

1. Introduction/Background

Programme team:

Coordinator: Caritas Austria

Implementing partners: OCADES Kaya (BFA), Meki Catholic Secretariate (ETH), Caritas Tambacounda (SEN), Solidarity with South Sudan (SSD)

Programme duration: 01.07.2016 – 30.06.2021 (5 years)

Locations:

- Burkina Faso: Region Centre-Nord
- Ethiopia, Oro mia regional state, East Shoa Zone
- Senegal: Tambacounda region
- South Sudan, Western Equatoria State, Yambio County

Budget: 3.750.000 Euro

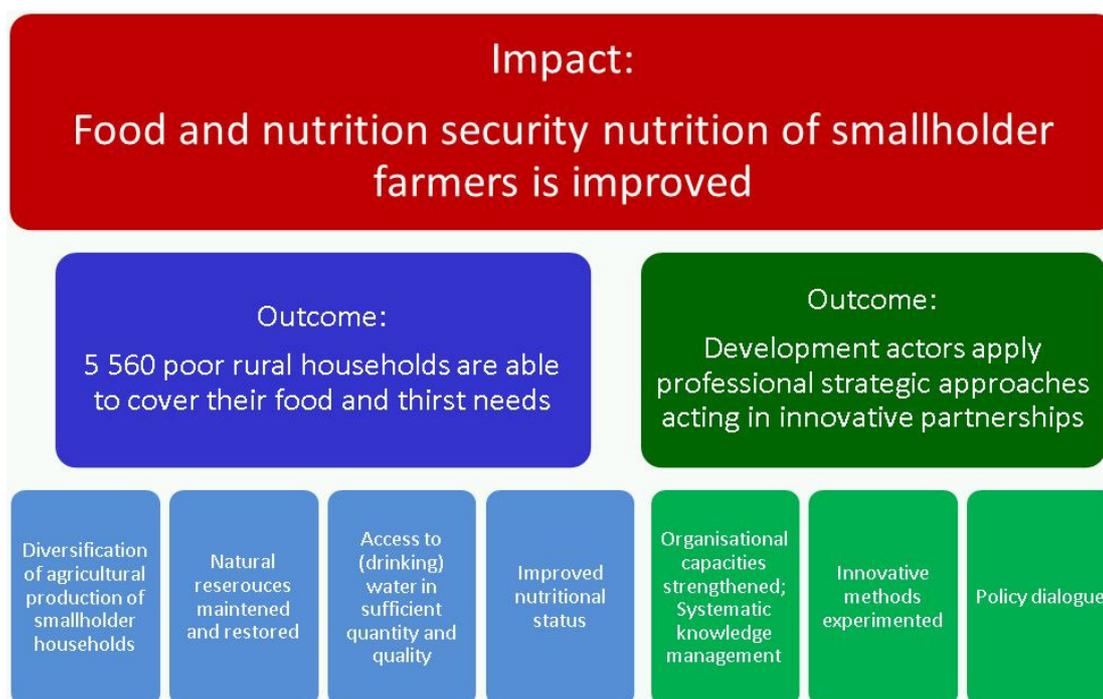
Programme summary:

People in the regions Centre Nord in Burkina Faso, Tambacounda in Senegal, West Equatoria State in South Sudan and Oromia in Ethiopia are particularly affected by food insecurity. Difficult climatic conditions, conflicts, poor access to resources and inputs, unsustainable agricultural practices and low awareness of the need for a balanced nutrition prevent families and especially infants from having adequate food throughout the year.

Supporting poor rural families to lift themselves out of hunger in the long term – this is the vision that unites Caritas Austria, Meki Catholic Secretariat, Solidarity with South Sudan, Caritas Tambacounda and OCADES Kaya. As part of a joint five-year strategic partnership and with financial support from the Austrian Development Agency (ADA), the program team will sensitize, accompany, train and support around 5.560 smallholder households (which is around 32.000 individuals).

