high, nor were experiences of what was perceived to be unfair land loss. This held for both male- and female-headed households. Nevertheless, respondents were supportive of certification as a means to improve security, with strong agreement in particular that certification would help improve opportunities for renting land out or in. Findings suggest that casting SLLC as a means of lowering risk may be useful, while recognise that experience with such risk is relatively low.

LIFT may want to further investigate returns on investment from renting, especially compared to sharecropping, and link this to discussions of certification. Further, perceptions of risk may well vary across 'winners and losers', and as the survey will have interviewed those who hold land, those who may have been disenfranchised (e.g., a son or daughter did not receive land through inheritance) may have higher levels of risk perception.

In an earlier chapter it was noted that most rental properties are identified through word of mouth, and that land rental markets are quite narrow. Few respondents felt that information on rental markets were currently constrained, but this is likely due to the limited use of these markets. Given that more formalised markets are anticipated, concerns about constrained access to information about these markets may emerge.

In the two years before the survey, some 7% of all households had at least one member who had moved to another area due to land shortages. Findings underline the value of improved rental market information that extends beyond neighbours and *kebele.*

Findings of Relevance to LIFT Programme Logframe

Outcome 1: Number of rural households and people that have strengthened security of tenure as a result of SLLC. Levels of concern about loss to a family member, a renter, a neighbour, or a business were low. Some 5% were concerned about loss to state or federal authorities. Despite low levels of perceived risk, there was strong agreement that certification would be a useful mechanism to reduce risk.

Land Disputes

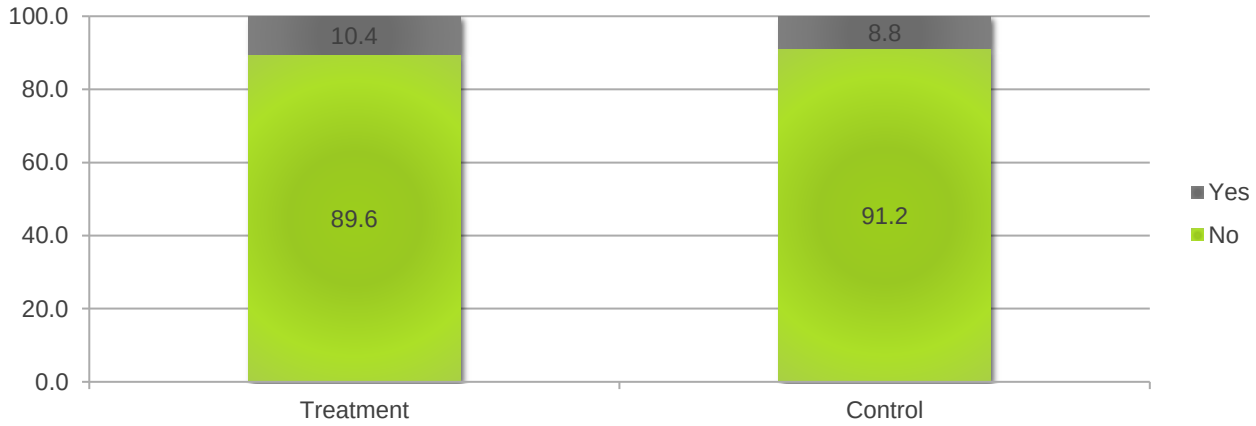
Introduction

Respondents were asked a series of questions about experiences with land disputes and, if so, what the nature of these disputes were. Disputes arising from FLLC were also queried, and dispute resolution and use of land administration services are also considered.

Extent and Nature of Disputes

Respondents were asked whether their households had experienced any land-related disputes in the past two years on any of their parcels. Findings are indicated in the following figure:

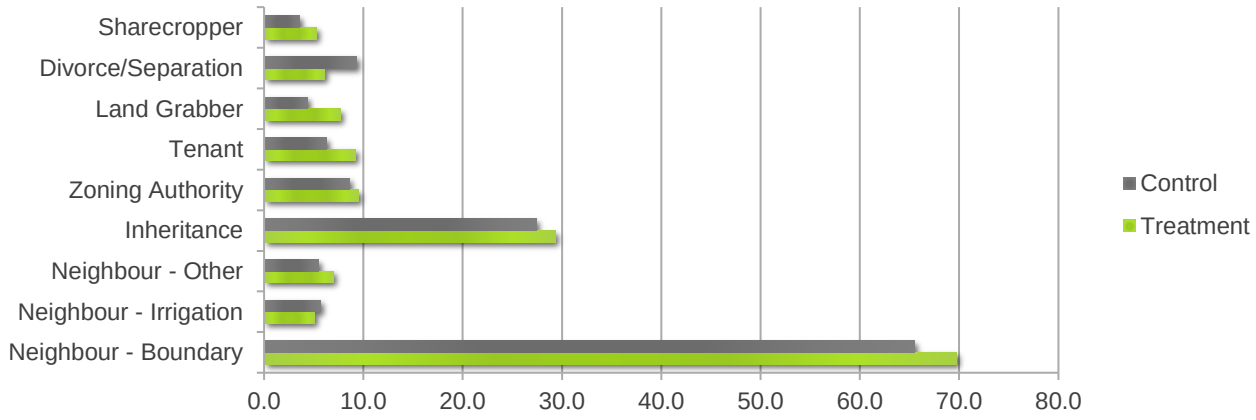
Figure 34: Land Disputes Within the Past Two Years



Some 10% of all households had at least one dispute in the two years prior to the survey. Land disputes were especially higher in Tigray regional state (15.1% for treatment locations), followed by 11.6% in Oromia, 9.6% in Amhara, and 7.4% in SNNP (chi-square significant at the .1 level for treatment locations, 17.457, p=.001; for control locations, 8.192, p=.042).

