

Terms of Reference
EVALUATION of
Satellite Index Insurance for Pastoralists in Ethiopia (SIPE) Programme in
Ethiopia from 2017 to 2018
WFP Ethiopia

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1. Introduction

1. These Terms of Reference (TOR) are for an impact evaluation of the “Satellite Index Insurance for Pastoralists in Ethiopia (SIPE) Programme (pilot)” to be launched in the Somali Region of the People’s Democratic Republic of Ethiopia in October 2017. This evaluation is commissioned by WFP Ethiopia Country Office (ETHCO) and will cover the period from September 2017 to September 2018.
2. These TORs were prepared by the WFP ETHCO based upon an initial document review and consultation with stakeholders and following a standard template. The purpose of the TORs is twofold. Firstly, it provides key information to the evaluation team and helps guide them throughout the evaluation process; and secondly, it provides key information to stakeholders about the proposed evaluation.
3. SIPE is a pilot initiative that tests an innovative climate risk management approach which includes a weather-index microinsurance product combined with disaster risk reduction (DRR) interventions with the aim of protecting pastoralists in Somali region from climate shocks. Specifically, pastoralist households owning 5 Tropical Livestock Units¹ (TLU) and already participating in Ethiopia’s Productive Safety Net Program (PSNP) will be able to access insurance coverage on a voluntary basis by working additional days on DRR assets through the Insurance for Assets (IfA) scheme.
4. WFP will use the Normalised Difference Vegetative Index (NDVI) technology for the pasture-drought index insurance. NDVI is a measure of photosynthesis in vegetation, and as such the level of productivity and growth of the vegetation or the “greenness” of a certain area. Satellite-based pasture-drought NDVI insurance has been extensively tested, implemented, and proven in an increasing number of countries over the past sixteen years. Like other index based insurance products, payouts are not triggered by actual losses, but rather by an index that is calibrated to be highly correlated with those losses. When the index hits a pre-determined threshold indicative of large-scale livestock loss, then SIPE policy holders receive a payout based on the amount of livestock insured.
5. Insurance payouts, delivered at the onset of severe droughts and loss of pasture in the form of unconditional cash transfer, will enable pastoralists to purchase supplementary livestock feed and veterinary inputs in order to keep their core breeding animals alive during droughts. The sum insured is based on the monthly cost of supplementary feeding per TLU, and to cover periods totalling 7 months. Payouts will be distributed by local insurance companies directly to participating pastoralists via the Hello Cash mobile platform.

2. Reasons for the Evaluation

6. The reasons for the evaluation being commissioned are presented below.

2.1. Rationale

7. While an integrated climate risk management approach such as SIPE promises considerable social and welfare benefits for pastoralists, the exact impacts and effects of securing livestock asset in pastoral settings by way of insurance and DRR interventions have not been quantified and remain relatively unknown. Based on similar experiences, we assume that such a program could act both as a protective and a productive safety net for pastoralist households exposed to climate risk and help them effectively manage potential shocks. For example, the experience of the WFP and Oxfam America implemented R4 Programme in the highlands of Ethiopia shows that protected by insurance, farming households invest in productive assets and increase their savings. It is also hypothesized that with insurance having increased the collateral value of an

¹ The tropical livestock unit is commonly taken to be an animal of 250 kg liveweight.

otherwise risky asset, SIIPE may enhance financial deepening in pastoral areas, making credit more easily available and catalyzing related market opportunities.

8. The evaluation is being commissioned for the following reasons:
 - a. To understand if (and how) the intervention provides greater protection to pastoralists against climate risk compared to only PSNP;
 - b. To understand whether there is any behavioural change connected to improvements in confidence brought about by SIIPE;
 - c. To measure the changes in well-being of individual households that can be attributed to the program.
9. The evaluation will be used by the WFP ETHCO to decide whether it is feasible and desirable to scale up the intervention in Somali regions and potentially other regions in the low lands of Ethiopia and to glean lessons learnt to inform the design of future interventions. The CO will also use the results from the evaluation to refine and improve the product and processes designed in the framework of SIIPE. The evaluation will be used by the Climate and Disaster Risk Reduction unit in HQ to inform potential replication in other countries e.g. Kenya. Finally the evaluation will be used to support resource mobilization towards WFP Climate Risk Management programs.

2.2. Objectives

10. Evaluations in WFP serve the dual and mutually reinforcing objectives of accountability and learning.
 - **Accountability** – The evaluation will assess and report on the performance and results of the SIIPE to help WFP present strong evidence of actual impact to its donors.
 - **Learning** – The evaluation will determine the reasons why certain results occurred or not to draw lessons, derive good practices and pointers for learning. It will provide evidence-based findings to inform operational and strategic decision-making. Findings will be actively disseminated and lessons will be incorporated into relevant lesson sharing systems. Given the pilot character of the intervention, a stronger emphasis is expected on the learning objective.

2.3. Stakeholders and Users

11. A number of stakeholders both inside and outside of WFP have interests in the results of the evaluation and some of these will be asked to play a role in the evaluation process. Table 1 below provides a preliminary stakeholder analysis, which should be deepened by the evaluation team as part of the Inception phase.
12. Accountability to affected populations, is tied to WFP’s commitments to include beneficiaries as key stakeholders in WFP’s work. As such, WFP is committed to ensuring gender equality and women’s empowerment (GEEW) in the evaluation process, with participation and consultation in the evaluation by women, men, boys and girls from different groups. The evaluation will collect both quantitative and qualitative data from beneficiaries to understand the impacts on them, and how their lives have been changed as a result, with the purpose of scaling the programme up if it has had positive impacts.

