

## **ANNEX 1: Terms of Reference**

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## Acronyms

AsDB	Asian Development Bank
BoBP-IGO	Bay of Bengal Programme-Inter-Governmental Organization
CD	Capacity Development
CCRF	Code of Conduct for Responsible Fisheries
CG	Consultative Group
COFI	Committee on Fisheries
CPF	Country Programming Framework
EAF	Ecosystem Approach to Fisheries
FAOR	FAO Representative
FPMIS	Field Programme Management Information System
GDP	Gross Domestic Product
GEF	Global Environment Facility
HCD	Human Capacity Development
HPAI	Avian Influenza
HQ	Headquarters
IE	Impact Evaluation
ILO	International Labour Organization;
IMO	International Maritime Organization;
IOTC	Indian ocean Tuna Commission
IUCN	International Organization for the Conservation of Nature
IUU	Illegal, Unreported and Unregulated fishing
IPOA	International Plan of Action
LEGN	Development Law Service
LTU	Lead Technical Unit
MCs	Member Countries
MDT	FAO Multi-Disciplinary Team
MFARD	Ministry of Fisheries and Aquatic Resources Development
MR	Evaluation Management Response
NACA	Network of Aquaculture Centre in Asia
NARA	National Aquatic Research Authority
NAQDA	National Aquaculture Development Authority
ODA	Overseas Development Assistance
OED	FAO Office of Evaluation
PC	FAO Programme Committee (one of Organization's Governing Bodies)
PSM	Port State Measures
PTF	Presidential Task Force for Northern Recovery
RAP	FAO Regional Office for Asia and the Pacific
RB	Regular Budget
RFB	Regional Fisheries Bodies
RFMO	Regional Fisheries Management Organization
RO	Regional Office
SF	Strategic Framework
SO	Strategic Objective
STF/A	Status and Trends in Fisheries/Aquaculture
TCD	Technical Cooperation for Development
TCE	Emergency and Rehabilitation Division
TCI	FAO Investment Centre
TCP	Technical Cooperation Programme projects
TG	Technical Guideline
ToC	Theory of Change
TOR	Terms of Reference
UNDAF	United Nations Development Assistance Framework

WB	World Bank
WFP	World Food Programme

## 1 Introduction

1. The FAO Programme Committee (PC), composed of a selected number of member governments on the organization's Governing Council, provides oversight to the evaluation function within FAO and approves its rolling workplan. The PC in 2011 requested the Office of Evaluation to conduct several evaluations of FAO's cooperation in middle income countries. Based on the economic profile of the country, the size of the overall FAO country programme expenditure in the recent past and a rapidly changing context, Sri Lanka was selected together with Vietnam as subjects for country evaluation in 2012. The Sri Lanka evaluation will be the eleventh of its kind produced since 2006 when evaluations designed to assess the totality of the institution's assistance with regard to the country context first began. As Sri Lanka, now considered a middle-income country with significant development successes and lessons to share with the developing world, is shifting from disaster recovery and civil conflict to peace and development, the evaluation's findings and recommendations will aim to be relevant and useful for FAO's future engagement in the country. The evaluation will provide accountability to Government and non-Government partners and communities. In addition to providing lessons specifically on FAO cooperation in Sri Lanka, the evaluation will enrich FAO's synthesis of findings and guidance for its country-level support – particularly important as the organization continues in its decentralization strategy.

2. The Terms of Reference (ToR) for the Evaluation have been developed based on a preliminary analysis of FAO's portfolio of work in Sri Lanka and scoping interviews with key FAO staff in HQ, the regional office in Bangkok and FAO and partner staff in Colombo<sup>1</sup>. The draft TOR were shared and commented on by FAO staff and by consultative groups<sup>2</sup> in Rome and at country level. FAO country evaluations generally cover five to six years of the organization's involvement. According to the events and development issues in Sri Lanka over the past several years and to the nature of FAO's assistance to it, the evaluation will cover the 2006-2011 period.

3. The Terms of Reference represents an important guiding document for the independent evaluation team. The evaluation Team Leader, once recruited, will undertake additional preparatory review and analysis which will result in further refinements in the scope, key issues, tools and methods to be employed in the evaluation which will be presented in his/her inception report at the start of the country mission.

## 2 Brief Overview of Sri Lanka

4. Despite the civil conflict in Sri Lanka over the last twenty-five years and the effects of the 2004 tsunami, the country has made significant achievements on food security, the Millennium Development Goals and economic growth. Today, with 7.6 percent of the population living below the poverty line, near-universal literacy, national income per capita at \$2,006 (in 2008), and growth at more than 6 percent/year on average in recent years, the country is now classified as middle-income, making it an example of development success in

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<sup>1</sup> A one week preparatory mission took place in December 2011. Scoping interviews were held with a cross section of selected external stakeholders from Government, donor and UN partner agencies.

<sup>2</sup> Consultative groups are comprised of key internal and external stakeholders to the evaluation (Government of Sri Lanka representatives, donor representatives and senior FAO staff).

the region and the developing world. With exports at around 30 percent of GDP 2007 and projected to increase, the country's economic growth is expected to continue.

5. However, these impressive statistics mask significant geographic disparities within the country and the Government has committed itself to additional investment in what they refer to as "lagging regions". Sri Lanka has experienced significant hardships as a result of the conflict and the tsunami and from the more recent floods in 2011, which together led to the death of several thousand people, displaced or affected the livelihoods of several hundred thousand others, and has inhibited poverty and hunger<sup>3</sup> reduction and development in some regions and sectors. Socio-economic data on these areas are still scarce but can only be assumed to be less favourable than national averages. While it is hoped that the country will be able to transition back to stability and development, the transition process in the disaster and conflict-affected regions may indeed be gradual and Sri Lanka remains at risk of natural disasters and food insecurity. The Government is committed to disaster risk reduction and the Ministry of Agriculture features prominently in their strategy.<sup>4</sup>

**Table 1. History of Natural Disasters in Sri Lanka**

Disaster	Date	No Total Affected
Flood	25/12/1969	1,000,000
Storm	24/11/1978	1,005,000
Drought	Sep-82	2,000,000
Flood	Dec-83	1,250,000
Drought	1987	2,200,000
Drought	Aug-88	806,000
Drought	Sep-01	1,000,000
Earthquake (seismic activity)	26/12/2004	1,019,306
Flood	01/02/2011	1,053,000
Flood	05/01/2011	1,000,000

Source: EM-DAT: OFDA/CRED International Disaster Database

6. In 2006, the government issued its ten-year development strategy, the *Mahinda Chintana*, one of the three main areas of which is achieving more equitable development through accelerated rural development. While poverty has declined at the national level over the last few decades, income disparity between geographic areas (the West and the other districts) and among classes has increased. Adding to this situation, the 2011 floods in the eastern and central areas reduced paddy production and thus increased the negative impacts of rising world food prices on the country, which is a net food importer. Sri Lanka's aim has been to increase domestic rice production and lessen dependence on food imports, which it hopes to achieve in part through the resettlement of conflict-displaced populations and the resumption of agricultural production.

