



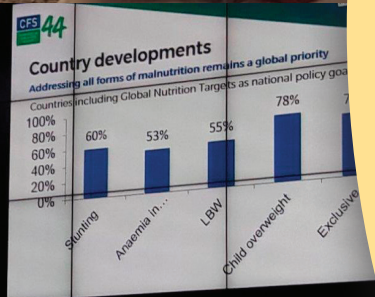
Food and Agriculture
Organization of the
United Nations



OFFICE OF EVALUATION
Thematic evaluation series

Evaluation of FAO Strategic Objective 1: Contribute to the eradication of hunger, food insecurity and malnutrition

ANNEX 1. Terms of Reference



July 2017

THEMATIC EVALUATION SERIES

**Evaluation of FAO Strategic Objective 1:
Contribute to the eradication of hunger, food
insecurity and malnutrition**

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**FOOD AND AGRICULTURE ORGANIZATION OF THE UNITED NATIONS OFFICE OF
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Office of Evaluation (OED)

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Contents

| | |
|--|-----------|
| 1. Introduction..... | 1 |
| 2. Background..... | 2 |
| 3. FAO’s Reviewed Strategic Framework | 5 |
| 4. SO1 and Strategic Programme 1 | 7 |
| 4.1 Strategic Objective 1..... | 7 |
| 4.2 Strategic Programme 1..... | 7 |
| 4.3 Regional Initiatives | 8 |
| 4.4 Sub-Programmes | 11 |
| 4.4.1 The Committee on World Food Security (CFS)..... | 11 |
| 4.4.2 Food and Nutrition Security Impact, Resilience, Sustainability and Transformation (FIRST) | 12 |
| 4.4.3 Voluntary Guidelines..... | 12 |
| 4.4.4 Voices of the Hungry..... | 13 |
| 4.5 Theory of Change | 14 |
| 4.6 Examples of work under SO1 | 18 |
| 4.7 Field Programme “Tagged” to SO1..... | 19 |
| 5. Objectives of the Evaluation | 21 |
| 6. Scope | 22 |
| 7. Evaluation criteria and questions | 23 |
| 8. Methodology..... | 25 |
| 9. Management arrangements..... | 28 |
| 10. Evaluation timeline | 29 |
| Appendix 1. SP1 Indicators and Targets..... | 30 |

Figures and Tables

Figures

Figure 1: Overview of the FAO’s Strategic Framework..... 5
Figure 2: Graphic Representation of the Evaluation Theory of Change 16

Tables

Table 1: FAO Regional Initiative..... 10
Table 2: Distribution of SO1 Expenditures per Outcomes (2014-2015) 20
Table 3: Proposed Country Case Studies 26

1. Introduction

1. The FAO's Reviewed Strategic Framework 2010-19, approved at the 38th Session of the FAO Conference in June 2013, outlined five new Strategic Objectives representing the areas of work on which FAO will focus its efforts in support of Member Nations, as follows:
 1. Contribute to the eradication of hunger, food insecurity and malnutrition (SO1)
 2. Increase and improve provision of goods and services from agriculture, forestry and fisheries in a sustainable manner (SO2)
 3. Reduce rural poverty (SO3)
 4. Enable more inclusive and efficient agricultural and food systems at local, national and international levels (SO4)
 5. Increase the resilience of livelihoods to threats and crises (SO5)

2. At its 116th session (November 2014¹), the FAO Programme Committee endorsed the Indicative Rolling Work Plan of Strategic and Programme Evaluation 2015-17², which proposed to present, in each Programme Committee session, one thematic evaluation related to the Organization's Strategic Objectives. The present Terms of Reference identifies the main parameters for an evaluation of Strategic Objective 1 on the eradication of hunger, food insecurity and malnutrition. SO1 is the fourth SO to be evaluated, after SO5, SO3 and SO4.

¹ CL 150/5 - Report of the 116th Session of the Programme Committee, November 2014.

² PC 116/5 - Indicative Rolling Work Plan of Strategic and Programme Evaluation 2015-17, November 2014.

2. Background

3. FAO was created at the end of World War 2 as the first specialized agency of what would become the “UN system”, with a mandate to alleviate the immediate postwar food shortage. Its first Director-General (DG) was British nutritionist John Boyd Orr, who received the Nobel Peace Prize for his scientific research into nutrition and his work as the first DG of FAO.
4. In its early decades, FAO promoted the simple and dominant paradigm that food security equals national food self-sufficiency. This view was challenged as early as the 1980s, as it failed to address the reality that individual food security for all is a necessary condition for national and global food security. Defining food security as an individual rather than national characteristic draws attention to the factors required for access to food, including income and employment, in order to address the vicious cycle where the undernourished could not gain access to food. However, FAO stayed committed into the 1990s to the notion that increasing food production was a sufficient condition for food security. The initiation of the Special Programme for Food Security (SPFS) in 1995 was focused on projects at the national level to increase agricultural production. An evaluation undertaken in 2001 identified an early “micro” oriented production focus, and identified a need to pay greater attention to **“linkages with other donors, development agencies and farmers’ organizations; [and] meso- and macro-level institutional and policy issues.”**³
5. During the same broad period, support for agriculture and rural development projects plummeted globally. Agriculture and rural development projects gave way to structural adjustment programmes in the 1980s and then to more policy-based operations in the 1990s. By 2001, annual lending to agriculture and rural development by the World Bank had fallen to less than US\$1 billion from US\$3.5 billion in 1995. A perceived high rates of failure in agricultural projects⁴ contributed to this trend, as well as other factors. A rash of new conflicts and disasters have significantly increased the share of total ODA assigned to short term relief operations. Increasing demands for emergency and post-emergency rehabilitation assistance were placed on many international agencies, including FAO. Additionally, during the MDG period (2000-2015), education and health absorbed large shares of ODA. This has been accompanied by an increase in various forms of budget support.
6. Currently 795 million people still suffer from chronic hunger (SOFI, 2015). The human, social and economic costs to society at large are enormous in terms of lost productivity, health, well-being, decreased learning ability and reduced fulfilment of human potential. The food price crisis in 2007–2008 and the subsequent period of high food prices volatility sparked a global rethink of food and nutrition security and sustainable agriculture but it has also led to the rise of food and nutrition security on the agendas of political leaders in many countries and in regional, sub-regional and global institutions and country groupings. Lately, country leaders from around the world gather at the Second International Conference on Nutrition in Rome in

³ Independent External Evaluation of the Special Programme for Food Security, PC 87/4a, Programme Committee Eighty-seventh Session, Rome, 6-10 May 2002
<http://www.fao.org/docrep/MEETING/004/Y6172e/Y6172e00.HTM>

⁴ World Bank 1997. *Reforming Agriculture: the World Bank Goes to Market*, as quoted in the IEE report “the Challenge of Renewal” from which much of this text is borrowed.

November 2014 to commit to action needed to fix the global food system.⁵ And the recently approved 2030 Agenda for Sustainable Development called for bold, transformational change to achieve a world that is more inclusive, fair, sustainable and resilient. The 17 SDGs aim to end poverty and hunger while restoring and sustainably managing natural resources. They are universal – the 2030 Agenda is as relevant to developed as it is to developing nations – and indivisible – no one goal is separate from the others. While Sustainable Development Goal 2 (SDG2) aims to “end hunger, achieve food security and improved nutrition and promote sustainable agriculture”, the 2030 Agenda also recognizes that we can no longer look at food production, livelihoods and the management of natural resources separately.

7. Raising levels of food security and nutrition has always been part of the FAO mandate. However, in practice the Organization has not afforded nutrition a high enough priority until quite recently. An evaluation of FAO’s role and work in nutrition conducted in 2010⁶, found that the FAO Regular Programme budget allocation to nutrition work had consistently stayed below one percent during the evaluation period (2004-2010) and that human resources devoted by FAO to nutrition were extremely limited and dropping. The evaluation also pointed out that FAO had been a somewhat ambivalent player in the movement for Scaling-Up Nutrition (SUN), and that nutrition had not featured prominently in the agenda of the Committee for World Food Security (CFS). It concluded that FAO lacked the leadership, vision and direction in this domain, and recommended the drafting of a strategy on how agriculture and food-based approaches can contribute to tackling hunger and malnutrition, taking into account the double burden of under-nutrition and over-nutrition.
8. Significant progress has been achieved since the nutrition evaluation. The staff of the technical division dealing with nutrition (ESN) has been strengthened. The reform process of the CFS has made it “the central United Nations political platform dealing with food security and nutrition”. The 2013 edition of *The State of Food and Agriculture*, entitled “Food Systems for Better Nutrition”, made the case that good nutrition begins with food and agriculture, and that food systems around the world have become more industrial, commercial and global, with profound implications for diets and nutritional outcomes.
9. Most importantly, a strategy has been released in 2014 to “prioritize FAO’s work in nutrition and assert its global leadership role in generating and communicating knowledge, building political commitment and strengthening capacities of governments and other implementing partners to act effectively” on nutrition. The FAO Nutrition Strategy was developed during the

⁵ Held on 19-21 November 2014 at FAO Headquarters in Rome, the Second International Conference on Nutrition (ICN2) was a high-level intergovernmental meeting that focused global attention on addressing malnutrition in all its forms. Over 2 200 participants attended the meeting, including representatives from more than 170 governments, 150 representatives from civil society and nearly 100 from the business community. In addition to plenary sessions held on November 19th, 20th and 21st, several pre-conference events for parliamentarians, civil society and the private sector, as well as round tables and side events, provided a forum for participants to delve deeper into specific nutrition issues. The two main outcome documents—the Rome Declaration on Nutrition and the Framework for Action—were endorsed by participating governments at the conference, committing world leaders to establishing national policies aimed at eradicating malnutrition and transforming food systems to make nutritious diets available to all.