The aim of the COMPASS programme is to improve the food security of those poor rural families in the long term. With this strategy, we contribute to the second UN Sustainable Development Goal “End hunger, achieve food security and improved nutrition and promote sustainable agriculture”.

Graphic 1: Programme strategy



As a result of the programme:

- 5.560 smallholder households will have permanent access to food as a result of increasing/ diversifying their agricultural production, their livestock production and/or income generation activities
- Natural resources in the region will be maintained/restored through resource protection and promotion of biological diversity (e.g. the rehabilitation of 2.520 ha of land)
- Access of 700 targeted households to drinking water and good hygienic and sanitary practices will be improved
- The nutritional status of family members of 2.050 targeted households, especially children, will be improved

The proposed on-site interventions include diversification activities (vegetable growing, cereal farming, livestock farming), organic farming (model farm operation, sustainable methods training, compost and bio-preparation production, seed propagation, seed and equipment support), and the reduction of post-harvest losses (granaries, grain mills, storage bags), low-level support in the sale of surplus production (agricultural fairs, cash crop seeds, grain trading funds, promotion of savings groups), resource conservation (sensitization, creation of stone terraces, reforestation, use of energy-saving stoves) and drinking water supply (infrastructure). Nutrition measures are planned to improve nutrition at household level (awareness raising, training, cooking classes, supplementary food and long-term monitoring of malnourished toddlers).

Furthermore, three “cross-country” aims are pursued:

- Organisational capacities will be strengthened by common learning activities and knowledge management within the COMPASS team
- Innovative methods will be identified and experimented by the programme partners in Africa
- Policy dialogue on food security issues will be enhanced

To increase the effectiveness of the interventions on the ground, the strategic partnership of the five organizations aims at creating space for reflection, learning together, sharing experiences, stimulating change processes and taking on new ideas and developing them further. Therefore, a special focus of the programme is set on innovation and knowledge management at country level, between the regions of West and East Africa and at program level. Networking with other stakeholders in the region in the same sector shall accelerate the achievement of the results. Through increased dialogue with political decision-makers, the concerns of the target groups shall also be reflected at the respective political level.

A program team with representatives of all five organizations steers the implementation of the concerns defined in the COMPASS programme.

Target groups:

The aim of the COMPASS – Strategic Partnership is to increase food security of small holders. In the programme regions, the majority of the population are smallholder households who manage areas up to 5 hectares of land and keep small livestock units.

of households targeted (as of 1st interim report per 30 June 2017):

Ethiopia	South Sudan	Burkina Faso	Senegal	Total
1.800	1.110	1.700	950	5.560

Previous experiences:

Over the past, the Austrian Development Agency had already supported two “predecessor” programmes of Caritas Austria in the domain of food security:

- 2010-2013: Burkina Faso, Ethiopia, DR Congo
- 2013-2016: Burkina Faso, Ethiopia, DR Congo, Senegal

Hence, the COMPASS organizations in Burkina Faso, Ethiopia and Senegal already have been involved in those predecessor programmes.

