

Annex 2: Methodology Note

Evaluation of FAO interventions in Sudan funded by CHF Methodological Note – May 2012

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1. Introduction

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. 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 impact of this work by FAO carried out under financing of the CHF will be evaluated with the aim to assess the extent to which FAO has effectively made a difference in supporting the short term food security and livelihoods of war-affected and vulnerable Sudanese populations. The evaluation will also 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. The evaluation will specifically focus 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 sector for which FAO has a lead role. A team of independent consultants will be recruited to assist the evaluation team leader in collecting and analyzing information.

Terms of reference have been developed for the evaluation, which present the key questions that it will seek to address and giving initial hints on the approach that will be followed to do so. The purpose of this methodology note is to complement this evaluation TORs, by laying out in more details the various steps that will need to be taken to apply this approach and adequately evaluate impact.

This note therefore should be read in conjunction with the TORs¹, and seeks to will clarify:

- The context of the evaluation
- The scope of the evaluation, with the specific implications on the data that will be sought
- The methodology, including, for the primary data collection considerations regarding sampling, and the choice of methods and tools based on data constraints, and for the secondary data clarifying the sources from which the evaluation will draw
- A protocol for data collection, analysis and reporting
- The composition of the evaluation team and the distribution of roles and responsibilities
- Organizational aspects, including schedule(s), travel arrangements and deliverables
- Budget

This methodological note will be used as a main work basis for the inception mission, which will in turn bring about information to finalize this note.

¹ The TORs can be found in Annex 1

2. Context



2.1 Food security & Livelihoods situation in Sudan

People's livelihoods in Sudan have been affected by chronic and transitory food insecurity, due to the combined effects of a prolonged conflict that has led inter-alia to the deterioration of agriculture and livestock production systems and of ad-hoc aggravating factors such as droughts, floods or global soaring prices. Food insecurity has indistinctively affected the Three Transitional Areas, Eastern Sudan and Darfur, all still challenged by large numbers of displaced and returnees households.

Humanitarian assistance in Sudan is meant to be delivered in a coordinated manner through the UN and Partners Work Plan, subdivided in thematic sectors. The CHF mechanism contributes in this

context. The Food Security and Livelihoods (FSL) sector, aiming to contribute to improving household food and livelihoods security of vulnerable populations in Sudan, is the one concerned by FAO's interventions.

Sector activities have remained constrained by limited access to some locations especially in Darfur due to insecurity, or limited logistical, financial and technical capacity of national NGOs and CBOs, and also, in more recent years, by reduced funding options.

For that matter it may be in relation to the necessity to focus shrinking resources, that the CHF has reportedly focused its support to relief type interventions in recent years, i.e. addressing in priority life-saving needs rather than recovery oriented ones which it used to also encompass in earlier years. If such shift in focus is confirmed, the evaluation will ensure to examine the implications it may have had in terms of relevance and impact.

2.2 Characteristics of FAO assistance since 2006 / within CHF

Building on the inventory proposed in the evaluation TORs regarding the components of FAO's response to FSL needs in Sudan in the context of CHF funded activities, the following key components will be in the focus on the evaluation:

Component 1: Support to Agriculture

- Objective: Increased agricultural (crop and vegetable) production
- Activities:
 - ✓ Distribute improved agricultural inputs: crop and vegetable seeds and quality, locally-made agricultural tools to farmers (including treadle pump)
 - ✓ Train farmers in improved farming practices (crop and vegetables) including water management and seed-bank establishing
 - ✓ Inputs and training for establishing community networks or services

Component 2: Support to Livestock resources

- Objective: health and production improved / safeguarded during crisis
- Activities:
 - ✓ Provide inputs and services to safeguard the livestock and maintain productivity such as veterinary treatment, pasture seeds or fodder establishment support
 - ✓ Train pastoralists on resilient livestock management practices and animal feed preservation and utilization techniques
 - ✓ Train and equip Community Animal Health Workers (CAHWs) to increase communities capacities in trans-boundary animal diseases preparedness & response including improved livestock disease surveillance
 - ✓ Emergency input for animal protection feed and shelter provision to conflict affected households (Darfur and Eastern Sudan)
 - ✓ Inputs and training for establishing community networks or services

Component 3: Support to income generation and diversification

- Objective: Increased and diversified income sources & enhanced resilience capacity
- Activities:
 - ✓ Small business oriented training (blacksmithing, cheese-making, agro-processing, bee keeping or fishing) and related start-up input provision;
 - ✓ Inputs distribution for small animal keeping – goats, poultry and donkeys

Component 4: Support to coordination of FSL sector interventions in Sudan

- Objective: Improved Coordination of FSL sector interventions

- Activities: Organize and co-lead regular FSL sector meetings, provide guidance and training to FSL partners and establish and maintain databases and references for sector partners

3. Evaluative approach

3.1 Scope of investigation

Considering the challenges related to attributing impact on such multi-variants concepts such as food security and livelihoods in a complex operational context such as that of Sudan, and the short-term remit of CHF funded interventions, the evaluation scope will be limited to changes that can realistically be measured, i.e. at the level of the specific objectives of CHF funded interventions, rather than on the goal level.

In addition, the assessment will focus on the *components* (objective and related activities), considered as the most significant on the basis of their weight (number of projects including these components and volume of funding they channel) or their critical importance in the context of the CHF (the coordination role of FAO). Thus the evaluation will specifically assess changes in:

- productive capacities (related to farming and livestock support – component 1 and 2 above) with a view of inferring potential contribution to increased availability of and access to food;
- income diversification and levels (component 3 above), with a view of inferring potential contribution to increased access to food; and
- coordination of humanitarian activities in the FSL sector (component 4 above), 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.

The extent to which these changes can be attributed to the activities supported by FAO will be demonstrated based on the inferred causality chain or the theory of change for each of these components, which will help make assumptions regarding plausible links between results observed and causes / contributing factors.

3.2 Identifying the information needs

The assessment of impact at community level will be guided by the key questions presented below, drawing from the key issues identified in the TORs, to some extent adjusted in view of inputs received from country stakeholders during the inception mission.

❖ Key Questions

1. Were FAO's CHF funded interventions designed based on reasonably accurate needs assessments?
2. Were resources allocated appropriately in terms of:
 - Target area and populations, to reach most appropriate populations in view of objectives
 - Domain of intervention (farming, livestock, Income diversification, coordination), to foster the desired impact on food security and livelihoods.
3. Did the interventions factor in reasonable risks and assumptions, including security constraints?
4. 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?
5. 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 / IP type in that respect?

