

## **Annex 1: Evaluation Terms of Reference**

### **Impact Evaluation of FAO interventions carried out under the Common Humanitarian Fund (CHF) Terms of Reference - 15.03.2012**

#### **INTRODUCTION AND BACKGROUND**

Decades of conflict and unfavourable climatic conditions or natural disasters have contributed to anchoring a chronic state of poverty in Sudan, compounded by the considerable population displacements that have occurred as a result of war and later on, of peace. The 20-year conflict between the Northern and Southern parts of Sudan ended with the Comprehensive Peace Agreement (CPA) signed in January 2005, and led to the partition of the territory in two distinct countries, respectively called Sudan and Southern Sudan<sup>1</sup>. A separate conflict situation which broke out in the western region of Darfur in 2003 remains. This war caused the displacement of nearly two million people and an estimated 200,000 to 400,000 deaths, which has maintained a state of fragility for communities whose lives and livelihoods have remained threatened up to now.

The assistance channelled through the United Nations and International and national NGOs to address humanitarian and rehabilitation needs is collectively planned and implemented through the UN and partners Work Plan (hereinafter the Work Plan), thereby aiming to enhance consistency and co-ordination. The Work Plan outlines country, region and sector objectives and strategies with associated indicators and targets, and the individual projects through which it is envisaged the goals will be attained.

In addition to the bi-lateral donor funding which covers the most significant part of humanitarian interventions in Sudan, responses to the emergency, recovery and rehabilitation needs in Sudan have been funded through several multilateral mechanisms, including:

- The Central Emergency Response Fund (CERF), a humanitarian fund established since 2005 by the United Nations to enable more timely and reliable humanitarian assistance by pre-positioning funding.
- The Common Humanitarian Fund (CHF): a multi-donor pooled fund mechanism from which the Humanitarian Coordinator (HC) allocates grants to priorities identified at the country level through a the Work Plan.
- Flash Appeals, activated in case of major disasters to fund emergency response outside the Work plan.

As an example, in 2008, bi-lateral funding represented about 89 % of total funds channeled to Sudan, while CHF represented about 10 % and CERF funds 1%.

#### **The Common Humanitarian Fund (CHF)**

The Common Humanitarian Fund (CHF) is part of the overall humanitarian reform initiative and supports sector coordination and stronger humanitarian leadership. It has been created in four countries including Sudan<sup>2</sup> with the aim of "improving humanitarian outcomes through the provision of committed funds more rapidly than under previous arrangements; strengthening joint planning

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<sup>1</sup> In these TORs, the term Sudan is understood to refer to the post 2011 definition, i.e. the northern part of what used to be Sudan prior to the CPA.

<sup>2</sup> Other countries where a CHF is operational are DRC, CAR and Somalia.

and coordination; directing funds towards most urgent needs; and ensuring funds are available for rapid response to unforeseen circumstances"<sup>3</sup>.

The main technical secretariat role is partially filled by the Office for the Coordination of Humanitarian Affairs (OCHA), assisted for some of the technical secretariat function by the sector leads and an advisory board. UNDP acts as Administrative Agent for the CHF and as Management Agent for funds channeled through non-UN agencies. The CHF allocations are of three types:

- The *standard allocations* are made by the HC who essentially confirms allocation decisions made by the sectors through an extensive participative prioritization of needs and ranking process with the sector. Such allocations accounted for about three quarters of the allocations in 2010.
- The *special allocations* also made by the HC but with the extensive participatory process replaced by a simple advisory function from the CHF board.
- The *emergency allocations* follow the same type of process as described above. They are meant to allow addressing unforeseen emergency needs.

CHF allocations are made against individual projects rather than programmes, a source of complaint by some UN agencies who argue that this increases the transaction costs.

### Funding trends in Sudan and significance of the CHF

Established in 2006, the Sudan CHF is the second oldest of the four CHFs. CHFs as a mechanism are relatively new and still evolving, and have undergone some significant improvements in 2010. With 891million USD received between 2006 and 2011 for both the Northern and Southern parts of the pre-CPA Sudan<sup>4</sup>, the Sudan CHF has been larger than the other three CHFs combined.

The CHF has been one of the major channel used to fund humanitarian and recovery assistance in Sudan and South Sudan, typically feeding 10-12 % of the total Work Plan funding (or about 30 percent excluding funding for food aid). Oscillating between 108 and 170 million USD invested to cover humanitarian and recovery needs in the period 2006 and 2011, the average volume of funding for the CHF amounted to approximately 151 million USD annually, with the share of allocations ranging from 35 to 45 % for Southern Sudan. Main donors to the CHF include Denmark, Ireland, Netherlands, Norway, Spain, Sweden and the United Kingdom.

Although it is difficult to get precise figures related to CHF funding channeled through Sudan over the period, due to a variety of lines of reporting (inclusion or not of Southern Sudan figures, reporting against overall WP funding or CHF...), it appears from the CHF annual reports that the amount of funds provided by donors to the CHF has been on the decline. Fluctuations in exchange rates compounded the decline in real terms and negatively impacted the overall value of contributions, which are denominated in US dollars. [From 2009 CHF Annual report ].

Observing data related to the total funding channeled through the CAP and the CHF mechanism in both Sudan and Southern Sudan, however provides an idea of weights and trends, as evidenced from table 1 below.