Table 1: Preliminary Stakeholders’ analysis

Stakeholders	Interest in the evaluation and likely uses of evaluation report to this stakeholder
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INTERNAL STAKEHOLDERS	
Country Office (CO) Addis Ababa	Responsible for the country level planning and operations implementation, it has a direct stake in the evaluation and an interest in learning from experience to inform decision-making. It is also called upon to account internally as well as to its beneficiaries and partners for performance and results of its operation.
Regional Bureau (RB) for East and Central Africa	Responsible for both oversight of COs and technical guidance and support, the RB management has an interest in an independent/impartial account of the operational performance as well as in learning from the evaluation findings to apply this learning to other country offices. The Regional Evaluation Officers supports CO/RB management to ensure quality, credible and useful decentralized evaluations.
WFP HQ - Climate and Disaster Risk Reduction Programmes	WFP HQ technical units are responsible for issuing and overseeing the rollout of normative guidance on corporate programme themes, activities and modalities, as well as of overarching corporate policies and strategies. They also have an interest in the lessons that emerge from evaluations, as many may have relevance beyond the geographical area of focus. Relevant HQ units, such as the Climate and Disaster Risk Reduction Programmes unit, has been involved since the planning phase to ensure that key policy, strategic and programmatic considerations are understood from the onset of the evaluation.
Office of Evaluation (OEV)	OEV has a stake in ensuring that decentralized evaluations deliver quality, credible and useful evaluations respecting provisions for impartiality as well as roles and accountabilities of various decentralised evaluation stakeholders as identified in the evaluation policy. OEV is also interested in promoting the use of credible impact evaluations.
WFP Executive Board (EB)	The WFP governing body has an interest in being informed about the effectiveness of WFP operations. This evaluation will not be presented to the EB but its findings may feed into annual syntheses and into corporate learning processes.
EXTERNAL STAKEHOLDERS	
Beneficiaries	As the ultimate recipients of food assistance, beneficiaries have a stake in WFP determining whether its assistance is appropriate and effective. As such, the level of participation in the evaluation of women, men, boys and girls from different groups will be determined and their respective perspectives will be sought.
Government	The Government has a direct interest in knowing whether WFP activities in the country are aligned with its priorities, harmonised with the action of other partners and meet the expected results. Issues related to capacity development, handover and sustainability will be of particular interest. Within the Government of Ethiopia, the PSNP, the Ministry of Livestock and Fisheries, the Ministry of Agriculture and Regional bodies will be particularly relevant stakeholders in this evaluation as partners and beneficiaries of some of the activities.

UN Country team	The UNCT's harmonized action should contribute to the realisation of the government developmental objectives. It has therefore an interest in ensuring that WFP operation is effective in contributing to the UN concerted efforts. Various agencies are also direct partners of WFP at policy and activity level.
NGOs	NGOs are WFP's partners for the implementation of some activities while at the same time having their own interventions. The results of the evaluation might affect future implementation modalities, strategic orientations and partnerships.
Donors: Swiss Agency for Development and Cooperation, Government of Sweden, KFW	WFP operations are voluntarily funded by a number of donors. They have an interest in knowing whether their funds have been spent efficiently and if WFP's work has been effective and contributed to their own strategies and programmes.
Private sector Insurance Companies, Micro-Finance Institutions, Regional and International Research Institutes	As key partners in the design and implementation, private sector partners are crucial stakeholders contributing to the success or failure of SIIPE, their input and feedback is therefore important to make the evaluation a learning tool and plan for improvements and refinements.

13. The primary users of this evaluation will be:

- The WFP ETHCO and its partners in decision-making, notably related to programme implementation and design, Country Strategy and partnerships.
- Given the core functions of the Regional Bureau (RB), the RB is expected to use the evaluation findings to provide strategic guidance, programme support, and oversight
- WFP HQ may use evaluations for wider organizational learning and accountability
- OEV may use the evaluation findings, as appropriate, to feed into evaluation syntheses as well as for annual reporting to the Executive Board.

