

Project Evaluation Series

**Evaluation of the project
“Increasing smallholder productivity
and profitability”**

Project code: GCP/KEN/082/USA

Annex 1. Terms of reference

Abbreviations and acronyms

ASALS	Arid and semi-arid lands
BH	Budget holder
CA	Conservation agriculture
CPF	Country Programming Framework
EM	Evaluation Manager
ET	Evaluation team
FAO	Food and Agriculture Organization of the United Nations
GAP	Good agricultural practice
ISPP	Increasing Smallholder Productivity and Profitability
LTO	Lead technical officer
OED	FAO Office of Evaluation
PTF	Project Task Force.
SO	FAO Strategic Objective
TOR	Terms of reference
USAID	United States Agency for International Development

Introduction

1. These terms of reference (TORs) have been developed to guide the final evaluation of the Food and Agriculture Organization of the United Nations (FAO) contribution to the Increasing Smallholder Productivity and Profitability Project (ISPP), fully funded by the United States Agency for International Development (USAID) and implemented by FAO in Kenya (FAOKEN). The project, which initiated in September 2016 and is expected to end in March 2020, has a total budget of USD 6 146 477.
2. The evaluation will take place between October 2019 and March 2020. It is managed by the FAO Office of Evaluation (OED) and will be conducted by an independent evaluation team (ET). It represents an important opportunity to draw lessons from this experience that could later be used by FAO in the country and at global level, by USAID, to inform future investment decisions, for the Ministry of Agriculture Livestock and Fisheries of Kenya, for the sustainability of the Project's results, as well as by other stakeholders involved.
3. These TORs have been prepared by OED on the basis of document review and preliminary consultations conducted with the FAO Country Office in Kenya, the project team, the Lead Technical Officer (LTO) of the programme based in Ethiopia, and USAID officers based in Kenya.

Background and Context of the Project

Context¹

4. Agriculture is the mainstay of the Kenyan economy. In 2018, it directly contributed 34 percent of the country's gross domestic product (GDP). The sector accounts for 65 percent of Kenya's total exports and provides over 70 percent of informal employment in the rural areas. The agricultural sector is not only the driver of Kenya's economy, but also the means of livelihood for the majority of Kenyan people. Between 2005/06 and 2015/16, Kenyan households that are exclusively engaged in agriculture contributed 31.4 percent to the reduction of rural poverty, and agriculture remains the largest income source for both poor and non-poor households in rural areas.
5. The arid and semi-arid areas (ASALs) of Kenya cover nearly 84 percent of land. The ASALs have the lowest development indicators and the highest incidence of poverty in the country. Despite decades of development and extension programmes in Kenya's semi-arid areas, on-farm productivity remains exceptionally low and the farming practices used have failed to adapt to the increasingly erratic and unreliable rainfall patterns. In some ASAL counties, approximately 70 percent of the farmers rely on subsistence rainfed agriculture, which is highly constrained by prolonged dry seasons and drought.² Thus, the ASALs present an enormous potential contribution to national agricultural production as well as basic food and income for farmers residing in these areas (ASDS, 2010).

¹ This section is based on FAO's project document, on World Bank's (WB_ Kenya Country Profile https://databank.worldbank.org/views/reports/reportwidget.aspx?Report_Name=CountryProfile&Id=b450fd57&tbar=y&dd=y&inf=n&zm=n&country=KEN) and on the WB report: "Kenya Economic Update: Unbundling the Slack in Private Sector Investment Transforming Agriculture Sector Productivity and Linkages to Poverty Reduction (available at <http://documents.worldbank.org/curated/en/820861554470832579/Kenya-Economic-Update-Unbundling-the-Slack-in-Private-Sector-Investment-Transforming-Agriculture-Sector-Productivity-and-Linkages-to-Poverty-Reduction>).

² This was particularly evident in the 2008-2011 drought, where the post disaster needs assessment estimated that the total losses incurred (primarily by the agriculture sector) were in excess of USD 12 billion (Kenya Drought Operations Plan, 2013-2014).

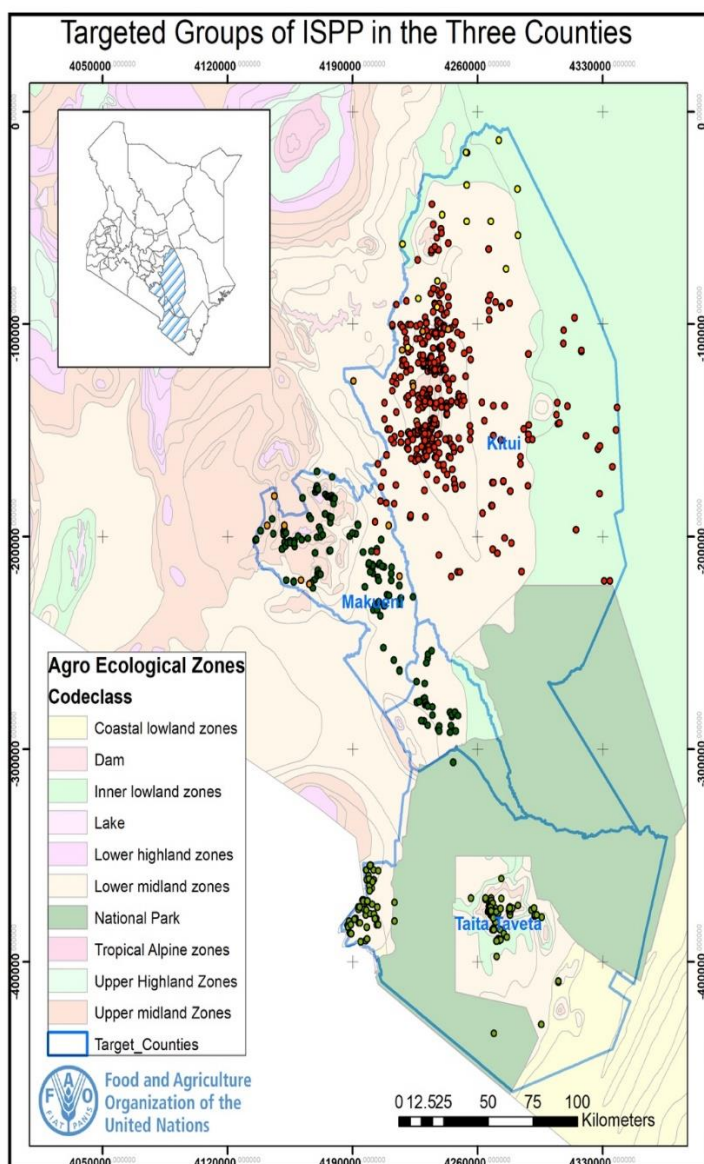
6. The low productivity rates in semi-arid areas are tied directly to economics. Farmers are unwilling (or unable) to invest in certified seed for drought resistant crops and in construction of soil and water conservation structures without the assurance that surplus produce will be sold and a profit will be made. Based on ease of market access and home consumption preferences, maize therefore remains the most common crop grown in the semi-arid areas, developed from home-grown seed, or seed traded in the informal system.
7. The above-described scenario develops into food- and nutrition-insecure situations for Kenyans. In counties of Kitui, Machakos, Makueni, Taita Taveta and Tharaka Nithi, which are largely classified as ASALs, it is estimated that 60 percent of the population rely on food donations, especially during the dry spells. Child stunting in such areas are up to double the national rates. The situation of food and nutrition insecurity continues to deteriorate as a result of the expanding population and severe and frequent droughts.
8. Additionally, women constitute the majority of small-scale farmers in current rural realities. They have limited access to the productive inputs needed to maximize their productive engagement in agriculture. The constraints faced by women in agriculture and rural development and in accessing financial services have been comprehensively documented in various publications.³
9. While Kenya has experienced reduction of poverty and growth in the agricultural sector in the past years, some challenges still persist. The 2019 World Bank (WB) Kenya Economic Update concluded that, in Kenya, enhancing access to agricultural financing, establishing structured commodities trading (thus increasing private sector participation), investing in irrigation and agricultural water management and supporting stronger farmer organizations could increase productivity and competitiveness of smallholders, thus helping to foster economic inclusion of smallholders, increasing their market power and livelihood income.
10. Based on the above, the core of any solution to poor agricultural productivity (and its consequent poverty) is dependent on a critical mass of farmers adopting good agricultural practice (GAP), conservation agriculture (CA), soil and water harvesting techniques; supported by an enabling policy environment and by nutrition education.