**Table 1: Humanitarian and recovery funding trends in Sudan and Southern Sudan in US\$, 2006-2011**

	2006	2007	2008	2009	2010	2011	Total period
<b>CHF for FAO *</b>	14,995,337	15,303,154	15,176,893	10,520,998	17,658,147	7,020,257	<b>80,674,786</b>
<b>CHF total*</b>	153,431,151	155,209,427	154,467,287	108,800,810	163,554,597	170,830,968	<b>906,294,240</b>

<sup>3</sup> CHF 2008 Annual Report

<sup>4</sup> Reporting until 2011 is seldom merging data applying to both the Northern and Southern parts of the pre-2011 Sudan. Any reference to data including both countries will be made explicit.

<b>CAP for FAO</b>	23,474,097	24,141,065	23,196,943	13,362,441	31,525,473	8,492,595	<b>124,192,614</b>
<b>CAP FSL sector**</b>	670,257,596	525,465,934	712,875,046	746,283,940	642,261,551	395,151,112	<b>3,692,295,179</b>
<b>CAP Total</b>	<b>1,071,073,997</b>	<b>1,085,681,611</b>	<b>1,405,082,164</b>	<b>1,483,176,604</b>	<b>1,202,151,418</b>	<b>769,763,219</b>	<b>7,016,929,013</b>

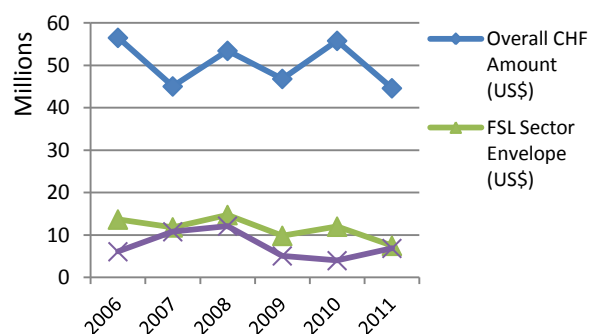
CHF data sources: UNDP Multi-Partner Trust Fund Office Gateway - CAP data source: OCHA Financial Tracking Service

\* corresponds to approved budgets, hence a possible over-representation compared to actual transfers (and expenditures)

\*\* For 2006 and 2008, Food and Agriculture sectors were combined for form the FSL sector activities and in 2007, reference is made to "Food" only in the CAP data.

**Table 2: CHF funding trends in Sudan 2006-2011**

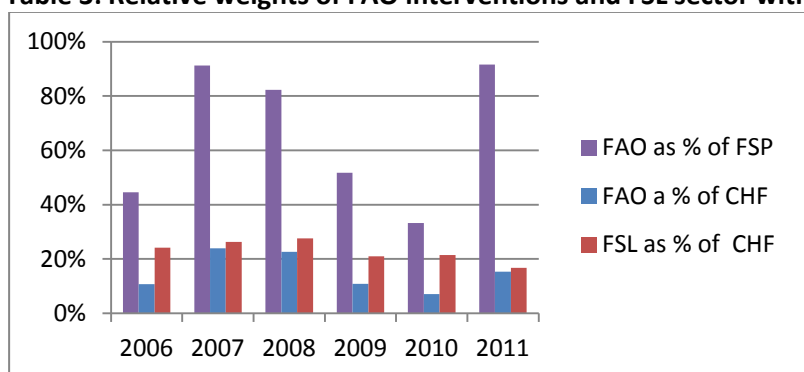
Year	Overall CHF Amount (US\$)	FSL Sector Envelope (US\$)	FAO Allocation (US\$)
<b>2006</b>	56,510,586	13,682,497	6,097,803
<b>2007</b>	45,056,036	11,829,925	10,793,154
<b>2008</b>	53,441,569	14,745,125	12,128,333
<b>2009</b>	46,825,139	9,840,000	5,095,996
<b>2010</b>	55,800,902	11,999,999	3,989,445
<b>2011</b>	44,619,451	7,500,000	6,870,257
<b>Total</b>	<b>302,253,684</b>	<b>69,597,546</b>	<b>44,974,988</b>



Source : FAO ERCU Sudan

As the above table and graph show, the funding received from CHF by FAO to support its programme in Sudan has generally followed the same trend as that of the FSL sector, but both have been relatively detached from overall CHF funding availability trends.

**Table 3: Relative weights of FAO interventions and FSL sector within CHF portfolio of activities**



Source: FAO ERCU Sudan

The above chart shows the respective correlations between funds allocated to CHF-funded FAO interventions, FSL sector interventions and to the entire portfolio of activities: a striking observation is that FAO weight within the FSL sector has varied immensely, from representing 33% of the FSL sector portfolio in 2010 to over 90% in 2007 and 2011, a variation which is naturally reflected in the weight of FAO within the entire CHF as the FSL weights within the CHF portfolio has remained relatively stable.

## FAO's work in Sudan

FAO has been operating in Sudan through an Emergency and Rehabilitation Coordination Unit (ERCU) established in Khartoum in 2002/3 to cover operations in Darfur, the Three Transitional Areas (Abyei, South Kordofan and Blue Nile), Eastern and Southern Sudan through interventions at regional and national level. Analysis of information from FAO Emergency and Rehabilitation Coordination Unit

(ERCU) annual reports for 2009 and 2010 shows that the Unit has been able to support an average of 1,083,169 households per year since 2003/4.

Complementary to being a co-lead of the Food Security and Livelihood sector, FAO has been providing material and technical support to enhance both human and productive capacity of herdsman and small-scale farmers in the traditional rain-fed agricultural sector in the humanitarian and early-recovery contexts, as well as to support the diversification and increase of income of vulnerable groups, including returnees, with the ultimate aim to enhance resilience capacities, food security and livelihood outcomes of target populations. The emergency and rehabilitation programme also includes provisions for improving preparedness for and effective response to, food and agricultural threats and emergencies, including through a tighter coordination of stakeholders.

