

# STRATEGIC EVALUATION

## FAO/WFP JOINT EVALUATION OF FOOD SECURITY CLUSTER COORDINATION IN HUMANITARIAN ACTION

### Inception Report

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## **1. Introduction**

### **1.1. Rationale and intended users of the evaluation**

In 2010, the Inter-Agency Standing Committee decided to formally establish a global Food Security Cluster (global FSC). The global FSC is co-lead by the World Food Programme (WFP) and the Food and Agriculture Organization of the United Nations (FAO) and seeks to strengthen coordination among international and local actors to promote a more effective response to the food security needs of people affected by crises or emergencies. Prior to 2010, different coordination mechanisms for food aid, livelihoods, agriculture, nutrition, early recovery or different variations and combinations of these areas existed in many emergency contexts. The establishment of the global FSC was intended to ensure better global support for coordination mechanisms at country level, more systematic coordination efforts and a better integration between food assistance and livelihoods or agriculture interventions.

Over the past three years, WFP, FAO, their donors and various partner organizations have invested significantly in the FSC at global and country level. The planned evaluation will assess the performance and results of FSC coordination. It will primarily focus on the country level and seek to establish what effects cluster processes have on the approaches and activities of different humanitarian actors and thus, indirectly, on the humanitarian response. The evaluation will also assess whether and how the activities of the global FSC support coordination at country level. To allow for comparisons, the evaluation will cover the period between 2009 and 2013. In addition to taking stock and creating accountability for past performance, the evaluation will explore what factors influence cluster performance to support learning and to develop recommendations for future improvements. The main audience for the evaluation results will be the management of the two lead agencies, WFP and FAO, at global and at country level; the global support team of the cluster; cluster coordinators; other cluster partners, observers and associates; as well as donors; representatives of other clusters; and of the United Nations Office for the Coordination of Humanitarian Affairs (UN OCHA).

### **1.2. Purpose and approach of the inception report**

This inception report provides background information and analysis for the evaluation, defines the evaluation approach, its methods, tools and stakeholders and lays out a detailed work program and timeline. It serves to generate a coherent understanding of and approach to the task within the evaluation team. It is also intended to help come to an agreement on key questions, methods and work steps with the evaluation managers, the reference group and other important stakeholders such as cluster coordinators in potential case study countries.

The inception report is based on a review of key documents, interviews with the global support team, members of the management of WFP and FAO, members of the reference group for the evaluation and extensive discussions within the evaluation team and with the evaluation managers. These discussions were held during a four-day inception mission to Rome in October 2013, phone interviews, and discussions based on presentations of the draft inception report to the global partners meeting, the reference group, the global support team and the evaluation managers in November 2013. See Annex V for a list of persons consulted during the inception phase.

## 2. Subject of the evaluation

### 2.1. Context<sup>1</sup>

The cluster approach was introduced in 2005 as part of a UN-led humanitarian reform.<sup>2</sup> Originally, the Emergency Relief Coordinator and the Inter-Agency Standing Committee (IASC) created nine clusters for different response areas and two service clusters, each with one or two designated lead agencies. The initial list of clusters included an agriculture cluster led by FAO and a nutrition cluster led by UNICEF, but no food aid or food assistance cluster, primarily because WFP was already seen as providing strong leadership in this area.

Five years later, in late 2010, the IASC changed the initial architecture by replacing the agriculture cluster through the FSC, this time under the joint leadership of FAO and WFP. Several drivers enabled this change:

- Food security clusters under different names had emerged spontaneously in a range of countries, indicating that there was a bottom-up demand for integrated coordination in this area.<sup>3</sup>
- Responses to several high-profile emergencies demonstrated that integrated food aid or food assistance and livelihoods or agriculture interventions were much more effective than isolated sectoral efforts.
- The activities of the agriculture cluster suffered from systematic underfunding and there was hope that a combined food security approach would lead to more balanced funding.
- There was a political will among the management of WFP and FAO at headquarter level to overcome differences and strengthen coordination and cooperation between their organizations. A committed inter-organizational team with strong personal relationships then drove the process forward.
- An independent evaluation of the global cluster approach recommended the establishment of a FSC.<sup>4</sup>

Following the decision of the Inter-Agency Standing Committee, the two lead organizations – without formalizing this agreement, for example through a memorandum of understanding – created the basic structures of the global FSC, including a global support team, a bi-annual global partners meeting and various partner working groups. In its set-up and strategy, the global FSC drew on lessons learned by other clusters, including those identified in the global cluster approach evaluation. The further development of the global FSC was also influenced by the Transformative Agenda. The Inter-Agency Standing Committee adopted this follow-up to the humanitarian reform at the end of 2011. It focuses attention on the need to deploy adequate leadership, especially to “level 3” emergencies, to develop more appropriate and flexible coordination mechanisms and to strengthen mutual accountabilities.

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<sup>1</sup> Please see Annex V for a glossary of key terms used.

<sup>2</sup> Adinolfi, C. et al. (2005). *Humanitarian Response Review*. New York and Geneva: United Nations; UN OCHA (2006). *The Four Pillars of Humanitarian Reform*.

<sup>3</sup> This was confirmed by a mapping of existing food security coordination mechanisms implemented by WFP and FAO before creating the global FSC.

<sup>4</sup> Steets et al. (2010). *Cluster Approach Evaluation 2 Synthesis Report*, United Nations

## **2.2. Cluster set-up and activities**

The FSC is active at different levels. At global level, it operates mainly through the global support team and various fora involving the cluster partners, observers and associates. The global support team was created in 2011 and consists of around 12 individuals, including six core staff members from the lead agencies, WFP and FAO, and secondments from partner organizations. The global support team facilitates coordination among the global partners, observers and associates and supports food security coordination mechanisms in around 30 countries. The main forms of support include support and surge capacity missions, training, information management and the provision of guidance and tools. Global partners, observers and associates meet twice per year in a global partners meeting. They participate in various working groups, including an assessment working group, an inter-cluster working group on food security and nutrition and an urban food security and livelihoods working group.

At country level, food security coordination can take different forms, including fully formalized clusters, cluster-like coordination mechanisms and government-led coordination mechanisms. The global FSC explicitly supports different food security coordination solutions at country level. The evaluation therefore includes countries with different coordination mechanisms to assess on the one hand the support provided by the global level to different coordination solutions at country level and on the other hand to compare clusters to other coordination mechanisms. In the following, the inception report will use the more general term “food security coordination mechanism” for the country level to indicate that the evaluation will cover formal clusters and other coordination solutions.

Even within formalized clusters, the set-up at country-level can vary significantly. Some clusters have strong, dedicated capacity, including not only a cluster coordinator, but also an information manager and some administrative support. Other clusters are led by operational staff, part-time and in addition to their usual roles and responsibilities. In some contexts, food security clusters only operate at national level, whereas others include coordination fora or even dedicated staff at sub-national level. The activities of clusters or other coordination solutions also differ a lot between countries. While they all coordinate and collaborate actively with international and local NGOs, UN agencies, governments, and other actors, their membership setup and involvement can vary. As a minimum, clusters usually involve regular meetings at capital level as well as some form of information exchange and management and support for the preparation of the Consolidated Appeals Process (CAP). More strategic and advanced coordination mechanisms also provide trainings, support preparedness and contingency planning, facilitate joint or coordinated needs assessments and response analyses, facilitate strategic planning and support peer review mechanisms between different cluster members. In some contexts, clusters also take an active role in advising or managing pooled funds.

## **2.3. Theory of change**

To be able to assess the performance and the effects of the FSC at country and global level, it is necessary to first establish what the cluster should be assessed against. Rather than judging the FSC against a more abstract set of principles or instructions such as the ones included in the Inter-Agency

Standing Committee's reference module for cluster coordination,<sup>5</sup> the evaluation team proposes to use a theory of change as the basis for developing the guiding questions for this evaluation. In essence, a theory of change asks what the FSC intends to achieve and how it intends to do so. The evaluation then focuses on whether or not the FSC reached its objectives and why.

The evaluation team suggests using the following theory of change as the basis for this evaluation (illustration 1). It was developed on the basis of a draft included in the terms of reference for the evaluation, documents describing the aims and functioning of the FSC, such as the cluster strategy, the IASC reference module for clusters and the generic terms of reference for country coordinators, and discussions with the global support team and WFP and FAO management and staff.

In essence, the theory of change postulates that the ultimate objective of the FSC is to ensure that the food security needs of populations affected by crises and emergencies are better met. Since food security includes the availability of, access to and utilization of food, this implies a holistic approach including different response modalities such as short-term food assistance, longer-term agricultural recovery and livelihoods and nutritional aspects. Coordination mechanisms can also address all phases of intervention, from preparedness to response and early recovery / transition. Working together in the cluster, humanitarian organizations (including international and local NGOs, governments, the UN, the Red Cross and donors) seek to improve their response to humanitarian food security needs by developing coordinated strategies and enhancing the quality of interventions. At country level, the coordination mechanism can, depending on the context, facilitate contingency planning, information management, needs assessments and response analysis, training, peer review and strategy development. In addition, the cluster lead agencies can use their roles as providers of last resort to fill response gaps, either by implementing additional programmes themselves or by providing additional funding to implementing partners.