Project background⁴

11. Taking the above context into account, the ISPP project was designed to improve smallholder farmers' capacity for agricultural production, water management and farming as a business, in the Kenyan semi-arid counties of Kitui, Machakos, Makueni, Taita Taveta and Tharaka Nithi.

³ Such as the World Bank's (WB) World Development Report 2012 on "Gender Equality and Development", the State of Food and Agriculture Report, 2011, on "Women in Agriculture" by the Food and Agriculture Organization of the United Nations (FAO), and the "Gender in Agriculture Sourcebook" in 2008 by WB, FAO, and the International Fund for Agricultural Development (IFAD).

⁴ The section on project background is based on FAO's project document and on the World Bank report: "Kenya Economic Update: Unbundling the Slack in Private Sector Investment Transforming."



Map conforms with UN. 2020. [Map No. 4170, Rev. 19](#).

12. The project outcome is "Improved livelihoods through enhanced productivity, market linkages and better nutrition". To achieve this, three main objectives were designed:
 - i. improved agricultural productivity through access and efficient management of water for irrigation, GAP and climate-resilient agricultural practices;
 - ii. improved nutritional status, especially of women and children; and
 - iii. facilitation of the transition of smallholder farmers from subsistence to commercial farming through promoting agribusiness, improving post-production management and supporting market linkages and trade for targeted value chains (green grams, pigeon peas, soya, sunflower, beans and sorghum).
13. Six key-outputs were designed to achieve this outcome and the objectives.
14. The table below summarizes the ISPP project results framework:⁵

⁵ Source: Project Document.

Table 1. ISPP project results framework summary

Development goal	To contribute to the reduction of rural poverty, food and nutrition insecurity of smallholders in the ASALs
Project outcome	Improved livelihoods through enhanced productivity, market linkages and better nutrition.
Project outputs	Output 1.2.2.1: Improved smallholder productive capacity on agronomy, water use and management
	Output 1.2.2.2: Improved and inclusive farmers’ capacity to establish diverse, high nutritional value crop gardens
	Output 1.2.2.3: Improved access by women and children to diverse and quality foods
	Output 1.2.2.4: Improved trade and market linkages that integrate gender considerations.
	Output 1.2.2.5: Improved and equitable smallholder capacity on agribusiness management.
	Output 1.2.2.6: Project management and coordination.

Source: elaborated by OED based in the Project Document.

15. In total, the project aimed to reach out to 85 000 men and women smallholder farmers whose livelihoods revolve around cereals, pulses and tree crops. More specifically, the project aimed to
 - i. Support 25 000 farming households, including female-headed, to improve their access to water for production.
 - ii. Support 20 000 male and female-headed households with children under two years of age to improve complementary feeding and overall family feeding
 - iii. Support 40 000 male and female-headed farming households build their capacity in farming as business, and
 - iv. Support the linkages of 20 000 (out of the 40 000 farmers mentioned above) farming households, including female-headed households, to markets.
16. Through a value chain approach, the ISPP project also planned to reach a range of other groups agro-service providers, agro-input supplies including financial and insurance, equipment and related suppliers, public and private extension providers, private farming contractors, transporters and traders, processors and agricultural college students.
17. ISPP project designed a range of activities to provide the above-mentioned support, such as workshops on nutrition, training on agribusiness combined with a mentorship and coaching programme, integrating gender equality and women leadership; linking farmers with seed providers, financial providers and with potential buyers.
18. The project built on and complemented diverse existing initiatives, such as:
 - i. Investments of by county governments and development partners in water harvesting structures, farmer organizations (including women and youth-led organizations);
 - ii. Project “Improving productivity and profitability of smallholder farmers through promotion and up scaling of Good Agricultural Practice and Conservation Agriculture (IPP-GAP/CA)”, a component of the wider Kenya Cereal Enhancement Programme- Climate Resilient Agricultural Livelihoods (KCEP-CRAL) project, which is a partnership between the Government of the Republic of Kenya, the European Union, the International Fund for Agricultural Development (IFAD), the World Food Programme (WFP) and FAO. The IPP-GAP/CA follows a gender-sensitive value chain approach to support ASAL smallholder farmer graduation to market-oriented/commercial farming, addressing key constraints

faced by men and women in policy, production, post-harvest management, processing, and marketing in targeted commodity value chains.

- iii. USAID credit guarantee programme, through Development Alternatives Incorporated, aiming to ensure financial inclusion for rural enterprises.