Since its inception in 2006 the CHF has funded interventions implemented by FAO in Sudan, aiming to support food security and livelihoods through a range of interventions. FAO activities in the particular regions of Darfur, the Three Transitional Areas and Eastern Sudan –herein “Sudan”- on which the evaluation will keep its focus, have been implemented through 44 individual projects that included a range of strategies. These take due account of the Annual Humanitarian Work Plan (AHWP), which influences the projects' design in terms of content, quality, size and implementation.

The CHF has been the main source of funds for FAO emergency activities in Sudan followed by OFDA-USA and ECHO, catering for an average of 36% of the total funds managed by FAO under the Work Plan between 2006 and 2011. FAO has received an overall US\$ 45 million from CHF to support its intervention in Sudan i.e. amounting to an average of US\$ 7.5 million annually. Interventions administered by FAO represented on average 15% of the total transfers accounted for the total Work Plan and 66% of funds allocated to the Food Security and Livelihoods (FSL) sector, keeping in mind the great variations over time regarding the significance of FAO activities with the FSL sector as outlined above.

### Intervention types

The table 4 below intends to synthesize the variety of project activities across the 44 projects examined over the period, highlighting their key specific objectives and the activities corresponding to each of them.

**Table 4: Main intervention types implemented by FAO in Sudan under the CHF** (in order of importance)

Objective	Activities
Increased <b>agricultural</b> (crop and vegetable) production	Distribute improved <b>agricultural inputs</b> : crop and vegetable seeds and quality, locally-made agricultural tools to farmers (including treadle pump)
	<b>Train</b> farmers in improved <b>farming</b> practices(crop and vegetables) including water management and seed-bank establishing
	<b>Train</b> school staff in <b>vegetable</b> production
	<b>Train</b> farmers in <b>water management</b> (irrigation, water harvesting technique and conservation) for crops and vegetable garden
	<b>Strengthen government capacities</b> related to extension service
<b>Livestock</b> health and production improved / safeguarded during crisis	Provide <b>inputs</b> and services to safeguard the livestock and maintain productivity such as <b>veterinary</b> treatment, <b>pasture</b> seeds or <b>fodder</b> establishment support
	<b>Train</b> pastoralists on resilient <b>livestock management</b> practices and <b>animal feed preservation and utilization techniques</b>
	Train and equip Community Animal Health Workers ( <b>CAHWs</b> ) to increase <b>communities</b> capacities in trans-boundary <b>animal diseases</b> preparedness & response including improved livestock disease surveillance
	<b>Emergency input for animal</b> protection feed and shelter provision to conflict

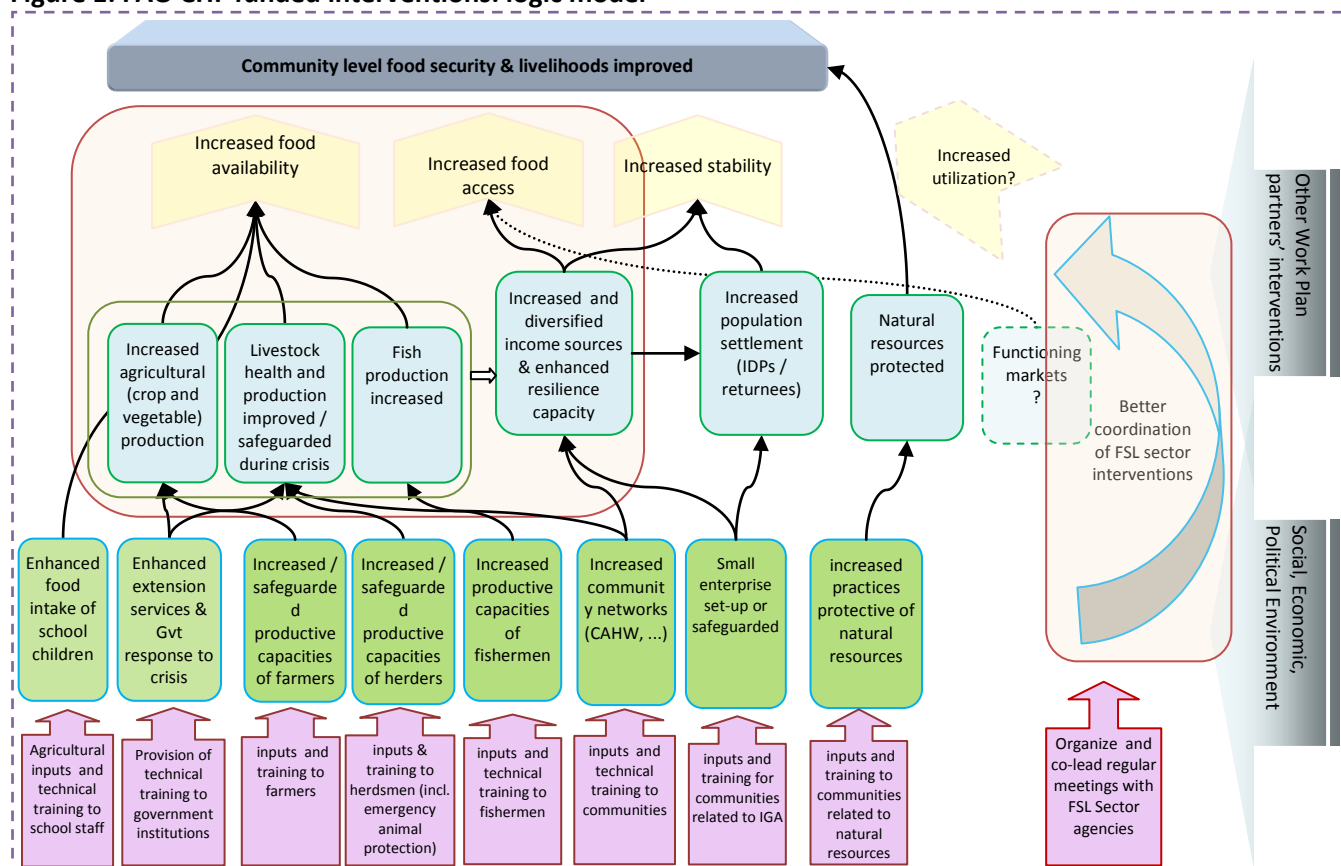
	affected households (Darfur and Eastern Sudan)
	<b>Strengthen Government</b> capacities in trans-boundary <b>animal diseases</b> preparedness & response including improved livestock disease surveillance
Increased and diversified <b>income</b> sources & enhanced <b>resilience</b> capacity	<b>Small business</b> oriented <b>training</b> ( blacksmithing, cheese-making, agro-processing, bee keeping or fishing) <b>and</b> related start-up <b>input</b> provision; Inputs distribution for <b>small animal</b> keeping – goats, poultry and donkeys Inputs and training for establishing <b>community networks</b> or <b>services</b>
Improved <b>Coordination</b> of FSL sector interventions	Organize and co-lead regular FSL sector <b>meetings</b> , provide guidance and <b>training</b> to FSL partners and establish and maintain databases and <b>references</b> for sector partners
<b>Environment</b> restoration and protection	Train in the production and use of <b>fuel-efficient stoves</b> Support <b>tree seedling</b> production and planting Rehabilitation /construction of <b>water points</b> such as Hafirs and water yards.
<b>Fish</b> production increased	Train and equip fishermen