6. 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?
7. What are the demonstrated comparative advantages and shortcomings of the CHF mechanism to address short term food insecurity in crisis and post-emergency context? Could it be adapted to also build connectedness?
8. How well are the CHF funded interventions achieving their planned results in the target areas?
9. What has been the significance of FAO/CHF in terms of their coverage of: space, livelihood groups and social equity?
10. Were projects usually successful in targeting the intended beneficiaries? If not why?
11. What evidence is there that targeted communities have improved their food availability as a result of increased productive capacities regarding crop and livestock production (based on most recent projects' outcomes)?
12. 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 (based on most recent projects' outcomes)?
13. What evidence is there that CHF has supported FAO in promoting coordination in the FSL sector?
14. Have these interventions generated any unintended, positive or negative impacts on the food security and livelihoods or environment of vulnerable populations targeted?
15. What evidence is there that the humanitarian and recovery programme implemented by FAO under CHF have contributed significantly to the above changes?
16. What is the relative significance of CHF / FAO projects for FSL sector assistance?
17. Considering that CHF projects also focused on supporting recovery (mainly in the early years) and the in-built continuum from relief to recovery within FSL interventions, is there evidence that supported communities may have built their resilience capacities and that some are still benefiting from the knowledge and inputs provided by FAO?

The key questions are detailed into an **evaluation matrix** presented in Annex II, which also presents the indicators that will be used to answer the questions, and identifies information sources and tools to be used to obtain the information. The evaluation matrix is a backbone instrument for the evaluation team as it captures in a summarized manner all issues that the evaluation should address, as well as, related, all method and tools that evaluators will use.

3.3 Methods

❖ ***Constraints to primary data collection and considered strategies to address them***

- **A highly complex and composite operational environment will hinder attribution:** Similar interventions, not all (exclusively) funded by CHF or supported by FAO implemented in continuous manner in the same areas or simultaneously in neighboring ones will induce difficulties to attribute change to the interventions at stake, hindering the likelihood of isolating the changes observed resulting from FAO/CHF funded interventions from other sources. Solution will be to rely on clear beneficiary lists and select locations to be visited to focus on those that benefitted only of FAO/CHF support. ERCU support will be instrumental in this. Nonetheless for cases where an IP has received various sources of funding in support of a given intervention, findings will reflect impact of various sources of assistance of which the evaluation will only be able to state the share of CHF's contribution. However, CHF rather exclusive positioning on support to short term food security and safeguarding of livelihoods will presumably lead inquiry on areas of change that will be more particularly applicable to the CHF, even if not totally reliant on it.

- **The country situation, with poor security and accessibility in some areas will hinder sampling:** The CHF is by its remit focused on areas that are the poorest and least developed as well as the most prone to being affected by war. This has direct implications in the capacity that the evaluation will have to organize its visits, as security may restrain access in some regions (in particular the Three Transitional Areas (TTAs) of South Kordofan, Blue Nile and Abyei, where the implementation of the CPA still is the cause of localized conflicts. Security may also restrain access in some parts of Darfur, while the condition of roads and limited transport options will to some extent limit the choice of areas that the evaluation will visit, in order to maintain reasonable travel costs and time.
- **A long-lasting scope for the evaluation** (since 2006) creates methodological difficulties to measure change that took place beyond 2 years before the time of the assessment: aside from gathering anecdotal information from households, and perceptions from long standing aid workers, measuring sustained impact will be hindered by lack of historical data, as recall cannot be reliable beyond 2 years. unless some areas Assuming that areas are identified where FAO (CHF funded) interventions have comprehensively covered food security needs over time which could allow to infer change at district level, would data be available at district level for any given year since 2006?
 - **The lack of “baseline” or benchmarking data will limit possibilities of comparing current to ex-ante situations**, as there is no consistently available data over time on indicators related to the changes that CHF intends to trigger to allow having points of comparison with current situation. Solution is either: i) to compare to a **recalled** ex-ante situation: implies that only recent interventions can be assessed, and the evaluation will have to focus on recipients of assistance in 2010 and 2011, assuming that the situation and programme rationale will not have changed extensively over time; or ii) to compare with **“comparable”** non beneficiary situations.
 - **The multitude of FSL interventions implemented in Sudan induces a difficulty** to find groups of households that would have been in a comparably vulnerable situation to those targeted by FAO interventions but have received no assistance at all or no comparable support. This means that the option of comparing recipients with non recipients situations will be limited, and recall is therefore a more reliable option. There is also an ethical question with respect to asking communities that did not receive any humanitarian assistance despite demonstrating a degree of vulnerability that would have warranted it (if they compare with others who did receive it) and take their work time for no retribution.

❖ **Primary data collection methods proposed**

Approach: rationale and principles

The impact study will be partly based on primary data collected in the field, that inform the situation of beneficiary households to be compared to an ex-ante situation or to a non-beneficiary situation, also collected in the field.

The evaluation will be based on **mixed methods** to generate the information needed to address the questions. However it will more **strongly rely on qualitative data** for reasons related to the complexity of the evaluation setting described above. Although quantitative data collection tools are commonly used in impact assessments, such approach is considered to be inappropriately time and resource consuming for the number of constraints inherent to this evaluation which would likely hinder the reliability of quantitative-based findings. Indeed, quantitative snapshots of the current beneficiaries' situation would likely suffer from the above-mentioned blurred attribution issues or by the constraints to finding reliable counterfactuals. Also, considering the width of intervention types and modalities assessed as well as the need for the evaluation to factor-in the multitude of situations

of target populations (encompassing a number of nuanced situations of displacements, return, and chronic vulnerability), the evaluation deemed more appropriate to acquire an overall in-depth understanding of the dynamics that affected populations who were targeted by CHF-funded interventions. The evaluation will however also seek to gather **some quantitative** data, to gain some sense of magnitude of change when possible.

The evaluation will ensure that **reliability and validity** of data is kept in-check at all times: Reliability is understood as the ability to obtain the same results with a given approach, whoever the respondents and assessors and validity can be defined as the degree to which the data collected truly represents the situation. This will be ensured by: i) a well designed and tested set of data collection tools ; ii) a sampling strategy that ensured that most appropriate and minimum number of informants are met by the evaluation team; iii) a systematic approach to data collection and analysis and iv) a recognition biases (own and of respondents).

The present note will provide a first set of methodological directions and tools to ensure that evaluators work towards these key pillars, to ensure systematic and consistent information gathering and compilation according to pre-designed guides and templates. The sampling strategy and principles described in the section below will support the identification most appropriate respondents. Evaluators will nonetheless be required to continuously adapt these methods and tools to emerging important issues in their on-going analysis, based on recognition of **flexibility** as a key principle of qualitative analysis. Flexibility requires the assessment team to be aware of emerging knowledge during the data collection with the view of reviewing tools, to improve data collection.

The following methods will be used to gather evidence on which the draw the evaluation findings:

1. **Semi-structured interviews** (SSI) with **households** who were supported by interventions evaluated and *if possible*, households who were not supported (who will provide a counterfactual) will mainly aim to capture the grassroots level perceptions of changes that may have occurred at the community level, on lives and livelihoods. SSI with **key informants** at the community, locality, State or capital levels will focus on learning from each stakeholder's understanding and analysis of the changes that may have occurred as a result of the FAO/CHF interventions.

The Semi structured interviews will aim to extract reliable information regarding needs, problems and priorities of interviewees, and detailed stories of how the intervention(s) they were targeted by may have affected their livelihoods. They should provide relatively quick qualitative information which may include rough estimates of the magnitude of the change the evaluation aims to measure. SSI being inherently flexible and adaptable is deemed appropriate in a context where the questions will call for adaptation to HH varying conditions.