3. Context and subject of the Evaluation

3.1. Context

14. Livestock – the principal store of wealth and source of livelihoods for pastoralists in the arid and semi-arid lands (ASAL) of the Horn of Africa – face tremendous risk from frequent droughts. Livestock losses can be especially catastrophic due to the poverty that characterizes the system.
15. Ethiopia has the largest national livestock herd of any country in Africa with possibly up to 113 million head of cattle, sheep and goats and camels (2012 data). Livestock play a very important role in the mixed farming systems in the highlands and also form the central basis of the livelihoods of the 12 to 15 million pastoralists and agro-pastoralists (13%-16% of the total population) located in the semi-arid rangeland regions of the country. These pastoralists are very dependent on seasonal rainfall to provide adequate drinking water for their families and for their livestock and to ensure sufficient pasture and grazing for their animals. The pastoral regions are prone to severe and prolonged droughts every three to five years resulting in loss of grazing resources and widespread mortality of the pastoralists' herds, threatening their main source of consumption and income and savings (assets).
16. Studies conducted in Afar, Borena and Somali herds after the 2005-06 droughts estimated that in severe droughts 54%, 48% and 37% respectively of the animals die, with starvation being the major cause of loss. For small and vulnerable livestock owners drought can push them into poverty or even cause the complete decimation of their herds and loss of their traditional livelihoods and result in the ever increasing numbers of households (HHs) classified as "ex-pastoralists". The costs of droughts to the national economy are estimated at over US\$1.1 billion per year and over the past decade an average of nearly 6 million people have been affected by droughts each year with an average annual cost in emergency aid/humanitarian assistance of US\$ 509 million and as high as US\$ 1.1 billion in the very severe 2008 drought.
17. The WFP and Oxfam America (OA) have been implementing the R4 Rural Resilience Initiative program in Ethiopia since 2011. The objective of the program is to empower farmers and food insecure rural households with a set of integrated risk management tools, including Risk Transfer (e.g. drought insurance), Risk Reduction (e.g. physical, human and social assets for improved resource management), prudent Risk Taking (e.g. credit for productive investments) and Risk Reserves (e.g. savings). The R4 Initiative develops long-term resilience to the growing challenges of food insecurity and climate change by integrating with national social protection systems, such as Ethiopia's Productive Safety Net Programme (PSNP).
18. Inspired by the success of the R4 initiative, in 2014 WFP commissioned a feasibility study for livestock insurance in pastoral areas. Borena zone in Oromia region was selected as a case study because it is an important pastoral zone and also the location of Ethiopia's only livestock insurance program which is specifically targeted at pastoralists. The existing initiative is a satellite-based pasture-drought index insurance program, designed by the International Livestock Research Institute (ILRI) Ethiopia and Kenya. This product termed IBLI (Index-based Livestock Insurance) has been implemented on a pilot basis since 2012 by ILRI in conjunction with the Oromia Insurance Company (OIC).
19. Encouraged by the results of the Borena zone case study, WFP decided to design a Livestock Insurance Programme (the object of this evaluation) in the Somali Region. The geographic area has been selected since (a) it is an important livestock producing zone where the majority of rural households are pastoralists, (b) it is the centre of WFP's PSNP and relief assistance programme areas in Ethiopia, and (c) it offers potential linkages between PSNP and the proposed large-scale livestock insurance programme and also other government implemented livestock development programmes.

3.2. Subject of the evaluation

20. **Title:** Impact evaluation of the SIIPE pilot.

21. **Geographic scope of the evaluation subject:** Please refer to map in Annex 1. The Evaluation will be performed in Somali region of Ethiopia, where the intervention takes place.

22. **Relevant dates:**

The pilot phase of the project is expected to run for one year: from September 2017 to September 2018. The evaluation will cover the entire period of implementation of the pilot.

23. **Planned outputs:**

- An inception report, describing the full impact evaluation design, appropriate counterfactual, approaches and research and analytical methodology to conduct the study (including impact evaluation questions, sampling strategy, power calculations and key outcome indicators);
- A detailed timeline of activities;
- The data collection materials and protocols (e.g. survey instruments, questionnaires, enumerator training) used to conduct the data collection;
- A list of existing local partners;
- A short validation and baseline report that confirms the validity of the evaluation design, quality of data, and reports baseline findings and characteristics.
- A final, comprehensive impact evaluation report detailing the methods (chosen evaluation design and outcome indicators, any methodological limitations, sampling strategy, power calculations), analysis, findings, conclusions and recommendations, from the study;
- All raw quantitative and qualitative data documented safely in electronic form;
- The research agency will also facilitate a workshop for WFP and partner staff, to both communicate and validate the study's results.
- Two research articles
- A two-page brief of the main findings
- Two 10-slide powerpoint presentations, one detailing the methodology and one presenting the main findings.

24. **Key activities:**

Phase I: Preparatory work

This phase will include:

- Familiarization with project documents
- Interviews with key staff for preliminary orientation to the project/program
- Scoping field visit if necessary
- Submission of first draft of impact evaluation design and methodology against the final impact evaluation questions, identification of the counterfactual, key indicators, evaluation materials (sampling strategy, power calculations, data collection instruments), timeline, list of partners on the ground
- Finalization of research methodology, evaluation materials, timeline, contracts with partners on the ground

Phase 2: Fieldwork and Write up

This phase will include:

- Training of enumerators
- Baseline assessment
- Qualitative data collection through recall during focus groups

- Data analysis and report of preliminary findings
- Final report

Phase 3: Second round fieldwork and Write up

This phase will include:

- Creation of survey material
- Training of enumerators
- First round of impact assessment
- Data analysis
- Final report

25. Main partners: ILRI, Government bodies (Regional Bureau of Agriculture and Natural Resource Development, Ministry of Livestock and Fisheries, the Ministry of Agriculture, PSNP).

26. Resources: Budget allocated for the evaluation - USD 200,000.

27. A Theory of Change (TOC) and Logical framework (Logframe) for SIIPE is currently being developed and will be made available to the evaluation team during the inception phase.

4. Evaluation Approach

4.1. Scope

28. The evaluation will cover the first two years of implementation of the pilot, from September 2017 to September 2018. The impact evaluation is limited to the full set of activities of the SIIPE program.
29. The geographic area of the evaluation are the three Woredas of Kebridahar (Qabribayah), Adadle, and Westemey in the Somali Region of the People's Democratic Republic of Ethiopia.
30. The eligible households for this intervention are those who are PSNP beneficiaries and have five tropical livestock units (TLUs) or more. Due to budget constraints, the program will randomly select **5,000 SIIPE beneficiaries** among the eligible households in the woredas. Since the number of SIIPE-eligible households is much larger than that of beneficiaries, it will be possible to select a control or comparison group from the SIIPE eligible households that are not included in the program. The evaluation design and sampling strategy must carefully consider the number of individuals that are included in the comparison/control group and how these individuals are selected to avoid bias and power the study appropriately. It is expected that an experimental design is implemented, but quasi-experimental designs can also be considered.
31. The evaluation should start with an inception phase of 1-2 months to complete a full impact evaluation design (including the design of indicators and data collection instruments). The baseline data collection should be undertaken in September of 2017. The baseline data and analysis and report writing should conclude in November 2017. The endline data collection should take place between August and October 2018.
32. A qualified, independent, third-party agency will be contracted to develop the full evaluation design and undertake a data collection, analysis and write a comprehensive baseline and endline reports. It is expected that the following activities are conducted in the different phases of the evaluation:
 - a. During Inception, the evaluation team should:
 - i. confirm and define the evaluation questions and sub-questions.