(In red highlights are major interventions)

Based on the analysis of these activities, the below graph represents an attempt to capture the general theory of change underpinning these FAO's interventions funded by the CHF in the Sudan, in a synthesized manner.

This proposed general theory of change, which may have to be complemented by more detailed similar exercises at the level of each component (objective + activities), will constitute the basis for evaluating change which can be attributed to FAO's intervention.

**Figure 1: FAO CHF funded interventions: logic model**



## EVALUATION PURPOSE

The work of the CHF as a whole has been evaluated by OCHA, including recently, in 2011<sup>5</sup>. The evaluation concluded positively on the benefits of the CHF in terms of overall efficiency saving, although pointing to the remaining challenges posed to sector leads to coordinate ever growing numbers of participating agencies. Donors' actions were called for to support the mechanism 's intended role in increasing funding certainty and allocate specific budgets to sector leads' coordination efforts. The evaluation also appealed in favor of renewed attention to the fund's management and of enhanced coordination with other funding mechanisms.

This evaluation being focused on the CHF as a mechanism supporting operational effectiveness, it did not analyze the impact of the action supported against the goals and objectives set for each sector. The present evaluation therefore seeks to focus its attention on the impact and effectiveness of interventions led by FAO related to enhancing food security and livelihoods and carried out with support of CHF funding in Sudan. Considering the importance of CHF as a source of funding for FAO emergency and rehabilitation interventions in Sudan, and the need to continuously reaffirm Work plan partners' contribution and comparative advantage within the Annual Humanitarian Work Plan in particular in a context of shrinking resources, FAO has requested that its entire portfolio of activities funded by CHF since the inception be evaluated with a focus on impact.

The evaluation will therefore aim to assess the extent to which through its CHF funded interventions in Sudan, FAO has effectively made a difference in supporting the short term food security and livelihoods of war-affected and vulnerable Sudanese populations.

The impact evaluation will provide accountability to FAO member countries and the CHF management about results of FAO CHF funded interventions implemented over the past 6 years. It will also be forward-looking and seek to identify what can be learnt from the past experience for the benefit of future interventions, and will present recommendations to improve future interventions aiming at improving the short term food security and livelihoods of war-affected and vulnerable populations in Sudan.

Last, the evaluation will also contribute to developing a systematic approach for assessing the impact of interventions aiming to support short term food security and livelihood outcomes in crisis to post-emergency contexts.

## **EVALUATION SCOPE**

Within the theory of change described in the above section's graph, the evaluation will particularly focus its attention on the two red boxes, i.e. on results with respect to 1) increasing food availability and access through greater productive capacities and increased and diversified income sources, and 2) promoting a more coordinated response by agencies intervening in the food security and livelihoods (FSL) sector for which FAO has a lead role. This appraisal of outcomes will derive from an analysis of the way the relevant activities implemented have translated into actual outputs; in that sense, all outputs and activities identified in the logic model as keystones of the intended change will be part of the assessment scope.

The impact evaluation will bear on the totality of FAO's work funded by the CHF in Sudan (encompassing Darfur, the Three Transitional Areas and Eastern Sudan) since its inception in 2006, although for practical reasons related to recall, only more recent project will serve as a basis for primary data collection. As this work encompasses projects with a variety of objectives, geographical focus and intervention modalities, the evaluation will center its attention on interventions that have represented the bulk of modalities, irrespective of where they were implemented. In that respect the impact assessment will focus mainly on interventions aiming at improving productive capacities of war-affected and vulnerable communities through training and input distribution, in addition to

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<sup>5</sup> Global Evaluation of the Common Humanitarian Fund, Synthesis Report, Hugh Goyder, 2011

FAO's sector coordination role, given its particular relevance in the context of the CHF. Issues related to equity (including gender and social inclusion) and environmental sustainability will be given due consideration.