- 19. The project is aligned with FAO’s Kenya Country Programming Framework (CPF), Kenya’s National Development Goals and FAO’s Strategic Objectives. The box below summarizes these alignments.

Box 1. Alignment of ISPP project with Country Programming Framework (CPF), National Development Goals and FAO’s Strategic Objectives (SOs)

<p>FAO’s Strategic Objectives (SOs) SO 2 : increase and improve provision of goods and services from agriculture, forestry and fisheries in a sustainable manner SO 1: contribution to eradicate hunger, food insecurity and malnutrition.</p>
<p>CPF overall objective: contribute to the eradication of hunger and food insecurity and malnutrition in Kenya SO 2: increasing and improving provision of goods and services from agriculture in a sustainable manner SO 1: contributing to the eradication of hunger, food insecurity and malnutrition. SO 4: enabling more inclusive and efficient agricultural and food systems at local, national and International level (ISPP project contributes with some elements) SO 5: increasing the resilience of livelihoods to threats and crises (ISPP project contributes with some elements)</p> <p>Contribution to CPF at country level: Outcome 1 aims at supporting agricultural based livelihoods and sectors through an enabling policy and investment environment that promotes equality and inclusivity Outcome 2: Agricultural productivity and production of medium- and small-scale producers increased, diversified and aligned to markets Outcome 4: Improved livelihood resilience of targeted, vulnerable populations.</p>
<p>Kenya’s “Vision 2030” goals: agriculture as one of the key economic sectors expected to drive the economy.</p>
<p>Government of the Republic of Kenya Agricultural Sector Development Strategy (ASDS) 2010-2020’s objective: achieving an agricultural growth rate of 7 percent per year and to reduce food insecurity by 30 percent, by promoting an innovative, commercially-oriented and climate-smart modern agriculture. The Big 4 development agenda objective: agriculture aims to attain 100 percent food and nutritional security for all Kenyans by 2022.</p>
<p>United Nations Development Assistance Framework UNDAF Outcome 3.2 (Productive Sectors and Trade), 2018’s target: Kenya’s productive and service sectors (agriculture, manufacturing, extractive industry, trade), and their value chains, are transition towards a green economy, participatory, environmentally friendly, diversified, technology innovative, export-oriented and competitive on national, regional and global markets.</p>

- 20. The project is implemented by FAO Kenya, through an Implementation Unit (IU) anchored within the Crops and Agribusiness Sector Department and Nutrition Unit in FAO Kenya. The team includes experts in agronomy (GAP and CA), agribusiness, irrigation engineering; agriculture policy, gender, nutrition, and monitoring and evaluation.
- 21. A National Project Steering Committee and PSCs at county level were established at national level and the county level to provide guidance to implementation. At the National level, the PSC was hosted by the Ministry of Agriculture and joined FAO, by the Ministry of Water and Irrigation, the Council of Governors of Kenya, county executive officers and the county directors of agriculture. The PSC met twice in the past three years and provided valuable guidelines to its implementation. At the county level, the county ISPP project Steering Committees were chaired by the county

directors of agriculture and brought together relevant county-level stakeholders from ministries, the private sector and farmer organizations. These committees meet quarterly.

Results achieved to date

22. According to the latest updated Progress report (FY 3, q 3; 01-April – 31-June 2019). To date, the ISPP project has enhanced skills of 70 451 participants in total, including female, through trainings.
23. Some of the project's achievements to date include:
 - i. The project leveraged a cumulative amount of investments of over than USD 196 000.
 - ii. Through purchase agreement and/or contract arrangement, producers have sold a total of USD 178 000.
 - iii. Through the project support, stakeholders along the value chains received a cumulative total of over USD 446 000 as loans.
24. The Project is being monitored using a set of USAID predefined indicators which can be linked with the originally designed results framework (RF). A baseline, midline and endline survey were carried on. The RF updated with the latest information available on the progress on activities and outputs is available on Appendix I. Appendix II presents information on the progress on the USAID indicators currently being monitored and shows their relationship with the project indicators originally designed.

Evaluation purpose

25. The FAO Governing Bodies have stressed the importance of the systematic evaluation of extra-budgetary work of the Organization. Since 2007, it has been a requirement that all projects with a budget above USD 4 million must include a dedicated independent evaluation led by OED. Project GCP/KEN/082/USA, with a total budget of USD 6 146 477 is above the USD 4 million threshold and therefore it requires an independent dedicated evaluation.
26. On the one hand, the Evaluation will have an accountability purpose and will provide evidence on how the resources have been used and what have been the main results achieved.
27. The evaluation will also document important lessons to guide future actions and will serve as an input to improve formulation and implementation of projects that may use similar approaches. Likewise, it will present strategic recommendations in order to maximize the institutionalization and appropriation of the project's results by stakeholders and disseminate information to authorities that could benefit from it.
28. The primary intended users of the evaluation are:
 - i. FAO Kenya office, Project Management Team, members of Project Task Force in the FAO Headquarters and regional office, and technical divisions, that will use the findings and lessons identified in the evaluation to finalize project activities; plan for sustainability of results achieved; improve formulation and implementation of similar projects at the national and the global level. The evaluation results will be shared in the end of project conference to happen in January 2020.
 - ii. USAID, the main donor of ISPP, that can use the evaluation results for accountability, as well as could draw on lessons from this programme to orient their funding and implementation decisions of future similar initiatives.

- iii. The Government of Kenya, that will use the evaluation results and lessons learned in the continuation of the work initiated under this project and more in general in its initiatives in support to Small-holder agriculture. In particular:
 - the Ministry of Agriculture, Livestock and Fisheries, which is the main national partner for this intervention;
 - the Ministry of Water and Irrigation, which was part of the PSC;
 - the Council of Governors of Kenya, that was part of the PSC; and
 - the county governments of Kitui, Taita Taveta, Tharaka Nithi, Machakos and Makueni, which were actively involved in the implementation of ISPP through the county ministers of agriculture.
29. Among other organizations supporting or implementing initiatives in similar topics in Kenya or in other countries, the following are envisioned as an interested audience for the evaluation results:
- i. the World Food Programme (WFP) and the International Fund for Agricultural Development (IFAD);
 - ii. the Agri-nutrition FTF Partners Technical Working Group;
 - iii. Nutrition and Health Programme Plus (NHP Plus);
 - iv. the Rabobank Foundation, which was partner of the project to offer affordable credit to farmers and could use the results of the evaluation to further formulate the offer of similar credit lines, as well as other similar financial providers in Kenya which provided credit lines to the farmers; and
 - v. the project beneficiaries, including farmers associations and local organizations.

