

**Country Programme Evaluation Series**

# **Evaluation of FAO's contribution to the Republic of Indonesia**

**2016–2020**

**Annex 1. Terms of reference**

# 1. Introduction

1. The Office of Evaluation (OED) of the Food and Agriculture Organization of the United Nations (FAO) has been conducting country programme evaluations since 2005 to provide accountability to member countries, national governments, and development partners, and draw lessons and suggestions for programme improvement. The Republic of Indonesia was selected as one of the countries in which to carry out a Country Programme Evaluation (CPE) in 2019.
2. The Terms of Reference (TORs) represent a guiding document for the National CPF Secretariat acting on behalf of CPF Steering Committee, the Evaluation Team, and is a result of the preparatory phase, consisting a desk review of existing external documentation,<sup>1</sup> a preliminary analysis of FAO's portfolio of work in Indonesia, agreements with the National CPF Secretariat and scoping interviews with the key government ministries and technical directorates, FAO personnel at the country level and in the headquarters.
3. The evaluation will cover the totality of FAO's cooperation with the Republic of Indonesia through the Country Programming Framework (CPF) 2016–2020. **The CPF specified a set of national priorities to form joint outcomes between the Government of Indonesia and FAO to be implemented during the CPF timeframe. The joint outcomes are referred to as the CPF Outcomes.**
4. The evaluation will include assessment of the i) relevance of the CPF Outcomes in relation to national needs and challenges; and ii) progress made against the CPF Outcomes in the areas of agriculture (including Marine Affairs/Fisheries and Forestry), rural development, capacity development, gender equality and empowerment of women. It will also assess the strategic positioning of FAO in the country in terms of its comparative strength, partnerships, and synergies with other development actors.

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<sup>1</sup> Mainly including government planning documents, the United Nations Country Team (UNCT), existing FAO evaluations of projects in Indonesia, and academic papers and reviews.

## 2. Purpose of the evaluation

5. The purpose of the evaluation is to provide inputs to better orient FAO's programme in Indonesia, making it more relevant to the needs of the country. It will **provide accountability** to the Government, communities, and resource partners in the country as well as to **draw lessons and make recommendations** that will be useful for FAO's future engagement in the country. In addition to providing advice to management and staff at the national level on how to improve the impact and relevance of FAO's programme, the evaluation will also identify potential areas for future cooperation in line with FAO's comparative advantage.
6. The main audiences of the evaluation, to which most of the lessons and recommendations will be addressed, are the National CPF Secretariat and the FAO Representation in Indonesia. Other important users of the evaluation are the FAO Regional Office for Asia and the Pacific and FAO as a whole, including technical divisions and other country offices that will benefit and build on lessons learned and good practices. Further users of the evaluation will be FAO's partners within the broader development community, including resource partners, NGOs, implementing partners and other UN agencies. Although not a target group for the evaluation report itself, the evaluation also aspires to provide accountability with respect to rural farming, forest and fishing communities in Indonesia that FAO has sought to assist.

### 3. The evaluation approach

7. Since the CPE is a programme evaluation, the evaluation will not focus on individual projects but rather assess FAO's overall contribution to meeting the joint outcomes – CPF Outcomes 2016–2020. In addition, the evaluation will seek to evaluate the extent of the FAO contributions to the National Medium-Term Development Plan for 2015–2019 (RPJMN), the United Nations Partnership for Development Framework (UNPDF, 2016–2020), and the Sustainable Development Goals (SDGs).
8. The CPE is not limited to the current FAO projects portfolio and intends to capture relevant key results over the last five to seven years. Also, it is a forward-looking exercise and will assess whether FAO is on the right track to where it aims to be; and whether the past results represent sufficient foundation for future progress; or if corrective measures should be taken.
9. The evaluation will be designed around two key questions: **i) Strategic positioning: Are we doing what is needed? and, ii) Programme contribution: Are we making a difference?** Based on the advice from the National CPF Secretariat and the FAO Representation, fieldwork will be conducted to meet direct beneficiaries and assess changes brought by the intervention on their lives and livelihoods.
10. The specific objectives of the CPE are to:
  - i. assess the strategic relevance of the FAO Country Programme's contributions and support in responding to country needs and national development goals;
  - ii. assess results under the Country Programme's four Outcomes and contribution to indicators of achievement of the National Medium-Term Development Plan for 2015–2019;
  - iii. identify lessons learned as well as causes of successes and failures; and
  - iv. identify gaps or weaknesses in the Country Programme and potential areas of future work.
11. The FAO and the Government of Indonesia Country Programming Framework (2016–2020) has four joint outcomes agreed with the Republic of Indonesia:
  - i. **CPF Outcome 1. Increased resilience of livelihoods to the effects of climate change, recurrent disasters and emerging pandemic threats.**
  - ii. **CPF Outcome 2. Sustainable intensification of crop production and improved management of forests and fisheries resources.**
  - iii. **CPF Outcome 3. Reduction of rural poverty through more inclusive food systems and value chain development.**
  - iv. **CPF Outcome 4. Improvement of the policy environment and strengthened partnerships in agriculture.**