<sup>3</sup> Malnutrition rates amongst children under 5 years are declining but remain high – particularly acute malnutrition: recently published rates indicate 11.7% wasting, 19.2% stunting and 21.6% underweight (Medical Research Institute, UNICEF, WFP 2010)

<sup>4</sup> National Progress Report on the Implementation of the Hyogo Framework for Action 2009-2011.

7. More recent government development plans, under the broad liberalization agenda of the past few decades, seek to improve the links in the agricultural sector between farmers and markets. In the fisheries sector, the government's goals have been to increase the production, marketing and domestic consumption of fish, raise the livelihoods of fishing communities and implement environmental management of fishery resources—aims that are key for poverty reduction and export-led sustainable growth. In the livestock sector, the Government has prioritized dairy and poultry production. It is important to note that agriculture sector work within Government is divided between eleven sub-sector Ministries<sup>5</sup>. Other important Ministries with mandates related to food security and economic growth include the [Ministry of Disaster Management](#) and [Ministry of Economic Development](#). Special supra-ministerial institutions exist such as the Presidential Task Force (PTF) for northern recovery. The plethora of Government entities concerned with the broader agriculture sector, and levels of devolution of responsibilities within government, creates coordination challenges both internally and for partner agencies such as FAO which work across all sub-sectors.

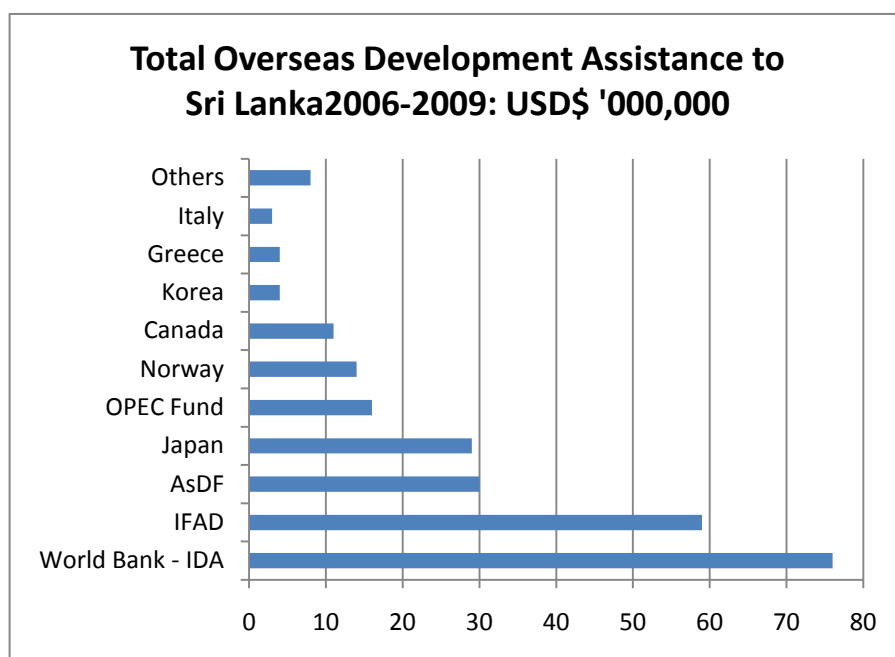
8. Resource partners to Sri Lanka are varied with increasing interest by non-traditional partners (amongst others: Japan, China Iran, Korea and India<sup>6</sup>) in foreign direct investment. Amongst those who contribute to humanitarian and development assistance in the country, the banks (WB, IFAD and AsDB) make considerable funding available through loans and grants – with the most important contributions being towards improving infrastructure and water and sanitation, and relief and reconstruction efforts. Only 6% of resource partner funds go towards the agriculture sector. Discussions held with country level stakeholders suggest that coordination amongst between resource partners and the Government tends to be largely on a bilateral basis – there are few common forums for discussing Government policies and priorities.

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<sup>5</sup> Ministry of Agrarian Services and Wildlife, [Ministry of Agriculture](#), Ministry of Coconut Development & Janatha, Estate Development, [Ministry of Environment](#), [Ministry of Fisheries and Aquatic Resource Development](#), Ministry of Food Security, [Ministry of Irrigation & Water Resources Management](#), [Ministry of Land and Land Development](#), [Ministry of Livestock and Rural Community Development](#), [Ministry of Plantation Industries](#). <http://www.gov.lk/>. Devolution of responsibilities from federal to provincial level is ongoing in Sri Lanka.

<sup>6</sup> Mahinda Chintana Vision for the Future. Towards and Equitable Development. Department of Project Management and Monitoring, Ministry of Planning and Finance. 2011.

Figure 1.



Source: FAO/ADAM - <http://www.fao.org/tc/adam/data/index.html>

9. Humanitarian priorities have been identified and framed by emergency needs assessments and related action plans over the past years. Earlier in the period responses were coordinated under an agriculture sector working group (lead by FAO) and a food aid working group (lead by WFP). In 2010 these two groups merged into the Food and Agriculture working group co-chaired by the two agencies. Then in 2011, the livelihoods sector working group was also added and today the food, agriculture and livelihoods sector is co-chaired by all three agencies<sup>7</sup>, and whose role is to promote food security response that are proportionate, appropriate, and timely.

10. Sri Lanka being a middle-income economy poised for higher growth, and at the same time still beset with rural poverty, agricultural challenges and the need for full recovery from humanitarian crises in some regions will call for a well-tailored strategy on FAO's part for the organization's assistance to be relevant to the country and based on its comparative advantage. The government's increased assumption of power in recent months, its decreased dependence on donors<sup>8</sup>, and the possibility of ethnic tensions re-emerging given the persistence of their root causes, make the development of such a strategy challenging. The evaluation of FAO's cooperation in Sri Lanka will cover the 2006-2011 period to assess the organization's contributions during this critical period of relief, recovery and sustainable development in order to offer forward-looking recommendations on FAO strategy for the future.

<sup>7</sup> [http://www.humanitarianinfo.org/srilanka\\_hpsl/Sectors\\_Clusters.aspx](http://www.humanitarianinfo.org/srilanka_hpsl/Sectors_Clusters.aspx) and <http://foodsecuritycluster.org/>

<sup>8</sup> Japan is by far the largest ODA provider amongst the OECD/DAC countries. It should be noted, however, that Sri Lanka as a country has strong bilateral relationships with a number of non-OECD countries including but not limited to ASEAN countries, China, India, and a number of middle east countries.