⁶ Evaluation of FAO’s Role and Work in Nutrition, PC 108/6 13, FAO/OED 2011 (<http://www.fao.org/docrep/meeting/023/mb663E01.pdf>).

Evaluation of SO1 – Annex 1. Terms of Reference

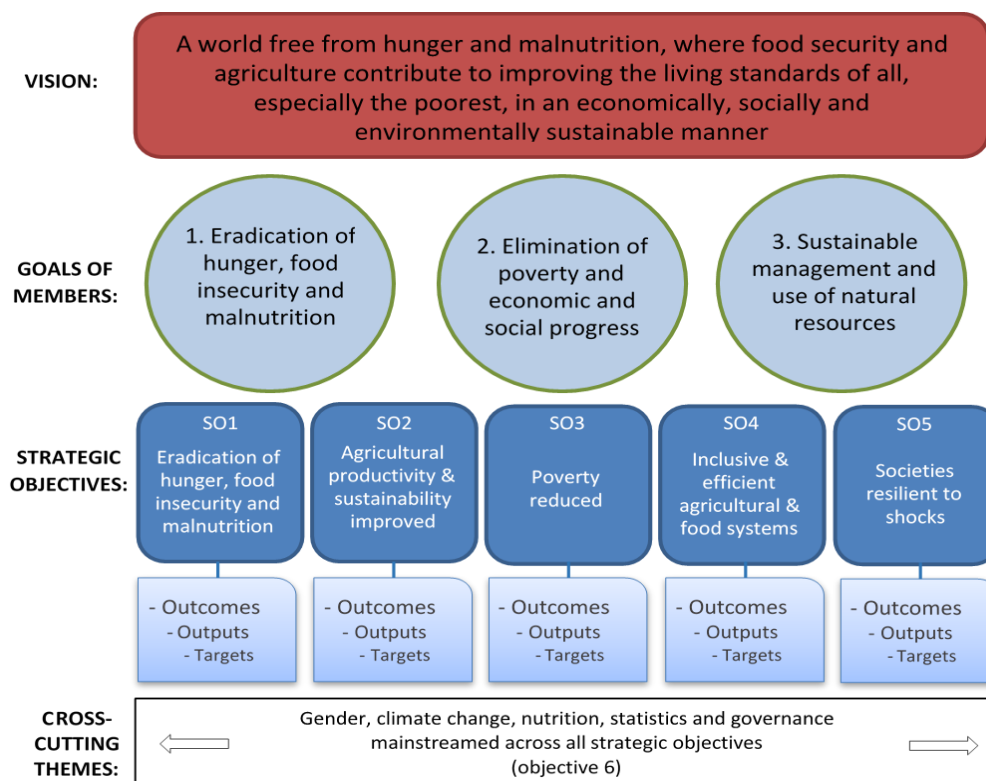
revision of the Strategic Framework, launched by the FAO Director-General in January 2012 to determine the future strategic direction and priorities of the Organization. The Strategy was formulated to directly contribute to the achievement of FAO's proposed Strategic Objective 1, although FAO's work in nutrition will also contribute to achieving all its Strategic Objectives.⁷ For this reason, it was recently agreed that the Nutrition Strategy should be evaluated in a coordinated manner with the evaluation of Strategic Objective 1.⁸ Specific Terms of Reference will be issued for this exercise.

⁷ Strategy and vision for FAO's work in nutrition, PC 112/2, 2012 ().

⁸ FAO/OED: Proposal for Evaluation of Thematic Strategies, Programme Committee Hundred and Twenty-first Session, PC 121/7, March 2017 (<http://www.fao.org/3/a-ms543e.pdf>)

3. FAO’s Reviewed Strategic Framework

Figure 1: Overview of the FAO’s Strategic Framework



Adapted from: Strategic Framework - Our Priorities for delivery and impact - Induction Seminar for new Permanent Representatives, FAO/OSP, October 2013

10. The Strategic Framework defines a new way of working for FAO, stressing the importance of greater focus, collaboration across units to achieve corporate goals, and better response to country needs. In his foreword to Reviewed Strategic Framework⁹, the Director-General underlined that “it will require considerable changes in the way we operate”. The following evolutions are particularly noteworthy:

- FAO now has a more concise number of strategic objectives, each of which requires the collaboration of several technical departments. In contrast, older strategic frameworks typically had many more strategic objectives, and while there were efforts to promote cross-departmental collaboration, each of the strategic objectives was typically associated with one technical department or division.¹⁰

⁹ C 2013/7, op. cit.

¹⁰ The original version of the SF 2010-2019 (document C 2009/3) had 11 strategic objectives, as follows: A. Sustainable intensification of crop production; B. Increased sustainable livestock production; C. Sustainable management and use of fisheries and aquaculture resources; D. Improved quality and safety of food at all stages of the food chain; E. Sustainable management of forests and trees; F. Sustainable management of land, water and genetic resources and improved responses to global environmental challenges affecting food and agriculture; G. Enabling environment for markets to improve livelihoods and rural development; **H. Improved food security and better nutrition**; I. Improved

Evaluation of SO1 – Annex 1. Terms of Reference

- Programmes and associated resources¹¹ have been designed, led by the respective Strategic Programme Teams, and Service Level Agreements were prepared between Strategic Programme leaders and technical divisions and regional offices to plan for technical support. The fact that resources were tied to the new SOs should make them more easily evaluable than previous strategic objectives, which tended to be more aspirational.
- Delivery mechanisms have been conceptualized, with associated technical leaders and focal points, such as the Corporate Technical Activities¹², Regional Initiatives and the Country Programming Framework.
- The new Strategic Framework was accompanied by a strong drive towards decentralization of operational and technical capacity from Headquarters to Regional, sub-Regional and Country Offices. These have been tasked to take the lead in delivering the FAO mandate to Member Countries, with the rest of FAO in a more clearly defined supporting role.

preparedness for, and effective response to, food and agricultural threats and emergencies; K. Gender equity in access to resources, goods, services and decision-making in the rural areas; **L. Increased and more effective public and private investment in agriculture and rural development.** The previous one (2000-2009) had 12 “strategies”.

¹¹ Including regular programme resources, which had never been allocated to the pre-existing SOI.

¹² Corporate Technical Activities are areas of work that are managed directly under the responsibility of heads of organizational units, i.e. the way FAO used to operate historically prior to the revised strategic framework. Resources for carrying out these activities are allocated directly to the technical unit concerned rather than by the SP Leaders (“ring-fenced resources”). CTAs include high visibility products (e.g. statistics, flagship publications), partnerships with other organizations (e.g. the FAO Investment Centre) and FAO statutory bodies (e.g. regional conferences).

4. SO1 and Strategic Programme 1

4.1 Strategic Objective 1

11. In the specific case of SO1, the hierarchy of objectives described above presents a peculiarity: as phrased, Strategic Objective 1 is almost identical to the Goal of Members 1. Even the Vision prominently quotes hunger and malnutrition. Hunger eradication is both a “strategic objective”, a higher “goal”, and an important element of the “vision”. Of course, language from all strategic objectives can be found in the vision statement, and all Strategic Objectives contribute to it. But SO1 is at the core of the FAO mandate, which is to free humanity from hunger.
12. This could have resulted in a degree of ambiguity about what type of FAO activities and programmes contribute to SO1 and what pertains to other strategic objectives. In part for this reason, the Strategic Framework focuses SO1 on improving the policy environment for food security, i.e. strengthening the design and implementation of policies, laws, regulations, programmes and investment plans contributing to improved Food Security and Nutrition (FSN), excluding therefore from SO1’s scope those FAO’s activities and programmes implemented at the “downstream level” with communities and producers that contribute to other SOs.
13. This importance given to policy departs from previous FAO efforts towards FSN that were almost entirely focussed on providing technical solutions for increasing food production, as explained in the background section.