- ii. develop and thoroughly document the evaluation design (including how methods are mixed or combined), a sampling strategy, power calculations, data collection tools and instruments, and code the units. The evaluation design should include an experimental or quasi-experimental component, and therefore the evaluation team should define an appropriate counterfactual and comparison/control groups.
 - iii. confirm which monitoring data is being collected by the WFP Ethiopia office to avoid duplication.
 - iv. submit a full evaluation matrix (that links methods and data collection strategy to each of the evaluation questions) to WFP as part of the inception report.
- b. During Baseline phase, the evaluation team should establish indicator baseline information and verify the targets established in the project as part of the baseline report.
33. The final product of the evaluation is a comprehensive end-line report, which should analyse the end-line data against the baseline and respond to the specified evaluation questions, using the methods identified during inception.

4.2. Evaluation Questions

The two international evaluation criteria applied for this pilot evaluation are effectiveness and impact, and the questions below address these two criteria specifically. As other studies have already been undertaken about livestock insurance (including a formative case study), this pilot evaluation does not consider the criteria on relevance or efficiency. Given this is a short-term pilot, sustainability of the intervention is not studied as part of this design.

34. The central questions of the evaluation are:

- a) What is the impact of SIIPE on the ability of pastoralists to keep their animals alive during a drought?
- b) What is the impact of SIIPE on improved food security for participating households during a drought?

35. It is understood that given the short timeframe for the implementation of the project and the functioning of the insurance mechanism, which triggers a payout only in the case of a drought, it is possible that the central evaluation questions about the direct impacts of the insurance product cannot be addressed comprehensively. For this reason, this document identifies a set of subquestions linked to indirect impacts in two main areas (knowledge and practice) that can contribute to understand the performance and the results of the pilot even in the absence of a major shock:

- c) Changes in knowledge and attitudes:
 - i. What are the impacts of SIIPE on financial literacy of the pastoralists?
 - ii. What is the impact of SIIPE on the likelihood of households seeking access to and/or use production-related information services?
- d) Changes in practice:
 - iii. What is the impact of SIIPE on:
 - 1. beneficiary households changing their productive decision (sell or buy more livestock, buy more vet services, etc.) due to SIIPE reducing income fluctuations?
 - 2. food consumption scores?
 - 3. beneficiary households accessing a wider range of financial services (micro credit, savings)?

4. beneficiaries diversifying their income generating activities due to increased financial stability?

36. Other corollary questions

- c. What are the differential impacts of the programme on women, men, girls and boys?
- d. What internal and/or external factors affected the project's achievement of intended results?
- e. What is the cost-effectiveness of the project?

37. The evaluation team will further develop the key questions during the inception phase, and agree with WFP on the final evaluation questions that are implemented (while maintaining rigour of the impact evaluation design). Collectively, the questions aim at highlighting the key lessons and performance of the SIIPE, which could inform future strategic and operational decisions.

4.3. Data Availability

38. The evaluation team is responsible for collecting all data necessary for the impact evaluation analysis.
39. Standard corporate indicators routinely collected by WFP Ethiopia will be made available to the evaluation team, but these should not be considered the main source of information on the results of the programme. The data will be made available to the evaluation team for the endline assessment, and the team should clarify during inception which indicators are measured by the WFP Ethiopia Office to avoid duplication.
40. The evaluation team should gather data from insurance companies and government institutions, like the Somali Regional Bureau of Agriculture and Natural Resource Development (BoANR). The availability and quality of such data cannot be assured by WFP. The team is expected to formulate a strategy to collect such information and check its reliability. The strategy has to be documented for future reference.
41. Concerning the quality of data and information, the evaluation team should systematically check accuracy, consistency and validity of collected data and information and acknowledge any limitations/caveats in drawing conclusions using the data.
42. WFP will be the sole proprietor of all data produced by the evaluation, but use of the data for research purposes by the evaluation team could be agreed on a case by case basis.

4.4. Methodology

43. The full methodology will be confirmed and refined by the evaluation team during the inception phase. It should:
 - Identify one sample treatment group and one control group among PSNP beneficiaries with 5 or more tropical livestock units (TLUs).
 - Rely on panel household survey data collected before (baseline) and during the introduction of SIIPE (endline for the impact evaluation) for all the two groups.
 - Be appropriately powered to detect the impact of SIIPE.
 - This panel household survey will be designed to occur during the same season every year, and to incorporate a range of well-being and behavioral change indicators.
 - Monitoring changes in the magnitude of key variables alongside purchase of SIIPE will allow the Evaluation Firm the ability to attribute purchase of the SIIPE product to observable impact.