### 3 FAO's Programme in Sri Lanka

#### 3.1 Budget and sectoral focus of the field programme

11. During the period under analysis, FAO has implemented 81 country-dedicated projects with a total budget of USD 76.4 million.<sup>9</sup> The majority of the financing (over 95%) has come from resource partner Trust Funds – the balance from FAO regular programme budget for the operating costs of the FAO Representation and to finance TCPs. Approximately 85 percent of the total budget has been under the responsibility of the Emergency Operations and Rehabilitation Division, with the rest under the FAO Representation office. In financial terms, FAO's field projects over the past 6 years have been predominantly focused on providing agricultural assistance to conflict- and flood-affected households<sup>10</sup>. Some of these projects have also involved establishing farmer-to-market links, training and extension services, livestock management and land and irrigation rehabilitation. A significant number of projects aimed to rehabilitate the fisheries sector and the communities dependent on it after the tsunami. Coordination of the agriculture sector humanitarian response has become an increasingly important aspect of FAO's work. Other (non-emergency) related work has included strategic support on hybrid rice production, biotechnologies, coastal resource assessment, etc (see TCP section below).

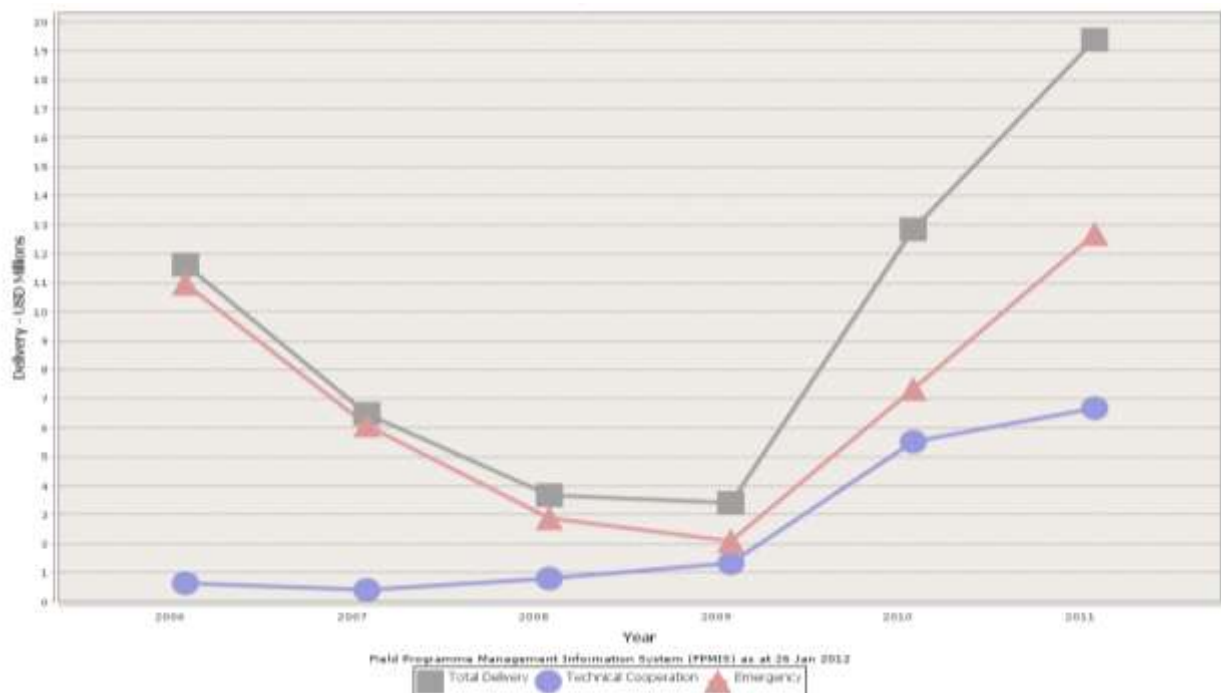
12. As can be seen from the figure below, the overall budget for the FAO programme in Sri Lanka was quite large at the beginning of the period, involving a number of Tsunami related recovery activities which gradually came to a close. Although FAO did undertake some relief support for conflict affected populations during the 2007/8 period, it was only when the civil war ended in mid 2009 and displaced persons began returning to their homes that the FAO portfolio again experienced significant growth as reintegration and recovery interventions were launched. In late 2010/early 2011, Sri Lanka suffered from a new disaster, a flood in the east, which resulted in additional relief activities.

13. The FAO programme has enjoyed support from a diverse group of donors (figure 2 below). Only one project has been funded by the host country itself (UTF/SRL/058/SRL).

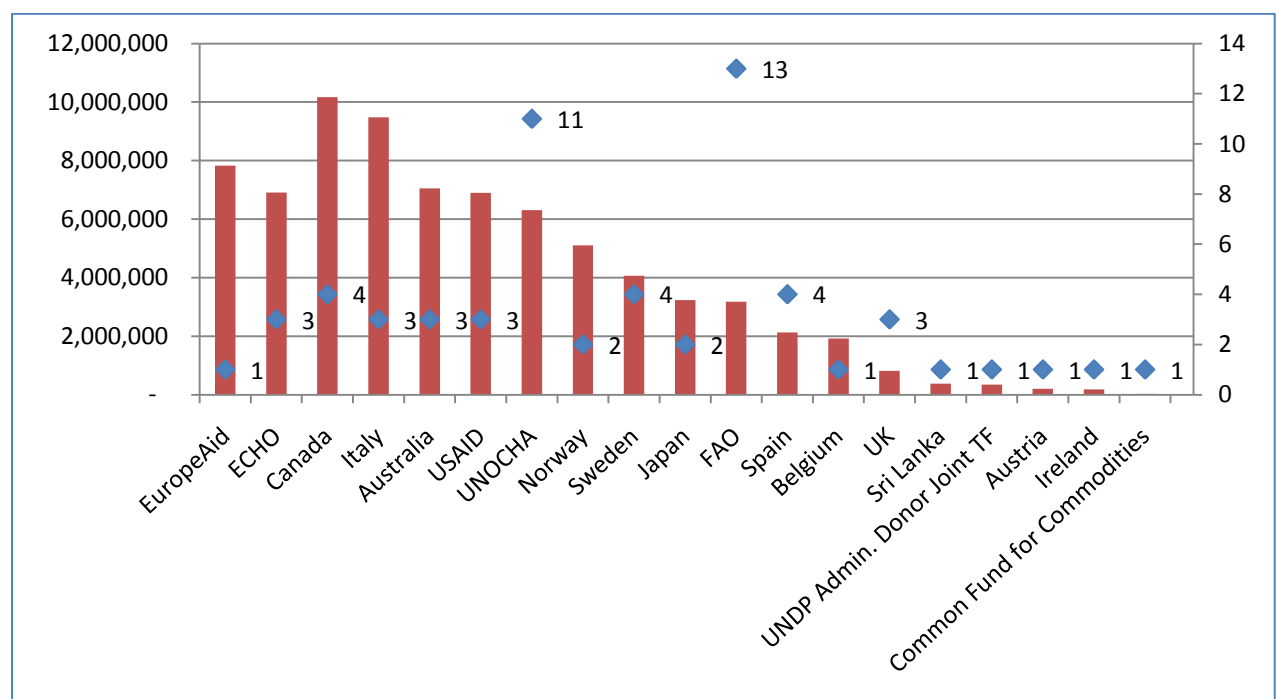
<sup>9</sup> Of the 81 projects, 19 have been small TeleFood Projects that will not be included in the evaluation. The remaining 62 projects have a total budget of USD 76.22 million.