The impact evaluation will therefore centre its attention on the changes that occurred at the level of communities targeted by FAO interventions, and following the logic of the reconstructed theory of change (p. 4), will seek to identify the plausible links that allow to conclude on the contribution of FAO's activities to the changes. An analysis of the relevance, efficiency and connectedness of the projects implemented will be undertaken to the extent that it allows to shed light on factors affecting the overall performance of FAO's interventions.

### **Key Issues for Evaluation**

Considering the constraints related to attributing impact on such multi-variants concepts such as food security and livelihoods, and even more so in a complex and multi-stakeholder operational context such as that of Sudan, and taking into account the short-term remit of CHF funded interventions, the evaluation should focus on measuring change that can realistically be measured, which means it will focus on the level of specific objectives of CHF funded interventions (red boxes in figure 1), rather than on the goal level.

Thus the evaluation will thereby specifically assess changes in:

- productive capacities (related to farming and livestock support) with a view of inferring potential contribution to increased availability of and access to food;
- income diversification and levels, with a view of inferring potential contribution to increased access to food; and
- coordination of humanitarian activities in the FSL sector, informing the extent to which this component may have contributed to streamlining responses in this sector.

Other components of FAO's work under CHF may be also examined opportunistically but will not be the main focus on the impact evaluation.

In that respect, the following key questions should be considered:

#### **Project results at grass-root level : increased availability and access to food**

- What evidence is there that targeted communities have improved their food availability as a result of increased productive capacities (by examining most recent projects' outcomes)?
- What evidence is there that targeted communities have improved their access to food as a result of increased agricultural productive capacities and increased and diversified income sources (by examining most recent projects' outcomes)?
- To what extent are communities better prepared to resist to extreme situations whereby their livelihood strategies or assets may suffer (of natural or man-made origin) without eroding their livelihood outcomes?
- ⇒ What evidence is there that the humanitarian and recovery programme implemented by FAO under CHF have contributed significantly to the above changes? (attribution)
- Is there evidence that communities having received support from FAO under CHF funding in 2006-2009 are still benefiting from the knowledge and inputs provided by FAO? If so, what is the approximate share of those for whom the benefit has continued? (sustained effects)

#### **Project results in functional terms: enhanced coordination**

- Was FAO effective, as a co-sector lead, in promoting an appropriate coverage of FS needs by the UN and Partners' Work Plan /CHF (reducing gaps and overlaps, leveraging synergies) ?



- Was FAO effective in fostering effective dialogue and harmonized actions between agencies contributing to FSL in Sudan? To what extent has the FSL strategy been discussed among UN and NGO partners?
- ⇒ What evidence is there that FAO by its actions has contributed significantly to the above change? (attribution)

#### **Unintended impacts**

- Have these interventions generated any unintended, positive or negative impacts on the food security and livelihoods or environment of vulnerable populations targeted?

#### **Relative significance within humanitarian and recovery assistance**

- To what extent FAO demonstrates a comparative advantage amongst Work Plan partners, considering in particular the significance of FAO's intervention within the CHF funded programme over the period?
- Did initial funding from CHF have a catalytic effect on other funding sources for FAO?

#### **Relevance and Design as factors of influence on results**

- Were FAO's CHF funded interventions designed based on reasonably accurate needs assessments?
- Were resources allocated appropriately in terms of : i) Target area and populations and ii) domain of intervention (farming, livestock, Income diversification, coordination), to foster the desired impact on food security and livelihoods. Was the targeting strategy underpinning the interventions sound to reach most appropriate populations in view of objectives (i.e. combining vulnerability and capacities)?
- Did the interventions factor in reasonable risks and assumptions, including security constraints?
- Did the CHF promote synergetic/ complementary targeting amongst FSL agencies?

#### **Implementation and Management as factors of influence on results**

- Did the CHF approach promote the formulation of a coherent strategy / coordinated approach within the FSL sector that may have fostered good results in terms of coordination?
- Has the action delivered time-critical assistance (e.g. relative to cropping calendars) to restore or protect livelihoods and food availability or avert disaster, and were there evident differences between each intervention type in that respect?
- Did FAO implementation arrangements support timely and cost effective execution of interventions? Were budgets spent as planned? Were inputs and services of satisfactory quality? To what extent did implementation arrangements allow FAO to deliver assistance in areas where access was an issue?
- What are the demonstrated comparative advantages and shortcomings of the CHF mechanism to address short term food insecurity in crisis and post- emergency context? Is the sensitive nature of the agricultural season suited by an approach based on fixed funds allocation process? Is the standard 6 months implementation period suited for all intervention types?
- Could the CHF be appropriate to address longer-term rehabilitation needs<sup>6</sup>?
- Do projects usually succeed in targeting the intended beneficiaries? If not why? How equitable are the distributions of project outputs or benefits? (targeting)

#### **EVALUATION APPROACH AND METHODOLOGY**

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<sup>6</sup> Ref. to FAO's "Twin Track" approach, aiming to enhance food security resilience during protracted crises with specific policies that link immediate hunger relief interventions with a long-term strategy for sustainable growth.



## Overall approach

The evaluation conclusions on the effectiveness of CHF funded interventions and related recommendations will build on measured outputs of projects sampled for their representativeness of FAO intervention under CHF. The analysis of their relevance and efficiency will complement the analysis of underlying factors that may have influenced change. The credibility of evaluation findings will rely on an effort to validate the evidence gathered through the systematic triangulation of information sources.