Evaluation scope and objectives

30. The evaluation will cover the whole period of ISPP project implementation (from September 2016 to December 2019) and will cover all the counties where ISPP project was implemented.
31. The TE will look at the relevance of the project, achievement and sustainability of project results and the degree of achievement of long-term results (progress to impact). This evaluation also should identify lessons learned and provide recommendations to inform implementation of similar initiatives and the potential continuity of this initiative by the Government of Kenya.
32. The TE will assess whether the project's efforts, were efficient to achieve planned outputs and the main outcome of "Improved livelihoods through enhanced productivity, market linkages and better nutrition".
33. Following the principle that evaluations should be useful, and as requested by FAO Kenya, in particular, the evaluation will focus on the following aspects:
- i. the contribution of the project to enable farmers to produce their own consumption and to sell their production at market (and, in some cases, invest in a larger scale production);
 - ii. to understand how the collaboration, learning and adaptation aspect of the project worked and how/how much has the partnership contributed to the results;
 - iii. to identify whether and how the holistic approach (production + nutrition) has worked and whether this approach can bring insights for future implementation and formulation; and

- iv. to investigate how farmers and their families are changing dietary habits per influence of the project.

Evaluation key questions

Evaluation criteria	Evaluation Questions
<p><i>1 Relevance</i></p> <p><i>(design, internal coherence, relevance of intervention)</i></p>	<p>1. Was the project design appropriate for delivering the expected outcome of “Improved livelihoods through enhanced productivity, market linkages and better nutrition?”</p> <p>1.2. Was the project design congruent with the USAID operational program strategies, Kenya national priorities and FAO Country Programing Framework?</p> <p>1.3. To what extent was the technical support provided by FAO relevant to Kenya, taking into account the countries’ capacities and needs?</p> <p>1.4. To what extent were the approaches adopted by the project relevant to the context and the needs of beneficiaries?</p> <p>1.5. To what extent were FAO’s comparative advantage and existing complementarities with other partners taken into account in the project design?</p> <p>1.6. To what extent were gender equality considerations reflected in project design to address the needs, priorities and constraints of both women and men?</p>
<p><i>2 Effectiveness</i></p>	<p>2. To what extent did the project contribute to improved livelihoods through enhanced productivity, market linkages and better nutrition?</p> <p>2.1. To what extent and how has the project contributed to improved smallholder productive capacity on agronomy, water use and management? (Output 1.2.2.1)</p> <ul style="list-style-type: none"> • 2.1.1. To what extent have smallholders in project’s ASALs improved their capacity to access productive resources such as seed stock, water and irrigation techniques, and other agricultural infrastructure? Are they applying the new capacity acquired, thus having actual access to such resources? <p>2.2 To what extent and how has the project contributed to improved and equitable smallholder capacity on agribusiness management (Output 1.2.2.5)</p> <ul style="list-style-type: none"> • 2.2.2. To what extent are smallholders being able to access financial providers, obtain and pay loans? • 2.2.3. To what extent have smallholders in project’s ASALs improved their capacity to manage their production in all steps of production and marketing processes? Are they applying the new capacity acquired? <p>2.3. To what extent and how has the project contributed to improved and inclusive farmers’ capacity to establish diverse, high nutritional value crop gardens? (Output 1.2.2.2)</p> <ul style="list-style-type: none"> • 2.3.1. Have smallholders in project’s ASALs improved their knowledge on nutrition and their capacity to access, produce, and consume nutrient-dense foods? • 2.3.2. Are smallholders in project’s ASALs applying the knowledge and capacity acquired, thus improving the production and consumption of nutrient-dense foods? <p>2.4 To what extent and how has the project contributed to improved access by women and children to diverse and quality foods? (Output 1.2.2.3)</p> <ul style="list-style-type: none"> • 2.4.1. Have families changed their children’s diets and feeding habits? <p>2.5 To what extent and how has the project contributed to improved trade and market linkages that integrate gender considerations (Output 1.2.2.4)</p> <ul style="list-style-type: none"> • 2.5.1. (How) Are beneficiaries and, in particular, women, being able to access markets and take advantage of linkage opportunities (including access to loan providers)? <p>2.6. To what extent have Counties’ stakeholders (including government, non-governmental Organizations (NGOs), the private sector and lead farmers) increased their capacity to provide</p>

	<p>training and support for beneficiaries in targeted locations, so that they can increase and maintain productivity, transition to market and improve nutrition?</p> <p>2.7. Which implementation strategies were more effective to achieve the project's results? Which implementation strategies were not effective? Why?</p> <p>2.8. Which are constraints and challenges still impeding ASAL's smallholders to produce, market and consume their own crops? (How) do these constraints and challenges particularly affect women, youth and other vulnerable groups?</p> <p>2.9. To what extent were gender equality considerations reflected in the identification of beneficiaries? To what extent gender equality considerations have been reflected in the implementation of the project and how? Have gender relations and equality been or will be affected by the project (Gender mainstreaming)?</p>
<i>3 Efficiency, project implementation and execution</i>	<p>3. To what extent management arrangements were appropriate to deliver efficiently the programme?</p> <p>3.1. To what extent did FAO deliver on project identification, concept preparation, appraisal, preparation, approval and start-up, oversight and supervision? How well risks were identified and managed?</p> <p>3.2. To what extent were the management arrangements and governance structure of the project adequate to deliver the attended results in an efficient manner?</p> <p>3.3. To what extent was FAO effective in coordinating roles and responsibilities with the other partners involved in the ISPP project?</p> <p>3.4. To what extent has the management been able to adapt to changing conditions to improve the efficiency of project implementation? To what extent has the collaboration, learning and adaptation strategy of the project was able to contribute to project results?</p> <p>3.5. Was the project monitoring information used to make timely decisions and foster learning during project implementation?</p>
<i>4 Sustainability</i>	<p>4. To what extent are the results achieved by the project sustainable?</p> <p>4.1. What are the prospects for the Government of Kenya, in national and county levels, to sustain the results achieved by the project after the completion of FAO's assistance, from the perspectives of capacity, interest and resources?</p> <p>4.2. To what extent are the Project's beneficiaries able to maintain their increased production, management/marketing and improved nutritional habits/practices after the completion of the Project?</p> <p>4.3. What are bottlenecks which could impede the sustainability of the project's results?</p>
<i>5 Progress towards Impact</i>	<p>5. To what extent has the Project contributed to the overall goal of reduction of rural poverty and food and nutrition insecurity of smallholders in the ASALs?</p> <p>5.1. To what extent has the project built resilience of beneficiaries to prevent them from falling back to extreme poverty?</p> <p>5.2. Are conditions set by the project, including target, suitable for reaching transformational change?</p>

Methodology

34. The evaluation will adhere to the United Nations Evaluation Group (UNEG) Norms & Standards⁶ and will be in line with the OED Manual and methodological guidelines and practices. The

⁶ <http://www.uneval.org/document/detail/21>.

evaluation will adopt a consultative and transparent approach with internal and external stakeholders throughout the evaluation process.