<sup>10</sup> Initial documentation review indicates that there are no projects within the portfolio of interventions undertaken by FAO that have had an explicit gender equity focus or which have in particular targeted females.

**Figure 2. Field Programme Total, Technical Cooperation and Emergency Delivery (Sri Lanka)**



**Figure 2: Total Budget (USD) and Number of Projects by Donor**



### 3.2 *FAO Core Functions*

14. FAO's core functions refer to how FAO delivers its assistance to member countries. FAO's strategic framework describes these as including:

- Providing long-term perspectives and leadership in monitoring and assessing trends in food security and agriculture, fisheries and forestry.
- Stimulating the generation, dissemination and application of information and knowledge, including statistics.
- Negotiating international instruments, setting norms, standards and voluntary guidelines, supporting the development of national legal instruments and promoting their implementation.
- Articulating policy and strategy options and advice.
- Providing technical support to promote technology transfer, catalyse change, and build capacity, particularly for rural institutions.
- Undertaking advocacy and communication, to mobilise political will and promote global recognition of required actions in areas of FAO's mandate.
- Bringing integrated interdisciplinary and innovative approaches to bear on the Organization's technical work and support services.
- Working through strong partnerships and alliances where joint action is needed.

15. In addition to the large portfolio of country level projects listed above under 3.1 which have provided direct support to vulnerable households, FAO has provided other services related to its core functions – principally through Technical Cooperation Programme (TCP) and Regional & Global Programme funds. TCP funding<sup>11</sup> for Sri Lanka has totalled approximately 3.8 million USD over the past 6 years. The amount of funds benefitting Sri Lanka in the regional/global programmes is unknown<sup>12</sup>.

16. In terms of normative work and policy advice in Sri Lanka, FAO has provided support for national planning and development and promoted regional collaboration in the areas of fisheries and aquaculture, including livelihoods and safety at sea (partly under the Code of Conduct for Responsible Fisheries framework), biotechnology, hybrid crops and genetic resources use, disaster and population needs assessment, and avian influenza control. Much of this support has been provided through TCPs. Other uses of TCP funding have included technical support for:

- Aquatic Weeds Management
- Formulation of the National Project on Minimum Standards for Fish Handling and reduced Post-harvest losses in selected tsunami affected communities in Sri Lanka
- Support to the planning and implementation of strategies for components and key activities under the Ten Year Development Policy Framework of the MFARD Fisheries and Aquatic Resources Sector Plan;

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<sup>11</sup> The Technical Cooperation Programme (TCP) is a part of FAO's Regular Programme, financed from the assessed contributions of its Members. The Programme aims to provide FAO's technical expertise to its Member countries through targeted, short term, catalytic projects. Formal requests for TCP support are submitted by FAO member states and are authorized by the FAO Regional Representative. TCP Manual. Managing the decentralized Technical Cooperation Programme. December 2009.

<sup>12</sup> Funds dedicated to individual countries in regional and global projects are generally not specified within Project budgets.

- Preparation of Inland Fisheries sector development programme and implementation strategy;
- Strengthening national capacity for hybrid rice development and use for food security and poverty alleviation
- National seminar on value addition of fruits and vegetables;
- Capacity building in market oriented advisory services for extension workers;
- Collaborative work on Management of Weligama Coconut Leaf Wilt Disease
- Restructuring of National Institute of Plantation Management (NIPM)
- Strengthening the agricultural extension system through agro-enterprise development
- Dairy cattle and buffalo improvement
- Training disabled persons in rural Sri Lanka for sustainable livelihoods
- Formulation of a National Agricultural Biotechnology Research and Development (R&D) Programme and Investment Plan
- Assistance for the Agricultural Census in 2012

17. Amongst the 53 global and regional projects which have nominally included Sri Lanka among the recipient countries, inquiries with FAO staff during the evaluation scoping period indicate that, in terms of specific activities benefitting Sri Lanka, the following projects have involved significant country level work.

**Table 2. Regional Projects with significant Sri Lanka component**

Project Symbol	Project Title	Start Date	End Date	Operating Division	Technical Division
GCP /RAS/218/JPN (under separate evaluation)	Regional Programme for Participatory and Integrated Agriculture, Forestry and Fisheries Development for Long-term Rehabilitation and Development in Tsunami-affected Areas	2006-09	2012-04	RAP	RAP
GCP /GLO/158/SWE	Support to Safety at Sea for Small-scale Fisheries in Developing Countries - Global with Core Activities in West Africa and South Asia (Dec 2006/Dec 2008)	2007-01	2008-12	FII	FII
GCP /RAS/214/IFA	Pro-Poor Policy Formulation, Dialogue and Implementation at the Country Level	2007-05	2010-09	RAP	RAP
GCP /GLO/200/MUL	Support to Safety at Sea for Small-scale Fisheries in Developing Countries - Global with Core Activities in West Africa and South Asia	2007-11	2010-09	FIR	FIR

GCP /RAS/239/SPA	Formulation of a Regional Fisheries Livelihoods Programme	2008-04	2008-07	RAP	RAP
GCP /RAS/236/GFF	Sustainable Management of the Bay of Bengal Large Marine Ecosystem	2009-04	2014-03	RAP	RAP
TCP/RAS/3302	Improving post-harvest practices and sustainable market development for long-line fisheries for tuna and other large pelagic fish species	2010-08	2012-07	RAP	FIP
TCP/RAS/3312	Land degradation assessment and monitoring for sustainable land management and climate change adaptation in South Asia	2011-03	2013-02	RAP	NRL

18. With respect to partnership, alliances and advocacy, information gathered during the initial scoping mission (December 2011) suggests that the FAOR has been engaged in dialogue with government and donors with respect to emergency coordination, fundraising, and national strategic planning. It is unclear, however, what joint fora where Government, bilateral and multilateral partners meet to discuss national development issues.

19. FAO has partnered with Government and civil society in the delivery of emergency and recovery assistance to households affected by conflict and natural disasters. This joint work has been formalized under a series of Letters of Agreement.