## 4. The evaluation methodology

12. Since the adoption of the Paris Declaration on aid effectiveness, the international community has given increasing attention to country ownership of the development process. In this spirit, the evaluation will focus on the participation of national partners, in particular, the Government, to ensure the appropriation of the evaluation results by the relevant national institutions and promote their use at the national level. To this end, OED envisions the participation of national experts in the CPE.
13. Given the nature of the CPF Outcomes, which collectively aim at strengthening institutional mechanisms, knowledge and policy environment for promotion and governance of agriculture (including marine affairs, fisheries and forestry), natural resources, climate response and food systems across a broad spectrum of economic and social interests, the evaluation shall have a non-experimental design, focusing on the extent of development change brought by the FAO programmes under the CPF Outcomes change on establishing and supporting pilots of good practices and knowledge to support cross-sectoral approaches to the national food and nutrition agenda, the emphasis of analysis will be non-statistical, to gain holistic insights and address hard-to-quantify issues.
14. The evaluation will seek to identify relevant examples of changes that have taken place under the CPF Outcomes – whether induced by the Government or FAO, and then determine, to the extent possible, FAO’s specific contribution to those changes. This approach, rather than measuring progress towards predetermined objectives, will collect evidence on achievements and analytically link how particular interventions or projects contributed to the change. The evaluation will try and identify missed opportunities and lessons that can be learned. As such, the assessment of contributions will be done on two levels: **CPF Outcome level** and **Output level**. The approach is also useful for gathering information on relevance, sustainability, programme coherence, and synergies according to the lines of inquiry below. The smallest unit of analysis at the Outcome Level Assessment will be sectors and sub-sectors (CPF Priorities). This will be linked to the Output Level Assessment of which the smallest unit of analysis will be field activities (FAO and Government projects).

### 4.1 The CPF Outcome level assessment

15. The examination of **FAO’s strategic positioning** in Indonesia will ascertain its relevance to national development priorities, including relevance and linkages with the overarching RPJMN and SDG targets. The CPF Outcome level assessment includes an analysis of national government plans, programmes, achievements, the comparative strengths of the programme and a review of the major development challenges and opportunities facing the country.
16. The Outcome assessment will be guided by the following lines of inquiry:

**Strategic positioning: Is the Country Programme agreed between FAO and the Government of Indonesia doing the right thing?**

#### **Alignment and strategic relevance**

- i. Has the Country Programme been addressing the most relevant and structurally important challenges in Indonesia in line with FAO’s competence?
- ii. To what extent is the Country Programme aligned with relevant national development plans, strategies and policies? Are there any gaps or missed opportunities?

- iii. Has the Country Programme introduced innovative solutions? Were they adopted/scaled up by the government?
- iv. Has FAO responded appropriately to emerging needs as a consequence of natural or man-induced emergencies?
- v. In view of the dynamic context of Indonesia, how effective has the Country Programme been in supporting the government to meet regional and international commitments in improving the agriculture sector (including marine affairs and fisheries and forestry)?

### **Partnership and Coordination**

- i. How effectively did FAO engage in partnerships and to what extent were these partnerships complementary and synergistic?
- ii. To what extent has the Country Programme contributed to the capacity development needs of community organizations and sub-national authorities?
- iii. To what extent has FAO supported the coordination of actors?
- iv. To what extent has the Country Programme provided support for Indonesia in fulfilling its international commitments and priorities?

### **Normative values (leaving no one behind and gender equity)**

- i. To what extent has the Country Programme taken into account United Nation (UN) normative values and principles such as equity, social inclusion, gender equality, decent rural employment and targeting the most vulnerable communities and localities in the design of its programme and during the implementation?
- ii. How has the Country Programme succeeded in equally addressing the relevant needs and concerns of both men and women?

### **Comparative advantage**

- i. What role has FAO played vis-à-vis other development actors (national and local government, civil society, the private sector, and other international development partners) and did it draw from its comparative advantage?
17. To answer the questions on “strategic positioning”, the team will start by assessing whether the FAO programme in Indonesia was based on a preliminary analysis of the needs of different stakeholders, e.g. Government, communities, vulnerable households, etc. It will then research what these needs were and whether the programme responded to them. To gather information related to this question the National Evaluation Team will undertake a comparative analysis of the RPJMN, SDG targets, and the FAO CPF. This will be complemented with a macro-analysis of development trends, achievements of national programmes and policies, in addition to sector reviews and assessments done by international and national agencies.
18. The team will review all the relevant policies and regulations introduced post-2015, including the Indonesian Voluntary National Reviews (2017 and 2019), the National SDGs Action Plan 2017–2019, Indonesia SDGs Roadmap 2017–2030, and, the Draft of the 2020–2024 National Medium-Term Development Plan (RPJMN 2020–2024). Additional sources of information will be key informants, internal and external stakeholders at the national and sub-national levels.