35. The evaluation will also follow the UNEG Ethical Guidelines for Evaluation. The ET members are responsible for safeguarding and ensuring ethics at all stages of the evaluation cycle (preparation and design, data collection, data analysis, reporting). Data-collection with young people will use appropriate techniques and guarantee that informed consent is given by the young informants and by their respective responsible adults (if they are minors according to the country's law).
36. These TORs suggest an overall methodological approach that could be adopted to address the main evaluation questions. The evaluation matrix, which will be developed by the ET in consultation with the Evaluation Manager (EM), will present the sub-questions to be addressed by the evaluation and refine the methodology as well as the methods and tools selected to collect data/evidence to answer them.⁷ The evaluation will be results-focused, and triangulation of evidence and information gathered will underpin its validation and analysis and will support conclusions and recommendations.

Evaluation approach

37. This evaluation will adopt a qualitative approach. Qualitative data-collection methods and content analysis will be used to identify, analyse and interpret evaluation findings.
38. Nevertheless, the baseline, mid-line and end-line survey results collected by the Project Team along the implementation and right before the evaluation mission should be included in the data to be analysed. These quantitative data should, at the same time: i) inform the sampling and instruments design for the data-collection with the beneficiaries; and ii) be interpreted along with the qualitative data collected to answer the evaluation questions.
39. The evaluation will take into account contextual challenges and other limitations out of control of the Project team when assessing, in particular, effectiveness and efficiency.
40. Specific tools and frameworks should be used to evaluate gender and capacity development:
 - i. Evaluating Gender: The ET will assess how gender concerns have been taken into account in the design and during the implementation of the project. FAO's Policy on Gender Equality⁸ will constitute an important base for the evaluation. In addition, the Guidelines for assessing gender mainstreaming⁹ developed by OED will be used by the team. Particular attention will be devoted to four FAO's Gender Equality Objectives: i) equal decision-making; ii) equal access to productive resources; iii) equal access to goods and services for agricultural development and markets; and iv) reduction of women's work burden.
 - ii. Evaluating Capacity Development: Given the nature of the project that places a strong emphasis on capacity development, FAO's OED Capacity Development Evaluation Framework will also constitute an important framework for analysis. Specific questions to frame this assessment have been included in the evaluation questions, above.

⁷ The inception report, which will include the evaluation matrix, will be the first product to be delivered by the ET.

⁸ <http://www.fao.org/docrep/017/i3205e/i3205e.pdf>.

⁹ <http://www.fao.org/3/a-bd714e.pdf>.

Data-collection methods

41. Desk-review: an extensive review of documents produced by the programme and the partner-countries will be a key-source of information to the inception phase and, ultimately, to answer to all the evaluation questions. Among the documents to be reviewed are annual work plans, project implementation review, baseline, midline and end-line surveys, progress reports, and Back to Office Reports (BTOR).
42. Interview with Project team and key-stakeholders: semi-structured interviews (SSI) with the Project Team, key stakeholders and other informants that were involved in - or affected by - the project design and/or implementation will serve to collect primary data to develop the inception report and to answer to all the evaluation questions. Interviews will be supported by checklists and/or interview protocols to be developed by the ET at the beginning of the evaluation.
43. A detailed list of stakeholders will be elaborated by the ET. At minimum, representatives of the following stakeholders will be interviewed at the national level:

FAO	LTO, FAO LTU, FAO KEN (Budget Holder – BH)
USAID	FtF country coordinator, Agreement Officer Representative (AOR)
Project management team	Project Manager, experts/advisors (including agribusiness, gender and nutrition), monitoring and evaluation (M&E) officers
Government	<ul style="list-style-type: none"> - Project Steering Committee (PSC) members - the Ministry of Agriculture, Livestock and Fisheries - the Ministry of Water and Irrigation - the Council of Governors of Kenya - County Ministers of Agriculture including the project desk officers in the counties and wards. - County Ministers of Health

44. Field visits: in order to technically assess and analyse project implementation and results in the field, the ET will visit locations where project was implemented, to interview beneficiaries and local stakeholders (e.g. extension and local government officers). Data-collection techniques such as Focus-Group discussions (FGDs), stakeholder workshops, SSI should be used. Use of data-collection techniques such as “Most Important Change Story” and other appropriate tools to capture case studies are envisioned.
45. Purposeful sampling strategies will be applied to identify and select project locations to be visited among the counties of Kitui, Machakos, Makueni, Taita Taveta and Tharaka Nithi and the over 80 000 beneficiaries involved, to answer evaluation questions related to relevance, results, efficiency, progress to impact and sustainability.
46. The criteria for the selection of locations will be developed by the team in consultation with the project team and explained in the inception report. The results of the endline survey should inform this sampling. Among the criteria there will be:
 - i. representativeness of different degrees of results among the locations where the project was implemented (e.g. locations where many farmers had access to loans vs. locations where very few or no farmers had access to loans, and so on);

- ii. the sample should include locations in remote areas and in more accessible areas (closer to main cities) to compare differences in performances; and
 - iii. time, distance and other constraints.
47. The inception report will also clarify the strategy that will be used in each site to select participants for the focus groups (number of participants, characteristics, etc). When possible, female and male farmers, as well as young farmers will be interviewed separately and focus groups with non-beneficiaries will also be conducted to assess the negative and positive spill-over effects of the project. For the individual interviews, in particular, a purposive strategy combined with a snowball strategy might be developed.
48. A detailed list of stakeholders to be interviewed in the project locations and which will be invited to participate in FGD, workshops and other data-collection opportunities will be elaborated by the ET. At minimum, representatives of the following stakeholders will be interviewed at the county level:
 - i. county directors of agriculture at the County Governments of Kitui, Taita Taveta, Tharaka Nithi, Machakos and Makueni;
 - ii. financial providers offering credit lines to farmers in the project counties;
 - iii. extension officers;
 - iv. master trainers;
 - v. farmers associations (including women and youth farmer associations);
 - vi. water user associations;
 - vii. civil society organizations and community-based organizations; and
 - viii. beneficiaries of the project – farmers (male, female, young people).
49. In order to guarantee that the data-collection will be done uniformly in all counties, the evaluation team leader (ETL) will include in the planning opportunities to align its members and, if necessary, provide training to the ET members on specific aspects of the data-collection instruments.
50. The baseline, mid-line and end-line survey results collected by the Project Team along the implementation should be included in the data to be analysed to assess, in particular, results, efficiency, progress to impact, and sustainability. Other secondary data which may be important to guarantee a robust analysis will also be collected and reviewed.