### 3.3 FAO Representation in Sri Lanka

20. FAO has full-fledged representation in Sri Lanka which comes under the overall responsibility of the FAO Regional Office for Asia and the Pacific (RAP) in Bangkok. The incumbent FAOR has been in the position since mid 2008<sup>13</sup> and is supported by a relatively small permanent staffing<sup>14</sup>. This is complemented by almost 100 staff funded through voluntary contributions (project funding) who are based in the Representation in Colombo and in field offices<sup>15</sup>. The Assistant FAOR Programme is the gender focal point within the country programme. The Recovery Coordination Unit (based in the FAO Representation) manages emergency recovery interventions and staff. Physical premises of the Representation are within a common UN compound.

21. The FAO country team is supported administratively by the FAO Regional Office (RAP) and technically by the multi-disciplinary team (MDT) also based in the RAP Office in Bangkok. The Recovery and Coordination Unit, former Emergency and Rehabilitation

<sup>13</sup> There will likely be a rotation of the FAOR in 2012.

<sup>14</sup> FAO Sri Lanka is classified as a category C office which includes only 8 staff financed by FAO regular programme budget/net appropriation.

<sup>15</sup> FAO currently has project field/district offices in Jaffna, Mannar, Kilinochchi, Vavuniya, Batticaloa, Ampara, Negombo, and Trincomalee.

Coordination Unit (ERCU), is supported administratively and operationally by the Emergency and Rehabilitation Division (TCE) in FAO HQ, and technically by HQ and RAP. The Recovery and Coordination Unit is an integral part of FAO Representation in Sri Lanka.

22. There are no overarching FAO Sri Lanka strategic frameworks in place. At the time of the scoping of this evaluation, the country team is preparing the first Country Programming Framework (CPF) and contributing to the formulation of a new United Nations Development Assistance Framework (UNDAF). According to the FAO Representative, the CPF is based on four sub-sector strategies in the area of agriculture, livestock, fisheries and the environment. It is expected that the CPF will be completed in the first half of 2012. Other potentially important frameworks are the Recovery and Rehabilitation Programme for the Agriculture Sector in Conflict Affected Areas of Northern Sri Lanka and the National Programme for Food Security – both of which FAO was an important contributor to.

## 4 Purpose of the Evaluation

23. The Country Evaluation will aim to assess FAO's performance in Sri Lanka over the past six years, identifying success factors and challenges. Based on the main findings, the evaluation will provide recommendations for maximizing the strategic relevance of FAO's engagement in the country over the next several years, and towards improving the efficient implementation and effectiveness of FAO support to the country in its future operations. Wherever possible, good practices will be identified and learning shared within the broader organization through the dissemination of the evaluation.

24. The main audiences of the evaluation to which the findings, lessons and recommendations will be offered are the FAO Representative and his staff and the Government of Sri Lanka. Given current efforts to strengthen decentralized management of FAO Cooperation, other potentially important users of the evaluation report identified are the Regional Office for Asia and the Pacific (RAP) and other FAO Representations. Other stakeholders to whom the report is intended include the FAO Programme Committee - and FAO HQ senior management and divisions providing operational and technical support to the country programme. Although not a target group for the evaluation report itself, the evaluation also focuses on providing accountability with respect to the communities and in particular vulnerable groups in Sri Lanka that FAO has sought to assist. A broader stakeholder group will also take part in the evaluation through interviews and possibly as part of the country level consultative group.

25. A potential constraint on FAO's eventual adoption of the recommendations presents itself insofar as the development of the CPF for Sri Lanka is already underway and is likely to be finalized by early-mid 2012, whereas the evaluation is scheduled for completion in the middle to the later part of the year. To maximize the internalization and utilization of evaluation findings, the mission should ensure that the evaluation process is as participatory as possible, ensuring discussion with key stakeholders at all key stages within the evaluation. It is also expected that if the evaluation's evidence-based recommendations imply a need for some significant changes in the CPF the necessary modifications will be incorporated into a revised version of the strategy and work planning to ensure FAO's relevance and performance in the country.



## 5 Scope of the Evaluation

### 5.1 Evaluation framework

26. The country evaluation will cover the totality of FAO's cooperation with Sri Lanka over the period 2006 to 2011, including activities supported by the Regular Programme budget and voluntary sources, projects managed by HQ, RAP and the FAOR, the field programme and normative products, and all the major economic sectors. The evaluation will also assess the activities of the FAOR that were not necessarily carried out through projects but that involve the strategic management and direction of the programme and FAO's external image and engagement (e.g. coordination, advocacy, resource mobilization and communication).

27. In accordance with UN Evaluation Group Standards, the evaluation will assess the relevance, efficiency, effectiveness, impact and sustainability of all of FAO's interventions in Sri Lanka. It will also evaluate the extent to which they pursued gender equality and social inclusion<sup>16</sup>, using the new 2010 UN system evaluation guidelines developed for this purpose. Given the extensive emergency recovery programme that FAO has engaged in over the past six years, and the role that FAO has played in coordinating the response, additional evaluation criteria of connectedness<sup>17</sup> and coordination will be added.

28. Given the absence of a strategic framework for FAO's cooperation at country level, the evaluation team will need to establish an alternative framework against which to benchmark FAO performance. While FAO's global strategic framework is useful in a general sense, its scope (given the actual Sri Lanka portfolio) is too broad. Interviews undertaken during scoping mission suggest that the UNDAF 2008-2012 would also not be valid, given the significant contextual changes that occurred during the period that largely made the UNDAF obsolete.

29. The portfolio analysis suggests that the FAO programme has evolved over time, changing as the external context changed, specifically national disasters, conflict, and peace, which indicate that no single framework may be appropriate. Thus an effort has been made to assemble, through a review of project documents, an overview of the evolving programme theory of change during the 2006-2011 period. However, in a summarized form, the majority of FAO resources have been directed to achieving one main overarching relief and recovery goal throughout the 6 year period complemented by a number of sector specific developmental goals.

FAO has set out to achieve this through:

#### Increasing physical household and community assets

- distribution of productive inputs such as boats, engines, fishing gear, seeds/plants, fertilizer, tools, small and large livestock, artificial insemination equipment

<sup>d</sup> System. Internal Draft Document 2010.

<sup>17</sup> Connectedness refers to the need to ensure that activities of a short-term nature are carried out in a context that takes longer-term problems into account (adapted from the concept of sustainability). Coordination refers to the systematic use of policy instruments to deliver humanitarian assistance in a cohesive and effective manner. (planning, data gathering, information management, mobilizing resources and ensuring accountability, negotiating a functional division of labour, negotiating and maintaining a serviceable framework with host political authorities). ALNAP Real Time Evaluation Guidelines 2011.