## Evaluation phases

The evaluation will be carried out in several phases, as follows:

- i) a research and preparatory phase in January – March 2012, including a one-week long preparatory mission in Khartoum (End march 2012) ;
- ii) an evaluation inquiry phase, including a main mission in Sudan and further desk review and analysis;
- iii) analysis, debriefing and writing of the report, to be completed by end July 2012

The preparatory phase will include the following steps:

- Evaluation scoping: including identifying an appropriate theory of change against which to build the evaluation analysis; defining evaluation questions and finalizing the TORs;
- FAO CHF portfolio desk review in view of getting a grasp of main areas of activities and geographical location as background information to purposefully sample projects and areas to be covered by the evaluation field work.
- A general desk analysis of the timelines of various project phases (from the initial crisis to needs assessment, proposals development, funding, procurement and contracting, delivery of assistance to beneficiaries, monitoring & evaluation, reporting) and of other factors related to the design and management of projects which may explain its success or failure in fostering change (reaching its objectives);
- Refining methods and preparing tools for the data collection;
- Identifying and contracting the team members;
- Organization of the preparatory mission including material preparation;
- An inception mission in Khartoum (End March 2012) that will allow the evaluation team to refine the scope of the evaluation, discuss organizational issues related to the evaluation inquiry phase that will follow, finalize the data collection team and clarify their expected role and work in collecting data (in particular on impact) and field test the developed tools with them. TORs for the inception mission are provided in annex.

The evaluation data collection phase will comprise:

- A primary data collection period (inquiry phase I) in three purposely sampled areas of Sudan, whereby three teams of consultants - ideally gender balanced- will gather information, following an agreed methodological approach and using tools that will have been tested by each team coordinator, in order to address key questions identified in the TORs, specifically focusing on measuring impact;
- A data compilation and analysis period, whereby the three team coordinators will compile and synthesize the collected data into analytical reports as appropriate (formats to be provided), and compare notes with other team coordinators in a view to generate overall synthesis findings to be presented to the evaluation core team;
- A complementary mission by the evaluation core team (inquiry phase II), to be conducted after the three teams have completed their field assignment and data analysis, during which

a range of (mainly institutional) stakeholders will be met to gather additional information through various methods (see following section), building on the preliminary findings emerging from the first stage of fact findings;

- Additional review and analysis of documents (project reports...), collation and analysis of quantitative data gathered in anterior phases.

The analysis and report writing phase starting straight after the main mission, aiming to collate field and desk findings into a comprehensive analysis and preparation of a draft and then final evaluation report, mainly under the responsibility of the “core” team.

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

The evaluation will be conducted by an independent team of external consultants under the supervision of an OED evaluation manager.

The evaluation team, will consist in the following **roles**:

- **A team leader** (from OED) with the following responsibilities, in charge of steering the process, supervising methodological aspects and division of labor and focusing on evaluation issues related to the management and coordination. The team leader will be responsible for drafting the evaluation report based on inputs received from the other team members and present findings at required debriefing workshops. The evaluation team will be lead by the OED evaluation manager.
- **An expert on qualitative-based approaches and organizational management**, whose main responsibilities will be to: i) assist the team leader in fine-tuning the methodology and tools to undertake the impact assessment, ensuring the variables collected allow responding to the information requirements through triangulation and analysis; ii) assist the team in analyzing data collected in the field to ensure the best possible data quality in view of needs; iii) join the main evaluation mission for at least one week to support the analysis phase by providing expert guidance specifically with respect to the collation and analysis of the qualitative data, possibly including written templates or grids of analysis and interview a relevant key informants regarding the CHF process, in order to gather information of the implementation arrangements of FAO CHF-funded interventions; and iv) assist the team leader in extracting insightful analytical pieces based on the data collected in the field, to feed into the evaluation report as per outline on topics related to implementation arrangements.
- **A specialist in social research** knowledgeable of Sudan and experienced in evaluation work, and familiar with food security and livelihoods support programmes (agronomist or livestock specialist if possible) and of the Sudan context. He will be in charge of: i) Assisting the team leader in the preparation and the conduct of the inception mission, whereby three field teams coordinators will receive training on the intended objectives and approach to the field work. This preparatory work will include: reviewing the approach and tools presented by the team leader with a view of ensuring their best adaptability to the Sudanese context and to the expected level of field data collection teams (*approximately 8 days mid-March*); ii) providing professional supervision to field team coordinators as required during their collection phase and upon the return to the capital of the coordinators, by providing them in particular directions for the data analysis. Ensure a constant liaison with the team leader in doing so (*approximately 10 days in April*); and iii) providing insightful analytical pieces based on the data collected in the field and desk review as appropriate, to feed into the evaluation report as per outline discussed upfront (*approximately 8 days in May*).
- **Three national fieldwork coordinators** who will each be in charge of leading the data collection work in the field and producing structured reports of compiled data for the geographical area that they have been assigned to (either Darfur, Three Transitional Areas or Eastern Sudan). They should have demonstrated experience in both qualitative and

quantitative data collection methods, and in supervising team work. Ideally they would have abilities in data entry and cleaning and basic quantitative analysis. If possible, the field coordination team should combine technical backgrounds related to crop and livestock production, animal health and natural resource management .

- **Nine national field monitors** who would be in charge of collecting data under the supervision of their respective team leader. They should be experienced in collecting information in the field with ability to distinguish between administering semi structured interview guides, structured questionnaires or moderating focus group discussions and be sensitive to principles of social research work at community level (including ethics...).

All team members' work will be guided by directions provided by the team leader.  
TORs for each of the above function are provided in annex.