- Variables of interest include, but are not limited to, income, asset accumulation/holding, education, and nutrition status.
- Use mixed methods in the evaluation design and data collection (including quantitative and qualitative) to ensure a comprehensive design, and the reasons for the changes in indicators can be explained. This can include triangulation of information through a variety of means, or different evaluation questions being answered through different methods and types of data. The use of mixed methods should be documented in the inception report.
- WFP anticipates that the consultants will recommend a methodology and will likely include carrying out key informant interviews and focus group discussions. The qualitative data collection will gather information on gender equality, capacity of cooperatives and changes in the institutional context.
- Ensure the evaluation design takes account of how the outcomes for women, girls, men and boys from different stakeholders groups are heard and documented;
- Ensure the methodology and evaluation implementation are ethical and conform to the UNEG Ethical Guidelines for Evaluation.

44. The following mechanisms for independence and impartiality will be employed:

- f. An Evaluation Reference Group (ERG) will be set up to steer the evaluation, comment on all evaluation deliverables and exercise oversight over the methodology.
- g. All tools and products from the Evaluation Firm will be externally and independently quality assured (both by the ERG as well as the Decentralized Evaluations Quality Support Service).
- h. The evaluation firm will partner with a strong academic partner.
- i. The Evaluation Firm will be asked to set out how ethics can be ensured at all stages of the evaluation (design, implementation and dissemination) and that they seek appropriate ethical clearances (institutional and local) for the design ahead of going to the field.

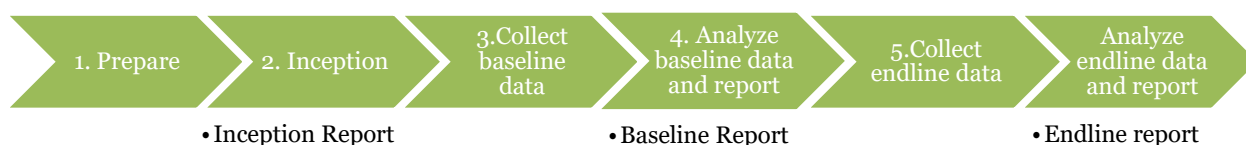
4.5. Quality Assurance and Quality Assessment

45. WFP's Decentralized Evaluation Quality Assurance System (DEQAS) defines the quality standards expected from this evaluation and sets out processes with in-built steps for Quality Assurance, Templates for evaluation products and Checklists for their review. DEQAS is closely aligned to the WFP's evaluation quality assurance system (EQAS) and is based on the UNEG norms and standards and good practice of the international evaluation community and aims to ensure that the evaluation process and products conform to best practice.
46. DEQAS will be systematically applied to this evaluation. The WFP Evaluation Manager will be responsible for ensuring that the evaluation progresses as per the [DEQAS Process Guide](#) and for conducting a rigorous quality control of the evaluation products ahead of their finalization.
47. WFP has developed a set of [Quality Assurance Checklists](#) for its decentralized evaluations. This includes Checklists for feedback on quality for each of the evaluation products. The relevant Checklist will be applied at each stage, to ensure the quality of the evaluation process and outputs.
48. To enhance the quality and credibility of this evaluation, an outsourced quality support (QS) service directly managed by WFP's Office of Evaluation in Headquarter provides review of the draft inception and evaluation report (in addition to the same provided on draft TOR), and provide:
 - a. systematic feedback from an evaluation perspective, on the quality of the draft inception and evaluation report;
 - b. recommendations on how to improve the quality of the final inception/evaluation report.

49. The evaluation manager will review the feedback and recommendations from QS and share with the team leader, who is expected to use them to finalise the inception/ evaluation report. To ensure transparency and credibility of the process in line with the [UNEG norms and standards](#)^[1], a rationale should be provided for any recommendations that the team does not take into account when finalising the report.
50. This quality assurance process as outline above does not interfere with the views and independence of the evaluation team, but ensures the report provides the necessary evidence in a clear and convincing way and draws its conclusions on that basis.
51. The evaluation team will be required to ensure the quality of data (validity, consistency and accuracy) throughout the analytical and reporting phases. The evaluation team should be assured of the accessibility of all relevant documentation within the provisions of the directive on disclosure of information. This is available in [WFP’s Directive CP2010/001](#) on Information Disclosure.
52. All final evaluation reports will be subjected to a post hoc quality assessment by an independent entity through a process that is managed by OEV. The overall rating category of the reports will be made public alongside the evaluation reports.

5. Phases and Deliverables

Figure 1: Summary Process Map



53. The evaluation will proceed through the following phases. The deliverables and deadlines for each phase are as follows:

1. Preparation phase (July 2017): The evaluation manager will conduct background research and consultation to design the evaluation; prepare the TOR; select and contract the evaluation team for the management and conduct of the evaluation.
2. Inception phase (July - August 2017): This phase aims to prepare the evaluation team by ensuring that it has a good grasp of the expectations for the impact evaluation and a clear design for conducting it. The inception phase will include a desk review of secondary data and initial interaction with the main stakeholders.

^[1] [UNEG](#) Norm #7 states “that transparency is an essential element that establishes trust and builds confidence, enhances stakeholder ownership and increases public accountability”

3. Baseline data collection phase (September – October 2017): The fieldwork will span over a period of two months and will include visits to project sites and primary data collection with household surveys. A debriefing session will be held upon completion of the field work.
4. Analyze field data and reporting phase (October – December 2017): The evaluation team will clean and analyse the data collected during the field work and draft the baseline report. The draft baseline report will be submitted to the evaluation manager for quality assurance. Stakeholders will be invited to provide comments, which will be recorded in a matrix by the evaluation manager and provided to the evaluation team for their consideration before report finalisation.
5. Endline data collection phase (August-September 2018): a second round of household surveys will be conducted one year after the beginning of the intervention, using the same methodology used in the baseline phase.
6. Analyze field data and reporting phase (October – December 2018): the evaluation team will analyse the endline data and compare it both between treatment and control group and before-after the intervention in order to gauge changes in key indicators.
7. Follow-up and dissemination phase (January 2019): the final evaluation report will be disseminated and shared with the relevant stakeholders. Specifically a dissemination meeting with key stakeholders will be held where the baseline team will present the findings.