## **4.2 The Output level assessment**

- 19. The Output level assessment focuses more on the direct results from the FAO project portfolio implemented between 2015 to date. The evaluation team will review and assess the design of the

projects, implementation arrangements, and partnerships. Nevertheless, the assessment will consider a programme approach to evaluate the linkages and coherence between the output results. The evaluation will draw on a participatory process involving the collection and interpretation of “stories” about change rather than predetermined quantitative indicators. The Most Significant Change<sup>2</sup> will be identified, and the team will trace back any contribution made by FAO. In addition, evidence will be gathered from pilot project sites implemented by FAO and the corresponding sites scaled-up by national programmes.

20. Key informant interviews and focus group discussions will be used to collect data on present and future needs, gaps in FAO programming, and potential areas of work. Emphasis will be placed on assessing FAO’s contributions to capacity development. The evaluation will use FAO’s Corporate Strategy on Capacity Development as an important analytical framework. This strategy is based on enhancing capacities across three dimensions (individual, organizational, and enabling environment).
21. Fieldwork will be conducted to meet direct beneficiaries and assess changes brought by the intervention to their lives and livelihoods. In so far as possible, considering time, logistical and methodological constraints, the team will assess short- and long-term impacts and negative and positive results at the community level. Project sites for field visits will be selected in consultation with the Country Office, aiming at relevance, presence of multiple projects, FAO pilot projects near similar projects scaled by the government, and geographic variety.
22. The Output assessment will be guided by the following lines of inquiry:

**Programme contribution: Are the agreed programmes and projects by FAO and the Government of Indonesia making a difference?**

- i. What are the contributions to sustainable and climate-resilient farming systems?
- ii. What contributions have been made to improve the capacity of animal health surveillance systems and the implementation of the One Health approach?
- iii. What are the contributions made to improve the management and conservation of forests and fisheries resources? To what extent have FAO methodologies, tools, and systems been useful?
- iv. What contributions have been made to improve/sustain the productivity of agriculture, aquaculture and forestry? As well as, income generation through the value chain approach?
- v. What contributions have been made to establish and/or improve coordinated planning, use of evidence in decision making, and improvement in the policy cycle?
- vi. What contributions have been made to support South-South cooperation, rural youth, food, and nutrition security?
- vii. How inclusive was the FAO programme (leaving no one behind)?

**Sustainability of results**

- i. To what extent have the changes that were generated been sustainable?<sup>3</sup>
- ii. To what extent are the results owned by beneficiaries?
- iii. Have livelihoods been affected by results on the medium and long-term and how?

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<sup>2</sup> <https://www.odi.org/publications/5211-msc-most-significant-change-monitoring-evaluation>

<sup>3</sup> Results will be classified as self-sustaining, stepwise and contiguous (Hardcastle, 2008).