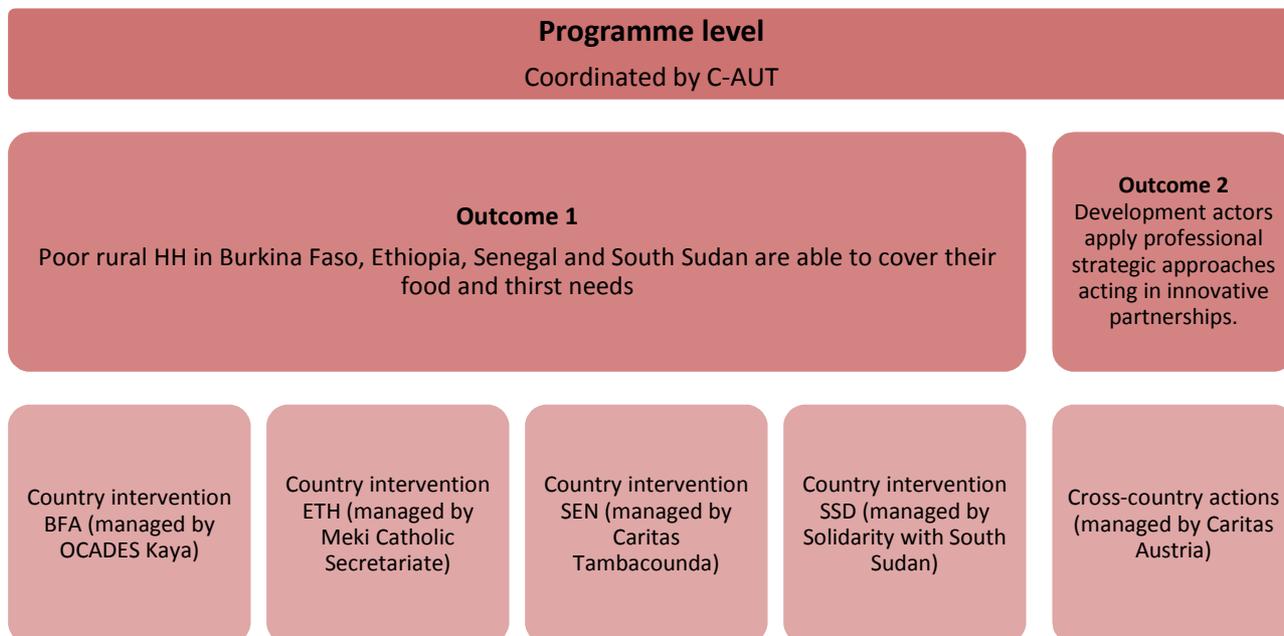
Website:

www.compass-caritas.at

2. Purpose

The programme components can be described as “country components” (related to Outcome 1) and “cross-country components” (related to Outcome 2):

Graphic 2: Programme components



Consequently, the overall programme is strongly linked to what is happening at the country-level interventions. Therefore, country-level interventions contribute to the overall programme achievements (country-level logframes contribute to the overall programme logframe).

Hence, it will be important to explain how the country-level interventions and the cross-country actions contribute to the COMPASS programme as a whole. If single interventions are not adequately assessed, it will be difficult to assess the overall programme achievements.

Therefore, there shall be a mid-term evaluation and a final evaluation covering all programme components: 4 country components, 1 cross-country component as well as the overarching programme.

- For the Mid-term evaluation, special focus will be laid on progress measurement, learnings and an outlook on how to best use those learnings in order to achieve the planned impact.
- For the Final evaluation, special focus will be laid on impact measurement.

3. Objective

The mid-term evaluation and final evaluation shall be useful to the main programme stakeholders: Caritas Austria, the 4 implementing partners in Africa, the Austrian Development Agency. It should enable them to improve the ongoing COMPASS programme as well as future food security / rural development actions.

Besides, the programme team also wishes to uphold accountability towards the local populations as one of their core values. In the end, it is them who need to benefit from improved development actions.

The main objective of the mid-term evaluation and final evaluation is to assess and present results (output, outcome), conclusions, lessons learnt and recommendations.

Mid-term evaluation

The main objective is to inform on the *Relevance, Effectiveness and Efficiency* of the programme in the first 2,5 years and to give recommendations on possible advantageous adaptations. The evaluation team shall furthermore analyze the following points:

On the programme level:

- a) the design and coherence of the programme including the design of the log frame (programme strategy) and present the underlying theory of change and its assumptions.
- b) the extent to which the programme has already achieved its objectives and results or is likely to achieve them.
- c) the strengths and weaknesses in terms of planning, management and monitoring
- d) the extent to which cross-cutting issues (gender and environment mainstreaming) were applied.