4.2 Strategic Programme 1

14. “Strategic Objective Programmes” were designed in 2014 to provide the four-year results-based framework and associated programme of work and resources for delivering results against each SO. The SO1 programme (also called “Strategic Programme 1” or “SP1”) is articulated along 4 outcome areas:

1. Policies, programmes and legal frameworks:

- Explicit political commitment in the form of policies and investment programmes (output 1.1.1)
- Legal frameworks and accountability mechanisms to realize the right to adequate food and to promote secure and equitable access to resources and assets (output 1.1.2)
- Allocation and use of necessary human (output 1.1.3) and financial resource (output 1.1.4) to eradicate hunger, food insecurity and malnutrition

2. Human and financial resources:

- human resource and organizational development in the food security and nutrition domain (output 1.3); and
- enhancing the adequacy, efficiency and effectiveness of public resource allocation and use for food security and nutrition (output 1.4)
-

3. Governance, coordination mechanisms and partnerships:

- Strengthened governance, coordination mechanisms and partnerships to improve participation and coordination across sectors and stakeholders for food security and nutrition (output 1.2.1)
- 4. Evidenced-based decision-making:** Improving capacities of governments/stakeholders for
- Evidence-based policy processes supported by better information on food security and nutrition situations (output 1.3.1)
 - enhanced tracking and mapping of actions, and improved impact assessment (output 1.3.2)

4.3 Regional Initiatives

15. At the regional level, the “Regional Initiatives” form another type of delivery mechanism meant to respond to regional priorities as expressed by member-states in the FAO regional conferences. FAO is currently implementing a total of 15 Regional Initiatives, listed in Table 1. Although the RIs are not SO-specific, “lead SPs” have been identified for each RI. Currently, SP1 is in the lead for three regional initiatives in three regions:
- **The Africa’s 2025 Zero Hunger Challenge:** FAO supports the implementation of the Malabo Declaration by strengthening programmes, coordination mechanisms, capacities and delivery of actions needed to operationalize the commitments to end hunger by 2025, in partnership with the African Union (AU) and the New Partnership for Africa's Development (NEPAD) and its Comprehensive Africa Agriculture Development Programme (CAADP), with work on National Agricultural Investment Plans (NAIPs). Other actors include the Pan African Parliamentary Alliance on Food Security and Nutrition, and regional groups such as SADC/COMESA¹³ and CILSS/ECOWAS¹⁴.
 - **The Hunger-Free Latin America and the Caribbean Initiative:** FAO supports the design and implementation of policies, plans and programmes for food security and nutrition, including on school feeding, dietary guidelines, dialogue and coordination on nutrition, and the production of statistics for relevant SDG indicators, in collaboration with the World Health Organization (WHO), the Pan-American Health Organization (PAHO), the Latin American and Caribbean Parliament (PARLATINO), the Parliamentary Front against Hunger (PFH), the Community of Latin American and Caribbean States (CELAC), the UN Economic Commission for Latin America and the Caribbean (ECLAC), and the Southern Cone Common Market (Mercosur).
 - **The Asia and the Pacific’s Zero Hunger Challenge:** This initiative appears more technical in nature than the corresponding African and Latin American ones. It is implemented in collaboration with the Association of Southeast Asian Nations (ASEAN), and 21 national and international research institutes and others, including strengthened collaboration with research centers from the Consultative Group on International Agricultural Research (CGIAR).

¹³ Southern African Development Community (SADC) / Common Market for Eastern and Southern Africa (COMESA).

¹⁴ Permanent interstate committee for drought control in the Sahel (CILSS) / Economic Community of West African States (ECOWAS).

Evaluation of SO1 – Annex 1. Terms of Reference

16. As of date, FAO does not implement hunger-oriented RIs in the Europe-Central Asia region (REU) nor in the Near East and North Africa region (RNE).
17. Through the regional initiatives listed above, FAO supports the **global Zero Hunger Challenge**, a UN initiative launched by Secretary General Ban Ki-moon at the Rio+20 conference in June 2012. The initiative is based on previous efforts by the Brazilian government to reduce poverty and hunger through its *Fome Zero* programme, launched in 2004.¹⁵
18. At the national level, the primary delivery channel is the Country Programming Framework (CPF), which is an agreement between the government and FAO defining where FAO should focus its activities over a period of four to five years. The CPF predates the revised Strategic Framework and SO1.
19. A set of “focus countries” has been identified. A first set of focus countries was defined by the respective Regional Representatives for each Regional Initiative (“RI focus countries”) in June 2015. Another set of focus countries was selected by the SP teams based on the presence of documented need, political will to address it, and a sizeable SO-related portfolio in country. Countries included in the sample for the Corporate Outcome Assessment 2014-17 were also selected as focus countries.¹⁶
20. Realizing that many countries had been selected as “focus countries” by more than one SO/RI, and that there was a risk of an uncoordinated approach to country support, FAO defined a set of 13 so-called “countries under closer and active observation and support”. Priority in terms of corporate support is given to “focus countries under active observation”, then to “RIs focus countries”, and then to the other focus countries.¹⁷
21. For each “country under closer and active observation”, an SP was designated to facilitate, coordinate and monitor support to RIs and Country Offices. SP1 is the designated “facilitator” for 2 countries under closer and active observation: Bangladesh and Laos.

¹⁵ The Brazilian programme *Fome Zero* has lifted millions of people out of poverty by supporting local farmers and community kitchens and introducing social welfare policies such as the *Bolsa Familia* scheme. Graziano da Silva, who designed the Brazilian programme, is now Director-General of FAO, and a strong supporter of the Zero Hunger Challenge.

¹⁶ Strategic Objective Programmes 2016-17 – Focus Countries, FAO, December 2015.

¹⁷ Coordinated Support Arrangements - Regional Initiatives and focus countries, FAO, April 2016.

Table 1: FAO Regional Initiative

| Region / Initiative | Lead Strategic Objective | | | | |
|---|--------------------------|----------|----------|----------|----------|
| | 1 | 2 | 3 | 4 | 5 |
| Africa: | | | | | |
| Africa's Renewed Partnership to End Hunger by 2025 | X | | | | |
| Integrated Management of Agricultural Landscapes | | X | | | |
| Building Resilience in Africa's Drylands | | | | | X |
| Asia-Pacific: | | | | | |
| Zero Hunger Challenge | X | | | | |
| Value Chains for Food Security and Nutrition in the Pacific Islands | | | | X | |
| Blue Growth Initiative | | X | | | |
| Asia and the Pacific's Regional Rice Initiative | | X | | | |
| Near East and North Africa: | | | | | |
| Small-scale Agriculture for Inclusive Development | | | X | | |
| Building Resilience for Food Security and Nutrition | | | | | X |
| Water Scarcity Initiative | | X | | | |
| Latin America and the Caribbean: | | | | | |
| Support to the Hunger-Free Latin America and Caribbean Initiative | X | | | | |
| Family Farming and Rural Territorial Development in Latin America and the Caribbean | | | X | | |
| Sustainable use of natural resources, adaptation to climate change and disaster risk management | | | | | X |
| Europe and Central Asia | | | | | |
| Empowering Smallholders and Family Farms | | | X | | |
| Agrifood Trade and Regional Integration | | | | X | |
| Total number of RIs per SO | 3 | 4 | 3 | 2 | 3 |

4.4 Sub-Programmes

22. A number of global platforms and initiatives of a distinct normative nature are attached to SP1 and aim to facilitate inclusive multi-stakeholder platforms, convene policy-setting meetings and work as an 'honest broker' within a number of technical sectors relevant to food security and nutrition. They include:
- Support to the Committee on World Food Security as the most pertinent global platform.
 - The Food and Nutrition Security Impact, Resilience, Sustainability and Transformation (FIRST).
 - Promoting the implementation at country level of various Voluntary Guidelines, including on the Responsible Governance of Tenure of Land, Fisheries and Forests in the context of National Food Security, on Support the Progressive Realization of the Right to Adequate Food, and for Securing Sustainable Small-scale Fisheries in the Context of Food Security and Poverty Eradication.
 - The Voices of the Hungry project (VoH).

4.4.1 The Committee on World Food Security (CFS)

23. The Committee on World Food Security (CFS) was established in 1974 as an intergovernmental body to serve as a forum in the United Nations System for review and follow-up of policies concerning world food security including production and physical and economic access to food. Since its reform in 2009 the CFS includes a High Level Panel of Experts on Food Security and Nutrition (HLPE) as its science-policy interface, as well as representation from civil society and the private sector. The CFS permanent Secretariat is located in FAO headquarters and includes members from the World Food Programme (WFP) and the International Fund for Agricultural Development (IFAD). The CFS contributes to FAO objectives through the development of multi-sectoral and multi-stakeholder policy frameworks for food security and nutrition and through strategic coordination across sectors and stakeholders for food security and nutrition.
24. The CFS commissioned an independent evaluation to determine the progress the Committee was making towards the goals of its 2009 reform. The evaluation covered the period October 2009 to October 2016.¹⁸
25. Since its reform in 2009, CFS has played an important role in global policy convergence in food security and nutrition, providing a dynamic and functional platform for multi-stakeholder and multisectoral coordination to strengthen collaborative action. CFS is now recognized to be "the foremost inclusive international and intergovernmental platform for a broad range of committed stakeholders to work together in a coordinated manner and in support of country-led processes towards the elimination of hunger and ensuring food security and nutrition for all human beings".

¹⁸ Evaluation of the Committee on World Food Security, Final Report, April 2017.