Table 2 gives details of timing each of the phases.

Table 2 – Timeline and deliverables

Phase	Actions	Deliverable	Timeline	Responsibility
Prepare	Draft terms of reference Finalize provisions for impartiality and independence Quality assure, consult and finalise the TOR Select evaluation team and finalize budget Prepare document library Develop communication and learning plan	Terms of Reference	June - July 2017	WFP Ethiopia CO and RBN, Office of Evaluation
Inception	Conduct team orientation	Inception Report	July - August 2017	Evaluation Manager, Regional

	<p>Conduct inception meetings</p> <p>Prepare draft inception report</p> <p>Prepare data collection tool (survey)</p> <p>Quality assure inception report</p> <p>Circulating and finalising the inception report</p>			<p>Evaluation Officer, Evaluation Reference Group Decentralized Evaluation Quality Support Service and Evaluation Team</p>
Collect baseline data	<p>Prepare evaluation field work</p> <p>Conduct fieldwork and preliminary analysis</p> <p>Present end of field work debriefing</p>		September-October 2017	Evaluation Team
Analyze field data and report	<p>Draft baseline report</p> <p>Quality assure draft baseline report</p> <p>Circulate report for comments</p> <p>Finalize the baseline report</p> <p>Submit and get approval for baseline report</p>	Baseline report	October – December 2017	<p>Evaluation Manager, Regional Evaluation Officer, Evaluation Reference Group, Decentralized Evaluation Quality Support Service and Evaluation Team</p>
Collect endline data	<p>Prepare evaluation field work</p> <p>Conduct fieldwork and preliminary analysis</p> <p>Present end of field work debriefing</p>		September 2018	Evaluation Team

Analyze field data and report	Draft endline report Quality assure draft endline report Circulate report for comments Finalize the endline report Submit and get approval for endline report	Endline report	October – December 2018	Evaluation Manager, Regional Evaluation Officer, Evaluation Reference Group, Decentralized Evaluation Quality Support Service and Evaluation Team
Dissemination	Prepare a brief Prepare a powerpoint presentation	Brief, powerpoint presentation	January 2019	Evaluation manager, Regional Evaluation Officer, Regional Knowledge Manager Officer, Evaluation team.

6. Organization of the Evaluation

6.1. Evaluation Conduct

54. The evaluation team will conduct the evaluation under the direction of its team leader and in close communication with the WFP evaluation manager. The team will be hired following agreement with WFP on its composition.
55. The evaluation team will act impartially and respect the [code of conduct of the evaluation profession](#).

6.2. Team composition and competencies

56. The core evaluation team is expected to include a minimum of 3 members, including the team leader and a mix of national and international evaluators. To the extent possible, the evaluation will be conducted by a gender-balanced, geographically and culturally diverse team with appropriate skills to assess gender dimensions of the subject as specified in the scope, approach and methodology sections of the ToR.
57. The team will be multi-disciplinary and include members who together include an appropriate balance of expertise and practical knowledge in the following areas:
- Index-based insurance
 - Impact evaluations with a experimental and quasi-experimental designs
 - Power calculations

- Livestock production
 - Household surveys
 - Gender expertise / good knowledge of gender issues
 - All team members should have strong analytical and communication skills, evaluation experience and familiarity with the country and region.
 - Team should have good knowledge of English. At least some of the team members must be fluent in Somali. The expected language of the evaluation report is English.
58. The Team leader will have technical expertise in livestock insurance as well as expertise in designing methodology and data collection tools and demonstrated experience in leading similar evaluations. She/he will also have leadership, analytical and communication skills, including a track record of excellent English writing and presentation skills.
59. Her/his primary responsibilities will be: i) defining the evaluation approach and methodology; ii) guiding and managing the team; iii) leading the evaluation mission and representing the evaluation team; iv) drafting and revising, as required, the inception report, the end of field work (i.e. exit) debriefing presentation and evaluation report in line with DEQAS.
60. The team members will bring together a complementary combination of the technical expertise required and have a track record of written work on similar assignments.
61. Team members will: i) contribute to the methodology in their area of expertise based on a document review; ii) conduct field work; iii) participate in team meetings and meetings with stakeholders; iv) contribute to the drafting and revision of the evaluation products in their technical area(s).

6.3. Security Considerations

62. **Security clearance** where required is to be obtained from WFP Ethiopia Country Office:

- As an ‘independent supplier’ of evaluation services to WFP, the evaluation company is responsible for ensuring the security of all persons contracted, including adequate arrangements for evacuation for medical or situational reasons. The consultants contracted by the evaluation company do not fall under the UN Department of Safety & Security (UNDSS) system for UN personnel.
 - Consultants hired independently are covered by the UN Department of Safety & Security (UNDSS) system for UN personnel which cover WFP staff and consultants contracted directly by WFP. Independent consultants must obtain UNDSS security clearance for travelling to be obtained from designated duty station and complete the UN system’s Basic and Advance Security in the Field courses in advance, print out their certificates and take them with them.²
63. However, to avoid any security incidents, the Evaluation Manager is requested to ensure that:
- The WFP CO registers the team members with the Security Officer on arrival in country and arranges a security briefing for them to gain an understanding of the security situation on the ground.
 - The team members observe applicable UN security rules and regulations – e.g. curfews etc.