On the level of the four country interventions:

- a) the extent to which the country interventions have already achieved their objectives and results or are likely to achieve them
 - o including the extent to which the lives of the country interventions beneficiaries (women, men, girls, boys) has already been improved
 - o and the extent to which supported institutions have already benefitted people.

Final evaluation

The main objective is to inform on all 5 OECD DAC criteria: *Relevance, Effectiveness, Efficiency, Impact and Sustainability*. The evaluation report should also give recommendations for possible future interventions of the same type. The evaluation team shall furthermore analyze the following points:

On the programme level &

On the level of the four country-interventions:

- a) the extent to which the programme has achieved its objectives and results, including the extent to which the lives of the programme beneficiaries (women, men, girls, boys) has been improved. Also the extent to which supported institutions have benefitted people.
- b) the strengths and weaknesses in terms of planning, management and monitoring.
- c) the extent to which cross-cutting issues (gender and environment mainstreaming) were applied.

4. Subject and Focus

The topics of the mid-term evaluation and final evaluation are:

- Food security of poor rural HH targeted in COMPASS (linked to Outcome 1)
- Capacity development and joint learning of involved development actors (linked to Outcome 2)

Both evaluations shall assess the performance at the different implementation levels of the programme:

- 4 country components (interventions in Burkina Faso, Ethiopia, Senegal and South Sudan)
- 1 cross-country component (managed from Austria)
- overall programme level

OECD DAC criteria for the mid-term evaluation: Relevance, Effectiveness and Efficiency.

OECD DAC criteria for the final evaluation: Relevance, Effectiveness, Efficiency, Impact and Sustainability.

The focus of both evaluations (mid-term and final) shall be on the *programme* level. The programme level is the main centre of interest. Note: in order to do so – of course – it is inevitable to also have a good look at the country interventions.

The mid-term evaluation is more formative and will assess the progress of the programme as well as the likelihood of achieving its results. The focus will be on its intervention logic as well as processes and man-

agement mechanisms. Particular attention will be paid to OECD/DAC the criteria Relevance, Effectiveness and Efficiency.

The final evaluation is more summative and shall assess the achievement of results. Particular attention will be paid to OECD/DAC the criteria Effectiveness, Impact and Sustainability.

5. Evaluation Questions

Even though the evaluations should focus on the *programme level*, evaluation questions may also need to be consulted at the level of the four *country interventions* in order to draw proper conclusions for the overall programme level.

Mid-term evaluation

Below, please find an overview of *preliminary* questions which are relevant for the mid-term evaluation. The evaluation questions shall be further discussed and finalized in a participatory manner by the programme team during the programme team meeting (Nov. 2018) and then re-sent to the evaluation team.

Relevance

- a. To what extent are the outcomes and indicators of the programme still pertinent?
- b. Are the planned outputs of the programme appropriate to meet the outcome and the overall goal (impact) – as part of the analysis of the logframe matrix / programme strategy?
- c. Are the assumptions and risks still valid?
- d. To what extent have multiple sources of information (including affected people and communities, local institutions, etc.) been consulted when assessing needs, vulnerabilities and context?
- e. To what extent are the interventions appropriate(d): culturally, social-economically and environmentally?

Effectiveness

- a. To what extent has the programme already produced its expected *outputs* or will be likely to achieve them? To what extent has the programme already achieved its *outcomes* or will be likely to achieve them? What were the major factors influencing the achievements or non-achievements?
- b. To what extent is the programme likely to achieve real impact (change) for the target groups?
- c. How is project-generated (additional) disposable HH-income utilised or invested by target HHs? (e.g. education, food security, others, etc.)?¹
- d. Did the programme contribute to capacity building as planned?
- e. What is the added value of the implemented *innovations* (OP2.2), compared to more common/usual approaches?
- f. To what extent is knowledge of the project teams exploited and contributing to the achieved results (benefits of knowledge management)?
- g. What steps are already and/or need to be taken in order to secure sustainability of the programme?