4.4.2 Food and Nutrition Security Impact, Resilience, Sustainability and Transformation (FIRST)

26. One notable initiative that will be reviewed as part of this evaluation is the Food and Nutrition Security Impact, Resilience, Sustainability and Transformation (FIRST) facility, to which the European Union contributed €50 million and FAO €23.5 million. FIRST is a policy assistance facility jointly managed by the EU and FAO. Its main purpose is to strengthen the enabling environment for food and nutrition security and sustainable agriculture in selected priority countries and when appropriate regional organizations. The theory of change is almost identical to that of SP1 and the programme is administered directly by the SP1 team in consultation DEVCO in Brussels as well as the concerned FAO Country Offices and EU Delegations.
27. FIRST has hired a network of technically competent policy and governance experts and placed them in country, typically within the Ministry of Agriculture highest echelon, in now 34 countries. FIRST experts are expected to have a sound understanding of complex systems change in a multi-sectoral national and/or regional context, be familiar with relevant methodologies such as capacity assessment and planning, and be able to engage effectively as change agents, requiring skills in process facilitation, communication and cultural sensitivity.¹⁹ FIRST is meant to provide added value to the nearly €8 billion of European Commission (EC) funds that is expected to be dedicated to improve FNSSA at country level during the 2014–2020 period, y ensuring a conducive environment for their utilization.

4.4.3 Voluntary Guidelines

28. The Voluntary Guidelines on the Governance of Tenure of Land, Fisheries and Forestry in the context of National Food Security (VGGT); the Voluntary Guidelines on Support the Progressive Realization of the Right to Adequate Food (VGRtF), and the Voluntary Guidelines for Securing Sustainable Small-scale Fisheries in the Context of Food Security and Poverty Eradication (FSS Guidelines) are a set of global normative products approved through various FAO governing bodies (CFS and COFI). These activities often have a distinct advocacy dimension; they are about rights to land and water tenure, and the right to food.
29. The **Voluntary Guidelines to support the progressive realization of the right to adequate food in the context of national food security (VGRtF)** were adopted by the 127th Session of the FAO Council in November 2004. They provide an overall framework for achieving food security and nutrition objectives. The VGRtF delivery mechanisms focus its action on support countries to strengthen their food security policies, programmes, strategies and legislation; adopting the right to adequate food and as its main objective and applying human rights principles (participation, accountability, non-discrimination, transparency, human dignity, empowerment and rule of law) to enhance the empowerment of rights-holders and the accountability of duty-bearers. So far, FAO has supported the implementation of the RTF voluntary guidelines in 14 countries.²⁰

¹⁹ Food and Nutrition Security Impact, Resilience, Sustainability and Transformation (FIRST): FAO and European Union Policy Assistance Mechanism, FAO/EU-DEVCO 2015.

²⁰ Cabo Verde, Guinee Bissau, Niger, Sao Tome & Principe, Togo, Costa Rica, Guatemala, El Salvador, Mexico, Panama, Paraguay, Peru and Nepal, Senegal, Cambodia.

30. **The Voluntary Guidelines on the Governance of Tenure of Land, Fisheries and Forestry (VGGT)** provide countries with a framework for best practices in tenure-related policies, laws, regulations, strategies, and practices. They address both the procedural and substantive aspects of establishing sound governance of resource-based rights and are flexible enough to apply to the multitude of tenure regimes exercised in countries around the world. Since their development and endorsement by the CFS in 2012, national consultations have been undertaken on a large scale through a transparent, open and inclusive process, through collaborative support of civil society organizations, private sector entities, United Nations Agencies and other international organizations. The Global Programme for the implementation of the Voluntary Guidelines (PGM/MUL/2012-2016/VG) is a multi-donor programme managed by the VG-Tenure Secretariat, which was hosted by the Climate, Energy and Tenure Division (NRC) until December 2015, and was then transferred to the Partnership, Advocacy and Capacity Development Division (OPC). Phase 1 was initiated in October 2012 and ended in June 2016. The majority of activities and staff under the FAO VGGT Programme are financed through trust fund contributions, with Phase 1 covering 13 different projects funded by Belgium, Denmark, European Union, France, Germany, Italy, Sweden, Switzerland and UK. Phase 1 focused on partnerships building, awareness raising and dissemination, capacity development and targeted support to pilot countries. It was recently evaluated separately. A new phase was approved and will be operational till June 2020.
31. The **Voluntary Guidelines for Securing Sustainable Small-Scale Fisheries in the Context of Food Security and Poverty Eradication (the SSF Guidelines)** are the first internationally agreed instrument dedicated entirely to the important but often neglected small-scale fisheries sector and specifically to tenure issues within the sector. The SSF Guidelines are the result of a bottom-up participatory development process based on the recommendations of the Twenty-ninth and Thirtieth Sessions of the FAO Committee on Fisheries (COFI) in June 2014. Between 2010 and 2013, FAO facilitated a global process that involved more than 4 000 representatives of governments, small-scale fishers, fish workers and their organizations, researchers, development partners and other relevant stakeholders from more than 120 countries in 6 regional and more than 20 civil-society organization-led national consultative meetings. The outcomes of these consultations provided the basis for the final text. The next step is to support the implementation of the guidelines at country level.

4.4.4 Voices of the Hungry

32. The Voices of the Hungry project (VoH, project code PGM/MUL/2013) was officially launched in November 2013. It is funded by DFID, the Kingdom of Belgium and the Bill & Melinda Gates Foundation, and coordinated by the FAO Statistics Division (ESS). Building on prior efforts in the US and Latin America, FAO has developed an experience-based global food insecurity experience scale module called the Food Insecurity Experience scale (FIES), which offers an experience-based measurement of the severity of food insecurity that relies on people's direct responses to a series of questions regarding their access to adequate food. The overall goal of the VoH is to improve policy and programme response to global hunger through an improved monitoring on food insecurity by i) establishing a global standard for measuring the severity of food insecurity based on people's self-reported experiences, and ii) applying the FIES at national

level to produce comparable indicators on the prevalence of food insecurity. The project has five main outputs:

- A global standard for measuring people's experience with food security is established.
- Datasets of experienced food insecurity as collected by Gallup World Poll (Gallup) in 150 countries annually are owned by FAO.
- A new set of indicators of the extend of experienced food insecurity at different level of severity based on the FIES is produces, and the linkages with Policies on Food Security are demonstrated
- The technical and functional capacities at individual and organizational level are reinforced to improve the ability of the Governments in the targeted countries and of their development partners to monitor trends in food insecurity and hunger and to assess impact of relevant policies, based on the application of the FIES.

4.5 Theory of Change

33. SP1 tries to promote a reform of policy advice in FAO, through a more demand-driven strategy, an offer of service better coordinated within FAO, and greater attention to the implementation of policies as opposed to just their formation and adoption. One should note however that there are a number of related FAO policy initiatives, including:
 - the FAO Policy Portal led by the new Governance and Policy Unit in ESD, which aims to bring together the FAO technical units involved in policy assistance;
 - the Food and Agriculture Policy Decision Analysis (FAPDA) that provides a set of tools to gather policies related to food production and trade, collected since 2007 from more than 80 countries;
 - the Monitoring and Analysing Food and Agricultural Policies (MAFAP) programme, which seeks to establish country owned and sustainable systems to monitor, analyse, and reform their food and agricultural policy frameworks; and
 - FAOLEX, one of the world's largest electronic collection of national laws, regulations and policies on food, agriculture and natural resources management.
34. SP1 aims for greater allocation of both national and international human and financial resources to agriculture and nutrition programmes (outputs 1.3 and 1.4), including through supporting national efforts in tracking public expenditure for food security and nutrition, improving capacities of government and stakeholders for human resource management and enhancing the adequacy, efficiency and effectiveness of public resource allocation and use. This focus on development finance for food security and nutrition should not be confused with a *pro domo* fund-raising effort: the point is that the sector *as a whole* requires greater investment, not that FAO itself should receive more funding.
35. Much of FAO's work on evidence-based decision-making has been on strengthening capacities of member countries and their development partners for monitoring and analyzing the food security and nutrition situation, which involves capturing the contributions of different sectors towards eradicating hunger, food insecurity and malnutrition. For SO1, the emphasis has not been on gathering primary data and setting up additional databases, but rather on providing a