### **Evaluation Stakeholders: Roles and Interactions in the Evaluation**

The evaluation will adopt a participatory approach whenever possible, seeking and sharing opinions and feed back with stakeholders at different points in time of the process. The Evaluation will ensure that stakeholders with diverse views are consulted to ensure the assessment is based on a comprehensive understanding of diverse perspectives on issues, performance and outcomes.

Stakeholders of the evaluation include:

- The office of Evaluation and evaluation team
- FAO staff in HQ and national levels who have been involved with supporting FAO activities in Sudan carried under CHF funding;
- FAOR and relevant project staff in Sudan;
- FAO staff in headquarters;
- Beneficiary households
- NGOs and civil society organizations, in particular those that have implemented food security programmes through the CHF since 2006
- CHF management team staff
- UN agencies partnering CT group dealing with food security and MDG issues;
- Government staff at State and local levels;
- Donors;

All of the above will be regularly consulted from the initial to the last phases of the evaluation, to comments on key evaluation documents, share and clarify facts, share their views and provide the team with the necessary reference documentation. They will be requested to comment the draft evaluation report, with concrete and evidence based remarks.

The FAO teams in Sudan will be requested to support the evaluation exercise, in particular during the inception mission and field inquiry phases.

The OED Evaluation manager and team leader will collect and process basic information required for the evaluation and prepare information and guidance notes as well as all necessary data collection tools for the evaluation team members in particular to guide the field work. An indicative list of documentation to be gathered with support from the TCEO budget holder as background for the evaluation team is provided in annex. OED will also be requested to provide peer review comments on the TORs and evaluation reports.

### **Methods and Tools<sup>7</sup>**

The evaluation will use a number of methods to gather the evidence on which to draw its findings, going from initial briefings with the operational desk team and desk research to field data collection

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<sup>7</sup> A more detailed methodological note will be prepared by the evaluation manager that will seek to get more into depth on issues of sampling, selection of sites, management of data collection constraints, etc.

with selected stakeholders of the FAO CHF-funded projects in Sudan. Methods for collecting the data will include:

- i. collection and review of secondary data / documentation (CHF project documents and implementation reports, strategies, guidelines, training materials, monitoring reports, etc.).
- ii. direct observation in the field;
- iii. qualitative semi-structured in-depth interviews with purposively sampled beneficiaries and non-beneficiaries<sup>8</sup>;
- iv. focus group discussions at community level with beneficiaries and non beneficiaries and at province level with Implementing partners;
- v. individual or group discussions with FAO and IP staff at national and provincial levels
- vi. semi-structured interviews at national level with Government counterparts and donors representatives; and

The data will be collected using primarily investigation techniques such as focus group discussions and semi-structured interviews with key informants, and the information sought will be mainly of qualitative nature which will seek to qualify to the best possible extent the type of change perceived by beneficiaries and aid actors. The analysis of the relevance and significance of collected data will rely on the consultants' professional judgment. The consultants must therefore be both knowledgeable of qualitative data analysis principles and know how to identify and limit potential biases. Analysis should be ongoing and daily reviews and summary of interviewing information should inform questions for subsequent interviews.

Some more quantitative analysis may also be used to measure specific aspects of FAO's interventions carried out under the CHF mechanism, mainly focusing on aspects of the change that can be compared to a documented past situation.

Considering the particular attention of this evaluation to demonstrating the change generated by the interventions on beneficiaries' lives and livelihoods, part of the field investigation will be specifically devoted to collecting data at the grassroot level, with attention to the following aspects:

- **Identifying a counterfactual:** Measuring the extent of change that can be attributed to an intervention will entail specifying and measuring a counterfactual, to comparing what happened with what could have happened without FAO's intervention, possibly by gathering information from non-beneficiary control groups, or when more relevant / feasible, by comparing the current measured situation to one that prevailed at a similar period in the past (one year before for example), based on existing reports and on the perceptions and experience of people interviewed. In each sampled area visited by the team, a few projects funded by sources other than the CHF may be briefly reviewed, to be used as control groups on various aspects of the inquiry.
- **Attribution (or contribution):** The analysis will then work to determine the plausible causal relationships existing between the action and observed change, and determine the extent to which FAO's interventions have been a critical factor of this change.

Although the evaluation covering a long period of time for the nature of interventions under evaluation, the evaluation will focus its fact finding on more recent periods, more likely remembered, and inferences will be made on more distant ones based on the assumption that the situation and theory of change underlying FAO's CHF funded programmes has not dramatically changed over time. Any evidence of sustainable change that could be (partly) attributed to FAO supported interventions be of course be noted.

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<sup>8</sup> The precise amount of individual interviews will be established later depending on the preparatory work results.

## Sampling<sup>9</sup>

A sampling strategy to select areas, locations, communities and households to be visited will be developed later on, once more information is collected on the portfolio of activities and analysis of the typologies of interventions in each sampled country have been undertaken by OED.

The sample of visited locations will be selected based on criteria including:

- ✓ types of emergency issues /contexts and geographic areas ;
- ✓ size of the CHF portfolio;
- ✓ modality of intervention (input distribution, livestock support, resilience building, coordination, etc.);
- ✓ CHF allocation procedures (standard, emergency);
- ✓ security constraints field work; and

Though the evaluation will look as far back as 2006, the main interlocutors within beneficiary communities will be selected within groups who benefitted of CHF projects in most recent years 2010 -2011 (the sampling frame), in order to reduce the recall period and thereby augment the validity of perceptions gathered.