- repair/upgrading of boatyards and fish landing centres, construction of hatcheries, rehabilitation of irrigation tanks, and provision of storage & processing equipment.
- support for the rounding up, vaccination and return to owners of conflict displaced animals.

*Capacity development* of individuals and organizations (community & local Govt)

- Training of fishers and extension staff in modern fishing and post harvest techniques, food safety and quality control;
- support for institutions mandated for fish landing, fish processing and quality control (training and material support);
- training of community members in crop production, home gardening, nutrition, animal production and food processing;
- training of disabled in agriculture;
- training of district Government staff in soil salinity mgmt;
- provision of vaccines, veterinary drugs, motorcycles to district Government;
- support for certified seed production and revolving seed banks.

*Coordination* of multi-stakeholder efforts

- conducting needs assessments, gathering data and information sharing
- support for joint response planning and tracking
- liaison and communication vertically (between administrative levels) and horizontally (between stakeholder groups).
- provision of technical advice/guidance.

30. Specific community level target groups have included households affected by the 2004 Tsunami, households displaced during the civil conflict, households returning and resettling after the end of the war, and households affected by the flooding in eastern Sri Lanka at the end of 2010. The most severely affected communities have largely been in the north and east regions of the country.

31. Another more general goal statement evident in the programme documentation relates to helping the Government of Sri Lanka improve food security. In this respect two specific projects have targeted been implemented outside of the relief and recovery programme areas:

- Support for sustainable development of aquaculture in the Southern Province
- Land tenure and livelihood support in the Dry Zone.

32. These have been complemented by a number of projects of national and international<sup>18</sup> scope which have sought to strengthen institutions and systems through pilot/demonstration activities (Special Programme for Food Security, Coir processing), support for policy and programme development (National Programme for Food Security, Biotechnology R&D Programme and Investment Plan, land policy, master plan for sustainable development of aquaculture), information and capacity building for statistics (national coastal fisheries database), and capacity development of Government staff from different Ministries in topics such as market-oriented production and enterprise development,

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<sup>18</sup> There are a number of regional projects managed from the FAO Regional Office in Bangkok that have contributed to emergency relief, policy and development related activities of FAO in Sri Lanka.



improved dairy breeding and management, prevention & control of HPAI, hybrid rice development, and aquatic weeds management.

33. The evaluation will need to assess FAO performance looking at results across all of these areas using a mix of methodologies and triangulation of findings across interventions and geography. FAO's corporate "core functions" will also provide a reference against which to examine FAO performance in Sri Lanka.

## **5.2 Evaluation questions**

34. The draft or tentative questions the evaluation will address are the following:

### **5.2.1 Relevance**

- Given the absence of a clear and explicit strategy for the country, to what degree were FAO's interventions in the various sectors and regions aligned with the government's national development strategy (Mahinda Chintana) and aspirations? How has Sri Lanka's status as a middle income country affect FAO approach and functions?
- What forces have shaped FAO's programme at country level? Is FAO aligned with UN priorities in the country? To what extent was FAO able to successfully balance Government priorities with those of the needs of beneficiaries (particularly during the conflict period), ensuring equity and non-discrimination of humanitarian assistance? Have coordination structures been appropriate and do they continue to serve an important purpose? How have FAO interventions been designed to use and strengthen government systems?
- To what extent did FAO seek to address the needs of beneficiaries, particularly women and more disadvantaged groups in recovery operations? How much were the recovery operations designed to advance development and livelihoods risk reduction?
- How appropriate have FAO's set of activities been for the complex mix of recovery and longer-term sectoral issues in the country? What linkages have been established to allow FAO to build on past experience? Given the country's hazard profile, has FAO engaged sufficiently on issues of disaster risk reduction?
- How coherent has FAO's strategy been internally, and with respect to FAO's global strategy and vision? How have corporate and regional processes informed FAO's strategic presence in Sri Lanka? How aligned was/is FAO Sri Lanka with the FAO Regional framework and how important is the Regional Conference in framing issues of importance to Sri Lanka? Have any internal or external factors constrained FAO's relevance?
- To what extent have FAO headquarters and regional staff added value to the design of FAO Sri Lanka programmes and projects?
- What is the quality of FAO intervention designs – is the internal logic sound enough to allow for the achievement of the desired results?

- To what extent has the programme, as designed, played to FAO's comparative advantage within the Sri Lanka context?
- How participative has been the new CPF preparation process vis-a-vis key internal and external stakeholders and how well does the strategic document reflect Government priorities, diverse national needs and FAO's comparative advantage?

#### 5.2.2 Effectiveness

- To what extent did the recovery efforts in the different regions and sectors achieve their immediate desired results, and what longer-term development outcomes emerged?
- To what extent has FAO effectively integrated equity as a cross-cutting theme in its interventions?
- How has FAO's corporate change agenda affected FAO performance at country level? Have FAO's monitoring and evaluation systems served effectively both learning and accountability purposes. How have major evaluations, learning and related new corporate strategies (capacity development, gender, water, forestry, nutrition, etc) been applied in Sri Lanka?
- What internal or external factors inhibited or enabled the achievement of the immediate and long-term results?
- What short-term and "downstream" outcomes, if any, did FAO's normative and policy work contribute to in terms of institutional capacity and knowledge generation? How useful have FAO normative products been at country level?
- How effective was FAO in coordinating humanitarian response with other agencies?
- Is the humanitarian food cluster still an effective and appropriate mechanism for ensuring coordination? To what extent has this lead to improved coverage, reduced gaps and strengthened technical quality humanitarian action in the agriculture sector?
- To what degree did the FAOR succeed in influencing government policy or objectives on the most relevant rural development, food security and environmental issues? Is FAO Sri Lanka seen as leading on or following debates on rural development issues?
- To what extent has FAO facilitated Sri Lanka, as a member state, in their dialogue and engagements with other member states on issues related to food security, agriculture and the environment? How effectively has FAO dealt with the institutional fragmentation within the government with respect to agriculture.
- Given that food security and rural development are multisectoral constructs, to what extent has FAO supported the Government to convene key stakeholders around the table in analyzing and developing strategies for the most important problems?

### 5.2.3 Efficiency

- To what extent were materials, funds, knowledge and staff delivered in a timely and cost-efficient way? Is the mix of staff and consultant optimal for the delivery of a high quality programme? In what ways have partners been involved and what has been their contribution and/added value?
- Does the FAO Representative have the incentives, authority, resources, time and support staff necessary to maximize FAO's performance? Were FAO organizational and management structures and system conducive for the delivery of programme? How appropriate have FAO structures and systems been, particularly those concerning the TCE and FAOR relationship, for the transition from recovery to development? What lessons learned and/ good practice are evident with respect to the integration of the emergency and development work under one programme approach? To what extent have HQ the RAP units added value?
- What has been the role of sub national offices and how have they contributed to the management of the programme?
- How has the cost of FAO interventions compared generally with the value-added the organization has provided the country? To what extent has engagement with other UN agencies contributed to increased alignment, efficiency and effectiveness of FAOs work?
- What has FAO's success been in raising funds for a) its own interventions, and b) agriculture sector priorities in Sri Lanka?