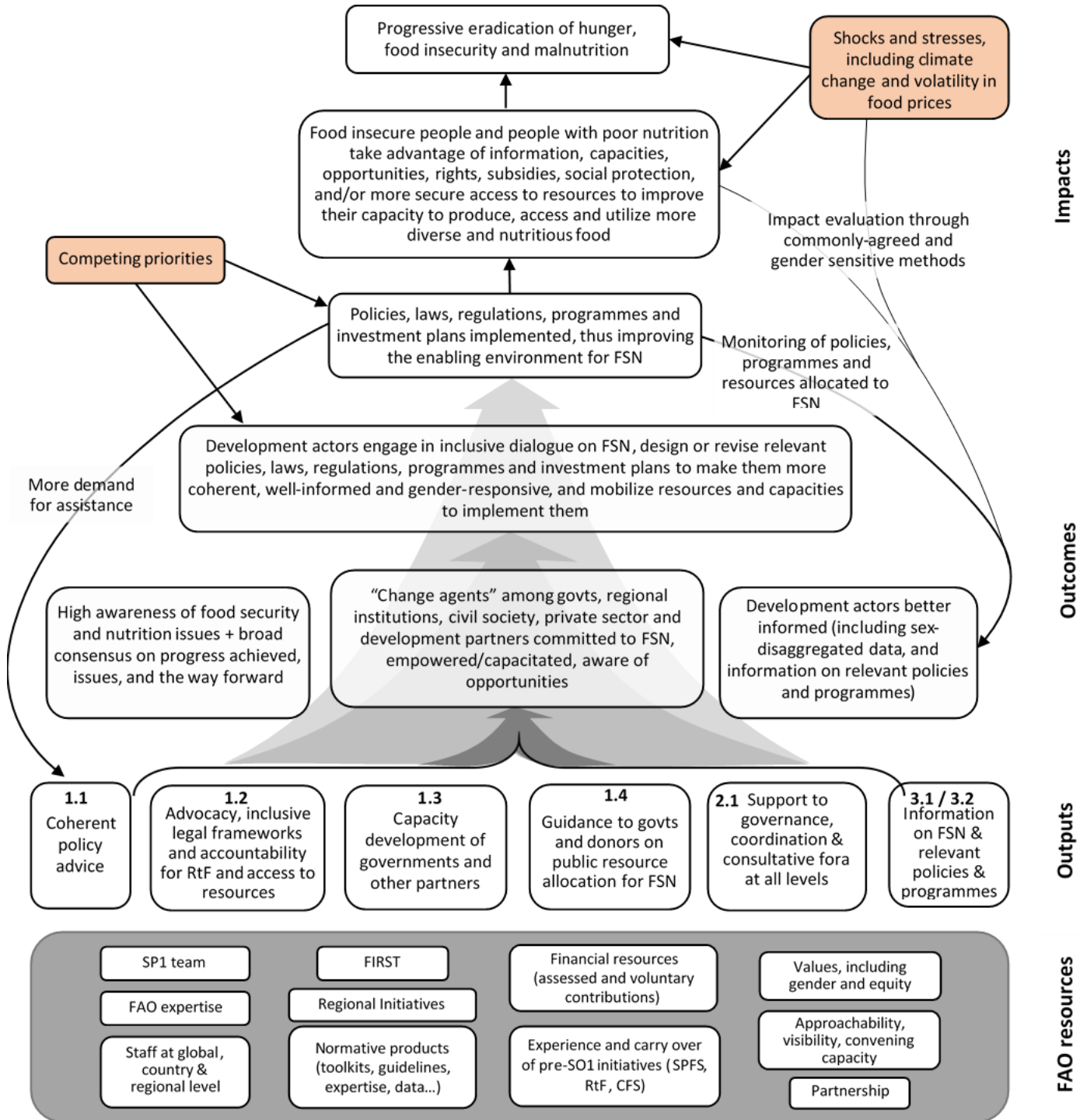
food security and nutrition lens to existing data and information systems, and ensuring better uptake of such analysis by decision-makers.

36. A “theory of change” (TOC) was developed based on scoping interviews with SP1 staff and desk review of SP1 strategies and programme activities.²¹ The TOC is conceived as an *evaluation tool* to inform evaluation design. As an evaluation tool, it does not intend to duplicate or replace the official, formally approved theory of change for SO1 (document i. in footnote 11). Rather, it builds upon it and related documents to map and graphically represent the main causal relationships related to FAO’s work within the scope of SP1, so as to provide evaluators with a clear sense of what they are tasked to evaluate.
37. The TOC makes the distinction between 3 stages in policy cycle: motivation, design, implementation – SP1 works at these 3 levels, not just policy formulation. It includes feedback loops, including outputs 3.1 and 3.2 on information about FSN policies & programmes and impact assessment, and distinguishes between advocacy for rights and information on facts. Finally, the evaluation TOC recognizes pre-SO1 lines of work (SPFS, RtF and CFS) as important resources (integration and evolution of pre-SO1 “products”), and notes that competing priorities, shocks and stresses (e.g. migrations, food prices) may affect the programme outcomes.

²¹ In particular, the following documents were reviewed and used for the TOC: i. FAO’s Strategic Objective 1: Help eliminate hunger, food insecurity and malnutrition – Theory of Change, FAO undated (including its annex on SO1 output indicators); ii. FAO’s Strategic Objective 1: Help eliminate hunger, food insecurity and malnutrition, FAO 2015 (overview note); iii. C 2017/3 Web Annex 11: Results Frameworks, comparing 2014-17 to 2018-21; iv. Food and Nutrition Security Impact, Resilience, Sustainability and Transformation (FIRST) - FAO and European Union Policy Assistance Mechanism, FAO 2015 (an overview note of FIRST); v. Strategy and Vision for FAO’s Work in Nutrition, FAO 2014; vi. CL 144/14 – Web Annex: FAO’s Attributes, Core Functions and Comparative Advantages (2012).

Figure 2: Graphic Representation of the Evaluation Theory of Change

(The figure does not attempt to capture the full complexity and multiplicity of pathways but rather presents a simplified overview of what SP1 is trying to achieve. By necessity, the map is always simpler than the territory.)



38. The TOC was primarily meant to identify underlying assumptions of SO1/SP1 that are necessary for the theory to make sense, with the intent of verifying them during the evaluation. Assumptions are phrased in such a way that if all or most of them prove true in a particular locale, the programme theory is considered sound and achievable there.²² The assumptions form one of the sources used to craft the evaluation questions. Sixteen such assumptions were identified, as follows:
1. FAO's global mandate in FSN is recognized and the organization has enough credibility, visibility, resources and technical capacity to successfully promote change.
 2. *Undernutrition* ought to remain FAO's primary focus, as WHO continues to emphasize the public health implications of non-communicable diseases related to *overnutrition*.
 3. The SP1 team and afferent planning, budgeting and reporting mechanisms help to bring coordination, collaboration and focus to the different programmes, policy advice and data collection mechanisms developed by FAO on FSN, and facilitate FAO country offices access to technical support from headquarters and regional offices.
 4. Historic FAO initiatives on FSN (e.g. the various SPFS incarnations, the RtF) either continue to be supported and benefit from the latest developments and orientations, or are discontinued after drawing lessons from them.
 5. Current national and regional development objectives, policies and programmes do not give sufficient priority to FSN.
 6. The responsibility for creating an enabling policy and institutional environment for food security and nutrition lies with government, and policy drivers are essentially political rather than technical. FAO's role should be to build on commitments made by countries, taking into consideration political constraints and opportunities, for instance by working with "change agents" in the form of influential individuals and stakeholders in government and among development partners, and identifying with them concrete *windows of opportunity* where FAO can help strengthen the enabling environment.
 7. Strong FAO leadership and visibility at country, regional and global levels leads to improved FAO engagement at the highest political level.
 8. Policy setting is only part of the solution; many policies get approved but are not implemented. Therefore FAO and partners need to pay greater attention to policy implementation issues, notably resource allocation.
 9. Laws, policies, regulations and programmes that are formulated without inclusive consultation of stakeholders/partners tend to be either poorly implemented, or poorly designed and thus potentially detrimental. In particular, successful food security and nutrition policies and programmes require the engagement of ministries of economy and finance, social affairs, education and health, not just that of the ministry of agriculture. E.g. working with schools can help develop nutritious eating habits and strengthen nutrition education.
 10. FAO can add value and lend credibility to national and regional partners, policies and interventions in food security and nutrition, by carefully adapting its approaches, methods, tools and expertise to regional and national contexts through its network of regional and

²² Some of the assumptions apply at the global level but most refer to country-level processes, and so they might prove true in some countries but not in others.

country offices.

11. Governments are accountable to their constituencies, including those affected by undernutrition.
12. Governments and their development partners are willing to commit politically to FSN, to prioritize it in resource allocation, to adopt inclusive governance and coordination mechanisms, and to collect, use and share improved data on FSN.
13. Competing priorities and societal demands do not weaken governments' political commitment to FSN.
14. Crises, shocks and stresses remain at a manageable level and do not disrupt programme and policy implementation.
15. The relevant policies, laws, regulations and programmes have an equity focus, successfully target and cover food insecure and vulnerable people, and address issues that are relevant to them.
16. Reasonably cost-effective and consensual impact evaluation methods, informed with data of sufficient precision, are identified and used to evaluate the impact of policies on food security and nutrition, in a gender sensitive manner.

4.6 Examples of work under SO1

39. At global and regional levels, the emphasis is placed on advocacy and fostering inclusive policy dialogue to increase high-level political commitment, promote a solid and common understanding of issues, facilitate consensus on policy and institutional options, developing global and regional policy frameworks, and sharing of tools and good practices. Examples include:

Global level:

- Co-organizing the Second International Conference on Nutrition (ICN2), which has enabled the adoption of the Rome Declaration on Nutrition and the associated Framework for Action.
- Support to the endorsement of the *Principles on Responsible Agricultural Investment and Food Systems* at the October 2014 Plenary Session of the Committee on World Food Security.
- Support to the adoption of the Voluntary Guidelines for Securing Sustainable Small-scale Fisheries in the Context of Food Security and Poverty Eradication by the Committee of Fisheries (COFI) at its 31st session.
- Development of sectoral policies guidelines, which have been recently launched by SP1 team.