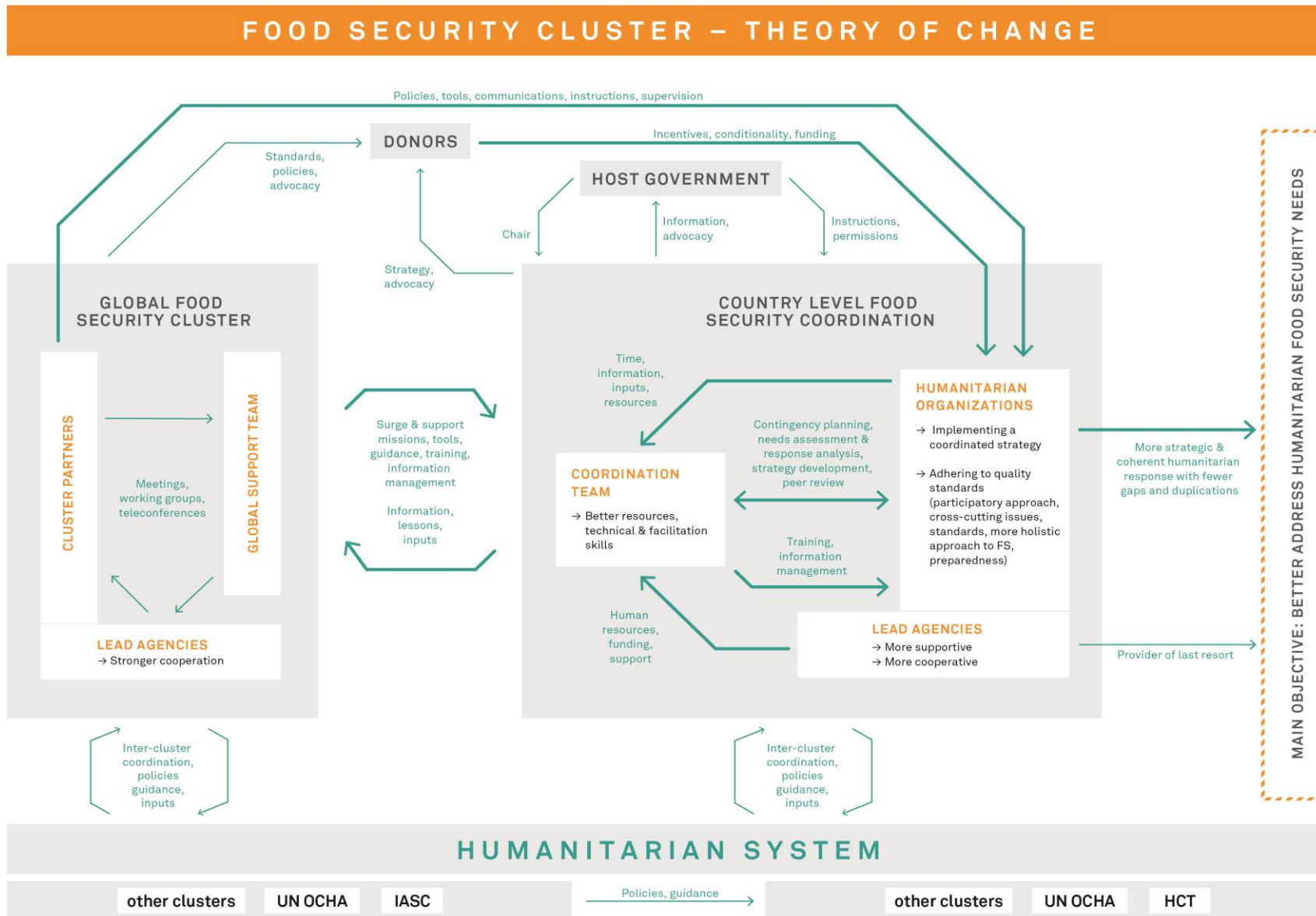
The global FSC supports country-level coordination teams through training, surge and support missions, information management, lessons learned, documents, as well as tools and guidelines. It also coordinates the work of its members at headquarters level, which can have a direct bearing on approaches used at country level. The cluster also interacts with donors and the humanitarian system (other clusters, UN OCHA, the Inter-Agency Standing Committee and its working groups and respectively the Humanitarian Country Team) to provide input into policies and tools and to support inter-cluster coordination.

The theory of change does not intend to capture all inputs for and details of the work of the FSC. It simplifies a complex mechanism to enable the evaluation team to identify the main evaluation questions. The theory of change is also based on a range of assumptions, including: (1) Actors at different levels are able and willing to provide the known necessary inputs for enabling effective coordination (see section 2.4 for more details); (2) Humanitarian organizations at country level have some level of flexibility for adjusting their approaches and programming to strategic and quality considerations; (3) Good food security information and analysis is used in decision-making by humanitarian organizations; (4) Humanitarian assistance can help to address humanitarian food security needs.

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<sup>5</sup> Inter-Agency Standing Committee (2012). 4. *Reference Module for Cluster Coordination at the Country Level*, November 2012, PR/1212/4223/7.

Illustration 1: Theory of change for the FSC



## 2.4. Current knowledge about clusters

Since the introduction of the cluster approach in 2005, the body of knowledge about its workings and effects has been growing steadily. The main sources of current knowledge about clusters are two global evaluations of the cluster approach, several evaluations of individual clusters (logistics, nutrition and UNICEF's cluster lead role), and a range of studies, evaluations and lessons learned exercises of the humanitarian response in different countries and by different organizations that cover certain aspects of the cluster approach, for example country portfolio reviews of FAO and WFP.<sup>6</sup>

Some findings concerning the ability of clusters to function and factors influencing their effectiveness recur frequently in these assessments. Since the global FSC was created comparatively late, it was able to draw on many of these findings in its design. Rather than seeking to confirm whether or not these factors are important, the evaluation will check briefly to what extent the FSC managed to build on previous lessons learned and fulfil these conditions and then focus on exploring on the effects of coordination. A brief summary of recurrent findings is provided below and a more detailed overview is included in Annex II.

- Sufficient **human resources** in terms of dedicated coordination capacity, seniority, facilitation skills, information management capacity and ability to identify gaps and solve problems, recruited in a timely way and for an appropriate duration and readily deployable and well trained surge or standby mechanisms to provide these human resources.
- Sufficient **financial resources** from donors, lead agencies or partners.
- **Clear understanding** of coordination mechanism and roles, including clearly defined responsibilities and accountabilities of lead agencies (including their regional offices) and partners, transparent leadership and clear reporting lines.
- Good **personal relationships** between key individuals.
- Inclusive, and widely spread **partnership**, bringing together a diverse group of stakeholders, including national humanitarian actors and authorities, with partners willing to attend meetings, share information and incorporate cluster strategies in their planning and incentives for them to engage.
- Appropriate **co-lead arrangements** with NGOs and / or authorities.
- Access of clusters to **donors** and/or to common humanitarian funds.
- Focus of clusters on **emergency coordination**, limiting “cluster creep” to fill other coordination or activity gaps.
- Effective **inter-cluster coordination** (a persistent weak point of the cluster system).
- Sufficient coordination capacity for merged groups of clusters at **sub-national level**, where coordination efforts are most effective.
- Effective **information management** strategies, including the ability to gather and analyse information and disseminate this within a timely, inclusive manner through meetings and other media.
- Quality and relevance of **cluster activities**, including meetings, working groups and specific projects.
- Ability of the lead agencies to be an appropriate **provider of last resort**.

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<sup>6</sup> Please see Annex VII for a list of evaluations and lessons learned documents consulted for this overview.



## 2.5. Guiding questions for this evaluation

Based on the theory of change, the evaluation team proposes to structure the assessment around the following three guiding questions, by order of priority.

- Primary guiding question: What effects do food security coordination mechanisms at country and local level have on humanitarian organizations and their activities related to food security? How and why do they have, or fail to have, these effects?
- Secondary guiding question: What effects does the global food security cluster have on coordination mechanisms and humanitarian actors at country and local level? How and why does it have, or fail to have, these effects?
- Tertiary guiding question that can only be answered if relevant data exist at country level: Is there any available evidence that changes in humanitarian practice resulting from coordination have any impact on the food security needs of populations affected by crises or emergencies?

These questions are worded differently from the guiding questions included in the terms of reference, but reflect all main aspects included in them. To answer these questions, the evaluation team will explore the following more detailed questions:

**Table 1: Guiding questions and sub-questions for the evaluation**

1. What effects do food security coordination mechanisms at country and local level have on humanitarian organizations and their activities? How and why?	Related evaluation criteria
a) To what extent are food security coordination mechanisms offering relevant activities and services to promote a better coordinated strategy? To what extent are humanitarian organizations following a better coordinated strategy during preparedness, response or transition as a result?	Relevance Effectiveness Coherence
b) To what extent have food security coordination mechanisms offered relevant activities and services to enhance quality (e.g. more holistic approach to food security, integration of cross-cutting issues, adherence to standards, accountability to affected populations, better preparedness and transition)? Has the quality of humanitarian activities improved as a result?	Relevance Effectiveness Coherence
c) How do the benefits of the coordination mechanism compare to its costs and downsides?	Efficiency
d) To what extent have food security coordination mechanisms at country level or the global FSC influenced donor policies, practices and decisions?	Effectiveness
e) To what extent has the FSC incorporated past lessons learned (e.g. relating to the role of national systems, the set-up, resourcing, management and support of clusters)?	Effectiveness Connectedness
f) Do lead agencies appropriately guide, manage and support country-level food security coordination mechanisms?	Effectiveness
2. What effects does the global food security cluster have on coordination mechanisms and humanitarian actors at country and local level? How and why?	
a) To what extent has the global FSC been offering relevant support to different coordination solutions at country and local level? To what extent has this strengthened their capacities to offer timely and effective coordination in priority contexts?	Effectiveness Relevance

b) To what extent have global humanitarian actors (donors and implementers) supported coordination and the adoption of cluster guidance and tools?	Effectiveness
c) To what extent have the global Cluster Lead Agencies extended relevant and appropriate support to the global FSC and its activities?	Effectiveness
<b>3. Is there any available evidence on what effects coordination may have had on the food security situation of affected populations?</b>	
a) Have the activities, services and tools of the food security coordination mechanism helped to strengthen efforts to assess the effects of food security interventions on affected populations?	Effectiveness
b) Is there any evidence that duplications and gaps have reduced or that coverage has increased due to coordination activities?	Coverage

## 2.6. Stakeholder analysis

As coordination mechanisms, clusters involve a broad range of different stakeholders. Table 2 provides an overview of important stakeholders, their interests and power relating to the FSC and planned means for including them in the evaluation.