Efficiency

- a. To what extent has the programme been managed as planned? In case: what issues occurred and why?
- b. Are constraints and risks regularly identified and analysed, and plans adapted accordingly?
- c. To what extent were all items/equipment purchased and used as planned under this programme?
- d. Was the programme implemented in the most efficient way (time, personnel resources) compared to alternatives? To what extent is cost-efficiency monitored?
- e. Are programme management and decision-making processes within the programme team efficient? What role does participation play in decision-making processes within the programme team?
- f. Are there clear processes in place to support monitoring and use of the monitoring-results for management and decision-making?

¹ Methodology proposal: you might use focus group discussions to answer this question.

- g. In the COMPASS programme, what are core issues and benefits of working with multiple/different countries and partners in order to create developmental impact?

☞ **Cross-cutting issues**

- a. To what extent has gender been considered in the programme (e.g. in activities, mechanisms)? To what extent has data been collected disaggregated by sex?
- b. Are there measures put in place to avoid negative effects on the natural resources (e.g. concerning water, soil, forest, flora, fauna, etc.)? Are there positive impacts on the environment?
- c. To what extent does the programme ensure and promote participation of target groups / local populations?
- d. To what extent have concrete measures been taken in order to be inclusive towards disadvantaged groups (e.g. people with disabilities, elderly, etc.)?

Final evaluation

Questions for the final evaluation will be defined at a later stage of the programme (after the mid-term evaluation).

6. Approach and Methods

For the different phases it is expected that data and information will be obtained through different methods such as: analysis of documents, structured interviews, semi-structured interviews face-to face or by phone, group discussions, online-survey (if applicable), others.

All data collected needs to disaggregated by sex.

It is expected that the evaluation team will present concrete recommendations which are addressed to the specific stakeholders.

The evaluations should be participatory and gather information from different stakeholder groups, especially at country level.

Country level interventions should be assessed systematically so that comparative analysis between countries can take place (e.g. using similar data collection approaches and tools so that country data can be compared). Qualitative content analysis should be used to ensure triangulation of data.

As mentioned in chapter 4, The evaluation team may propose what they think is most adequate and feasible within the available budget. For the programme team, an ideal approach would:

- Ensure a look inside the overall programme management and the cross-country component (coordinated at Caritas Austria level)
- Engage evaluation personnel that could analyse the 4 country interventions in the respective programme regions in Africa; preferably via working with *local* consultants (if not possible, travels could also be an option)
- For data collection, cooperate with the programme coordination (AUT) and implementing partners in Africa (e.g. involve programme team members in data collection incl. supporting them in the process)
- Methodologically, ensure to also consult / interview target groups (samples)

The Guidelines for Project and Programme Evaluations developed by the Austrian Development Agency also provide some practical instructions for the evaluation process:

http://www.entwicklung.at/fileadmin/user_upload/Dokumente/Evaluierung/Evaluierungs_Leitfaeden/EN_Leitfaeden_Evaluierung.pdf

Both, the mid-term evaluation and the final evaluation process, each require the phases mentioned below:

Process steps	Methods, Documents
Kick-off meeting	Evaluation contract is signed and a discussion of the assignment takes place. First documents, including available data, are provided to the evaluation team.
Desk Study	The evaluation team studies all necessary programme documents; re-construct and analyse the intervention logic (programme strategy incl. its assumptions). Existing data needs to be analysed and interpreted. Case of South Sudan: The socioeconomic situation needs to be taken well into account (esp. conditions related to ongoing civil war);
Inception-Phase	In the inception report the evaluators will describe the design of the evaluation and will elaborate on how data will be obtained and analysed. The use of a data collection planning worksheet or a similar tool is required. First interviews take place. The programme management has the possibility to give feedback on the inception report and proposed design. Data triangulation and quality control are very important and need to be discussed in the inception report. Eventual field trips shall only take place upon official approval of the inception report by the contractor.
Field-phase	Data needs to be gathered, analysed and interpreted. It is expected that the evaluation will include quantitative and qualitative data disaggregated by sex.
Presentation	Presentation of key findings (feedback workshop) at the end of the office visits / field trips.
Final Draft Report	Submission and presentation of final draft report, inclusion of comments from partners and contractor.
Final Report	Submission of final report, see reporting requirements under point 9).