Boundary disputes were most commonly mentioned, followed by some distance by inheritance disputes over parcels. Findings are summarised in the following figure for those who had had a dispute at any time over the past two years:

Figure 35: Land Disputes (for those households who had experienced disputes in the two years before the survey)

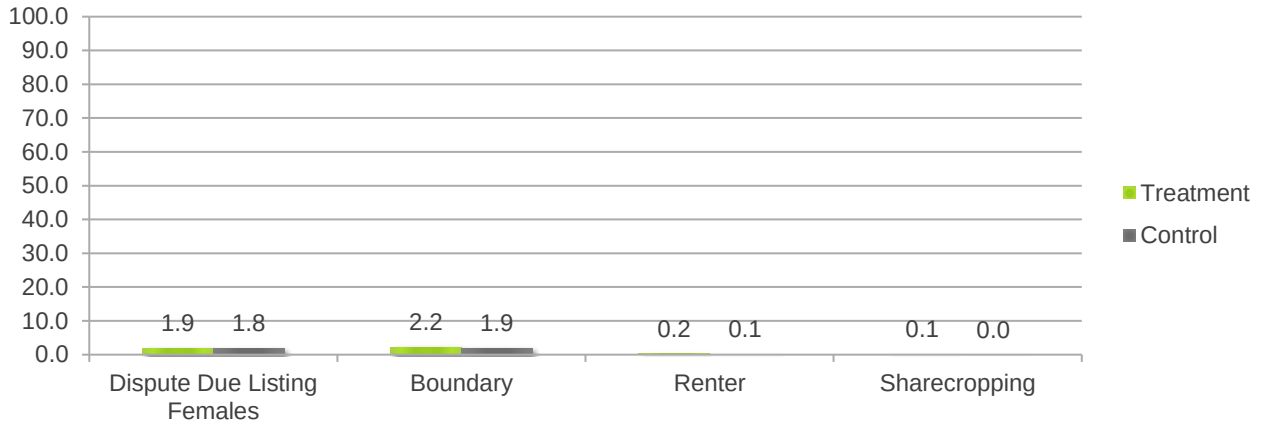


Considering the percentage of households with a dispute and those who had experienced a particular type of dispute, some 8.4% of all LIFT Programme area households had had a dispute with a neighbour in the year before the survey, with the vast majority of these disputes associated with boundaries.

FLLC and Disputes

Respondents who had gone through FLLC were asked whether any disputes arose during the design and implementation of the FLLC process. In part the aim was to see if certification yielded disputes, even though no boundary demarcation took place during FLLC. Findings are summarised in the following figure:

Figure 36: Disputes Arising During FLLC Process



Disputes were extremely uncommon during FLLC, with only a few households noting disputes arising regardless listing of female household members and boundary disputes. Disputes arising regarding sharecropping and renting were virtually non-existent.

Attitudinal Statements Regarding Disputes

A number of attitudinal statements were made regarding disputes. Findings are summarised as follows:

- Respondents argued that it was extremely likely that any intractable disputes would be taken to the *kebele* level land administration office, with over 90% arguing that this was 'very likely' or 'somewhat likely'.
- If the problem was not resolved at this level, over 90% argued that the dispute would be taken to a higher level, holding for inheritance as well as land holding.
- This also held for disputes with renters, with some 85% arguing that it would be 'very likely' or 'somewhat likely' that "if a tenant is claiming land as theirs, and this is not resolved at *kebele* level, how likely are people in this area to go to land services at woreda level to try and resolve this".
- Respondents were also likely to argue that they would use land services if it meant that renters would be less likely to claim the land as theirs, at some 70%.
- Some 85% argued that it would be 'very likely' or 'somewhat likely' that "people in this area [would] use land services at *woreda* level if it reduces the need for land disputes to go to the court/justice system".

Findings of Relevance to LIFT Programme Implementation

Land disputes were fairly common, at 10% over the past two years. Boundary disputes were most commonly mentioned, comprising half of all disputes. Findings would suggest: 1) that the SLLC *process* would identify these disputes; and 2) that, once resolved during the SLLC process, boundary disputes would be less common.

While disputes over irrigation were uncommon, given that only 13% of households engaged in irrigated agriculture, up to one in fifteen households involved in irrigation had an irrigation-related dispute with a neighbour in the two years before the survey. Findings highlight the need to consider carefully the impacts of certification and boundary identification on irrigation disputes, and endeavour to prevent these disputes.

Findings of Relevance to LIFT Programme Logframe

Outcome 1: Number of rural households and people that have strengthened security of tenure as a result of SLLC. Boundary disputes may intensify as SLLC implementation proceeds, as it appears that there are disagreements regarding boundary lines among neighbours.

Output 4: Improved policies and institutions for the rural land market, specifically Output Indicator 4.2: Rural households involved in land-related disputes. In the LIFT Programme area, 10.4% of all households had been affected by at least one land dispute in the two years before the survey. Disputes did not vary greatly between male- and female-headed households, at 12% for female-headed households and 10.1% for male-headed households in the LIFT Programme area.