**Table 2: Stakeholder analysis**

Stakeholders	Interests and power	Inclusion in the evaluation
Management of WFP and FAO (global level)	Has driven the process for creating the global FSC and has authorized significant investments. Determines future strategy and directions of the FSC. Provides policies and directions to country-level managers and staff. Interacts with donors regarding funding for coordination activities.	Inception meeting; interviews; learning workshop; comments on reports.
FSC Global Support Team	Has designed and is implementing many of the activities assessed by the evaluation. Will be directly affected by many of the findings and recommendations. Will be essential for implementing many of the proposed recommendations.	Inception meeting; on-going consultations; representation in reference group; interviews; data exchange; learning workshop.
FSC partners, observers and associates (global level)	Have supported the creation of the global FSC and have invested in the mechanism (active participation, sometimes staff secondments). Play important role in encouraging active participation at country level and in disseminating normative and conceptual work of the cluster.	Interviews; representation of some partners in the reference group; learning workshop.
Management of WFP and FAO (country level)	Exercises important influence on the country-level coordination mechanism (through allocation of resources, general support, management plans).	Interviews in case study countries; survey; debriefings.
Coordination teams at country of local level	Are responsible for the major areas assessed by the evaluation.	Impact logs; face-to-face interviews; facilitation of country

	Will be directly affected by most of the findings and recommendations.	missions; provision of data; survey; debriefings.
FSC partners, observers and associates (country and local level)	Strongly influence the success of cluster activities through their active participation (or not) and implementation (or not) of strategies and guidance. Will be little directly affected by the evaluation findings and recommendations.	Interviews in case-study countries; survey; debriefings.
Donors (country and global level), including emerging donors	Have made substantial financial contributions to setting up and running the FSC at global and country levels. Strongly influence the success of cluster coordination by creating incentives (or not) for coordination and by aligning (or not) their funding with cluster strategies. Might use evaluation findings when determining future policies on funding cluster coordination costs.	Interviews with selected donors at global and country level.
Authorities in countries with clusters or other coordination solutions at national and sub-national level	Are strongly affected by cluster activities in their countries. Can have the position as lead and be subject of the evaluation. Can grant or deny clusters the license to operate.	Interviews in case-study countries; debriefings.
People affected by crises and emergencies	Benefit from successful coordination and bear the costs of failed coordination. Have no direct influence on clusters or other coordination mechanisms.	No direct inclusion.
“Humanitarian system” (UN OCHA, other clusters, IASC/HCT)	Determine the framework conditions for clusters. Could use evaluation findings and lessons to influence their future strategies. Are counterparts for inter-cluster coordination (especially in the related field of nutrition)	Selected interviews at global and country level.
Humanitarian organizations not participating in the cluster	Influence the effectiveness of cluster coordination.	Selected interviews at country level.

### 3. Evaluation methods

#### 3.1. Approach

As suggested in the terms of reference, the evaluation team has chosen an approach that derives its guiding questions from the theory of change (see sections 2.3 and 2.5 above), includes key stakeholders along the process to build ownership and promote the utilization of evaluation results (see section 2.6), uses and triangulates different data sources (see section 3.2) and as far as possible addresses evaluability limitations (see section 3.4).

Due to the nature of the subject under evaluation, most of the analyses conducted will be qualitative in nature. However, quantitative analysis tools will also be used for certain issues, such as the costs

of cluster coordination, trends in the participation in cluster coordination or the analysis of secondary data relating to effects on affected populations.

### **3.2. Data collection methods**

The evaluation team will gather both primary and secondary data from a variety of different sources to ensure that all questions guiding the evaluation can be answered and that data from different sources can be triangulated in as many cases as possible. The main activities planned for collecting data include detailed country case studies, impact logs, a survey and additional global research. As part of these activities, the evaluation team will rely on different data collection methods, including interviews, direct observation, document analysis, survey analysis, analysis of secondary data and interactive workshops, debriefings and learning events, as detailed below.

#### **3.2.1. Country case studies**

**Objective:** The country case studies are a core component of the evaluation. They serve the following purposes:

- Where possible, observe country level cluster coordination first hand
- Gather evidence on the effects of cluster coordination at country level and the factors that enable or hinder effective coordination
- Gather evidence on the effectiveness and relevance of support from the global level and factors influencing them
- Conduct in-depth, person-to-person interviews with important stakeholders
- Where local stakeholders want to, facilitate a learning workshop in which they identify local lessons learned and help to refine potential recommendations to the global level.

**Selection criteria:** To fulfil these various purposes, the sample of countries selected for this evaluation should meet the following criteria:

- The sample should include cases in which coordination arrangements have been continuous since before 2010/2011 to allow for an assessment of the effects of the introduction of the global FSC.
- The sample should also include coordination mechanisms that have changed significantly or repeatedly (e.g. from a sectoral coordination system to a cluster system and vice-versa or from a cluster system to a government-led system) to allow for an assessment of the relative advantages and disadvantages of different solutions and to investigate transition mechanisms.
- The sample should include a variety of coordination mechanisms (cluster / on-cluster, co-led by WFP and FAO, led by a single agency, co-lead arrangements with NGOs or authorities, full-time and part-time coordinators, activated and not activated clusters), again to assess the relative advantages and disadvantages of different coordination solutions and to explore the support of the global cluster to non-cluster coordination solutions.
- The sample should include cases in which the cluster or other coordination solution plays a strong role in preparedness to explore this emerging function for clusters.
- The sample should cover different types of food security crises and operating environments, including for example cases of chronic and acute food insecurity, urban and rural settings, contexts with strong security challenges for aid workers and those without, cases with strong and cases with weak government leadership regarding food security, as well as refugee and non-refugee situations.
- The sample should include cases that are rich in good practices and lessons learned, including for example “turn-around” cases in which global interventions reportedly had a strong effect on local coordination.

- The sample should include cases receiving strong support from the global cluster, as well as countries receiving little support.
- Countries that are already experiencing a very high recent evaluation burden, for example through WFP and FAO portfolio evaluations and inter-agency real-time evaluations, and where evaluative evidence already exists should not be included in the sample.

**Country selection:** Based on these criteria, the evaluation team suggests including the following countries as case studies:

**Table 3: Selection criteria and case study selection**

Country	Criteria	Date	Team
<b>Pakistan</b>	Long-term coordination arrangements Lessons learned Strong government role Coordination at national and sub-national level Frequent changes of coordination solutions Sudden-onset food security crisis	Nov. 18-22, 2013	<b>Julia Steets</b> James Darcy Lioba Weingärtner Pierre Leguéné
<b>Bangladesh</b>	Continuity in coordination arrangement Close coordination with government-led structures Preparedness/disaster risk reduction focus Good practices	Nov. 25-29, 2013	<b>James Darcy</b> Pierre Leguéné
<b>Lebanon</b>	Refugee situation (Syria) Alternative coordination solution with recent changes Limited links to global FSC	Nov. 25-29, 2013	<b>Lioba Weingärtner</b> Julia Steets
<b>Turkey</b>	Transition from NGO-based to cluster coordination mechanism Coordination for response in Syria Concerns regarding the confidentiality of information	Jan. 20-24, 2014	<b>James Darcy</b> Julia Steets
<b>Yemen</b> [Alternative in case Yemen is not possible for security reasons: South Sudan]	Insecure situation, chronic food insecurity Strong support by global cluster (surge) On-going changes to the coordination mechanism and its activities	Jan. 26-30, 2014	<b>Julia Steets</b> James Darcy
<b>Mali</b>	Chronic food insecurity, slow-onset / drought and conflict Example of informal level 3 emergency Strong regional coordination	Jan 13-17, 2014	<b>Lioba Weingärtner</b> Pierre Leguéné
<b>Central African Republic</b>	“Turn-around” situation regarding coordination Long-term coordination arrangement Chronic food insecurity	Jan 20-24, 2014	<b>Pierre Leguéné</b> Lioba Weingärtner
<b>Kenya</b>	Alternative coordination solutions Strong government involvement Cluster currently not activated Food security crisis mainly related to droughts and refugees	Feb 17-21, 2014	<b>Lioba Weingärtner</b> James Darcy

<b>Haiti</b> <b>[Alternative depending on the evolving situation: Philippines]</b>	Frequent changes between coordination solutions Post-emergency situation Government-led coordination mechanism Earthquake strongly affected urban areas, though not exclusively	Feb 17-21, 2014	<b>Pierre Leguéné</b> Julia Steets
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**Tasks and responsibilities:** Coordinated through the Offices of Evaluation at FAO and WFP, designated focal points from WFP and/or FAO at country level will support the evaluation team in preparing and implementing the country missions. They will support logistical arrangements (visa, local transport, hotel), help to identify and set up interviews with individuals representing the main stakeholder groups specified below and help to collect and provide relevant documents, ideally ahead of the evaluation mission.