7. Timetable

The timetable below outlines important dates in terms of donor compliance. Dates which are not filled in shall be proposed by the evaluation team in their offer and shall be fixed within the evaluation contract.

Note: The selected evaluation team shall coordinate with local programme organizations in order to ensure smooth visits (e.g. availability, climate, etc.).

Mid-term evaluation

Action	Responsible	Date
Contract signed and relevant documents provided	Caritas Austria and Service provider	Sept. 2018
Kick-Off meeting	Caritas Austria and Service provider	Oct. 2018
Submission of finalized evaluation questions (after international programme team meeting 12-14 November 2018)	Caritas Austria	End of Nov. 2018
Desk Study	Service provider	
First interviews	Service provider	
Submission of draft inception report (see format in annex)	Service provider	

Inclusion of comments in inception report	Service provider	
Submission of final inception report (see format in annex)	Service provider	
Office and field visit(s), interviews etc. and feedback workshop	Service provider	
Submission of final draft report	Service provider	
Presentation of final draft report	Service provider	
Inclusion of feedback in final draft report	Service provider	
Submission of final evaluation report to contractor	Service provider	Latest by 15.02.2019

Final evaluation

Action	Responsible	Date
Conduction of final evaluation confirmed	Caritas Austria	March 2019
Kick-Off meeting	Caritas Austria and Service provider	
Desk Study	Service provider	
First interviews	Service provider	
Submission of draft inception report (see format in annex)	Service provider	
Inclusion of comments in inception report	Service provider	
Submission of final inception report (see format in annex)	Service provider	
Office and field visit(s), interviews etc. and feedback workshop	Service provider	
Submission of final draft report	Service provider	
Presentation of final draft report	Service provider	Dec. 2020
Inclusion of feedback in final draft report	Service provider	
Submission of final evaluation report to contractor	Service provider	Jan. 2021

8. The Evaluation Team

The evaluation team members (national and/or international) shall be presented in the service providers' offer. The bidder is free to propose the most suitable approach which is feasible within the max. budget of 62.000 Euro (for all services: mid-term and final). In regards of the evaluation team this could mean:

- Propositions on cooperation with local consultants (note: Caritas Austria and implement partners could provide the evaluation team with relevant contacts to local consultants)
- Propositions on the extent of involvement and tasks to be provided by the programme team in terms of data collection
- Propositions on inclusion of travel costs

For the COMPASS programme team it would be an added value, if the evaluation team would work with personnel / consultants in the 4 African programme countries who know the respective country context, in order to be able to provide a local point of view.

In any case, the evaluation team should work in close cooperation with Caritas Austria and the four implementing organizations. Participatory approaches are highly welcome.

Key qualifications of the main evaluation team:

- Academic degree relevant for the evaluation of the COMPASS programme (e.g. social sciences, development studies, cultural sciences, agriculture, etc.)
- Experience in social science methods
- A minimum of five years experience and expertise in conducting evaluations
- Team leader has conducted at least three evaluations in the last five years ideally in the relevant field

- Team members have participated in at least three evaluations ideally in the relevant field
- Working experience in one or more of the four African programme countries is considered an advantage
- Knowledge on topics such as: food & nutritional security, sustainable agriculture / land use / natural resource protection, capacity development;
- Experience in project cycle management
- Experience preparing and analysing programme strategies
- Experience and expertise in evaluating cross-cutting issues
- Excellent English and French skills
- Sound MS Office and IT skills

Note: the evaluation team members must not have been involved in the design, implementation or monitoring of this programme.