## Communication of findings

Evaluation key findings will be presented to key stakeholders in country during a debriefing which will take place upon the completion of the mission. This will also give in-country stakeholders to a chance to rectify possible factual misunderstandings by providing additional information on the basis of key findings presented. A post-mission meeting will also be organized to present the evaluation initial findings to other stakeholders in FAO headquarters and receive feedback.

Within about 2 weeks of the mission completion, a draft evaluation report will be circulated to key stakeholders of the project to allow for a last factual verification and chance to challenge findings or conclusions. Relevant stakeholders in FAO will later on be requested to provide their response to the proposed recommendations by filling in a management response matrix using the standard template developed by OED. Once the evaluation report is finalized, its findings, conclusions and recommendations will be disseminated by circulating the report to relevant FAO and non-FAO stakeholders, and the report will be posted in the Internet for public reading.

An outline for the Final Evaluation Report is provided in annex .

The final report should reflect findings discussed and agreed within the team and is the responsibility of the team leader. It will aim at building its findings and conclusions from a systematic combination of triangulated evidence and ensure findings, conclusions and recommendations logically derive from one another. The team members will apply their own technical judgment in the assessment of the work. Independence and rigor of analysis will underpin the whole evaluation process. The evaluation will generally seek to reach international norms and quality standards for evaluation, as defined by the UN Evaluation Group (UNEG) and applied by the FAO Office of Evaluation (OED).

The report will seek to quantify as much as possible findings about results and impact which will emerge from beneficiaries collected perceptions of changes<sup>10</sup> . At the same time, in depth analysis of the reasons for such changes will also be provided based on the qualitative information collected.

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<sup>9</sup> More details on the sampling in the methodology note

<sup>10</sup> The number of beneficiaries met by the team will be small and the sampling will not allow for their answers to be analyzed as a representative sample. For this reason, the evaluation team will make all efforts to quantify the frequency of responses in relative and approximate terms (e.g.: " none, few, most, all") – rather than as percentages, in order to avoid giving a wrong sense of representativeness.

## ORGANIZATION OF THE EVALUATION

### Evaluation timeline

Table 1: Evaluation tentative Schedule

Tasks	Jan	Feb	Mar	Apr	May	Jun	July
	2012	2012	2012	2012	2012	2012	2012
Evaluation scoping (TORs)							
Preparatory work. and tools development							
Inception mission							
Preparation of main inquiry phase							
Main inquiry: field mission phase I + desk work							
Phase I data compilation and analysis							
Main inquiry: field mission phase II							
Evaluation debriefings (Khartoum, Rome)							
Analysis and Report writing							
Commenting draft and final report							

## ANNEX: PRELIMINARY REPORT OUTLINE

Chapter and sub-chapters		Write-up / resource person:
<b><u>Executive Summary</u></b>		
<b>1</b>	<b>INTRODUCTION</b>	<b>AL</b>
1.1	Evaluation Background, scope and, Objectives	
1.2	CHF in the Sudan humanitarian setting: General trends	
1.3	Structure of the Report	
<b>2</b>	<b>EVALUATION APPROACH</b>	<b>AL</b>
2.1	Composition of the Evaluation Team	
2.2	Phases and Organization of the Evaluation	
2.3	Methodology, Criteria and Approach of the Evaluation	
<b>3</b>	<b>FAO CHF FUNDED INTERVENTIONS IN SUDAN SINCE 2006</b>	<b>AL</b>
3.1	<b>Operational Context:</b>	
3.1.1	Sudan operational & development priorities	
3.1.2	FAO TCE strategic and structural orientations	
3.2	<b>Features of FAO CHF funded interventions in Sudan since 2006:</b>	
3.2.1	Areas of work and target Groups	
3.2.2	Modalities of Intervention over time	
3.2.3	CHF processes from allocation to disbursement	
3.2.4	Implementation arrangements	
3.2.5	Linkages with other non-CHF FAO emergency Interventions	
3.2.6	Funding (sources, trends, thematic and geographic distribution)	
<b>4</b>	<b>EVALUATION FINDINGS – RESULTS</b>	
4.1	Output results community level	
4.1.1	Input & training distribution for agriculture (per intervention type)	
4.1.2	IGA and resilience building	
4.1.3	Community support	
4.1.4	Environment sensitization	
4.2	Outcome results	
4.2.1	Increasing productive capacities	
4.2.2	Income generation and resilience building	
4.2.3	Environment preservation	
4.2.4	Coordination	
4.3	Impact on food security and livelihoods	
4.3.1	Food security	
4.3.2	Livelihoods	
4.4	Gender Equity in Access to Resources, Goods, Services and Decision-Making in Rural Areas	
4.5	Environmental impact	
<b>5</b>	<b>CONTRIBUTING FACTORS TO IMPACT</b>	
5.1	Relevance and strategic design	
5.2	FAO Management Structures and Systems (timeliness, targeting, coordination, partnerships...)	
<b>6</b>	<b>CONCLUSIONS</b>	<i>all team members</i>
6.1	FAO - CHF Impact and effects	
6.2	FAO - CHF contributing & hindering factors of impact	
6.5	FAO - CHF Connectedness and sustainability	
<b>7</b>	<b>RECOMMENDATIONS</b>	<i>all team members</i>



**ANNEXES**

<b>Annex I:</b>	<b>List of References</b>	AL
<b>Annex II:</b>	<b>Terms of Reference</b>	AL
<b>Annex III:</b>	<b>Program of the Mission</b>	AL
<b>Annex IV:</b>	<b>List of Persons Met</b>	AL
<b>Annex V:</b>	<b>Team profiles</b>	AL