**Generic program:** Country visits will follow a similar generic program. The exact program for each country mission will be determined by the team leader for each country case (indicated in bold in the table above) in cooperation with the focal point.

**Generic program for country missions**

**Day 0:** Arrival in country, where necessary security briefing

**Day 1:** Meeting with coordination team of cluster or other coordination solution; Interviews with WFP and FAO management and program staff.

**Days 2-4:** **Team member 1** departs for sub-national location. Interviews with coordination team, members of the coordination mechanism forum, non-members, local authorities, staff of humanitarian organizations responsible for designing and implementing programs. If possible, participation in a coordination meeting and interviews with coordinators of other clusters (nutrition, early recovery).

**Team member 2** remains in the capital: Interviews with selected members of the coordination mechanism (representatives in mechanism, management, staff responsible for needs assessments, response analysis, planning and overseeing program implementation), non-members (management), national authorities, UN OCHA, the Humanitarian or Resident Coordinator, coordinators of other clusters / sectors (nutrition, early recovery), donor representatives. If possible, participation in a coordination meeting.

**Day 5:** Morning: Team prepares debriefing  
 Afternoon: Debriefing / lessons learned exercise for all interested stakeholders  
 Departure evening of day 5 or morning of day 6.

**Document review:** The evaluation team will conduct country-specific document analysis in preparation of, during and following the country visits. Relevant document types include:

- Terms of reference of the coordination mechanism and the coordination team
- Products of the coordination mechanism: Contact list, needs assessments, Who does What Where (When), strategy, action plan, meeting minutes, any standards of good practice/guidelines developed, etc.
- Funding data: Funding needs and coverage of the coordination mechanism itself, funding data regarding food security activities in the country
- Any available documentation of evaluations, lessons learned exercises or similar studies (see Annex 2 for an overview of findings from a first sample of evaluations)
- Any monitoring or evaluation data regarding the food security situation of the affected population or their satisfaction with the food security response.
- Country specific documents produced by the Global Support Team: mission reports, training reports, lessons learnt/best practice studies, etc.

### **3.2.2. Impact logs**

**Objective:** The impact logs are designed to help identify potential effects of the global FSC on local coordination mechanisms and of the local coordination mechanism on humanitarian organizations and their response early on in the evaluation process. This enables the evaluation team to analyse pre-identified effects where they exist in greater detail during the country visits. To address a potential positive selection bias introduced through this self-reporting, the evaluation team will explicitly explore potential negative effects of the coordination mechanism during the country visits.

**Approach:** The impact logs consist of a series of regular, short and documented interviews conducted by the evaluation team with food security cluster coordinators or facilitators of other coordination solutions at country level. The interviews will take place over a period of approximately three months, between October 2013 and up until the planned country visits of the evaluation team. Cluster coordinators will be encouraged to keep track of coordination results (bullet points) throughout the period. The phone interviews will be conducted around every three weeks and will take between ten and twenty minutes. The evaluation team will document the main findings of the interviews and share those with the coordinators. These notes will be considered internal data for the evaluation and will not be shared externally.

**Country selection:** The impact logs will be implemented in countries that were earlier identified as potential case study countries for the evaluation, subject to the availability and willingness of coordinators to participate in the exercise. Coordinators in the following countries have been invited to participate in the impact logs: Afghanistan, Bangladesh, Burkina Faso, Chad, Central African Republic, Colombia, Democratic Republic of Congo, Haiti, Laos, Lebanon, Kenya, Mali, Mauritania, Nepal, Niger, Pakistan, Senegal (regional), Somalia, South Sudan, Turkey, Yemen and Zimbabwe.

**Interview guidelines:** The short interviews will focus on recent activities of the FSC / coordination mechanism; examples of tangible effects on the work of humanitarian organizations; constraints to effective coordination; support received from the global FSC, headquarters and country-level lead agencies; and the effects of this support.

### 3.2.3. Survey

**Objective:** The evaluation team is planning to launch a survey in order to cover a broader range of stakeholders and informants and to enable a more structured and quantitative analysis of stakeholder perceptions.

**Approach:** The survey will focus in on those guiding questions and sub-questions for which perception data are essential. It will largely consist of limited number of multiple-choice questions and include rating scales where appropriate to encourage a high response rate. Please see Annex III for a draft outline of the survey. Answers will be treated anonymously. The evaluation team will disaggregate results for different stakeholders and use statistical analysis software to support the analysis.

**Dissemination:** The survey will be programmed in an electronic format, using Survey Monkey® software that is accessible via the internet. The survey will be available in English, French, Spanish and Arabic. It will be sent to focal persons in countries with active coordination systems for humanitarian food security response. The focal persons will distribute the survey widely to as many organizations involved in humanitarian food security interventions as possible (also including organizations that do not participate in the coordination mechanism). The number of respondents per country is not capped, though the evaluation team will analyse certain results on a country-by-country basis to balance any potential bias created by over-represented countries.

### 3.2.4. Global and regional research

**Objectives:** The evaluation team will complement the country-specific research activities detailed above with efforts to gather additional data at global and regional level. These efforts will help to better understand the activities of the global FSC and to assess their effectiveness. They will enable the evaluation team to capture the views of important experts in the area of food security. The learning components will create stronger buy-in of important stakeholders and help fine-tune recommendations. As part of the global and regional research, the following activities are foreseen:

**Interviews:** The evaluation team will conduct or has already conducted a series of interviews (mostly by phone or video conference, where possible face-to-face) with global and regional stakeholders. They include the FSC Global Support Team, members of WFP's and FAO's management, FSC partners, observers, associates and non-members, donors, UN OCHA, representatives of other clusters (nutrition, early recovery) and the leaders or facilitators of selected evaluations or lessons learned exercises. All interviews will be treated confidentially.

**Visits of regional centres:** To facilitate face-to-face interviews with important stakeholders and to explore regional dimensions of cluster coordination, the evaluation team plans to visit several important regional centres, usually in conjunction with country visits in the same region. They include: Rome (Nov. 4-6, 2013), Dakar (Jan. 27-28, 2014), Ouagadougou (Jan. 27-28, 2014), Nairobi (Feb. 24-25, 2014), Geneva (tbd) and New York (Feb. 13-14, 2014, tbc). The visit to Rome in November 2013 will also allow members of the evaluation team to participate in and observe a partners meeting of the global FSC.



**Document review:** In addition to the documents relating to the different country case studies, the evaluation team will continue to review global documents. Documents will be rated for their reliability and usefulness. Documents include:

- Global FSC products, such as strategies, guidance documents, tools, the website, meeting minutes and any other relevant outputs
- Relevant evaluations and documentations of lessons learned exercises (see Annex 2 for an overview of findings from a sample of evaluations. In addition, the evaluation team has prepared a synthesis document for important evaluations)
- Global policy and guidance documents
- Funding data for clusters and the different components of food security responses
- Relevant food security literature.

### **3.3. Feedback and dissemination**

**Comments on draft report:** The evaluation managers and members of the evaluation reference groups will be invited to provide comments on the draft inception report, as well as the draft evaluation reports. All comments will be collated in a comments matrix and the evaluation team will note any adaptations to the text or reasons for not addressing a specific comment in the comments matrix.

**Learning workshops:** The evaluation team will offer learning workshops to enable different groups of stakeholders to review the findings and provide input into the fine-tuning of recommendations. Depending on the availability of stakeholders, the workshops will take place in April or May 2014, when the preliminary findings and recommendations of the evaluation will be available, but before the evaluation report will be finalized. Workshops could be organized with the following stakeholder groups:

- The FSC global support team
- The partners of the global FSC
- Members of the global management of WFP and FAO
- Staff members presently or potentially deployed as members of local cluster coordination teams (tbc)

**Presentations:** Finally, the team will present findings and conclusions to the Programme Committee of FAO and the Executive Board of WFP.

### **3.4. Evaluation matrix**

The evaluation team will use an evaluation matrix to guide its work. The matrix is based on the guiding questions and sub-questions elaborated above, defines more specific indicators for assessing the questions and indicates what data sources and forms of analysis will be used. The team will discuss information gathered so far and, if necessary, needs to refine or adjust the matrix questions, indicators, tools and methods after the first joint country mission and in a phone conference scheduled after the second set of country visits in January 2014.