9. Evaluation reports

Formal requirements

The consultants will submit the following reports (at each stage: mid-term evaluation and final evaluation):

Document	Content requirements
Inception report (10-15 pages without annexes)	Report on programme level.
Final draft evaluation report (about 25-30 pages without annexes)	Report on programme level, including a draft executive summary and the results-assessment form (part of the reporting requirement). The findings and recommendations of the draft final report and final report have to be structured according to the evaluation questions. An outline of the report's structure needs to be agreed upon during the inception phase. Annexes: <ul style="list-style-type: none"> – Results-assessment form per country intervention (consulting updated logframe²); – Results-assessment form for programme as a whole (consulting updated logframe);
Final evaluation report (25-30 pages without annexes)	Report on programme level, including a draft executive summary and the results-assessment form (part of the reporting requirement). The findings and recommendations of the draft final report and final report have to be structured according to the evaluation questions. An outline of the report's structure needs to be agreed upon during the inception phase. Annexes: <ul style="list-style-type: none"> – Results-assessment form per country intervention (consulting updated logframe); – Results-assessment form for programme as a whole (consulting updated logframe);

The overall programme evaluation reports need to be written in English. Reporting documents at country intervention level (result-assessment form) shall be written in French in the case of Burkina Faso and Senegal.

² For the moment the logframe has officially been updated in June 2017 and submitted with the first interim report to ADC. Please consider this logframe until further notice.

An executive summary should summarize key findings and recommendations (three to five pages) and needs to be submitted as part of the final draft report.

Expected evaluation outputs

The quality of the evaluation reports will be judged according to the following criteria:

- Is the results-matrix format part of the report?
- Does the report contain a comprehensive and clear executive summary?
- Were the Terms of Reference fulfilled and is this reflected in the report?
- Is the report structured according to the OECD/DAC criteria?
- Are all evaluation questions answered?
- Are the methods and processes of the evaluation sufficiently documented in the evaluation report?
- Does the report describe and assess the intervention logic (e.g. logframe, program theory) and present/analyze a theory of change and its underlying assumptions?
- Are cross-cutting issues analyzed in the report?
- Are the conclusions and recommendations based on findings and are they clearly stated in the report?
- Does the report clearly differentiate between conclusions, lessons learnt and recommendations?
- Are the recommendations realistic and is it clearly expressed to whom the recommendations are addressed to?
- Were the most significant stakeholders involved consulted?
- Does the report present the information contained in a presentable and clearly arranged form?
- Is the report free from spelling mistakes and unclear linguistic formulations?
- Can the report be distributed in the delivered form?
- Does the report take to specific frame conditions of the intervention areas into consideration?

10. Execution & management of the evaluations

Budget

The overall available budget for both evaluation is: max. 62.000 Euro.

The evaluation team may propose what they think is most adequate and feasible within the available budget. For the programme team, an ideal approach would:

- Ensure a look inside the overall programme management and the cross-country component (coordinated by Caritas Austria)
- Engage evaluation personnel that could analyse the 4 country interventions in the respective programme regions in Africa; preferably via working with *local* consultants;
- For data collection, cooperate with the programme coordination (AUT) and implementing partners in Africa (e.g. involve programme team members in data collection incl. supporting them in the process)
- Methodologically, ensure to also consult / interview target groups (samples)

Overall contracting

Caritas Austria together with the COMPASS programme team will chose the evaluation team. Then, a evaluation contract will be signed with Caritas Austria.

The technical and financial proposal for both (mid-term evaluation and final evaluation) shall be submitted as Caritas Austria intends to assign both tasks to one service provider.

Yet, the evaluation contract shall include a paragraph which allows Caritas Austria to change to another service provider in case the mid-term evaluation report is not satisfactory in terms of quality (does not meet the requirements specified in these ToR).