Roles and responsibilities

51. This section describes the different roles that key stakeholders play in the design and implementation of the evaluation in the case of OED-led evaluation and in the case of decentralized evaluations.
52. OED, in particular the EM has developed this TOR from documentation review and from discussions held with the Project Team and the LTO. This TOR has been reviewed and benefited from inputs by the Project Team, LTO, and the Project Task Force (PTF).
53. The BH and LTO have assisted the EM in drafting the TOR, and will assist, in the identification of the consultants and in the organization of the mission. EM is responsible for the finalization of

the TOR and of the identification of the ET members.¹⁰ EM shall brief the ET on the evaluation methodology and process and will review the final draft report for Quality Assurance purposes in terms of presentation, compliance with the TOR and timely delivery, quality, clarity and soundness of evidence provided and of the analysis supporting conclusions and recommendations in the evaluation report.

54. OED also has a responsibility in following up with the BH for the timely preparation of the management response and the follow-up to the management response.
55. The PTF, which includes the FAO BH, the LTO and the Team of the project to be evaluated, are responsible for initiating the evaluation process, providing inputs to the first version of the TORs, especially the description of the background and context chapter, and supporting the ET during its work. They are required to participate in meetings with the ET, as necessary, make available information and documentation, and comment on the TORs and report. Involvement of different members of the PTF will depend on respective roles and participation in the project. The BH is also responsible for leading and coordinating the preparation of the FAO Management Response and the Follow-up Report to the evaluation, fully supported in this task by the LTO and other members of the PTF. OED guidelines for the Management Response and the Follow-up Report provide necessary details on this process.
56. The ET is responsible for further developing and applying the evaluation methodology, for conducting the evaluation, and for producing the evaluation report. All team members, including the ETL, will participate in briefing and debriefing meetings, discussions, field visits, and will contribute to the evaluation with written inputs for the final draft and final report. The ET will agree on the outline of the report early in the evaluation process, based on the template provided by OED. The ET will also be free to expand the scope, criteria, questions and issues listed above, as well as develop its own evaluation tools and framework, within time and resources available and based on discussions with the EM, consults the BH and PTF where necessary. The ET is fully responsible for its report which may not reflect the views of the Government or of FAO. An evaluation report is not subject to technical clearance by FAO although OED is responsible for Quality Assurance of all evaluation reports.
57. The ETL guides and coordinates the ET members in their specific work, discusses their findings, conclusions and recommendations and prepares the final draft and the final report, consolidating the inputs from the team members with his/her own.
58. The tasks of the ETL and ET members will be further developed in the individual TORs.

Evaluation team composition and profile

59. The ET will comprise three consultants: a team leader and 2 or 3 team members. As a whole, the ET will have expertise in all the following areas:
 - i. a good understanding of the Kenyan context and in particular of:
 - ASALs and the challenges of small holder production, access to market and nutrition in such areas;

¹⁰ The responsibility for the administrative procedures for recruitment of the team, will be decided on a case-by-case basis.

- policies and programmes related to the agricultural sector and of the rural institutional context; and
 - government structures and services offered in ASALs.
- ii. experience in evaluating or managing projects in support to:
 - smallholder agricultural production, access to credit and access to market;
 - small production agricultural market chain;
 - good agricultural practices, conservation agriculture;
 - governance of farmers associations;
 - household production and nutrition; and
 - gender-sensitive value chain approach and gender equality in agriculture.
 - iii. understanding of capacity development interventions at individual and institutional level; and
 - iv. good experience in evaluating projects and programmes at field level and facilitating evaluation processes. In particular, good capacity to carry out focus group discussions, use participatory evaluation techniques and facilitate workshops with key informants, including young people.
60. All the team members should be highly aware of gender equality considerations in the country context and they should be familiar with FAO's Gender Policy. One of the team members should have a solid experience in evaluating gender mainstreaming in programmes and projects design and implementation.
61. The team members should be independent. They should not have been involved in the design and execution of the project or in advisory activities related to any aspect of the project.
62. Gender balance should be ensured in the ET, considering that FGDs and other discussions will be done in disaggregated groups.

Evaluation products (deliverables)

63. The ET will be accountable for producing the following deliverables:
- i. Evaluation inception report: the inception report should include the evaluation matrix; an elaboration of the methodology based on the evaluation matrix and the initial methodology proposed in these TORs; sample and sampling criteria; an analysis of the main stakeholders to be interviewed by the team (key informants, beneficiaries etc.); an indicative programme for the data collection including sites to be visited; the main evaluation tools (interview guides for meetings with key informants, list of questions for focus group discussions, etc).
 - ii. Draft evaluation report: OED will review the draft zero of the evaluation report submitted by the ET to ensure it meets OED's quality standards and criteria. The draft evaluation report will then be circulated to the project team and stakeholders for comments before finalisation; suggestions will be incorporated by the ET when considered pertinent.
 - iii. Final evaluation report: The report should include an executive summary. The report will be prepared in English, with numbered paragraphs, following the OED template for report writing. Supporting data and analysis should be annexed to the report when considered

important to complement the main report. A template table of contents for the final report is on Appendix III.

- iv. Presentation of evaluation key-findings, conclusions and recommendations at a debriefing session with the Project team (FAO Kenya) and/or at the end of project Conference to be held in March 2020.

64. The outline of the deliverables will be discussed and agreed with the team at the beginning of the evaluation process and reviewed, if necessary, along the way.

Evaluation timeframe

65. This section lists and describes all tasks and deliverables for which evaluators or the ET will be responsible and accountable, as well as those involving the commissioning office, indicating for each the due date or time-frame (e.g. briefings, draft report, final report), as well as who is responsible for its completion.