² Field Courses: [Basic](#); [Advanced](#)

7. Roles and Responsibilities of Stakeholders

64. The WFP Ethiopia Country Office:

- a- The WFP Ethiopia CO **Management (Director or Deputy Director)** will take responsibility to:
- Assign an Evaluation Manager for the evaluation.
 - Compose the internal evaluation committee and the evaluation reference group (see below).
 - Approve the final Tor, inception and evaluation reports.
 - Ensure the independence and impartiality of the evaluation at all stages, including establishment of an Evaluation Committee and of a Reference Group (see below and [TN on Independence and Impartiality](#)).
 - Participate in discussions with the evaluation team on the evaluation design and the evaluation subject, its performance and results with the Evaluation Manager and the evaluation team
 - Organise and participate in two separate debriefings, one internal and one with external stakeholders
 - Oversee dissemination and follow-up processes, including the preparation of a Management Response to the evaluation recommendations
- b- The **Evaluation Manager**:
- Manages the evaluation process through all phases including drafting this TOR
 - Ensures quality assurance mechanisms are operational
 - Consolidates and shares comments on draft TOR, inception and evaluation reports with the evaluation team
 - Ensures expected use of quality assurance mechanisms (checklists, quality support
 - Ensures that the team has access to all documentation and information necessary to the evaluation; facilitates the team's contacts with local stakeholders; sets up meetings, field visits; provides logistic support during the fieldwork; and arranges for interpretation, if required.
 - Organises security briefings for the evaluation team and provides any materials as required
- c- An internal **Evaluation Committee** will be formed as part of ensuring the independence and impartiality of the evaluation. The Evaluation Committee will include the following key internal stakeholders:
- Country Director or delegated to the Deputy Country Director (Chair)
 - Evaluation Manager (Secretary)
 - SIPE programme officer
 - Head of Programme

The terms of reference of the internal evaluation committee are included in annex 3.

65. An **Evaluation Reference Group** will be formed, as appropriate, with representation from:

- j. Country Director or delegated to the Deputy Country Director (Chair)
- k. Evaluation manager (Secretary)
- l. SIPE programme officer
- m. Head of Programme
- n. Impact Evaluation Specialist (OEV)
- o. Focal person at Ministry of Fisheries and Livestock

The ERG members will review and comment on the draft evaluation products and act as key informants in order to further safeguard against bias and influence. The terms of reference of the ERG are presented in annex 4.

66. **The Regional Bureau** will take responsibility to:

- Advise the Evaluation Manager and provide support to the evaluation process where appropriate.
- Participate in discussions with the evaluation team on the evaluation design and on the evaluation subject as relevant, as required.
- Provide comments on the draft TOR, Inception and Evaluation reports
- Support the Management Response to the evaluation and track the implementation of the recommendations.

While Roberto Borlini, the Regional Evaluation Officer, will perform most of the above responsibilities, other RB relevant technical staff may participate in the evaluation reference group and/or comment on evaluation products as appropriate.

67. **Relevant WFP Headquarters divisions** will take responsibility to:

- Discuss WFP strategies, policies or systems in their area of responsibility and subject of evaluation.
- Comment on the evaluation TOR, inception and evaluation reports, as required.

68. **The Office of Evaluation (OEV)**. OEV, through the Regional Evaluation Officer, will advise the Evaluation Manager and provide support to the evaluation process when required. It is responsible for providing access to the outsourced quality support service reviewing draft ToR, inception and evaluation reports from an evaluation perspective. It also ensures a help desk function upon request.

69. **Ministry of Livestock and Fishery** – the ministry has assigned a focal person for the SIIPE programme to support its development and act as a liaison to WFP. They will be included in the Evaluation Reference Group.

8. Communication and budget

8.1. Communication

70. To ensure a smooth and efficient process and enhance the learning from this evaluation, the evaluation team should place emphasis on transparent and open communication with key stakeholders. This will be achieved by ensuring a clear agreement on channels and frequency of communication with and between key stakeholders. The evaluation manager will circulate all evaluation products for comments by the Evaluation Reference Group members. The evaluation manager will also circulate draft inception report, draft baseline report and draft endline report will also be circulated for comments by relevant units at CO and RB.

71. As part of the international standards for evaluation, WFP requires that all evaluations are made publicly available. Following the approval of the final evaluation report, the report will be published on WFP's website.

72. The evaluation team will produce two 2-pages evaluation briefs containing key messages, main findings, conclusions, implications or recommendations. The brief will be distributed to a wider internal and external audience using the available corporate channels.

73. After the baseline exercise, the evaluation team will also produce a 10-slide powerpoint presentation describing the methodology adopted. After the endline evaluation, the evaluation team will produce a 10-slide powerpoint presentation with the main findings.

74. The evaluation team will share with WFP all the pictures and videos eventually taken during the baseline and endline exercises.
75. WFP reserves the right to engage with the evaluation team to participate in conferences and other events to present the results of the evaluation. Such engagements will be agreed on *ad hoc* basis and are subject to budget availability.
76. WFP will organize a learning workshop after the approval of the endline report to ensure wide dissemination of the results to all the stakeholders of the project.
77. The evaluation team will create a shared folder where all photos and videos taken during field visits will be uploaded.