**Table 4: Evaluation matrix**

Evaluation questions	Sub-questions / indicators / observation points	Data sources
<b>1. What effects do food security coordination mechanisms at country and local level have on humanitarian organizations and their activities? How and why?</b>		
a) To what extent are food security coordination mechanisms offering relevant activities and services to promote a better coordinated strategy? To what extent are humanitarian organizations following a better coordinated strategy during preparedness, response or transition as a result?	How has the coordination mechanism contributed to baseline and early warning analysis on food security? To what extent has baseline and early warning analysis influenced joint and individual actions, such as emergency preparedness activities and contingency planning? Indicators: Share of food security coordination mechanisms that have conducted early warning analysis; Share of organizations actively using that information for planning	Interviews with coordinators and members of the coordination mechanism (management, preparedness and contingency planning sections) Analysis of baseline / early warning documents
	Has the coordination mechanism contributed to joint multi-sector and multi-agency food security needs analysis? If yes, what is the quality of that analysis? Indicators: Share of food security coordination mechanisms that have facilitated joint analyses; Share of analyses rated as low, acceptable or high quality	Interviews with coordinators and members Analysis of needs analysis documents
	Have coordination activities led to the formulation of a joint strategy on food security and / or helped forge consensus on response options? If yes, how coherent is the strategy and how appropriate are the identified response options? Indicators: Share of food security coordination mechanisms that have led to the formulation of a strategy; Share of strategies rated as low, acceptable or high quality	Interview coordinator and experts Analysis of documents of the coordination mechanism
	Is the strategy reflected in the overall country strategy and appeal documents such as the Consolidated Appeals Process (CAP)? Indicator: Share of CAP documents making reference to food security strategies	Analysis of humanitarian country strategy, CAP and other appeal documents

	<p>Is the coordination mechanism offering relevant and efficient information management services?</p> <p>Indicator: Share of humanitarian organizations rating information management services as relevant and efficient; Effectiveness of information management compared to other clusters</p>	<p>Analysis of information management products</p> <p>Survey</p> <p>Interviews</p>
	<p>To what extent are humanitarian organizations actively using analyses, strategies, action plans or information of the coordination mechanism in their planning and decision-making, for example in their choice of response options?</p> <p>Indicator: Share of organizations indicating that they actively use information and strategy products</p>	<p>Interviews with humanitarian organizations (management, programme heads)</p> <p>Survey</p>
	<p>Are there any specific examples that incoherence in the food security response has or has not been addressed?</p>	<p>Interviews with members of coordination mechanism, potentially focus group discussion</p>
<p>b) To what extent have food security coordination mechanisms offered relevant activities and services to enhance quality (e.g. more holistic approach to food security, integration of cross-cutting issues, adherence to standards, accountability to affected populations, better preparedness and transition)? Has the quality of humanitarian activities improved as a result?</p>	<p>Does the coordination mechanism have a coherent and appropriate understanding of the concept of food security in emergency and transition contexts?</p> <p>To what extent have humanitarian organizations (including the cluster lead agencies) adopted a more holistic food security model?</p> <p>If a holistic food security model is adopted, can this plausibly be attributed (at least in part) to coordination activities?</p> <p>Indicator: Degree of change observable in key organizations (FAO, WFP, major NGOs)</p>	<p>Analysis of documents of the coordination mechanism</p> <p>Analysis of policy and programme documents</p> <p>Interviews with humanitarian organizations and experts</p>
	<p>To what extent has the coordination mechanism offered information, guidance and training or facilitated peer review on issues related to programme quality?</p> <p>How relevant and of what quality were these services?</p> <p>To what extent have humanitarian organizations increased their compliance with relevant standards as a result of these services?</p> <p>Indicators: Share of food security coordination mechanisms that have</p>	<p>Interviews</p> <p>Survey</p> <p>Document analysis</p>

	offered activities related to quality; quality rating by participants	
	To what extent have humanitarian organizations improved the integration of cross-cutting issues such as gender, age, the environment and early recovery as a result of these services? Indicator: Share of organizations that introduced changes or additional measures following activities of the coordination mechanism	Interviews with members and experts Survey Analysis of policies and programme documents
	To what extent have humanitarian organizations strengthened their participatory approaches and other accountability to affected populations measures as a result of these services? Indicator: Share of organizations that introduced additional measures following activities of the coordination mechanism	Interviews with members and experts Survey Analysis of policies and programme documents
	How instrumental and appropriate has training been in this context (relevance of training as solution to an identified problem, training needs assessment, selection of relevant participants, training methods and materials, results of the training)?	Analysis of training strategy (if available) and training reports Interview with coordinators and people responsible for trainings Interviews with participants of the trainings
c) How do the benefits of the coordination mechanism compare to its costs and downsides?	What costs (financial, human resources, time invested in meetings and sharing information...) does the cluster or other coordination solution involve? Indicator: Total food security coordination costs (financial and in-kind) as a share of total food security assistance costs.	Financial analysis Interviews with coordination teams and members
	Does the coordination mechanism have any unintended negative effects (e.g. causing delays in the response, polarizing different groups of actors, undermining existing structures)?	Interviews with management and staff of humanitarian organizations (incl. UN OCHA and the Humanitarian Coordinator), as well as experts Survey
	Do humanitarian organizations see the investment as worthwhile?	Survey Interviews with members and non-members of the coordination mechanism

d) To what extent have food security coordination mechanisms at country level or the global FSC influenced donor policies, practices and decisions?	To what extent are donors participating actively in the coordination mechanism and receiving relevant information from it?	Interviews with donors and coordinators
	What other activities have the global FSC and country-level coordination mechanisms undertaken to influence donor policies and practices?	Review of meeting minutes and other documents Interviews with donors and coordinators
	What – if any – incentives or disincentives to coordinate actively do donors provide?	Interviews with donors and humanitarian organizations Analysis of donor strategies and application documents
	How strongly do donors consider strategies, action plans, reviews and recommendations developed by the coordination mechanism in their decisions?	Interviews with donors and humanitarian organizations Analysis of donor strategies
	Have coordination activities led to a quicker and stronger mobilization of funds for the response and thus allowed for a more timely and appropriate response?	Interviews with donors and humanitarian organizations Analysis of funding data
	Has the coordination mechanism led to more balanced funding for different food security needs? Indicator: CAP funding gaps for food aid and agriculture over time	Analysis of funding and CAP data at country and global level
e) To what extent has the FSC incorporated past lessons learned (e.g. relating to the role of national systems, the set-up, resourcing, management and support of clusters)?	What roles do national and local authorities and humanitarian actors play in the coordination mechanism and why? Has the coordination mechanism engaged in any activities for strengthening national and local capacities for coordinating and implementing food security response? If yes, how relevant and effective were these activities? Indicator: % of food security coordination mechanisms with stronger participation of national and local authorities and humanitarian actors than in the past	Analysis of documents of the coordination mechanism Interviews with authorities, local humanitarian actors and coordinators
	Does the coordination mechanism have an exit and transition strategy? If yes, how timely and appropriate is the strategy and how well is it implemented in practice?	Analysis of documents of the coordination mechanism Interview with coordinator and

	Indicator: % of food security coordination mechanisms with an adequate exit and transition strategy	authorities
f) Do lead agencies appropriately guide, manage and support country-level food security coordination mechanisms?	<p>Does the coordination team have adequate human resources, organizational background, seniority, leadership, management, facilitation and technical skills (including information management capacity)?</p> <p>Are the lead agencies cooperating well, providing adequate support to the coordination team and distinguishing sufficiently between their own and the coordination mechanism's interests?</p> <p>How appropriate are the structures, working processes and decision making procedures of the coordination mechanisms?</p> <p>Are the roles, responsibilities and contributions of different actors sufficiently clear and well understood and are actors held accountable for exercising these roles and providing contributions?</p> <p>Indicators: % of members satisfied with skills and services; % of relevant stakeholders participating regularly, actively and at a sufficiently senior level in the coordination forum</p>	<p>Interviews coordination team and humanitarian organizations (lead agencies, members, non-members, UN OCHA, Humanitarian Coordinator)</p> <p>Survey</p> <p>Analysis of meeting minutes</p>
	<p>Do lead agencies effectively exercise their provider of last resort role?</p> <p>Indicator: % of organizational budget available for flexible use to fill gaps</p>	Analysis of coordination documents and of lead agency budgets and programme documents
<b>2. What effects does the global food security cluster have on coordination mechanisms and humanitarian actors at country and local level? How and why?</b>		
a) To what extent has the global FSC been offering relevant support to different coordination solutions at country and local level? To what extent has this strengthened their capacities to offer timely and effective coordination in priority	<p>What kinds of support have food security coordination mechanisms in different countries and at local level received from the global FSC (e.g. support missions, surge deployments, trainings, information and information management services, guidance and tools)?</p> <p>How relevant, strategic, appropriate and of what quality were these types of support and were they provided to the right kinds of contexts?</p> <p>Indicator: Share of country coordination mechanisms satisfied with support received</p>	<p>Interviews with coordinators</p> <p>Survey</p>
		<p>Interviews with coordinators and members</p> <p>Survey</p> <p>Analysis of monitoring and feedback data</p> <p>Analysis of training reports</p>

contexts?	What kinds of support were missing or how could support services be improved?	Interviews with coordinators and members Survey Learning workshops
b) To what extent have global humanitarian actors (donors and implementers) supported coordination and the adoption of cluster guidance and tools?	Do the most relevant food security actors participate actively in the global FSC? Indicator: Share of relevant organizations participating regularly	Analysis of FSC documents Interviews with global cluster members and non-members
	To what extent have donors and implementers at global level absorbed policies, guidance, tools and information provided by the global FSC and what have they done to promote their use at country and local level?	Analysis of policies and strategies of major actors Interviews with FSC members at global and country level
	What efforts have global FSC members made to encourage active cluster participation of their country and local offices?	Interviews with FSC members at global and country level
c) To what extent have the global Cluster Lead Agencies extended relevant and appropriate support to the global FSC and its activities?	What kinds of resources and other support have the global lead agencies provided to the global FSC? Have these been adequate?	Analysis of cluster documents and funding data Interviews with WFP and FAO management, the global support team and partners
	Have WFP and FAO managers taken effective measures to encourage and incentivise their management and staff at country level to support cluster coordination? Indicator: Share of WFP and FAO country offices that have taken a more supportive stance to (cluster) coordination since 2011	Interviews with WFP and FAO managers and selected staff members at global and country level