Task	Dates	Responsibility (for OED-managed)
TOR finalization	November 2019	EM with inputs from PTF
Team identification and recruitment	November 2019	EM
Reading background documentation provided by PTF	November/ December 2019	ET
Briefing of ET	November 2019	EM
Inception report	December 2019	ET with review/inputs from EM
Interviews with government stakeholders in Nairobi	December	ET
Organization of the field work in counties (travel arrangements, meetings arrangements with project stakeholders and partners, field visits, etc.)	Mid-late December 2019	PTF
Evaluation mission	Early- Mid January 2020	ET
Draft evaluation report	Late January / Early Feb 2020	ET with inputs from EM
Validation of the recommendations	February 2020	ET to the PTF, with help of EM
Final Report, including publishing and graphic design	March 2020	EM with support from ET
Presentation of preliminary findings at national Conference	March 2020	ET with inputs from EM
Management Response	1 month after the Final report is issued	BH
Follow-up report	1 year after the management response is issued	BH

Appendix 1. Implementation progress (Outputs and activities) – updated until June 2019

Source: formulated from Projects' progress reports

Output/Activity	Quarter 4 Y 1 status	Quarter 2 Year 2 status	Quarter 3 Year 2 status	Quarter 4 Year 2 status	Quarter 3 Year 3 status
Output 1.0: Improved Small holder productive capacity on agronomy, water use and management					
1.1. Support formation of water users associations	Continue strengthening of associations	Continue strengthening of committees	Initiated and is a continuing process Strengthen committees	Continue strengthening of committees	n/a
1.2: Train irrigation water user's association committees on efficient management of micro irrigation systems and water harvesting structures.	<ul style="list-style-type: none"> Continue with identification. Training starts 	<ul style="list-style-type: none"> Training ongoing 	Training ongoing	<ul style="list-style-type: none"> Training ongoing 	n/a
1.3: Promote use of GAP, post-harvest handling, food safety and quality management	<ul style="list-style-type: none"> Continue with TNA Start series of trainings to principal households 	<ul style="list-style-type: none"> Continue series of trainings to principal households Year 2 target for beneficiary registration ongoing 	<ul style="list-style-type: none"> Training ongoing Year 2 target for beneficiary registration ongoing 	<ul style="list-style-type: none"> Continue series of trainings to principal households Year 2 target for beneficiary registration ongoing Identify and recruit private service providers 	<ul style="list-style-type: none"> Linked producers to agro-processors Trained on GAP in two counties targeting 700 horticultural farmers per county Promoted value addition, specifically drying of vegetables and fruits, and food preservation and utilization
Output 2.0: Improved farmer's capacity to establish diverse, high nutritional value crop gardens					
2.1. Train male and female farmers on production of high nutritional value	<ul style="list-style-type: none"> Continue with TNA Start series of trainings to principal households 	<ul style="list-style-type: none"> Trainings to principal households continues 	Training ongoing	<ul style="list-style-type: none"> Trainings to principal households continues 	Continue in training and promoting adoption among vulnerable

Output/Activity	Quarter 4 Y 1 status	Quarter 2 Year 2 status	Quarter 3 Year 2 status	Quarter 4 Year 2 status	Quarter 3 Year 3 status
crops and small livestock and vegetable gardens		<ul style="list-style-type: none"> Year 2 target for beneficiary registration ongoing 	Year 2 target for beneficiary registration starts	<ul style="list-style-type: none"> Year 2 target for beneficiary registration ongoing 	
2.2. Train male and female farmers on food safety, preparation, preservation and storage practices	<ul style="list-style-type: none"> Continue with TNA Start series of trainings to principal households 	<ul style="list-style-type: none"> Trainings to principal households continues Year 2 target for beneficiary registration ongoing 	Training ongoing	<ul style="list-style-type: none"> Trainings to principal households continues Year 2 target for beneficiary registration ongoing 	Training to continue and promote utilization of value-added farm products
2.3 Develop and disseminate nutrition promotion materials and key messages on dietary diversity (community dialogue cards, reproduce agri-nutrition manuals, etc.)	n/a	n/a	n/a	n/a	Develop nutrition promotion materials
Output 3.0: Improved access by women and children to diverse and quality foods					
3.1. Conduct Trials for improved practices (TIPs) in one county and development of complimentary feeding recipes	Identification of principle households that will participate in the study, in addition to making prior preparations to identify the extension workers who will be involved in the implementation of day to day activities	Identify extension nutritionists Initiate TIPs - implementation of day to day activities	TIPs - implementation continues	Mid-term review on the TIPs impact	Finalize on TIPs implementation, analysis and report on feeding recipes
3.2. Training of agriculture and health extension on improved complementary feeding practices	n/a	Training ongoing	Training ongoing.	Additionally, training materials will be developed so as to guide the process.	Share recipes widely through workshops Assess the level of children under two (0-23 months) reached with

Output/Activity	Quarter 4 Y 1 status	Quarter 2 Year 2 status	Quarter 3 Year 2 status	Quarter 4 Year 2 status	Quarter 3 Year 3 status
					community-level nutrition interventions.
Output 4: Improved trade and Market linkages					
4.1. Strengthen farmer associations for collective action in marketing	Start series of trainings	continue	Training ongoing and farmers are organized in groups and getting introduced to financial institutions and traders	continue	Formation of farmer cooperatives along specific value chains continues
4.2. Train farmers on contract farming and negotiation skills	Start series of trainings	continue		continue	n/a
4.3. Train farmers on marketing strategies, financial access and market information	Start series of trainings	continue		continue	Strengthen value chain players in linkage to market and financial institutions
4.4. Supporting youth to provide value addition services	Start series of trainings		Youths and MSMEs accessing loans/grants to support value chains	Continue supporting potential youth groups and MSMEs	
Output 5: Improved and equitable small holder Capacity on agribusiness management					
5.1. Identify and train Trainers including private and public extension service providers on technical and managerial agro-entrepreneurship skills	Start series of trainings	Start series of trainings	Identified more trainers and linked to groups	Trainings to continue	n/a
5.2. Mentor and coach producer groups and MSMAEs to access business development services	Start series of trainings	Start series of trainings	Mentorship ongoing	continue	Youths and MSMEs accessing loans/grants to support value chains Support mentorship of youths with business ideas through attachment