The evaluation team will keep in mind that SSI should be guided by the following key principles:

- *Optimal Ignorance*: the team should focus on what is most important and does not need to know everything;
- *Appropriate Imprecision*: the information does not need to be overly specific
- *Triangulation*: the same issue should be examined from different perspectives so information should be sought from different sources and then cross-checked.
- *Learning from and with the people*: the team should try to capture the knowledge and priorities as emerging from the communities' perspectives.

2. **Focus Group Discussions** (FGD) with sample households disaggregated between the various type of support received will aim at confirming some of the information gathered through interviews., building on the principal advantage of yielding a large amount of information and accessing a broad range of views on a specific topic, in relatively short time. At least 2 of not 3 FGD should be held in one community. As effective facilitation and note-taking are key to the success of focus group discussions, a note on facilitation techniques for FGD is proposed in annex V.

3. **Survey** of Food Security and livelihoods (FSL) sector partners will aim to capture their general satisfaction of and perception over the functioning and results of the FSL sector coordination, falling in part (with WFP) onto FAO.

❖ **Review of secondary data**

The evaluation will make the most of existing reports and relevant documents and will use the secondary data to inform some evaluation questions and complement some of the primary data collected. Databases developed and maintained by the CHF teams as well as FAO internet data recording systems will be used to inform primarily the analysis of efficiency as a factor of impact.

Relevant evaluation carried in recent years whether bearing on the CHF or on humanitarian assistance in Sudan will be reviewed and used as appropriate. In particular findings of the OED-led impact assessment of support to Community Animal Health Workers (2008) will be used as a reference.

3.4 Sampling procedures for primary data collection sites

Considering that a qualitative assessment is not intended to provide strict scientific validity, but an enhanced understanding of situations and intervention impact, the evaluation will not use a pure probability sampling approach. On the contrary, areas, communities and type of respondents will have to be purposely identified, so as to ensure that communities visited and individuals met represent the population of interest reasonably well, and that inferences about the wider population can be made on the basis of perspectives, opinions, and insights of the informants met. Only the choice of communities and households, within the pre-defined criteria base, will follow a randomized sampling.

Locations to be visited will be selected for being illustrative of the situation of households that received any of the three components that FAO is supporting through its CHF funded projects. As mentioned before, the need for interviewed people to recall a situation that was anterior to the intervention implies that only communities who benefitted from recent (2010-2011) projects can be selected. The evaluation will therefore identify, amongst the most recent projects, those locations and communities that together will illustrate the work of FAO in its complexity.

Sampling strategies that will be applied will therefore include:

- Criteria-based (purposive) sampling: in order to assess the situation of those with specific characteristics (IDPs vs. hosts...)
- Random sampling: to select communities amongst the localities purposely selected for their representativeness or to select households within a given group of people
- Extreme Case Sampling: to assess the particular situation of households who attest of a particularly successful or unsuccessful situation
- Snowball or chain referral sampling: asking CAHW to refer to households who benefitted from their services

❖ **Geographical Sampling**

Concerning the selection of sample sites to be covered by the data collection, a purposive sample of recipient communities will be chosen from those targeted in 2010 or 2011, which allow the entire sample to adequately illustrate the diversity of situations encompassed by the 44 projects covered by the evaluation.

Regions visited should encompass an illustrative diversity of the following major parameters:

- Agro-ecological features
- Political and conflict dynamics and consequences on population movements (people displaced recently / settled / returnees / hosts...)
- Regions where a wide enough panel of activities have been implemented in recent years to offer choice to the evaluators to choose from various possible options
- Take out regions where access will likely be restrained
- Seasonal considerations (what data will be available? Will respondents be available?)

From a preliminary analysis, the three (now five) regions of Darfur, the accessible areas in the Protocol areas, and Eastern Sudan being likely to present different types of situations overall, will all three warrant a distinct coverage by the evaluation.

ACCESS CONSTRAINTS (as of 7 September 2011)

Access constraints due to insecurity or government-imposed restrictions



Source: UN and partners Work Plan 2012

The selection of localities to be visited within each region would be based on following elements:

- **Security:** take out localities where access would not be possible due to insecurity;
- **Operational density:** High probability for encountering large number of communities targeted by either component 1, 2 and 3 in 2010 or 2011
- **Access conditions:** ensure an efficient use of time of teams in the field seeking to minimise travel time (and cost) so as to maximise time spent with informants;

❖ **Sampling of communities**

Within each locality purposely selected, the evaluation will seek to elect communities presenting the widest illustration of FAO/CHF focus and implementation modalities, considering in particular:

- **Intervention types:** Choosing communities or groups of neighboring communities where more than one component (between 1,2 and 3) has been implemented, to provide an assorted picture of many intervention types;
- **Typology of Implementing Partner (IP):** IPs include both national and international organizations, with localized to country-wide coverage and limited to high resources (and experience & capacity), which supposedly has an effect on how the inputs and services are

delivered, including on the targeting: the evaluation should ensure that amongst each region and locality, communities selected strike a good balance between the various types of IPs through which FAO implements its projects.

In addition, though not considered as sampling criteria per se, the **vicinity to a locality capital or any other strategic location** to meet with key informants (NGO, local authority...) is another element that will be taken into account in their selection of the communities to prioritize. As the teams will have to meet with key informants prior to / during their visits, the selection of communities to be visited could take into account the proximity to places where key informants can also be interviewed (close to relevant district capitals / communities where there are community networks established...)

❖ ***Sampling of households for FGD and interviews and Key informants***

Last, the evaluation will select people with whom it will meet to gather information, at each level where deemed appropriate.

1. Within each community, the evaluation will **sample households** for Semi-Structured Interviewing, using a stratified random sampling strategy, whereby a set of criteria will be established to identify the types of informants required, within which group participants should be selected randomly.

For each component², households sampling will be expected to **balance the following criteria**:

- IDPs (mobile / not), Host, returnees
- HH who received diverse of inputs / services (seeds, tools, training)
- In cases where a project has been implemented over time in the same community consider including both HH having received over time vs. HH receiving only once.
- For communities where CAHW have been established, consider including households who benefitted from the services of the CAHW, to get a sense of the quality of service they received (through snowball identification, asking the CAHW to indicate clients)

The SSI guides provide additional detailed guidance on the selection of households.

When applicable, a purposeful selection of households who can illustrate an “extreme case” will be sought (based on key informants’ suggestion), to provide some insightful stories from which the evaluators will try to identify patterns that could explain particular success or failure related to particular features of the given household.

2. **Selecting Focus Group Discussion participants** within each community will follow the same strategy as above, i.e. seeking to identify randomly household members who could illustrate a given situation. The specific attention here will be on ensuring that the 2 or 3 FGD that the team can hold will groups individuals who share a particular characteristic which make their situation comparable and grants them a sort of representative role. FGD guides will provide additional detailed guidance on selection criteria that should be used.