Regional level:

- Support to the formulation and endorsement of the Malabo Declaration and its Renewed Partnership to End Hunger
- Support to integrating nutrition into the ASEAN Integrated Food Security Strategy, Its Plan of Action for Food Security (2015-2020) and the Food, Agriculture and Forestry Vision (2016-2025)
- Support to the endorsement of the Special Declaration for Family Farming by the Parlamento Latino-Americano (Parlatino) Commission of Agriculture, Livestock and Fishery

40. **At national level**, FAO works directly with decision-makers in government and development partners to raise awareness about food security and nutrition issues, create greater

understanding of causes and options for action, develop skills, competencies and know-how, and foster inclusive and evidence-based dialogue and collaborative action across the broad spectrum of stakeholders in government, development partners, civil society, private sector and academia. Examples include:

- In Zambia, Malawi, Mauritius and Rwanda, FAO is mainstreaming the role of fish in national food security policy processes, using the Voluntary Guidelines on Small Scale Fisheries.
- In Liberia, Senegal, Sierra Leone, Mongolia, Cambodia, Indonesia, Lao PDR, Myanmar, Nepal, Thailand and Viet Nam, FAO raised awareness of decision-makers on the *Voluntary Guidelines on the Responsible Governance of Tenure of Land, Fisheries and Forests in the Context of National Food Security* (VGGT) and the contribution of improved governance of tenure, and the role of gender, in resolving food security and nutrition problems
- In El Salvador, as a result of FAO's advocacy, promotion of policy dialogue, and capacity development efforts, a draft Law on Food Sovereignty and Food and Nutrition Security was developed by the Parliament in partnership with civil society and the Government and Human Rights Commissioner
- In Bangladesh, FAO supported the development of the Country Investment Plan (CIP) for Agriculture, Food Security and Nutrition and supported the CIP annual monitoring system to track resource allocation and analyse the efficiency of resource use for food security and nutrition
- In Angola, FAO raised awareness of decision-makers on the importance of bringing different sectors and stakeholder together and is now supporting the National Forum on Nutrition.
- In Niger, FAO sensitized national authorities on the importance of tracking elements of enabling environment for informed decision-making and will provide direct support to the 3N Initiative Secretariat in setting up a mapping system in 2015

4.7 Field Programme "Tagged" to SO1

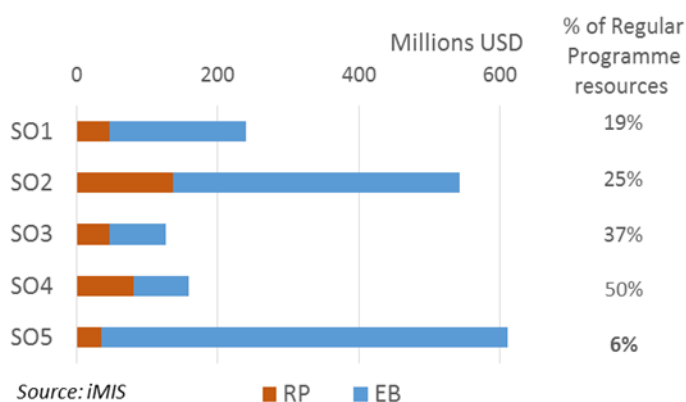
41. Programmes and projects implemented in the field are supposed to be "tagged" to one or several Strategic Objectives. Such "tagging" SO1 is not necessarily always done as per headquarters' directions and a few large field projects were found by OED to be mistagged to SO1.
42. Because of such mistagged projects, and also because SP1 sees its role as reforming FAO's policy proposition in FSN, there is a disconnect between the field programme tagged to SO1 and the actual support provided by the SP1 team to their pilot or focus countries. These two sets of activities only partially overlap. However, *the evaluation is supposed to assess the corporate FAO efforts towards SO1*, and therefore has to include in its scope not only the work of SP1 and its related programmes and regional initiatives, but also the field programme genuinely linked to the SO1 theory of change, over and beyond the support provided by the SP1 team.
43. According to an analysis of tagged projects and the regular programme resources invested in each SO, it appears that SO1 is the third SO in terms of financial size, after SO5 and SO2. Within SO1, a majority of resources have been spent on outcome 1 (63%).

Table 2: Distribution of SO1 Expenditures per Outcomes (2014-2015)

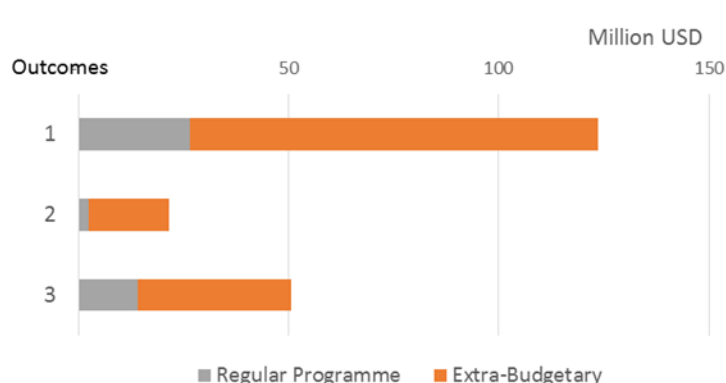
| SO1 Outcomes | Million USD, biennium 2014-15 | | | % RP/ Total | % of SO1 Total |
|--------------|-------------------------------|--------------------------------------|--------------------|-------------|----------------|
| | Regular Programme | Extra-budgetary (i.e. donor funding) | Total | | |
| 1 | 97,248,155 | 26,465,939 | 123,714,094 | 21% | 63% |
| 2 | 19,261,024 | 2,365,936 | 21,626,960 | 11% | 11% |
| 3 | 36,602,310 | 13,970,382 | 50,572,692 | 28% | 26% |
| Total | 153,111,489 | 42,802,257 | 195,913,746 | 22% | 100% |

Source: iMIS

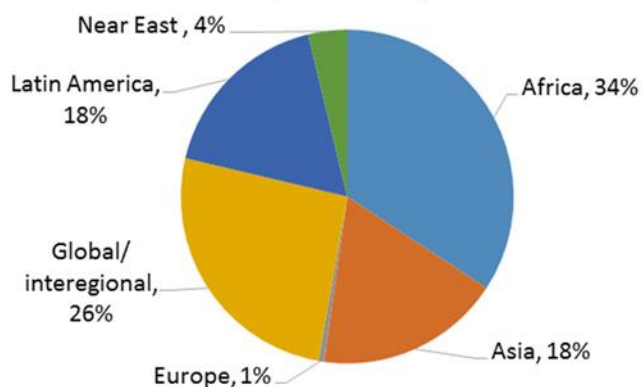
Expenditure of the 5 SOs in 2014-15



Expenditures 2014-2015 per SO1 Outcome

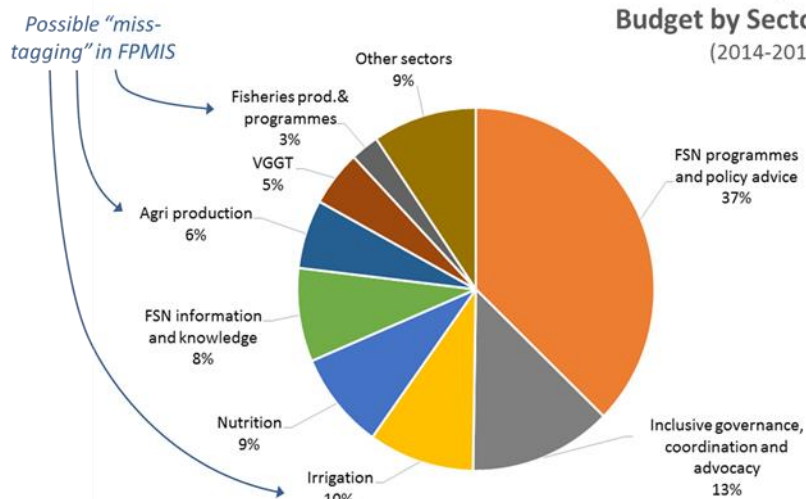


Budget of SO1-tagged projects per region (2014-2016)



Source: FPMIS – all projects linked to SO1

Distribution of Project Budget by Sector (2014-2016)



5. Objectives of the Evaluation

44. The objectives of the evaluation are to help FAO management and governing bodies assess progress made towards implementing the new FAO vision through Strategic Objective 1 and examine how the revised strategic framework and the programme established under SO1 (SP1) have helped FAO, at all levels of the Organization, to focus and improve the relevance and effectiveness of its work on hunger, food insecurity and malnutrition at policy level.
45. The objectives of the evaluation are:
 1. Help FAO management and governing bodies assess progress made towards planning for and implementing the new FAO vision and the new orientations that are embedded in Strategic Objective 1;
 2. Examine how the reviewed strategic framework has added value to FAO's efforts to promote conducive policies, laws and programmes; advocacy for the allocation of adequate human and financial resources to food security and for secure right frameworks; and promotion of evidence in decision-making for FSN at global, regional and national levels;
 3. Based on the above, provide strategic recommendations for FAO and the Strategic Programme Management Team.
46. The Indicative Rolling Work Plan of Strategic and Programme Evaluation 2015-17 proposed to present, in each Programme Committee session, one thematic evaluation related to the Organization's Strategic Objectives. SO1 is the fourth SO to be evaluated, after SO5, SO3 and SO4.