### 5.2.4 Sustainability

- Have the interventions been financially and technically sustainable? To what extent will the various benefits of the interventions, in the form of livelihood improvements at the community level, institutional knowledge and systems from normative guidance, and more strategic government plans from FAOR advocacy) continue after these interventions have ceased?
- To what degree has disaster risk reduction and management been built into recovery and development programming?
- What is the extent of the Sri Lankan government's ownership of the interventions, and are the necessary political, economic, institutional and social conditions in place for the results at the various levels to be sustained?

### 5.2.5 Impact

- What have been FAO contributions, through its tsunami, conflict flood emergency operations for affected households, to improved food security, reduced poverty and capacity development? Who has benefited and who has not? To what extent has FAO contributed to gender equity through these interventions?
- To what extent have emergency interventions had an impact on the capacity of public institutions and other partners?
- Has policy advice been used? What impact have TCP funds had?

- How has FAO's normative engagement impacted public and private institutions, regulations, practices, markets and environmental sustainability? To what extent has FAO normative work and policy advice helped remove important constraint for food and agricultural development in Sri Lanka?
- Have there been any unintended impacts (positive or negative) from FAO's programme?
- As mentioned above, the evaluation questions will be refined during the pre-mission inception phase by the Team Leader. The inception report represents a communication tool between the TL and FAO Office of evaluation and further orients team member's work. The Inception report will include an evaluation matrix within which the revised evaluation questions will be indicated as well as the sources of data and methodology which will be used for answering the questions.

## 6 Evaluation Methodology and Approach

35. The evaluation's findings, lessons and recommendations will be evidence-based and use a variety of different methods and tools to gather information. To validate the qualitative and quantitative data gathered and to ensure that the assessment is systematic and objective, triangulation of information will be employed. The following methods and tools, among others, will be utilized:

### 6.1 Preparatory phase

36. Desk reviews of FAO's Sri Lanka project documentation and primary quantitative and qualitative M&E data from FAO projects to capture and quantify the main reported project results.

37. An extraction and synthesis of existing evaluations<sup>19</sup> to identify common findings and areas of recommendation.

38. A desk review of a sample of key projects<sup>20</sup> will be undertaken by the team to provide a sector specific overview of work done by FAO in each area.

39. TCP projects, funded from regular budgetary resources, will be reviewed using a standard format and scoring methodology.

40. An independent impact evaluation<sup>21</sup> of FAO's work in the fisheries sector.

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<sup>19</sup> The Office of Evaluation has managed a number of evaluations of FAO work in Sri Lanka (Annex 4). Several resource partner evaluations have also been completed of EU Food Facility and AusAID supported work.

<sup>20</sup> A sample of projects will be selected for in depth review based on their financial value, specific interventions included, special aspects (innovation, target group, etc) and delivery mode.

<sup>21</sup> OED is concurrently managing a thematic evaluation of "FAO's support to the implementation of the Code of Conduct for Responsible Fisheries". Given the large number of fisheries related projects implemented in Sri Lanka over the last decade, this evaluation will undertake a specific data gathering exercise in Sri Lanka with a particular focus on assessing the impact of FAO's work in support of the implementation of the Code of Conduct for Responsible Fisheries. The full TOR for this exercise is included as Annex 5.

41. A pre-mission study of irrigation tank rehabilitation work (random sample of sites to be visited by a water management expert).
42. Preparation by the Team Leader of an inception report which will further elaborate on key questions to be explored through the evaluation, summarize evidence gathered and analyzed in the preparatory phase, establish the specific mission plan (and approach and methodology to be used), propose a specific list of key informants to be met, and evaluation matrix for the evaluation, and allocate the specific roles, responsibilities and expectations with respect to individual team members.
43. Preparation by team members of a 2-3 page sector specific review by each team member demonstrating their understanding of the context, FAO work in the sector, and specific questions that they deem important to examine in their particular area.

## **6.2 Main evaluation mission**

44. Semi-structured individual and group interviews with internal and external stakeholders at all levels in Sri Lanka, and at HQ and Regional Office levels.
45. Workshops with FAOR staff to identify issues, lessons learned and future directions.
46. Field visits to beneficiary communities and other project sites.
47. Tracer studies to examine the extent to which FAO support for national policies and programmes has resulted in endorsement and implementation.
48. Assessments of the use and usefulness of FAO's normative outputs in the different sectors (e.g. guidelines, capacity-strengthening material and other knowledge products).
49. The evaluation will adopt a consultative approach, seeking and sharing opinions with stakeholders at different points in time. Triangulation of information across stakeholders will be a key tool for gathering and validation of evidence. Among the main internal and external stakeholders to be consulted will be FAO staff at HQ, the Regional Office for Asia and the Pacific, the FAOR, government ministry officials in the different sectors and at different levels, the beneficiary communities, other UN agency staff at strategic and operational levels, multilateral and bilateral donors and coordinating agencies supporting Sri Lanka, international and national NGOs, and possibly independent research and policy institutions. An initial review of project documents provides a more detailed preliminary list of specific agencies with whom FAO has engaged within Sri Lanka.
50. The actual evaluation mission involving the whole team will be carried out in May 2012 over a period of approximately one month.

## **6.3 Dissemination and follow-up**

51. Upon completion of the mission, the team will present its preliminary findings and recommendations to the FAOR, Consultative Group (see below), senior programme/project staff, key government officials and interested partner representatives in a debriefing session.

Comments and additional information from these stakeholders will be considered for the evaluation report.

52. The final draft version of the report will be disseminated to and discussed by the CG and FAO management and their written comments and suggestions provided to the team leader before it is finalized. Specific annexes will be prepared to summarize results of TCP and CERF projects. A rating/scoring system is available and will be provided by OEDD for this purpose.

53. After the report has been finalized, it will be disseminated widely by email, website and through presentations at HQ and country level. The FAOR and OSD will be jointly responsible for coordinating the Management Response to the report and its recommendations. Both the final report and FAO's management response are public documents and should be fully disseminated both internally and externally<sup>22</sup>. This may include country level workshops as appropriate – to be determined by the CG during the presentation of the initial findings at the end of May. Follow up of the management response will be required during the one year period following the evaluation.