3. **Sampling key informants:** At Central, State, Locality or Community level, the evaluation will seek to identify people who, by their function or by the role they have had in supporting the delivery of humanitarian assistance and most specifically on FSL, are considered as withholding key knowledge and perceptions that the evaluation should capture. **Possible key informants** to be met at locality and community level include: local authorities, traditional authorities, CBOs & NGOs (IPs of FAO or not) operating in the community / area, Community workers.

² It is uncertain at this stage whether the team will be able to visit communities where several components have been implemented. Therefore, the sampling strategy will be developed by component.

Considering the potential wealth of aggregated knowledge that can be gathered from key informants, ensuring that the evaluation does meet with those who may provide the most credible and representative information will constitute a cornerstone of findings reliability. Also, ensuring the findings are based on a critical mass of key informants will be key to the evaluation credibility. The selection of these will in large part rely on the team supervisor's best judgment, and a snowball approach may be appropriate, such that unforeseen key informants emerging as providers of relevant and quality insights may be added, or on the contrary less insightful interviews may be shortened, if for instance repeating well-known information. Here again the approach flexibility and expected initiatives from team supervisors will be critical.

For the survey bearing on coordination issues, all relevant stakeholders of the FSL sector will potentially be contacted.

3.5 Roles in the evaluation

- **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.
- **Two national experts on agriculture, livelihoods and evaluation** will contribute to the evaluation as **"core team" members**, and bear the following main responsibilities: i) provide feedback to the team leader regarding the methodology and tools developed to undertake the impact assessment, with a particular attention to ensuring its realism with regard to the situation in Sudan; ii) lead the team's mission aimed at field testing the evaluation tools and refining them as necessary; iii) support other three experts in their supervisory tasks as field team coordinators in collecting data in the field to ensure the best possible data quality in view of needs; iv) join the main evaluation mission; v) assist the team leader in extracting insightful analytical pieces based on the data collected in the field and desk reviews and vi) provide written analytical contributions to the evaluation report as per outline as per agreed topics with the evaluation team leader. They will ensure a constant liaison with the team leader until the second phase of the primary data gathering.
- **Two specialists in social research**³, knowledgeable of Sudan, experienced in evaluation or social research work, and familiar with food security and livelihoods support programmes (agronomist or livestock specialists if possible) will take up the roles of **"field teams supervisors"**. They will each be in charge of leading the data collection work in the field and producing structured reports of compiled data for the geographical areas they are in charge of. 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 (3 in each area). 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...).

³ It should be noted that one expert will combine both the roles of core team member and field team supervisor.

3.6 Phases of the evaluation process:

❖ **Preparatory phase**

The preparatory phase has included the following steps:

- Evaluation scoping;
- FAO CHF portfolio desk review ;
- Developing the evaluation approach to be verified during the inception mission;
- Identifying and contracting the team members;
- Organizing of the inception mission including material preparation;

❖ **Inception mission**

The evaluation team leader (OED) carried out an inception mission from 25 March until 04 April 2012, with the following main results:

- (i) Exchange with relevant FAO ERCU staff on the evaluation scope based on TORs and on organizational aspects of the main data gathering phase directly following the inception mission.
- (ii) Collect relevant documents and information from Sudan ERCU and stakeholders
- (iii) Interview national experts in a view to select those who will take part in the evaluation
- (iv) Discuss the evaluation approach and methodological aspects with Senior Agricultural expert in the team, in particular to ensure that it is realistically anchored in the Sudan context

The mission was also intended to field test the preliminary data collection tools but due to impossibility to obtain required travel authorization, this was delayed to a later stage. A short mission report was prepared as a reference for ERCU and the evaluation team on actions to be taken by all evaluation stakeholders. The present methodology note is considered to complement the TORs on the basis of decisions taken during the inception mission.

❖ **Field testing phase**

A first 5-day mission will take place in Kassala State to test the data collection tools with the presence of all 3 team supervisors and led by the Senior Agricultural expert in the team (who participated in the evaluation approach design). During this time, the team will spend a couple of days with one of FAO's implementing partner and in selected communities where projects have been implemented in the least 2 years, looking to test each of the tools, and then spend the remaining 2 days adapting the tools as necessary, as well as discussing the approach and evaluation protocol⁴.

The aim is to ensure that each field team supervisor will have a solid understanding of the evaluation purpose and approach and of his/her contribution to it, and to ensure the teams start off with tools that will present an appropriate basis and starting point for their field work (though they can – should- be adapted along the way, as appropriate).

❖ **Primary data collection phase I: beneficiary assessment and complementary interviews**

The actual evaluation inquiry will start with an information gathering phase in the field, extending approximately from 05 – 31 May 2012, aiming to inform the effectiveness and impact of FAO/CHF interventions at grassroots level (components 1-3) and to some extent results in coordination. Three teams of 4 national assessment and agricultural experts will simultaneously deploy into three different regions of Sudan, namely Darfur, Eastern Sudan and some of the accessible Protocol areas.

⁴ In case of any delay to the tools testing field mission, the

The approach to this phase will be further developed in the following section on which details the investigation protocol. During this phase, the teams will be supported remotely from the Senior Agricultural team expert based in Khartoum, who may also travel to some State capitals as deemed necessary to support the teams and to carry-out additional key informants' interviews.

A budget will be prepared in coordination between ERCU staff at State and Khartoum levels, to estimate costs of transport, communication material, etc. to be covered by the evaluation budget.

❖ **Primary data collection phase II: additional key informant interviews**

A second phase of the inquiry phase will gather the evaluation team leader and the two core team members, to meet with additional key informants in selected State capitals (possibly only those not visited by core team members in the previous phase) and in Khartoum, to complement the grassroots level information gathered during phase I. Key informants to be met will be mainly institutional partners, counterparts and FAO.

It is planned to start from early June (exact dates to be decided based on phase I results) and to last about 3 weeks.

Aside from this additional data gathering which is planned to take up to 15 days, this mission will provide an opportunity for the core team to meet with the field teams supervisors who will present their findings and ensure that the outputs produced are sufficiently well understood in order to feed into the evaluation report. for the core team to discuss their preliminary findings, to be presented to the ERCU and key stakeholders during a debriefing meeting.

❖ **Report drafting**

The primary data collected and by field supervisors during the first phase mission will be consolidated and synthesized into analytical reports (as per template provided in annex VIII), presenting descriptive as well as a synthesized analysis of findings (quantitative and qualitative).

Based on the findings from the field teams reports and for the additional findings emerging from the secondary data analysis, the survey results and the second field mission, the evaluation core team will draft a comprehensive evaluation report inclusive of findings, conclusions, recommendations and lessons for the future.

3.7 Investigation protocol for data gathering phase I

❖ **Planned number of sampled localities / communities and households and tentative schedule for Data gathering phase I**

Three teams will concomitantly travel to three regions, according to the following tentative schedules:

Team 1: Blue Nile and South Kordofan State capital Kadugli⁵

<u>Dates and duration</u>	<u>State and Locality</u>	<u>Implementing Partner met</u>
1 20-22 May 3 days	Blue Nile Quesan locality	Humanitarian Aid and Development Organization-HAD
Evaluation of seeds & tools component: Visit of 2 communities with 1,5 days spent in each community (1 full day for first introduction meeting and households interviews and 0.5 day for FGD with households). 1/2 day can then be spent with the IP (HAD) to discuss based on the findings.		