6. Scope

47. The evaluation scope encompasses all FAO efforts to contribute to SO1 at the global, regional, and national levels, whether these efforts were supported by SP1 or not. All SO1-related activities funded through FAO's own resources as well as those financed by resources mobilized from donors will be within scope. The period covered by the evaluation is 2013-2016, i.e. the period since the adoption of the new strategic framework.
48. One notable initiative that will be reviewed as part of this evaluation is the Food and Nutrition Security Impact, Resilience, Sustainability and Transformation (FIRST) facility, to which the European Union contributed €50 million and FAO €23.5 million. The VoH programme and the Nutrition strategy will also be evaluated as part of the SO1 evaluation, but with specific reports.
49. The evaluation objectives emphasise accountability towards FAO Members and partners. The Strategic Programme 1 was designed in 2014, while the creation of the SP Management Teams dates only from September 2015.²³ In effect, FAO has only started to focus on the delivery of its revised strategic framework. FIRST has only been implemented for two years. Though some progress might have been achieved on some outputs and outcomes, it is still too early to expect much in terms of impact, and therefore the evaluation will not attempt to systematically assess the impact of SO1 at this stage. The "learning dimension" will nevertheless be strongly present through the provision of feedback on the implementation of the different lines of work, some of which predate SP1.
50. Similarly, the corporate guidance provided by OSP on how to plan and monitor work under the new strategic objectives will only be superficially analysed, as this concerns more than just one SO. The evaluation will analyze how such corporate guidance was *applied* within SO1, and with what results, with a view to provide recommendations for the future.

²³ Prior to the creation of dedicated SP teams headed by full-time SP leaders, each SO programme was coordinated by one Strategic Objective Coordinator (SOC) emanating from a technical department and also acting as Division Director for his or her original division. From September 2015 onward, the SOCs were renamed SP Leaders (SPL) and they attend solely to responsibilities relating to delivery of the Strategic Objectives; see *Administrative Circular 2015/19: Interim Arrangements for Enhanced Programme Delivery, 2 September 2015*.

7. Evaluation criteria and questions

51. The evaluation questions below form a tentative set, which will be expanded based on further desk study and interaction with key actors.

a. Strength of the result framework & delivery mechanisms

52. The following questions are about the clarity of FAO's strategy under SO1, its relevance to countries' needs, and the degree to which it is likely to be effective.

- Quality of the new strategy and result framework, as designed; completeness of the theory of change
- Relevance of the new strategy to countries' needs
- Innovation as compared to pre-SO1, learning lessons from older strands of work (CPF, RtF, NPFS) in SP1 design
- Stability of the SP team structure and funding, fitness for purpose
- FIRST: project design and integration into SP1
- Planning, budgeting and reporting; SP posts and resources in the PWB
- Collaboration and overlaps with other SPs
- Is the connection to divisions theoretical or actionable? Roles and relations with technical units, matrix management, SLAs, division of labor with ESA, ESN, MAFAP, Governance and Policy Unit
- Relations with Regional and Country Offices; responding to country demands; COs and ROs capacity to implement SP1

b. Progress achieved towards SO1

- Resources mobilized and progress achieved under each output at country and regional levels, including progress achieved under FIRST, the ZH challenge, VoH, etc.
- Is SP1 adapting its approaches to regional and national contexts? Supporting policy implementation, not just design? Taking into account political constraints and entry points? Better able to "get at scale" under the new approach?
- Are the different elements of the framework all equally important at country level? Limiting factors, trade-offs, unintended effects
- Capacity and knowledge management in FAO: Is FAO as a whole getting less fragmented and more astute at policy and investment advice? Better addressing hunger reduction thanks in part to SP1?

c. Progress achieved under cross-cutting themes

53. Within the Strategic Framework, cross-cutting themes are being given increasing attention by Member States. The evaluation will assess progress achieved under the:

- FAO Policy on Gender Equality: how is SP1 contributing to gender equality to reduce food insecurity?
- Nutrition Strategy: is SP1 a strong vehicle for building upon the momentum for nutrition?

- Organizational strategy for governance laid out in the MTP 2014-2017 (para. 421)
- Corporate Capacity Development Strategy

d. Strategic Positioning and Partnerships

- Does FAO have the visibility, leadership, political neutrality, access, resources and technical capacity to succeed?
- Is the new framework and approach well disseminated, and clearly understood by countries and partners?
- Role in governance (global, regional and national) and trust of partners and government; convening capacity; role of NGO; collaboration with the private sector, with consumer / producer org.
- Trends in resource mobilization and partnerships; relations with donors, EU (FIRST and budget support), WB (GAFSP), other IFIs and UN (IFAD, WFP, WHO, UNICEF)
- Partnership with regional groups (AU, ECOWAS, CELAC, CARICOM, NEPAD/CAADP, Parlatino, etc.)
- Capacity to project the “voice of the hungry”. What advocacy model, channels and resources for FAO? (includ. the use of FIES for advocacy)
- Capacity to address emerging issues (e.g. food prices, migration)

8. Methodology

54. The evaluation will rely on multiple sources for data collection and mixed-methods for analysis, validation and triangulation of evidence against the evaluation questions. Sources of data and methods of collection will include: document review and administrative data analysis; meta-synthesis of evidence from independent evaluations conducted by OED and some decentralized evaluations commissioned by FAO country or regional offices and headquarters units; interviews and survey of FAO staff and partners involved in work under SO1 .
55. Eight country case studies will be undertaken by the main evaluation team to complement the desk study of past and present evaluations, highlight the kind of results achieved by the most innovative and recent approaches. Based on monitoring data for the biennia 2014-2015 and 2016-2017, OED analysed the geographic distribution and concentration of the different SO1 strands of work to support a purposeful sampling of the country case studies. Criteria used for the selection included regional diversity; level of food insecurity in country; the presence of key SP1 outputs and lines of work; the size of field programme resources tied to SO1 in the country programme; the presence or absence of a FIRST policy officer as well as his or her date of entry in duty; SP1 team's recommendations; and the Country Office availability to host the case study. The list of proposed case studies is presented in Table 3.
56. In terms of programme presence, countries were classified amongst the following categories:
 - Countries with limited SO1 programme and a significant pre-2013 portfolio
 - Countries with a significant SO1 programme, and limited pre-2013 portfolio
 - Countries with both a significant pre-2013 portfolio and SO1 programme
57. For obvious reasons, no case study is proposed in countries that had neither a significant pre-2013 portfolio nor have a present SO1 programme.
58. Two regions are missing in this sample of case studies: Europe and Central Asia, and Middle East and North Africa. However, three CPEs will help shed light on how FAO supports the FSN policies in the regions (Egypt, Kyrgyzstan, and West Bank & Gaza).

Table 3: Proposed Country Case Studies

| Regions | Countries with limited SO1 programme [°] and a significant pre-2013 portfolio [^] | Countries with a significant SO1 programme, and limited pre-2013 portfolio | | Countries with both a significant pre-2013 portfolio and SO1 programme | | Total |
|---------------------------|---|--|---|--|---|----------------------------------|
| | | Without a FIRST policy officer | With a FIRST policy officer | Without a FIRST policy officer | With a FIRST policy officer | |
| Africa | Cape Verde Tanzania CPE | | Ethiopia Côte d'Ivoire CPE | Nigeria | Mozambique* Niger CPE* Kenya CPE* Burkina Faso CPE | 4 case studies 5 CPE |
| Asia-Pacific | | Nepal | Timor-Leste Myanmar* CPE | Bangladesh | Cambodia* Pakistan CPE | 4 case studies |
| Latin America & Caribbean | Brazil (donor) | Dominican Republic OECS & Barbados CPE | Honduras CPE | El Salvador | Guatemala CPE | 3 case studies 3 CPE |
| Arab States | Egypt, West Bank & Gaza CPEs | | | | | 2 CPEs |
| Europe CIS | | | Kyrgyzstan CPE | | | 1 CPE |
| Total | 2 cases studies 3 CPEs | 2 cases studies 1 CPE | 2 case studies 3 CPE | 3 case studies | 2 case studies 5 CPE | 11 case studies 12 CPE |

[^] The pre-2013 portfolio in food security was estimated through a proxy: the presence or absence of an SPFS, NPFS, PESA and other national denominations of the Special Programme for Food Security in country.

[°] The “footprint” in country of the SO1 programme was estimated through the use of several indicators: size of the project portfolio tagged to SO1; country result reporting in PIREs (including reporting on gender activities); whether the country is listed as a focus country for SO1 or for the three regional initiative related to Zero Hunger; presence of a FIRST policy officer in country; presence of work on the VGGTs; and presence of work on the Right to Food.

* FIRST policy advisor arrived in country in 2016 (others arrived in 2017, a bit early to evaluate)

59. Data collection in the sampled countries will be complemented with a synthesis of past evaluation findings in other countries, as well as telephone interviews with partners and additional country and regional offices.