<b>3. Is there any available evidence on what effects coordination may have had on the food security situation of affected populations?</b>		
<p>a) Have the activities, services and tools of the food security coordination mechanism helped to strengthen efforts to assess the effects of food security interventions on affected populations?</p>	<p>Has the coordination mechanism made any attempts to strengthen the monitoring and assessment of results?</p> <p>What mechanisms are currently in place to monitor the results of food security responses?</p> <p>Have these mechanisms changed since the introduction of the coordination mechanism?</p> <p>If yes, can the changes plausibly be attributed (at least in part) to the activities and services of the coordination mechanism?</p> <p>Indicator: Share of countries with strengthened monitoring mechanisms following coordination activities</p>	<p>Interviews with coordinators and global FSC</p> <p>Interviews with humanitarian actors</p> <p>Analysis of monitoring instruments</p>
<p>b) Is there any evidence that duplications and gaps have reduced or that coverage has increased due to coordination activities?</p>	<p>Are consistent duplication and gap analyses or coverage maps available?</p> <p>If yes, do they show any clear trends?</p> <p>If yes, can these trends plausibly be attributed to cluster activities?</p> <p>If not, is there any well-documented anecdotal evidence on duplications and gaps?</p> <p>Indicators: Change in geographic coverage; Change in thematic coverage; Change in number of duplications</p>	<p>Analysis of documents of the coordination mechanism</p> <p>Analysis of duplication and gap analysis data</p> <p>Context analysis</p> <p>Interviews with humanitarian organizations</p>



### 3.5. Challenges, risks and limitations

Evaluating a coordination mechanism like the FSC involves specific challenges, risks and limitations. This section explains where the evaluation team sees the main challenges and how it plans to address them.

- First, the FSC has a very broadly defined objective,<sup>7</sup> and no official **theory of change** that would explain how exactly that objective is intended to be met. The evaluation team has therefore developed such a theory of change (see chapter 2.3) that forms the basis for all evaluation questions. The risk is that this theory of change may not appropriately reflect the real intentions and mechanisms of the FSC. If that is the case, some of the evaluation questions may not be relevant. To limit this risk, the evaluation team has conducted interviews with the founders and original supporters of the FSC and has tested the draft theory of change in a workshop with the global support team. It was discussed and validated in a meeting with the evaluation reference group and the global partners meeting in early November 2013.
- Second, a coordination mechanism like the FSC only makes an **indirect contribution** to humanitarian response. Assessing its effects is therefore difficult and raises attribution issues. This creates the risk that evaluations focus too much on the inner workings of the cluster and do not invest sufficient effort in evaluating effects. To mitigate this risk, the evaluation explicitly focuses on the levers of change (i.e. the mechanisms through which cluster activities translate into changes in humanitarian practice). The evaluation team therefore plans to invest significant effort into tracing how clusters or other coordination solutions do or do not influence the policies and practices of humanitarian actors. Since the time and resources for this evaluation are limited, however, this implies that less time will be spent on investigating questions relating to the set-up and working modalities of coordination mechanisms, many of which are already well researched and understood.
- Third, since context conditions vary dramatically between different humanitarian settings, it will be challenging but important to generate findings that have **external validity**. The evaluation team has chosen an approach that seeks to identify potential effects and to establish whether or not they can plausibly be attributed to coordination activities in different settings. We will rely on a comparatively large sample of countries (nine) in order to increase the representativeness of the sample. The sample also includes countries with very different context conditions and intervening variables. Any common findings across these different conditions should therefore have a strong external validity. Finally, the survey will target all countries with humanitarian food security coordination mechanisms that relate to the global FSC to identify common findings and effects.
- Fourth, the evaluation faces **time and data constraints**. Country missions are planned to last for only one week each. With complex logistical and sometimes security issues, this makes it difficult to visit sub-national coordination mechanisms and field locations. Yet, humanitarian actors often plan and take decisions for programs at sub-national or local level. To ensure that the evaluation covers at least some sub-national locations, each country mission will be conducted by at least two members of the evaluation team, with one focusing on the capital and the other on the sub-national or local level. In addition, the evaluation team will largely rely on existing data to answer some of the evaluation questions. If monitoring

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<sup>7</sup> The global FSC mission statement is “to ensure improved coordination of preparedness, response and recovery actions at national and global levels” and it is intended to contribute to a vision that “food security needs for individuals and communities in humanitarian crises are met”. Global Food Security Cluster 2013-2014 Strategic Plan

data and existing evaluative evidence on these aspects are weak or non-existent, the evaluation will not be able to come to clear conclusions regarding these questions.

- Finally, the **survey** is a very important data source for this evaluation. The usefulness of survey results will to a large degree depend on the response rate. This, in turn, depends on the ability of the evaluation team to design a short and clear survey instrument, to effectively disseminate the invitation to participate in the survey to relevant stakeholders (mainly humanitarian actors involved in food security at country and local levels) and the motivation and time of the addressee. Experience has shown that available contact lists are often out of date and thus of limited use, that not all stakeholders have reliable internet connections and that there is general survey fatigue. The motivation to participate could, however, increase through management support. The evaluation team will therefore depend on the support of coordinators at country and field level, as well as global cluster members and FAO/WFP evaluation managers, in disseminating the survey invitation and reporting who they sent the invitation to.

### **3.6. Quality assurance**

To ensure quality, the evaluation team will check the reliability of the data gathered and, wherever possible, will triangulate data from different sources. In addition, the evaluation will be based on the close cooperation of a team combining different kinds of expertise. Team members will always be deployed in teams of two to enable mutual discussion and verification of findings. The team will set aside sufficient time to jointly interpret findings and develop recommendations. Selected internal peer reviewers (including Andrea Binder, team member of the global cluster approach evaluation, and Urban Reichhold, humanitarian expert) will be included in the process and all evaluation products will be externally edited.

WFP and FAO have evaluation quality assurance systems. For practical reasons, it has been decided that WFP's Evaluation Quality Assurance System (EQAS) based on the UNEG norms and standards and good practice of the international evaluation community (ALNAP and DAC) will be used for this joint evaluation. It sets out process maps with in-built steps for quality assurance and templates for evaluation products. It also includes checklists for feedback on quality for each of the evaluation products. EQAS will be systematically applied during the course of this evaluation and relevant documents have been provided to the evaluation team.

## **4. Organization of the evaluation**

### **4.1. Roles and responsibilities**

The evaluation team consists of five members: Julia Steets (team leader), James Darcy (senior evaluator and deputy team leader), Lioba Weingärtner (senior evaluator), Pierre Leguéné (senior evaluator) and Maximilian Norz (research analyst). Each team member assumes primary responsibility for missions to certain countries and regional centres, as well as for certain thematic aspects of the evaluation (see table 5). To translate the inputs of different team members into the evaluation products, team members remain in continuous, close communication, provide written inputs for the inception report, summarise main findings and recommendations of each country mission in a short aide-mémoire, structure the findings of their other research (document analysis,

global interviews) according to the guiding questions of the evaluation, develop their individual interpretations of findings and recommendations and contribute them to a 3-day internal workshop, and provide specific inputs as well as general comments and feedback to the final report. Team members will also support the design and implementation of learning and dissemination events.

**Table 5: Roles and responsibilities of the evaluation team**

Name	Geographic responsibilities	Thematic responsibilities
<b>Julia Steets</b>	Pakistan Turkey New York (tbc)	Overall planning and coordination Humanitarian system Advocacy Provider of Last Resort
<b>James Darcy</b>	Bangladesh Yemen [or South Sudan] Nairobi (regional)	Early warning, needs analysis, response analysis and strategy development Influence of coordination mechanisms on decision-making of humanitarian actors
<b>Lioba Weingärtner</b>	Lebanon Mali Kenya Ouagadougou (regional, tbc)	Management and leadership Training and capacity development Information management
<b>Pierre Leguéné</b>	Central African Republic Haiti [or Philippines] Dakar (regional)	Quality elements (cross-cutting issues, standards, participatory approach...) Donor policy and funding Relationship to pooled funds and consolidated appeals
<b>Maximilian Norz</b>		Global literature review Survey design, implementation and interpretation

To be able to conduct the evaluation successfully, the evaluation team will require the support of different groups and individuals:

- The **evaluation reference group** includes representatives of key stakeholders, including the lead agencies, the global support team, UN agencies, NGOs, donors and a humanitarian learning forum. The reference group provides important guidance to the evaluation through its comments to the terms of reference and the inception report, as well as the draft evaluation report. It will also help to ensure that evaluation is well coordinated with other related studies or surveys and support the dissemination strategy for the evaluation's findings and recommendations.
- The **evaluation managers** could support the evaluation among others by facilitating access to documents and data, facilitating the interaction with the evaluation reference group and other important stakeholders, acting as a sounding board for planned approaches, helping to identify opportunities for learning or dissemination events and helping to implement them, providing feedback to draft evaluation products and ensuring coordination with other related activities, such as related evaluations, learning events or surveys. In addition to these, the evaluation managers are the first level in the EQAS system, reviewing all evaluation productions against quality criteria and providing feedback and suggestions.
- The **FSC Global Support Team, country coordination teams and global partners** could facilitate the evaluation by helping to disseminate survey invitations, providing information, facilitating access to relevant stakeholders, documents and data, and contributing to learning events at global and country level.
- **Focal points at country level** will support country missions with respect to logistical arrangements, the identification of and facilitation of access to stakeholders, scheduling of interviews and meetings and providing documents and data.