⁵ At the time of the evaluation preparation, the State of South Kordofan was experiencing some turmoil which led the evaluation team to cancel planned visits in this State, due to movement restrictions outside the State capital.

- 2** 23-24 May Blue Nile **Quesan** locality ADRA (TBC by ECU Damazin)
2 days
Evaluation of IGA component (Beekeeping training and equipment distribution)-: Visit of 2 communities and interview of 3-4 women/HH per community (total of 6-8 HH). Time can be taken at the end of each day to interview the IP.
- 3** 26-28 May Blue Nile Damazin and Rusairis School Gardening & Nutrition
2.5 days localities Education Department, Ministry of Agriculture
Evaluation of IGA component: (Training in vegetable and fruit processing + equipment and cheese making and small business management training)- Visit of 2 communities: 1 for each training type and interview of 4 women /HH in each community. 1/2 day can then be spent with the IP to discuss the findings.
- 4** 29 May-01 June Blue Nile Damazin and Rusairis Ministry of Animal resources
3.5 days localities
Evaluation of Livestock component (CAHW training, vaccination & treatment services to 150 000 animals)- Visit of 2 communities in either locality(ies) and interview 2-3 CAHW and 5-6 HH who benefitted from the service of CAHW and/or of the vaccination campaign in each community (1 full day for introduction meeting and CAHW+ households interviews and 0.5 day for 2-3 FGD with households). 1/2 day can then be spent in Damazine with MoARF to get key informants' views.

Subsequent to the visit in Blue Nile State, the team should proceed to **Kadugli** to carry-out some key informants interviews (2-3 days as necessary – i.e. tentatively 03-05 June).

Team 2: Red Sea and Kassala States

- | <u>Dates and duration</u> | <u>State and Locality</u> | <u>Implementing Partner met</u> |
|---|---------------------------------------|---|
| 1 20-23 May
4 days | Res Sea, Haya and Dorodieb localities | Sudanese Red Crescent Society (SRCS) |
| Evaluation of seeds & tools component: Visit 2-3 communities: in each community the team would spend 1,5 days (approx. 1 full day for first introduction meeting and households interviews and 0.5 day for 2-3 FGD with beneficiaries). Time can be taken at the end of each day or during travel to interview the IP. | | |
| 2 24-28 May
4 days | Red Sea, Haya and Dorodieb localities | MoARF |
| Evaluation of Livestock component (CAHW training, vaccination & treatment): Visit of 2 communities in each locality of (including 1 community where a trained CAHW can be found): in each community the team spends 2 days (to interview trained CAHW and 3 HH who benefitted from CAHW service + 4-6 HH benef. of the vaccination campaigns in each community + 0.5 day for 2-3 FGD with households). Time can be spent with MoARF at the end of the days to get their key informants' views. | | |
| 3 29 May-05 June
7 days | Kassala, Rural Kassala locality | Agency for Cooperation & Research in Development (ACORD) |
| Evaluation of seeds & tools distribution + IGA components: visit 1 community targeted with IGA to interview of 4 -6 women / HH (1 day for IGA) + 3-4 communities targeted with S&T, with approx. 1.5 days per community (1 full day for first introduction meeting and households interviews and 1/2 day for 2-3 FGD with beneficiaries) ; 1/2 day with ACORD to discuss programmes and collaboration. | | |

- 4** 06 June
1 day
Kassala, Kassala locality
Elshimal Charity Organization
Evaluation of IGA component (Training on agro food processing): visit 1 community targeted with IGA to interview of 4- 6 HH. Time can be taken at the end of each day to interview the IP
- 5** 07 - 09 June
2 days
Kassala, In Kassala and /or Rural kassala localities
ISRA
Evaluation of seeds & tools distribution: visit 2 communities: spending 1 day in each community (incl. intro meeting with KI, households interviews and FGD with households). Time can be taken at the end of day 1 to interview the IP
- 6** 10 – 16 June
6 days
At least 2 different localities (Halfa and Aroma? - should include at least 2 where CAHW has been trained)
MoARF - Kassala
Evaluation of Livestock component (CAHW training, vaccination & treatment)- Visit of 3 communities: interview trained CAHW (target at least 2) and 5-6 HH who benefitted from their service + interviews 4-6 HH benef. of the vaccination campaign in each community (1 full day for introduction meeting and CAHW+ households interviews and 0.5 day for 2-3 FGD with households): total 6 days incl travel. Time can be taken during travel / at the end of each day to interview MoARF.

Team 3 : Darfur States

SOUTH DARFUR: 6 – 13 May 2012

Proposed field mission duration 8 days; 6 ½ days with IPs and 1 ½ day for travel

Name of IP	Geographical Locations to visit	Target beneficiaries to interview	Activities to consider	Proposed Itinerary
Afag organization	Elsalam and Belil localities	IDPs, returnees and host communities	Seeds and tools distribution and farmers training	1 day with returnee community 20 May
ZAO Refugee Care	Gereida and Buram Localities	Returnees, IDPs and host population	Seeds and tools distribution and farmers training,	1 ½ day with returnees farming community in Gerida 21-22 May
People organization for development and Rehabilitation (PODR)	Kass locality,	Conflict and drought affected returnees, pastoralists and host communities	Livestock (vaccination and treatment) Agriculture(seeds and tools distribution)	1 day with livestock keeping community 23- 24 May
World Vision International	Nyala locality and surroundings	IDPs	Seeds and tools, veterinary service, income generating activities (bee keeping),	One day with bee keeping group, one day with CAHWs, one day with livestock keepers

			establishment of one community forestry and training of CAHWs	in Nyala locality. A total of 3 days with IP. 25-27 May
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Central Darfur: 14 – 23 May 2012

Proposed field mission duration 10 days; 8 days with IP + 2 days of travel

Name of IP	Geographical Locations to visit	Target beneficiaries to interview	Activities to consider	Proposed Itinerary
Mubadiroon (NNGO)	Zalengie locality, Abata Administrative Unit	Returnee farmers	Agriculture, livestock and IGA	Visiting 2 communities (one on farming and one on livestock) in Zalengie @ 1 day/community. Spending 1 more day visiting Abata making a total of 3 days with IP 28-30 May
SMoARF	IDP Camps in Zalengie	IDPs	Vaccination, animal treatment, training of CAHWs and rehab of clinics	½ day with the Ministry as key informant and ½ day with trained CAHWs. A total of 1 day 31 May
Zakeya Centre for Women and Child development	Zalengie town	Women groups (IDPs and host community)	IGAs	Visiting one IDP women group and one host community women group @ 1 day per group making a total of 2 days with IP 02-03 June
DRC	Zalengie and Wadi Saleh	Returnees in rural areas	Seeds and tools distribution and farmers training, vaccination and treatment of livestock, training of CAHWs	Visiting 2 communities (one farmer and one pastoralist) in rural areas @ 1 day per community plus ½ with NGO making a total of 2 ½ days 04-06 June