60. The Evaluation Team will synthesize the result of Country Programme Evaluations (CPE), evaluations of specific normative programmes and platform (policy, nutrition, CFS, VGGT) and

Evaluation of SO1 – Annex 1. Terms of Reference

projects evaluations that are currently being conducted or completed, as a way to explore SO1-relevant issues. These include CPEs in Burkina Faso, Côte d'Ivoire, Egypt, Guatemala, Honduras, Kenya, Kyrgyzstan, Myanmar, Niger, OECS & Barbados, Pakistan, Tanzania, and West Bank & Gaza.

61. As part of the evaluation, the Office of Evaluation (OED) also intends to conduct a specific quantitative analysis of FAO's comparative advantages within the broader institutional environment. A significant number of international and regional organizations provide policy advice and information in the field of food and nutrition security, as FAO does under SO1. In order to base the analysis of FAO's position and comparative advantage on solid empirical ground, a quantitative "benchmarking study" will be conducted to compare FAO with a sample of relevant organizations (so-called "comparators", public or private, global or regional in scope) in the provision of policy advice and information on hunger alleviation and food and nutrition security, using a standard set of performance indicators on web-metrics, size of effort and investment, country coverage, etc. The result of this benchmarking exercise will ultimately support the analysis of FAO's comparative advantage by the main evaluation team, which will involve more qualitative interview with the main "comparators".
62. A survey of regional, sub-regional and country offices' staff involved in SO1 will be undertaken to explore results, ways of planning and delivering results, and to suggest recommendations for the way forward. . A survey to collect data on the gender-related work developed under SO1 at regional and national levels has been sent out to the gender officers and gender focal points²⁴.
63. Evaluations of the Nutrition Strategy and of the Voices of the Hungry project will be undertaken as coordinated assignments with the SO1 evaluation, but leading to separate reports.

²⁴ Due to the proximity to deliver SO1 and SO4 evaluations, this survey was launched in tandem with the SO4 evaluation team in order to maximize the response rate.

9. Management arrangements

64. In line with the Evaluation Office policy, OED will conduct the evaluation and has the overall responsibility for the conceptualization and design of the evaluation, managing the evaluation process and producing the final evaluation report for presentation of the report to the Programme Committee. The Evaluation Office will select, hire and lead an Evaluation Team composed of FAO evaluators and external consultants. The Evaluation Team will interview and survey FAO staff and partners (including governments, resource partners, NGOs, and other agencies) involved in FSN, at headquarters and in Member Countries.
- An Internal Contact Group composed of the SP1 management team,. Their main task is to review key documents (TORs, draft reports). This group will also be responsible for providing the feedback and commitments for the management response, which will be coordinated by the Strategic Programme Leader (SPL).
 - OED team: Olivier Cossée – Evaluation Manager; Veridiana Mansour-Mendes – Deputy Evaluation Manager; Alena Lappo – Evaluation Analyst, Nadine Monnichon – Administrative Assistant.
 - Team of External Consultants: Naresh Singh - Development policy and strategic positioning; Ranjani Krishnamurthy - Gender and equity; Nathan Morrow - FSN information systems; Anne-Marie Mayer - Nutrition; Margarita Lovon - Regional specialist for LAC, Nutrition & Policy; Rose Azuba - Regional specialist for Africa; Frank Noij - Regional specialist for Asia.
 - SP1 evaluation focal points: Brave Ndisale (SP1 Team Leader), Karel Callens (Deputy Team Leader), Juan-Carlos Garcia-Cebolla (Member of SP1 Governance Team and Team Leader of the Right-to Food initiative).
65. In addition, the Evaluation Office will hire one Benchmarking Analyst who will be tasked with the Benchmarking Study: Valentina de Marco.

10. Evaluation timeline

| Activity | Proposed period |
|---|-------------------------------|
| Portfolio analysis | February |
| Scoping interviews | January-May 2017 |
| TORs finalization | July |
| Case study selection (sampling) | June |
| Team of experts hired | July |
| Case studies (including report writing) | July-October |
| Staff survey | September October |
| HQ interviews | November |
| Synthesis workshop | November |
| Writing of the main report | December 2017 – March 2018 |
| Internal review of draft | April 2018 |
| Deadline for submission | April 2018 |
| Submission to PC | May 2018 |

Appendix 1. SP1 Indicators and Targets

(Source: C 2015/3 – The Director General’s Medium Term Plan 2014-17 (reviewed) and Programme of Work and Budget 2016-17 for outcome indicators; on PC 115/3 – FC 154/9 Web Annex 2 for output indicators and 2014-15 targets; and on CL 153/3 Web Annex 6 for 2016-17 targets).

| SP1 Result Chain | Indicators | Targets | | | |
|---|---|--------------|------|------|------|
| | | 2014 | 2015 | 2016 | 2017 |
| Strategic Objective: Contribute to the eradication of hunger, food insecurity & malnutrition | <ul style="list-style-type: none"> Prevalence of undernourishment (percent) (source: FAO) (SDG 2.1.1) Prevalence of mild, moderate & severe food insecurity (percent) (source: FAO, Food Insecurity Experience Scale (FIES) (SDG 2.1.2) Percentage of children under 5 years of age who are stunted (percent) (source: WHO) (SDG 2.2.1) | (no targets) | | | |
| Outcome 1: Member countries & their development partners make explicit political commitments in the form of policies, investment plans, programmes, legal frameworks & the allocation of necessary resources to eradicate hunger, food insecurity & malnutrition | <ul style="list-style-type: none"> Number of countries with improved comprehensive sectoral and/or cross-sectoral policies/strategies & investment programmes, that are supported by a legal framework Number of countries with improved resource allocation (in terms of adequacy, efficiency & effectiveness) to eradicate hunger, food insecurity & malnutrition | | 6 | | 15 |
| - Output 1.1: Improving capacities of governments & stakeholders for developing sectoral & cross-sectoral policy frameworks & investment plans & programmes for food security & nutrition | <ul style="list-style-type: none"> Number of policy processes with enhanced incorporation of food security & nutrition objectives & gender considerations in sectoral policies, investment plans & programmes as a result of FAO support | 65 | 93 | 51 | 139 |
| - Output 1.2: Improving capacities of governments & stakeholders to develop & implement legal frameworks & accountability mechanisms to realize the right to adequate food & to promote secure & equitable access to resources & assets | <ul style="list-style-type: none"> Number of policy processes with enhanced incorporation of food security & nutrition objectives in legal frameworks as a result of FAO support | 3 | 5 | 8 | 29 |
| - Output 1.3: Improving capacities in governments & stakeholders for human resource & organizational development in the food security & nutrition domain | <ul style="list-style-type: none"> Number of organizations that have strengthened capacities for human resource & organizational development in the food security & nutrition domain as a result of FAO support | 15 | 30 | 18 | 35 |
| - Output 1.4: Improving capacity of governments & other stakeholders to enhance the adequacy, efficiency & effectiveness of public resource allocation & use for food security & nutrition | <ul style="list-style-type: none"> Number of countries that improved financial resource allocation & use for food security and nutrition as a result of FAO support | 7 | 8 | 4 | 11 |
| Outcome 2: Member countries & their development partners adopt inclusive governance & coordination mechanisms for eradicating hunger, food insecurity & malnutrition | <ul style="list-style-type: none"> Number of countries with improved governance & coordination mechanisms for eradicating hunger, food insecurity & malnutrition | | 8 | | 24 |
| - Output 2.1: Improving capacities of governments & stakeholders for strategic coordination across sectors & stakeholders for food security & nutrition | <ul style="list-style-type: none"> Number of policy processes with more inclusive coordination across sectors & stakeholders for food security & nutrition governance as a result of FAO support | 40 | 47 | 20 | 39 |
| Outcome 3: The decisions of member countries & their development partners regarding food security & nutrition are based on evidence & high-quality, timely & comprehensive food security & nutrition analysis that draws on data & information available in the network of existing sector & stakeholder information systems | <ul style="list-style-type: none"> Number of countries with improved evidence & high-quality analytical products generated through functional information systems in support of food security & nutrition policy & programming processes | | 10 | | 24 |

Evaluation of SO1 – Annex 1. Terms of Reference

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|---|--|----|----|----|----|
| - Output 3.1: Improving capacities of governments & stakeholders to monitor trends & analyze the contribution of sectors & stakeholders to food security & nutrition | <ul style="list-style-type: none"> • Number of countries that improved monitoring & analysis of food security & nutrition, including the contributions of different sectors, for informed decision-making as a result of FAO support | 16 | 57 | 11 | 28 |
| - Output 3.2: Improving capacities of governments & stakeholders to map, monitor & evaluate policies, programmes & legislation relevant to food security & nutrition for informed decision making | <ul style="list-style-type: none"> • Number of policy processes with improved human & institutional capacities for managing mapping systems relevant for FNS decision-making as a result of FAO support | 10 | 11 | 2 | 13 |
| | <ul style="list-style-type: none"> • Number of policy processes with improved human & institutional capacities for monitoring & evaluating the impact of policies & programmes on food security & nutrition a result of FAO support | 8 | 10 | 7 | 26 |



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