## **5. Issues to be agreed with the Offices of Evaluation**

The following issues still require clarification and agreement with the offices of evaluation at FAO and WFP:

- Formats and requirements for evaluation synthesis
- Exact number, timing, location and audiences for learning and dissemination workshops, including potential learning events for stakeholders at country and global level and contributions to relevant humanitarian discussion fora and events
- Final decisions regarding the selection and timing of some country cases, depending on the evolving situations in these countries, namely: the timing of the Bangladesh country mission; the selection of Yemen vs. South Sudan and Haiti vs. Philippines; and decisions regarding potential regional / capital visits in Geneva, Amman, New York and Washington.

WORKING DOCUMENT

## Annexes

### I. Acronyms

ALNAP	Active Learning Network for Accountability and Performance in Humanitarian Action
CAP	Consolidated Appeals Process
DAC	Development Assistance Committee of the Organisation for Economic Co-operation and Development
EB	Executive Board (WFP)
EQAS	Evaluation Quality Assurance System
FAO	United Nations Food and Agriculture Organization
FSC	Food Security Cluster
HCT	Humanitarian Country Team
IASC	Inter-Agency Standing Committee
PC	Programme Committee (FAO)
UNEG	United Nations Evaluation Group
UN OCHA	United Nations Office for the Coordination of Humanitarian Affairs
WFP	World Food Programme of the United Nations

## II. Overview of existing findings

Table 6: Overview of factors influencing successful cluster coordination from previous evaluations

Evaluation	Human Resources	Financial Resources	Understanding of Roles	Personal Relations	Partnership Arrangement	Co-Lead Arrangements	Donors Influence	Emergency Coordination	Inter-cluster Coordination	Sub-national Level	Information Management	Cluster Activities	Provider of Last Resort
Cluster Approach Evaluation Phase 1	+/-	-	-	-	+	-	-	-	+	-	+/-	+	-
Cluster Approach Evaluation Phase 2	-	-	+	-	+	+	-	-	+/-	-	+	+	-
Joint Evaluation of the Global Logistics Cluster	+	+	+/-	-	+	-	+	-	+	+/-	-	+	-
Evaluation of UNICEF's Cluster Lead Agency role in humanitarian action	+	-	-	-	+	-/+	-	+/-	+	+/-	-	+	+/-
Review of the Global Education Cluster Co-Leadership Arrangement	-	-	-	-	+	-	-	-	-	-	-	+	-
FAO, Upscaling Support to Household FS, Nutrition and Livelihoods in Afghanistan	-	-	+/-	-	+	-	-	-	-	+/-	-	-	-
WFP, Portfolio Evaluation Afghanistan	-	-	-	-	+/-	-	-	-	+	-/+	-	-	-
WFP, Portfolio Evaluation Haiti	-	+	+	-	-	-	-	+	-	-	-	-	+
WFP, Portfolio Evaluation Kenya	-	+	+	-	+/-	+/-	-	+	+	-	+	-	+/-
FAO, Pakistan Flood Response	-	-	+	-	-	-	-	-	-	-	+	+	+
WFP, Portfolio Evaluation Rwanda	-	-	+	-	+	-	-	-	-	-	+	-	-
WFP, Portfolio Evaluation Somalia	-	-	-/+	-	-/+	-	-	-/+	-	-	-	-	-
FAO, Sudan Programme under Common Humanitarian Fund	-	-	-	-	-	-	-	-	-	-	-	+	-
FAO, FAO-Sudan Cooperation	-	-	+	-	-	-	-	+	-	-	-	-	+
WFP, Portfolio Evaluation Yemen	-	-	-	-	-	+-	-	+	-	-	+	-	-
FAO, Cooperation in Zimbabwe	-	-	+	-	+	-	-	+	-	-	-	-	-
WFP, Portfolio Evaluation Zimbabwe	-	-	+	-	+/-	-	-	+	+/-	-	+	-	+

### **III. Draft survey outline**

#### **I. Identity of respondent**

1. Which kind of organization do you currently for work? [drop-down menu]
2. What kind of position do you hold? [drop-down menu]
3. In which country/at what level do you currently work? [drop-down menu]

#### **II. Involvement in food security coordination**

4. Are you currently participating in any coordination mechanism for humanitarian food security (food aid / food assistance / agriculture / livelihoods)? [yes/no – different set of questions for those answering “no”]
5. How much time do you roughly spend on coordination related to food security? [drop-down menu with percentages]

#### **III. Activities of the coordination mechanism**

6. What kinds of activities does the food security coordination mechanism offer and how relevant are they to your work? [table listing possible activities with offered / not offered and scale for relevance]

#### **IV. Effectiveness of the coordination mechanism**

7. Overall, how effective do you think the existing food security coordination mechanism is? [scale; question comparing food security to other sectoral coordination mechanisms]
  8. As how relevant do you see the strategies, instructions, information and advice of the food security mechanism for the operational decisions of humanitarian actors?
    - For your own organization? [scale]
    - For donors? [scale]
    - For other humanitarian organizations participating in the coordination mechanism? [scale]
    - For humanitarian organizations not participating in the coordination mechanism? [scale]
  9. Do you agree with the following statements regarding the effects of the coordination mechanism:
    - [List with different potential effects of coordination with a agree / disagree scale]
  10. In your opinion, has the overall investment made in the food security coordination mechanism been worth-while? [scale]
- #### **V. Success factors**
11. Please list the three most important factors making a food security coordination mechanism effective. [open-ended question]
  12. Please list the three most important obstacles to coordination. [open-ended question]

### **IV. Draft interview guidelines for humanitarian organizations in country**

#### **I. Introduction**

1. Background about the evaluation (objectives, process, confidentiality of interviews).
2. What is your position and role within your organization?
3. How have you been involved with the food security coordination mechanism?
4. Why do you participate / do you not participate in food security coordination (incentives by donors, instructions from headquarters or country-level management, operational reasons)?

#### **II. Set-up and activities of the coordination mechanism**

5. How is the coordination mechanism set-up (lead organizations, staffing of coordination team, presence at capital / field level, types of organizations participating / types of organizations



not participating, level of representation, regularity / level of activity of attendance, frequency of meetings)? [Cover mainly in interviews with coordination team]

6. How appropriate is this set-up in the given context?
7. What are the main activities of the coordination mechanism (information sharing, information management, situation monitoring, contingency planning, needs analysis, response analysis, strategy development, training, peer review, promotion of quality standards, preparation of funding documents, advocacy)? [Cover in interviews with coordination team; only cross-check with other humanitarian organizations]
8. How relevant and appropriate are these activities?
9. Who is providing what inputs to the coordination mechanism (funds, support, time)?
10. Comparing to other clusters or sectoral coordination mechanisms, how well do you believe food security coordination is set-up, supported and resourced in this country?

### III. Effects of the coordination mechanism

11. Has your organization adopted any specific changes as a result of the coordination activities? If so, which ones? Are they documented? If not, why not?
12. Have you observed any changes in the policies, approaches or projects of other humanitarian actors in your country of operation, including donors and implementers? Why do you believe they have or have not adopted changes?
13. Have you noticed any changes in the policies, approaches, attitudes, tool and other instruments of donors, humanitarian organizations and the humanitarian system at the global level that may be related to cluster activities?
14. Have there been any positive or negative effects on the food security response as a result (in terms of timeliness, funding, choice of response options, coherence, appropriateness, gaps, duplications, adherence to quality standards, quality of results monitoring etc.)?
15. Do available data regarding the food security situation show any significant trends? If yes, can any of these trends reasonably be attributed to coordination efforts?
16. Overall, how effective do you think the coordination mechanism is, also in comparison to other sectoral coordination mechanisms? Have the costs and efforts involved in coordination been worthwhile?

### IV. Factors influencing the effectiveness of food security coordination

17. What support has the coordination mechanism received from the global level (the global support team, the working groups or partner meeting and the lead agencies)? How relevant and appropriate was that support?
18. What enables effective coordination in your case?
19. What hinders effective coordination?

### V. Recommendations

20. What, if anything, would you change regarding food security coordination in your country context?
21. What, if anything, would you change regarding global food security coordination?
22. What aspects or activities of the coordination mechanism do you see as the best investment to date? What aspects do you consider a waste of time or money?