North Darfur: 24 – 30 May 2012

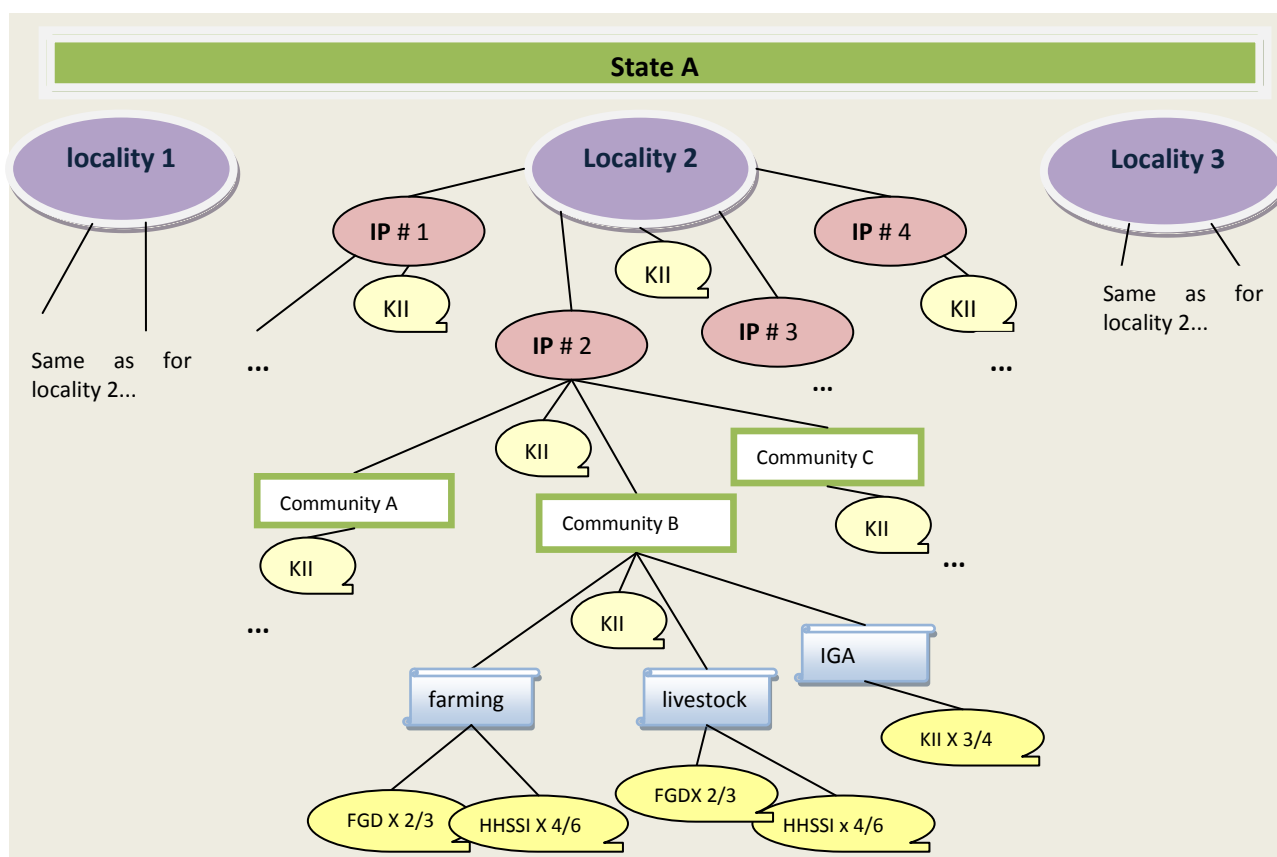
Proposed field mission duration 7 days; 5 days with IPs + 2 days travel

Name of IP	Geographical Locations to visit	Target beneficiaries to interview	Activities to consider	Proposed Itinerary
Kutum Agricultural Extension and Development Society	Kutum, Fata Baro and Kassab	Wadi based farmers, Pastoralists, IDPs and returnees	Agriculture: seeds and tools and farmers training. Livestock: vaccination and	1 day with farming community in Kutum, 1 day with livestock community in Fata Baro and 1day with IGA community in Kassab. In

			treatment of livestock, training of CAHWs and IGA	total 4 days with IP including travel time to and from Kutum <i>07 – 11 June</i>
Practical Action	El Fashers		Key informant interview	No plans for field visits (3 hours of office meeting with NGO) <i>12 June</i>
COOPI	El Fasher		Key informant interview	No plans for field visits (3 hours of office meeting with NGO) <i>13 June</i>
Dar El Salam Development Association			Key informant interview	No plans for field visits (3 hours of office meeting with NGO) <i>14 June</i>

❖ Sequencing of investigation steps

The following chart illustrates the typical sequence of work progress during field assessment phase I.



- **At State level:** the team should meet with FAO ECU staff (KII) which may help frame the inquiry better: ask information about projects and IPs that will be visited and about possible key informants to be met within the State. The mission schedule in the State, according to the plan, should be reviewed together and adjusted as necessary. The Team Supervisor will check:
 - that IPs have all been contacted and are ready to support the team
 - that IPs have communicated with the communities to be visited (and the team should be expected)

- that IPs have provided the necessary information / documentation, at the minimum the beneficiary lists for communities visited.

NOTE: At the time of drafting this note, the evaluation had not received feedback requested re. the lists of communities supported from which to select those to be visited. Therefore, the likelihood that the team supervisor may have to do the selection him/herself in some instances exists. In such case, the selection should be done according to the directions mentioned in the section 3.4. on sampling.

- **At the locality level :** the team will meet with **FAO IPs** who have been sampled and carry out an interview to draw from their **key informants** knowledge.
 - **NOTE:** Some questions related to the project background should to the extent possible be asked to the IP before the visit to communities, to provide the team with the necessary background information to be able to orient their interviewing in the most appropriate direction. Questions to IPs related to their perceptions on impact may be kept for a later stage.
 - The team supervisor may need to first accompany the team to a given community to introduce the team etc. (see below) and then leave the team undertake the community-level interviews, to focus on locality-level key informants. This way, the team will ensure a greater chance to have interviewed most knowledgeable FSL stakeholders (including FAO partners and Non FAO partners as well as relevant authorities, and other FAO staff).
- **At community level:** the team will start by a short introduction meeting with the community leader(s) to:
 - introduce the evaluation (purpose, time that the team will stay...)
 - gather general information about the project(s), and
 - explain who the team would like to meet in the community, for individual interviews (beneficiaries, non beneficiaries, extreme cases, community group representatives or service providers...) and for FGDs (give the criteria to form the homogeneous groups)
 - ask for any information needed to sample HH and FGD members already and identify other KI to be met (including outside the community)
 - The team will then gather to define the strategy and sample HH to be interviewed. The sampling will be the responsible decision of the team supervisor, based on the best available information he/she has and in line with instructions given in section 3.4.
 - Assessors will deploy for the **HH SSI**, first in teams of two and then individually. The TL should in principle remain with assessors for the first interviews to ensure that they are comfortably carrying out their interviews.
 - Assessors will later organise to conduct FGD with relevant people.
 - Then, the TL can meet again with the community leader(s) for a follow-up KII or meet with other key informants at community level identified based on the introduction meeting.
 - Once community-level KIs have all been met, the team supervisor can plan to leave the community to encounter other key informants in the locality (see above).