## **5. Organization of the evaluation**

### **5.1 Roles and responsibilities**

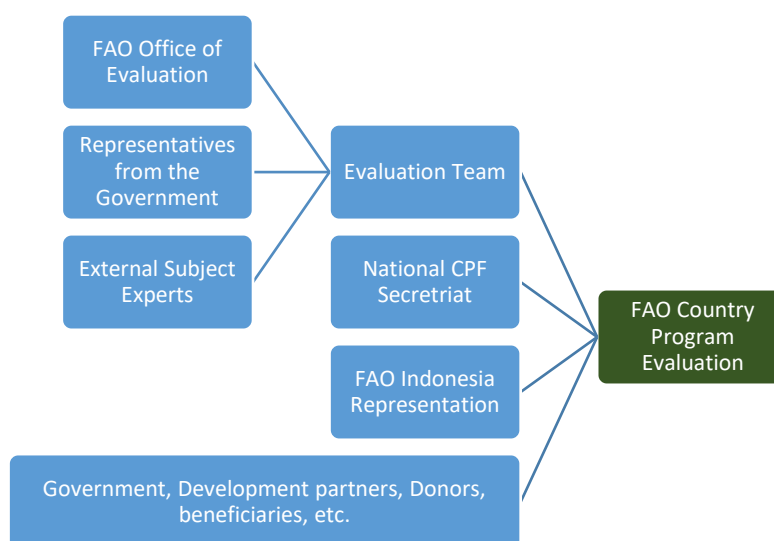
23. OED is responsible for managing the evaluation and leading the team through the designated Evaluation Manager (EM) and the Associate Evaluation Manager (AEM) – who are OED personnel. The EM, together with the AEM, are responsible for drafting the terms of reference (TORs) for the evaluation, selecting team members, and drafting individual TORs. The EM and AEM will map the main stakeholders in the country and develop the methodology to conduct the assessment with inputs provided by the evaluation team, and will also brief the National CPF Secretariat and the National Evaluation Team on the standard FAO evaluation process. The EM and the AEM will oversee and guide the National Evaluation Team before, during and after the country mission. Towards the end of the evaluation, the EM will facilitate discussions during the analysis of findings, conclusions and recommendations. OED will also present the results of the evaluation to the national government counterparts, and relevant stakeholders, and will promote the dissemination of the report. The final report and FAO’s management response are public documents and will be broadly disseminated.<sup>4</sup>
24. The National CPF Secretariat will be an integral part of the evaluation process to improve the relevance and usefulness of the evaluation. It will be consulted at key milestones of the process and in particular, will be required to: i) provide comments on the overall TORs of the evaluation; ii) advise the evaluation team and act as a facilitator during the main mission; iii) provide comments to the draft evaluation report; and iv) support the evaluation team in the presentation, dissemination and use of evaluation results.
25. The National Evaluation Team (comprised of technical staff from the relevant government agencies and external subject experts) will be responsible for collecting data and analyzing evidence to develop findings, conclusions, and recommendations under their areas of responsibility. For this purpose, the team members will participate in the initial briefing sessions delivered by OED, and through group discussions will contribute to the refinement of the methodology and preparation of the evaluation tools. Each team member will carry out a desk review of documents in their area of work and will conduct individual and group interviews with internal and external stakeholders, participate in field visits to project sites, participate in the analysis session and at the initial stakeholder debriefing, contribute written inputs to the evaluation report and support the EM/AEM in the consolidation of the inputs and the preparation of the draft report. Once the draft report is circulated, and the comments received, the team members will provide advice on the integration of comments received from the National CPF Secretariat and FAO personnel.

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<sup>4</sup> The Office of Evaluation posts all reports on the OED website after the consultations with the Government. The FAO Representative is responsible for distributing the report to all key stakeholders at the country level after its finalization.



**Figure 1. Simplified structure of the FAO Country Programme Evaluation**



Source: Evaluation Team.

## 5.2 Composition and profile of the National Evaluation Team

- i. A representative from the **Ministry of National Development Planning** to undertake a general food and agriculture policy analysis.
- ii. A representative from the **Ministry of Agriculture** to undertake an assessment of FAO's work on food crops, nutrition, and food security.
- iii. A representative from the **Ministry of Environment and Forestry** to undertake an assessment of relevant FAO methodologies, tools on greenhouse gas (GHG) inventory, climate change, nationally determined contribution (NDC) reporting, measurement, reporting, and verification and REDD+.
- iv. A representative from the **Ministry of Maritime Affairs and Fisheries** to undertake analysis of fishery management issues and assessment of cooperation in the aquaculture sector including rice-fish projects.
- v. A senior national consultant – agriculture economist, to undertake an analysis of the policy environment, institutional arrangements and green economy potential; and
- vi. A senior national consultant – natural resource economist, to undertake an analysis of climate change adaptation and management of ecosystem services.

## 5.3 Tentative evaluation timeline

September 2019	Preparatory work, consultation with the National CPF Secretariat, development of the TORs and budget; desk review; formation of a National Evaluation Team, scoping and initial data collection in Jakarta.
October 2019	Distribution of the TORs to the Country Office for comments, and finalization of the TORs; finalize the evaluation design, methodology and logistical arrangements for the field evaluation mission based on consultations with the Evaluation Team and the Country Office.
October-November 2019	Field mission to Jakarta, project sites and FAO Regional Office for Asia and the Pacific (Bangkok).
November 2019	Debriefing the National CPF Secretariat.

December 2019	Drafting of report by the evaluation manager.
February 2020	Distribution of draft to Country Office and the National CPF Secretariat for comments.
February 2020	Integration of comments and preparation of the final draft report.
March 2020	Presentation of the final report and validation. Finalization of publication, and dissemination of the final report.

## 5.4 The National Evaluation Team work plan

4-8 November 2019	Training and consultations with the National Evaluation Team. Desk review – Outcome assessment.
11-22 November 2019 Each mission is for 3-5 days (not all members will participate in all the missions)	South Sumatera – evaluate fish feed Central Java – evaluate rice-fish and integrated pest management Sulawesi – evaluate value chain and forest management units NTT/NTB – evaluate value chain and conservation agriculture
25-28 November	Data analysis
29 November	Debriefing the National CPF Secretariat