Output/Activity	Quarter 4 Y 1 status	Quarter 2 Year 2 status	Quarter 3 Year 2 status	Quarter 4 Year 2 status	Quarter 3 Year 3 status
					to successful entrepreneurs
Output 6: Project management and coordination					
6.1. Establish project steering committee	One of the bi-annual PSC meetings will be held in one of the project sites (TBD)	PSC meetings will be held in one of the project sites in Feb 2018	Third PSC meeting held in Taita Taveta county. Tour of beneficiary groups carried out.	Next PSC meeting is planned for next quarter	Hold final PSC meeting in Taita Taveta
6.2 End of project closure conference	n/a			n/a	n/a
6.2. Conduct project inception meeting	National launch	Hold PSC in Feb, 2018	County-PSC planning meeting were held	More county meetings to continue	N/A
6.3. Conduct gender sensitive baseline needs assessment	Start during this quarter	Disseminate the report	Draft and final report received and under review. Mid-term survey carried out and analysis is on-going	Develop tools for capturing process indicators	Support some of the conference activities
6.4. Develop gender sensitive communication materials	Publication upon receiving approval	Develop and distribute training and data collection materials, t-shirts, caps and pens will also be produced to be used in the project activities. Video training material will be created and published	Visibility materials delivered: Caps, T-Shirts, factsheets, motorcycle reflective vests and banners.	More materials to be developed	Recruit a consultant and undertake the activities

Appendix 2. Projects outcomes, outputs and indicators

Important notice: USAID indicators are not necessarily corresponding to specific ProDoc indicators, even if placed in the same line.

Source: Formulated upon Progress reports, Project Document and spreadsheet "USAID Indicators_Increasing Smallholder_Farmer_final.xls"

Project Outcome	ProDoc indicators						
Outcome Improved livelihoods through enhanced productivity, market linkages and better nutrition.	Percentage increase in volume of agricultural produce for targeted households.						
	Percentage of households engaged in diversified agro-enterprises.						
	Percentage of farmers including women and youth using improved technologies or GAPs in diversified enterprises.						
	Percentage of farmers including women and youth using improved technologies or GAPs in diversified enterprises.						
	- Minimum dietary diversity for children aged 6-23 months.						
	Minimum Dietary Diversity for women of reproductive age (MDD-W).						
	Percentage change in volume traded in metric tonnes.						
	Percentage change in household income of the target beneficiaries.						
	Crosscutting USAID indicators			Progress in USAID indicators 2018		Target USAID indicators 2019	
				baseline	Target	Actual	
	EG.3-1: Number of households benefiting directly from USG interventions [IM-level]				62 600.00	46 802.00	85 000.00
	EG.3.2-1: Number of individuals who have received USG-supported short-term agricultural sector productivity or food security training [IM-level]				52 449.00	48 112.00	81 399.00
Output	ProDoc indicators	USAID indicators	Progress in USAID indicators 2018			Target USAID indicators 2019	
			baseline	Target	Actual		
Output 1.0: Improved Small holder	Number of hectares under irrigation using water efficient methods.	EG.3.2-22: Value of new private sector capital investment in the agriculture sector or food	(2017) 4 855	120 000.00	95 320.00	150 000.00	

Project Outcome	ProDoc indicators					
productive capacity on agronomy, water use and management		chain leveraged by Feed the Future implementation [IM-level]				
	- Number of men and women farmers trained on efficient water management methods.	EG.3-6, -7, -8: Farmer's gross margin per hectare, per animal, or per cage obtained with USG assistance [IM-level]				
	- Number of men and women farmers trained on diversified production systems.	EG.3.2-17: Number of farmers and others who have applied improved technologies or management practices with USG assistance [IM-level]		52 730.00	110 418.00	84 725.00
	- Number of households trained on GAP, post-harvest handling, food safety and quality management. - Number of improved soil and water conservation technologies or management practices established.	GNDR-2: Percentage of female participants in USG-assisted programs designed to increase access to productive economic resources [IM-level]	80.00		80.00	
	- Number of households trained on GAP, post-harvest handling, food safety and quality management.					
	Number of improved soil and water conservation technologies or management practices established.	(report Q2 FY 2017) EG 3.2-18 Number of hectares under improved technologies or management practices				
Output 2.0: Improved farmer's capacity to establish diverse, high nutritional value crop gardens	Number of smallholder households with established vegetable gardens and small livestock.	EG.3.3-11: Total quantity of targeted nutrient-rich value chain commodities produced by direct beneficiaries with USG assistance that is set aside for home consumption [IM-level]				
	Number of farmers (both men and women) trained on food safety, preparation, preservation and storage practices.					

Project Outcome	ProDoc indicators					
and small livestock	Number of male and female farmers with access to diverse, drought tolerant traditional seeds.					
Output 3.0: Improved access by women and children to diverse and quality foods	Feasible, affordable, culturally acceptable, local complementary feeding recipes developed for one county.	HL.9-2: Number of children under two (0-23 months) reached with community-level nutrition interventions through USG-supported programs [IM-level]		100	100	100
	- Number of households that know and apply food safety practices: Reheating; use of clean water; and washing hands.					
	Number of mothers/caregivers that regularly prepare one or more improved complementary feeding recipes.	EG.3.3-10: Percentage of female participants of USG nutrition-sensitive agriculture activities consuming a diet of minimum diversity [IM-level]				
	Number of households with improved dietary diversity.					
Output 4: Improved trade and Market linkages	Number of farmer associations engaged in collective marketing of agricultural produce.	EG.3.2-19: Value of small-holder incremental sales generated with USG assistance [IM-level]		3 674 818.58	1 093 218.74	3 070 729.12
	Number of contractual agreements between farmer associations and buyers.					
	Number of associations with bankable business plans.					
	Number of farmer associations selling market value added products.					
Output 5: Improved and equitable small holder Capacity	Number of extension service providers trained on farm business planning and management.	EG.3.2-3: Number of micro, small, and medium enterprises (MSMEs), including farmers, receiving agricultural-related credit as a result of USG assistance [IM-level]		1 483	64	170

Project Outcome	ProDoc indicators					
on agribusiness management	-Number of male and female farmers trained by extension service providers on farm business planning and management.					
	Number of producer groups and MSMEs accessing business development products and services.	EG.3.2-6: Value of agricultural and rural loans as a result of USG assistance [IM-level]		216 280.00	115 976.00	188 000.00
Output 6: Project management and coordination	Number of counties sensitized on smallholder supplemental irrigation opportunities.	n/a				
	Number of county level stakeholders sensitized on smallholder supplemental irrigation opportunities.					
	Quantity of communication materials developed.					

Appendix 3. Table of contents template for the final evaluation report

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Acknowledgements

Abbreviations and acronyms

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- 4.1 Conclusions
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5 Lessons learned

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