❖ **Guidance on use of each method for primary data collection**

In each area visited 3 types of tools will be used :

- Household Semi Structured interviews (HHSSI): to gather qualitative and some quantitative information from either typical or non typical (good and bad impact) illustration of a beneficiary HH situation (or even from non beneficiary situation, if easily available – e.g. if there were comparable non beneficiaries in the community)..
- FGD : to gather qualitative information from groups of beneficiaries who received different inputs or services / or who have a different situation, as to confirm the general understanding of main changes which may have occurred after the intervention(s).

- KI interview : qualitative (and quantitative, notably if they can share any document) information from relevant local authorities and community leaders, NGOs (IP or non IP of FAO) active in the areas visited, and other key informants at community levels (Health worker, CAHW, etc).

1) interviews with key informants

Objectives: KI sought are those who have somehow been involved in the implementation of any stage of CHF projects' cycle(s), i.e. in assessing needs, choosing target populations, implementation, monitoring, etc, and will have insights to share regarding the various elements that may have influenced impact. KI should be chosen for the analytical perceptions they can share with the evaluation, though their subjective understanding of the situation should be substantiated by evidence.

Methodology, time & number: Key informants (KI) are usually met first as they can then direct the team to other informants and provide the bigger picture, from where to then investigate for more details (with communities for instance).

During the first phase of the inquiry at regional levels the teams will focus on the following Key informants:

- *At State level*, on KI who will be further involved in the community level inquiry: **6 people min.**
 - FAO staff working at State level : 1 person minimum
 - FAO IPs' (INGOs/ NNGOS/ CCBOs) representative(s) at State level: 4 persons minimum (1 per IP)
 - State level authorities , who will likely be met by the team for administrative reasons: 0-1 person (if not, the team should not seek an additional meeting)
 - *At locality level*, the teams should meet with as many KI as possible, identified through a snowball sampling strategy (asking state level KI to point to other locality level stakeholders who may have relevant insights to share, and then locality levels stakeholders to point to others at locality and / or community level, etc): **4 – 8 people**
 - FAO staff working in the field (monitor) if available: 0-1 person
 - INGOs/ NNGOS/ CCBOs representative(s) at locality level, *including FAO IPs and non-FAO IP*: 2 -4 persons
 - Locality level authorities who have in some way had some exposure to FSL type of interventions (i.e. whose' views may be informative on the subject): 1-2 representatives
 - *At community level*, teams will meet with all possible people who, by their function or history, may have a somewhat broader and more analytical view than others over the dynamics of change in their community, i.e. who may have a good handle on the breadth of factors that have affected people's food security and livelihoods. By and large in one State, between 10 and 15 KI should be carried, with detail basis for calculation as follows: **3-4 people**
 - Community leader / village head: 1 person min.
 - Relevant knowledgeable community workers (farmers group representative(s), CAHW, other community worker): 2 – 3 persons
 - Authorities at community level who have in some way had some exposure to FSL type of interventions (i.e. select those whose' views may be informative on the subject): 0-1 person
- ⇒ **Average planned number of KII during phase I: 13-18**

During data gathering Phase II, the team will meet with the following KI *at central and State levels* :

- Government authorities who had in some way had some exposure to FSL sector interventions (i.e. whose' views may be informative on the subject): at least 4 KI
- CHF management representatives: min. 2 KI

- FSL sector partners representatives, including sector co-leads WFP and FAO: 2 KI
- Representatives of significant FAO IPs at Central and State levels who could not be met during Phase I: TBC based on phase I coverage, but plan for min. 4 KI
- Representatives of other NGOs working in the FSL sector who implement significant FSL interventions and are *not* IP of FAO, or of relevant research institutions: min. 4 KI

⇒ **Average planned number of KI during phase II: 16 - 20**

Tools to be used: **interviews checklists** have been developed based on indicators and information identified in the evaluation matrix as necessary to answer the key issues to be addressed by the evaluation. The interview guide is meant to provide assessors with a thread and ideas for probes and are not meant to be prescriptive. They are designed to be adapted to each type of informants met. Data gathering teams are expected to prepare their interviews by adapting the standard interview guides provided in Annex III.

- **Semi-structured Interviews with HH**

Objectives : Gather qualitative and quantitative information from given HH selected for either illustrating the average beneficiary household situation or for being representative of a special case (success / failure / constraint...). Get the “stories” through semi-structured questioning (pre-determined topics and probes) whereby the questioning can to some extent be oriented by the situation described. Aim is to generate a combination of qualitative-inquiry based in-depth understanding of the dynamics of change with possibly quantitative household-specific information that may be collated to get a sense of scale.

Time & number : For each State visited, 4 IPs are selected that will assist the evaluation teams visit between 1 and 4 communities (on average 2) . With approximately 4 – 6 HH interviews scheduled per community and per component, the current sample should allow the evaluation to interview **between 145 and 200 households.**

Methodology : The selection of households to be interviews will based on the sampling strategy described in section 3.4 in this Note, by and large a random sampling done based on lists of beneficiaries and purposeful; “snowball” sampling to identify special case households or “outliers”.

Tools to be used: As for KI interview guides, Semi-Structured interview guides have been developed based on indicators and information identified in the evaluation matrix, and these are all the same meant to provide assessors with a thread (+ probes) rather than being prescriptive. They are designed to be adapted to each type of informants met. Data gathering teams are expected to prepare their interviews by adapting the standard SS interview guides provided in Annex III.

See also annex **Annex IV: Guidance note on sampling and key principles for data collection.**

- **Focus groups Discussions (FGD) with beneficiaries (and non-beneficiaries if possible)**

Objectives: The focus group brings together 6-10 people who have something in common, to discuss specific topics in detail. It aims at generating qualitative information that allows understanding the rationale behind a successful or unsuccessful programme. They bring out broad understanding as to whether the intervention has generally worked or failed and if there are major lines of discrepancies between people (in which case maybe a more focused discussion with each sub group may be useful to get into more details without leaving the group that is not concerned aside of the discussion and eventually lose them). Information collected through FGD should be compared with that obtained from interviews which can bring about more information about specific situations.

Time & number: in cases where a visited community has received 2 types of interventions, FGD will have to be formed distinguishing 1) recipients of each component, and possibly further distinguishing between 2) settlement situation (IDPs/Returnees/hosts) and even between 3) groups benefitting from activities that have different aims (e.g. seeds and tools input distribution vs. training, all under the “farming” component). When it is possible, the team will seek to carry out a discussion with a comparison group of non recipients within the community. This means that for each component on average 2-4 FGD would be held. Approximately the team can plan to spend ½ day / component in one community, after SSI, which FGD will aim to build on / complement.