## V. Glossary of key terms

Cluster Approach	In 2005 the Cluster Approach was introduced as one of the core pillars of the humanitarian reform, overseen by the Emergency Relief Coordinator and the IASC. Clusters are groupings of organizations in the different sectors of humanitarian action. Designated lead agencies oversee the cluster at both global and country level and appoint coordination teams. These teams organize meetings, disseminate information, develop strategies and may coordinate a range of other activities to ensure an effective and timely response to emergencies that avoids duplications and gaps.
Cluster Coordination Team	Cluster Coordination Teams at country level vary in size and capacity. They usually involve one or more part- or full-time cluster coordinator(s) and sometimes one or more information manager(s) or equivalent. Some teams also include additional staff with specific technical expertise and administrative capacity or working for the cluster at the subnational level. In the FSC, positions are typically filled by staff from either WFP or FAO or both, and sometimes from a dedicated co-lead NGO or national or local authority.
Cluster Lead Agency	A cluster lead agency takes on responsibility and exercises leadership within the humanitarian community in a particular sector. Cluster lead agencies typically support clusters by providing human resources or financial support and in some cases technical guidance, meeting spaces or other contributions. WFP and FAO are responsible for the global FSC. At country level, the setup varies significantly. Sometimes one of the agencies leads the cluster, sometimes both, and sometimes NGOs or authorities join in as co-leads.
Partners, Observers and Associates	The gFSC uses three levels of engagement. Partners are operational organizations, including NGOs and INGOs, international organizations and UN agencies, which deliver aid and assistance, have a commitment to the humanitarian principles and participate in cluster meetings and activities. Observers are those organizations that could be partners but choose observer status to the cluster. Associates are those organizations who are not directly engaged in food security activities, yet intersect strongly with the work of its partners, and request to be considered associates of the global FSC. This includes NGOs, INGOs, international organizations, UN agencies, national governments, educational and research entities.
Country-level food security clusters	At the country level, food security clusters are responsible for coordinated service delivery, informing and supporting strategic decision-making by the humanitarian country team, planning and strategy development, advocacy, monitoring implementation, capacity building, contingency planning, and as a provider of last resort.
Food security	A situation when all people, at all times, have physical and economic access to sufficient, safe and nutritious food to meet their dietary needs and food preferences for an active and healthy life. Some stakeholders define food security as including four pillars: availability, access, utilization and stability. Humanitarian food security interventions can thus encompass food aid (in-

	kind deliveries of food), other forms of food assistance (cash and vouchers), emergency agriculture interventions (e.g. seeds and tools), livelihood programmes and food-based strategies for improving the nutritional status of affected populations.
Emergency Relief Coordinator	The UN Under-Secretary-General and Emergency Relief Coordinator is responsible for all emergencies requiring UN assistance. Also the head of OCHA and the IASC, the Emergency Relief Coordinator helped implement and oversees the Cluster Approach.
Global Food Security Cluster (global FSC)	The global FSC was added to the Cluster Approach in 2010-2011. Until then, there had been no global coordination mechanism for food aid, but clusters for agriculture and nutrition. In several countries, integrated food security coordination mechanisms had been created spontaneously. The global FSC was set up to formalize this responsibility, helping to ensure an effective, coordinated response by humanitarian organizations to food-security-related crises.
Global Partner Meetings	The bi-annual meetings of global FSC Partners, Observers and Associates provide a platform for information sharing, progress review and strategic discussion. Moreover, selected country cluster personnel is invited to provide direct discussion around best practices and areas of needed support.
Global Support Team	The Global Support Team is a support unit with around 12-15 staff members, drawn from the cluster lead agencies and some cluster partners. It is led by the Global Cluster Coordinator and housed at WFP headquarters, Rome. The Global Support Team supports and enables country clusters as well as the network of global FSC partners to achieve the vision, mission and implementation of identified priorities. Some of its activities include developing guidance materials, sending surge support or dedicated support missions, offering training and overseeing Working Groups to discuss and address targeted cluster needs.
Humanitarian Coordinator	The Humanitarian Coordinator is appointed by the Emergency Response Coordinator to work with governments, international organizations and NGOs in countries that are affected by disaster or conflict. This most senior UN official is responsible for leading and coordinating the preparedness and response efforts of humanitarian organizations, and oversees all clusters. Where a Humanitarian Coordinator is not appointed, a Resident Coordinator will assume these responsibilities.
Humanitarian Country Team	The Humanitarian Country Team is an operational decision-making and oversight forum composed of relevant humanitarian organizations. It is led by the Humanitarian Coordinator and is responsible for agreeing on common strategic humanitarian issues. Clusters are typically represented in the Humanitarian Country Team through their Lead Agencies.
Humanitarian Reform, 2005	The Humanitarian Reform of 2005 introduced new elements to improve capacity, predictability, accountability, leadership and partnership. The most visible aspect of the reform is the creation of the Cluster Approach.
Inter-Agency Standing	The Inter-Agency Standing Committee was established in 1992 to strengthen humanitarian assistance. The forum is the UN's primary mechanism for inter-

Committee (IASC)	agency coordination involving key UN and non-UN humanitarian partners. It is led by the Emergency Response Coordinator and oversaw the implementation of the Humanitarian Reform and Cluster Approach in 2005 and the Transformative Agenda in 2012.
Transformative Agenda	The IASC Transformative Agenda is an effort to continue and further improve the humanitarian reform. It focuses on improving the timeliness and effectiveness of the humanitarian response through: (i) better leadership, (ii) improved coordination structures, and (iii) greater accountability to affected populations.
Working Groups	The global FSC Working Groups are made up of staff from Lead Agencies and partner organizations. They have regular meetings, undertake research and develop positions, which they publish in briefings and presentations. They identify key areas, provide guidance, strengthen links with other groups, and disseminate best practices. Currently, three Working Groups are active: Assessments; Inter-cluster Food Security and Nutrition; and Food Security and Livelihoods in Urban Settings.

## VI. Stakeholders consulted during the inception phase

Name	Position, Organization	Country
Jamie Watts	Senior Evaluation Officer, WFP	HQ
Tullia Aiazzi	Senior Evaluation Officer, FAO	HQ
Helen Wedgwood	Director of Evaluation, WFP	HQ
Richard Trenchard	Senior Adviser, Officer of the Deputy Director-General, FAO	HQ
Marianne Ward	Chief, Operational Reporting, WFP	HQ
Bernd Bülteimer	Office of Evaluation, FAO	HQ
Graham Farmer	Cluster Coordinator, global FSC	HQ
Vanessa Bonsignore	Junior Consultant, Global Support Team, global FSC	HQ
Marisa Muraskiewicz	Junior Consultant, Global Support Team, global FSC	HQ
Marina Angeloni	Junior Consultant, Global Support Team, global FSC	HQ
Dina Jerkovic	Programme, Global Support Team, global FSC	HQ
David Kaatrud	Director of Emergencies, WFP	HQ
Amir Mahmoud Abdulla	Deputy Executive Director and Chief Operating Officer, WFP	HQ
Jeff Tschirley	Chief, Rehabilitation and Humanitarian Policies, FAO	HQ
Angela Hinrichs	Liaison and Operations Officer, Emergency Operations Service, FAO	HQ
Dominique Burgeon	Director, Emergency and Rehabilitation Division, FAO	HQ
Rodrigue Vinet	Emergency and Rehabilitation Division, FAO	HQ

Laurent Thomas	Director, Emergency and Rehabilitation Division, FAO	HQ
Brian Majewski	Head of Strategic Research and Evaluation, Avenir Analytics	USA
Cyril Lekiefs	Food Security and Agriculture Cluster Coordinator, FAO	Afghanistan
Rosanne Marchesich	Deputy Country Director, FAO	Bangladesh
Allz-Raza Qureshi	Deputy Country Director, WFP	Bangladesh
Abdounasser Ibrahim	Food Security Officer, FAO	Burkina Faso
Vincent Boulardot	Food Security Coordinator, FAO	Chad
Manuela Angel Gonzalez	Food Security and Nutrition Cluster Coordinator, FAO	Colombia
Koffi Akakpo	Head of the Vulnerability and Assessment unit (VAM), WFP	DRC
Gary Mathieu	Food Security National Coordination (CNSA) Coordinator	Haiti
Jordan Ramacciato	Liaison Officer, FAO	Kenya
Ekram El-Huni	Head of Program, WFP	Lebanon
Nanthilde Kamara	Food Security Cluster Coordinator, FAO	Mali
Jean-Francois Dontaine	Operations Coordinator, FAO	Niger
Rizwan Baja	Food Security Cluster Coordinator, FAO	Pakistan
Jose Luiz Fernandez	Senior Regional Emergency Coordinator, FAO	Sahel (regional office based in Dakar)
Francesco Baldo	Food Security Cluster Co-Coordinator, FAO	Somalia
Elena Rovaris	Food Security Cluster Coordinator, WFP	South Sudan
Emma Fitzpatrick	Interim Food Security and Agriculture Cluster Coordinator, WFP	Yemen
Constance Oka	Agriculture Cluster Coordinator, FAO	Zimbabwe
Abdurrahim Siddiqui	Deputy Country Director, WFP	Zimbabwe

## VII. Documents consulted during the inception phase (selection)

### Food Security Cluster Documents

- Food Security Cluster Annual Reports
- Global Food Security Cluster PowerPoint Presentations on Achievements, Workplan Areas, Strategies, Working Groups and more
- Global Food Security Cluster Teleconference Minutes
- Global Food Security Geographical Cluster Teleconference Minutes
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- Global Nutrition Cluster, A Toolkit for Addressing Nutrition in Emergency Situations, 2008.

WORKING DOCUMENT

**WFP Office of Evaluation**  
[www.wfp.org/evaluation](http://www.wfp.org/evaluation)

**FAO Office of Evaluation**  
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