## **7 Organization of the Evaluation**

### **7.1 Roles and responsibilities**

54. The FAO Office of Evaluation responsibility for managing the Sri Lanka evaluation and delivering the final evaluation report within a specific time schedule. The OED, is thus responsible for developing the TOR for the evaluation and for developing the TORs for and hiring the Team Leader and the other team members. The Evaluation Manager (EM) is responsible for the formulation of the evaluation draft TOR and participates as a team member in the actual mission, contributing to the writing of the report as defined by the Team Leader. The EM is responsible for reviewing the eventual complete draft report for the purposes of assuring quality and compliance with the TOR – and for promoting the dissemination of the report at different levels. As part of OEDs quality assurance measures, a second officer in the Office of Evaluation will serve as a Peer Reviewer of the final draft report. The Evaluation Manager and another OED staff are full members of the evaluation team, to which they contribute within their competency and mandate.

55. As country evaluations, given their geographic specificity, are not presented individually to the PC, consultative groups (CG) are frequently established at HQ level comprising the specific concerned member state permanent representative and representatives from some of the main resource partners to the country programme. For the Sri Lanka country evaluation, a CG will be established in Rome comprising these stakeholders plus several representatives from FAO senior management. This group will have the opportunity to comment on the TOR, the inception report and the draft Country Evaluation report.

56. Another key actor involved in guiding the evaluation process will be the Department of Project Management and Monitoring, Ministry of Finance and Planning. As the national focal point for monitoring and evaluation of Government development programs and policies,

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<sup>22</sup> The Office of Evaluation posts all reports on the OED website. The FAO Representative is responsible for distributing the report to all key stakeholders at country level after its finalization. For further guidance, see the Guidance note for Conducting Country Evaluations: <http://www.fao.org/evaluation/oed-about/guidelines/en/>



they are a natural counter-part for the FAO Office of Evaluation. They, together with the FAO Representative, will convene and co-chair the national Consultative Group for the evaluation, providing input on the draft Terms of Reference, helping to identify key issues for the evaluation, and supporting the validation and refinement of the report through inputs provided at the draft reporting stage.

57. The Evaluation Team is responsible for the technical and substantive contents of the evaluation. An independent consultant with the required experience in evaluation and a relevant field for the evaluation will be hired as the Team Leader. He will be responsible for preparing an inception report, oversee and guide the evaluation team, develop any specific tools for the evaluation, discuss evaluation findings, conclusions and recommendations with the team and consolidate the inputs of the members to produce the final draft and the final evaluation report. The team members will participate in briefing meetings, discussions and in the preparation of evaluation tools, contributing according to their individual TORs with written inputs to the final draft and final report. The team will decide on the integration of comments and suggestions by FAO stakeholders and the Consultative Group, as appropriate.

58. The FAOR, ADG RAP, and relevant key HQ units (OSD, TC, CSA and the knowledge departments) are responsible for contributing to the draft TOR and for assisting the evaluation team in its work. They are also required to participate in meetings with the team, to make available information and documentation as necessary, and to comment on the final draft report. The FAOR (with support from OSD) also responsible for leading and coordinating the preparation of the FAO Management Response (MR) to the evaluation, in which it expresses its overall judgment of the evaluation process and report and accepts, partially accepts or rejects each recommendation. For accepted recommendations, responsibilities and timetable for implementation will also be indicated; for rejected recommendations, a justification should be provided. One year after the management response is issued, the FAO Representation will prepare the Follow-up report to the MR, to inform on progress in the implementation of the recommendations.

## ***7.2 Composition and profile of the evaluation team***

59. Team members should have experience in both humanitarian and development programming. An effort will be made to recruit Sri Lankan nationals for some of the expert positions as well as obtain gender balance. The evaluation team reflected needed expertise and will tentatively consist of the following seven people:

- Team Leader— experience in strategic evaluations, capacity development, and gender
- OED Evaluation Manager- evaluation. Expertise in food security & nutrition, information management & statistics, and programme management
- OED Evaluation Officer—evaluation and natural resources management and policy assistance.
- Policy and Economic Growth Specialist, with a sound knowledge of Government regional and national strategies and priorities (food security and economic growth) and the international architecture in Sri Lanka.
- Agricultural expert, with wide experience in crop production and market chain development (preferably with broader knowledge of Sri Lankan economic development issues)

- Livestock expert, with experience in both animal health and animal production and related marketing.
- Disaster Risk Management expert – experience in evaluation. Knowledge of risks, hazards and national strategies in Sri Lanka.
- Community development specialist/social scientist

60. Fisheries – as a separate impact assessment, will be undertaken prior to the country mission, the evaluation will build on the information provided, requesting the IE national team leader to participate in parts of the mission as a resource person.

61. Irrigation – to examine the appropriateness, quality and results from irrigation tank rehabilitation work that FAO has undertaken, a consultant will be hired to conduct site visits for a random sample of tanks and prepare a brief report prior to the arrival of the mission. The consultant, as for the fisheries experts, will participate in the main mission in the capacity of resource person.

62. The Evaluation Manager and Evaluation Officer, in addition to contributing their technical expertise, will provide the other team members with information and guidance on evaluation methodology, and on issues relating to FAO structure, mechanisms and procedures, and project and programme management.

63. Prior to the mission, the team will be provided with an internal briefing on FAO as a global organization, Office of Evaluation norms, standards and procedures, any specific methods for the country evaluation, and on respective tasks of team members in the mission. Meetings between the team and key HQ and regional/RAP staff, FAOR, and country programme and project staff will be held to inform team members of FAO's programme in Sri Lanka.

### **7.3 The Evaluation Report**

64. The Evaluation team will decide on the precise outline of the report, but the report will follow OED evaluation report standards and provide evidence-based findings related to the evaluation criteria outlined in Section 5 above and the revised questions developed. Its lessons or conclusions will be founded upon its findings and oriented to provide guidance for FAO's cooperation in Sri Lanka and at the country level in general in the future. The recommendations, in order to be of maximum use to FAO, will be focused, clearly formulated, addressed to the stakeholders with the ability to effect change and actionable. The report will seek to be concise and include an executive summary. The Team Leader will deliver it to OED according to the final timetable determined. The impact assessment conducted for the country study will be provided as an annex to the report, with its findings and recommendations incorporated into the main body of the document.

### **7.4 Tentative evaluation time schedule**

Preparation Phase	
Desk Review	Nov.-Dec 2011
Inception Mission	Jan-March 2012
Establishment of Consultative Groups in Colombo and Rome – March 2012	
Evaluation Phase	



Impact Evaluations (under the Code of Conduct for Responsible Fisheries, and a separate assessment for the country evaluation)	Jan-March 2012
Irrigation study (tank site visits)	March/April 2012
Main Evaluation Mission	May 2012 (debriefing 1 June in Colombo and 5 <sup>th</sup> in RAP/Bangkok)
Report-writing and Dissemination Phase	
Draft Report:	July 2012
Final Report:	August 2012
Dissemination of the Report and Management Response	Sept 2012