Methodology: Key principles are that:

- Group members are selected carefully on basis of common factors and avoid by all means any cause of tension between members that may impede the discussion;
- all people in the group feels welcome to come forward with their ideas and viewpoints, avoid having dominant people and silent people by subtly facilitating an open discussion;
- facilitator should intervene the least possible and let an open discussion engage between group members, he/she should just ensure that all topics are covered, and that discussion is smooth;
- open-ended questions guide the discussion and the facilitator follows threads rather than in a common language to all, in quiet place where the group will not be overheard or interrupted

The opinions gathered in the FGD will only be representative if the group is homogeneous. The selection of FGD members is essential to ensure a fruitful discussion. Take into account factors that may hinder the freedom of speech of every group member. For example, do not group people with hierarchical relationships (authorities will be interviewed separately).

To be prepared ahead: unstructured discussion guides, to ensure people will have been informed in advance, a short note should be prepared and sent to the attention of the IP who will be asked to inform the selected communities, to convey a clear message on who needs to be present the day of forseen visit.

Tools to be used: FGD guides are also provided in annex III. In line with the spirit of FGD being meant to allow for new topics to emerge and giving interviewees some leeway to direct the discussion, the FGD guides are even less prescriptive than the other tools. They contain the key topics which should ideally be discussed, and provide the moderator with references to redirect the discussion when he/she has the opportunity to do so.

See also annex **Annex IV: Guidance note on sampling and key principles for data collection** and see additional guidance on FGD planning and moderation in **Annex V: Guidance note on Focus Group Discussion Planning and Moderation**).

❖ **Guidance on Note taking, Data compilation and analysis**

Written notes are the principal tool for recording data in qualitative assessments and effective note taking is essential for the analysis of qualitative assessments. Notes include:

1) **Field notes taken during interviews and discussions, either in the form of**

- Responses written on **topical outlines**, based on interview guides are usually short and capture the essence of what respondents say or of observations.
- **Field notes**, taken to document responses and observations, usually short but maybe more open and elaborate than notes taken under topical outlines.

2) **Notes re-written (computerized) in a legible manner:**

- **“Expanded notes”** are developed by the note-taker *after* the data collection on the basis of field notes. They are extensive and involve transforming shorthand into a narrative that thoroughly documents the responses of the respondents, elaborates on initial observations and conclusions,

and identifies new questions. Expanded notes are the form of notes mostly tapped during the formal analysis phase of any assessment.

The importance of the Field teams' notes (expanded notes) cannot be understated: they will constitute a central reference to the evaluators and should therefore conform to the following qualities:

- ✓ legible;
- ✓ comprehensive;
- ✓ referenced with the date, time, place, type of data collection event, the name of the note-taker.
- ✓ And should distinguish between what was said and the assessor's views;

It is important that teams develop a robust understanding of the topical outline/question guide prior to data collection. Using a note-taking format (on the basis of the interview / FGD guides) can facilitate note-taking (see proposed format in annex VI).

When undertaking an interview in a team and even more for FGD, one person should be assigned to note-taking while the other tried to maintain the discussion flow going and ensures that all topics are covered. When interviews are carried out by one person only, he/she will be in charge of all at the same time.

To analyze the data collected in the field, the team should also consider triangulation and coding:

- Triangulation during the analysis usually happens by default as assessors cross-check their information from different sources to come up with final conclusions.
- "Memoing is part of the note-taking process and facilitates analysis later: it involves reviewing the primary data collected to formulate initial conclusions and observations and writing them down for the record. These "memos" should become increasingly focused on core issues as the assessment confirms some "patterns" in responses. Memos are extremely important to the analysis process because they provide the logical reasoning that occurs during the analysis, linking the facts to the conclusions.
- Coding is a process for categorizing qualitative data under themes that the assessment team identifies based on the assessment objectives and emerging phenomena. In most cases, codes are developed on the basis of the team discussions and are revised as new knowledge emerges.

See additional guidance re. Note Taking in **Annex VI: Guidance Note on Effective Note taking**).

The team supervisor will have the primary responsibility of compiling the data collected during the day with community members etc. Accordingly, he/she will be expected to organize the team's time so as to plan time for internal sharing of main findings of the day (or couple of days) as deemed more appropriate. The team debriefing will present the opportunity for the supervisor to build a evidence based report of findings for the region he/she is responsible for. The compilation time should also leave some time for the team to discuss the process by which data is collected, in a view to refine the tools used and keep adapting them to the reality captured on the ground. Enumerators should see this time as an opportunity to get further guidance from the supervisor on data collection and note taking methods, based on their practice of the day.

❖ ***Guidance on reporting primary data collected***

The data gathered during Phase I by the three field teams will be a central piece to the analysis of impact of the FAO/CHF interventions. For this reason, not only the planning and implementation of

the data collection is crucial, but also, the way teams will report on what they have gathered will be essential to pass along the key information to the core evaluation team and team leader who will write the evaluation report.

The team supervisors will be in charge of compiling the key findings gathered at the field level. This task will involve **on the one hand** ensuring that **the evidence** gathered can be traced (i.e. to field notes taken by assessment team members) while **on the other hand** presenting, for each locality and then for each State, **an synthetic analysis of the key patterns and overall findings** that the detailed evidence revealed. This implies setting up a field report system which has several layers of reporting, and keeping a clear track of each reporting layer.

An outline for the Analytical field team reports is provided in Annex VIII: Template for field team report (regional)).

3.8 Communication

The proposed evaluation setting will imply for the each team member to maintain a good communication with the rest of the team:

❖ *Communication between the team supervisors*

Team supervisors will be out in different field locations at the same time, hence possibly experimenting similar issues and will also expectedly be adapting evaluation data gathering methods and tools. All the above warrant that communication be maintained as much as possible between team supervisors, to promote cross-fertilization of experiences and favor the most efficient use of one's problem solving for the benefit of the wider team. Considering that while on mission, team supervisors will benefit from no straightforward communication channels between one another, they will be expected to maintain proactive communication with the team's senior agricultural expert and team leader who will knowledge sharing amongst the team. The core team will keep as responsive as possible to the communication needs of the field teams.

❖ *Communication with the core team*

Any additional needed change to the plan (itinerary, change of IP, etc) or adjustments to the approach and tools to which supervisors will likely be confronted will also be discussed as previously as possible with the core team, to ensure least possible deviation with intended evaluation results. Email and phone communications should be maintained as much as logistically possible to that effect.

Annexes:

Annex I: TORs

Annex II: Evaluation Matrix

Annex III: Evaluation data collection Tools

- Key Informants Interview Guide (all inclusive)- English version
- Semi-Structured Interview guides (farming / livestock / IGA X 3) – English version
- Focus Group Discussion guides (farming / livestock) –English version

Annex IV: Guidance note on sampling and key principles for data collection

Annex V: Guidance note on Focus Group Discussion Planning and Moderation

Annex VI: Guidance Note on Effective Note taking

Annex VII: Proposed Format for Note Taking

Annex VIII: Template for field team report (regional)

Annex IX: Outline for evaluation report