8.2. Budget

78. For the purpose of this evaluation:
 - The full budget for the impact evaluation is USD 220,000 – released in tranches against specific key deliverables.
 - The budget is inclusive of all travel, subsistence and other expenses; including any workshops or communication products that need to be delivered.

Please send any queries to Roberto Borlini, Regional Evaluation Officer, at roberto.borlini@wfp.org - +254 (0)20 7622897

Annex 1 Map



Annex 2 Evaluation Schedule

	Phases, Deliverables and Timeline	Key Dates
Phase 1 - Preparation		
	Draft of TOR	June 2
	Sharing of draft ToR with outsourced quality support service (DE QS)	12 June
	Review draft ToR based on DE QS feedback	15 June
	Circulation of TOR for review and comments to ERG, RB and OEV	23 June
	Review draft ToR based on comments received	30 June
	Submits the final TOR to the internal evaluation committee for approval	3 July
	Sharing final TOR with key stakeholders	5 July
	Selection and recruitment of evaluation team	30 July
Phase 2 - Inception		
	Briefing core team	1 August
	Submission of draft inception report (IR) to EM	8 August
	Sharing of draft IR with outsourced quality support service (DE QS) and quality assurance of draft IR by EM using the QC	15 August
	Revise draft IR based on feedback received by DE QS and EM	20 August
	Submission of revised IR based on DE QS and EM QA	21 August
	Circulate draft IR for review and comments to ERG, CO and RB	1 September
	Revise draft IR based on stakeholder comments received	2 September
	Submits the final IR to the internal evaluation committee for approval	3 September
	Sharing of final inception report with key stakeholders for information	3 September
Phase 3 – Baseline data collection		
	Data collection	2 October
	In-country Debriefing (s)	3 October
Phase 4 - Analyze data and report		
	Draft baseline evaluation report	21 October
	Sharing of draft ER with outsourced quality support service (DE QS) and quality assurance of draft ER by EM using the QC	28 October
	Revise draft ER based on feedback received by DE QS and EM	5 November
	Circulate draft ER for review and comments to ERG,RB and other stakeholders (list key stakeholders)	20 November
	Revise draft ER based on stakeholder comments received	1 December
	Submission of final revised baseline ER	2 December
	Submits the final baseline ER to the internal evaluation committee for approval	2 December
	Sharing of final baseline evaluation report with key stakeholders for information	5 December
Phase 5 – Endline data collection		
	Data collection	2 October 2018
	In-country Debriefing (s)	3 October 2018
Phase 4 - Analyze data and report		
	Draft endline evaluation report	21 October 2018
	Sharing of draft ER with outsourced quality support service (DE QS) and quality assurance of draft ER by EM using the QC	28 October 2018
	Revise draft ER based on feedback received by DE QS and EM	5 November 2018

	Circulate draft ER for review and comments to ERG, RB and other stakeholders (list key stakeholders)	20 November 2018
	Revise draft ER based on stakeholder comments received	1 December 2018
	Submission of final revised ER	2 December 2018
	Submits the final ER to the internal evaluation committee for approval	2 December 2018
	Sharing of final endline evaluation report with key stakeholders for information	5 December 2018
Phase 5 Dissemination and follow-up		
	Prepare management response	15 January 2019
	Share final evaluation report and management response with OEV for publication	22 January 2019

Annex 3 Membership of the Evaluation Committee

Context: SIPE is a pilot initiative that tests an innovative climate risk management approach which includes a weather-index microinsurance product combined with disaster risk reduction (DRR) interventions with the aim of protecting pastoralists in Somali region from climate shocks. The pilot phase of the project is expected to run for two years: from September 2017 to September 2019. It is intended that the evaluation would be undertaken during this time period.

Purpose: The overall purpose of the evaluation committee is to ensure a credible, transparent, and quality evaluation process in accordance with WFP Evaluation Policy 2016-2021. It will achieve this by supporting the evaluation manager through the process, reviewing evaluation deliverables (TOR, inception report and evaluation report) and submitting them for approval by the DCD who will be the chair of the committee.

The composition of the evaluation committee:

- Chair CD /DCD
- Evaluation Manager
- Head of Programme
- SIPE programme officer

Responsibilities of the Evaluation Committee: the EC is responsible for approving the TOR, inception report, baseline and endline report of the evaluation

Input by Phase and Estimated time per EC member (excluding the EM) – (1/2 day - end of June)

Phase 1: Planning

- Nominates an evaluation manager.
- Decides the evaluation budget.
- Decides the contracting method, well in advance to enable the evaluation manager to plan for the next phase of the evaluation.

Phase 2: Preparation (1/2 to 1 day - end of July)

- Reviews the TOR on the basis of:
 - o The external Quality Support advisory service feedback
 - o ERG comments
 - o The EM responses documented in the comments matrix
- Approves the final TOR.

Phase 3: Inception (2 days - August)

- Briefs the evaluation team including an overview of the subject of the evaluation.
- Informs the design of the evaluation during the inception phase as key stakeholders of the evaluation.
- Supports the identification of appropriate field visit sites on the basis of selection criteria identified by the evaluation team noting that the EC should not influence which sites are selected.
- Reviews the draft IR on the basis of:
 - The external Quality Support advisory service feedback

Phase 4: Data Collection and Analysis (2 days - September 2017)

- Are key informants during the data collection
- Act as sources of contextual information and facilitating data access as per the needs of the evaluation.
- Attend the validation/debriefing meeting, and support the team in clarifying/validating any emerging issues and identifying how to fill any data/information gaps that the team may be having at this stage.
- Facilitate access to stakeholders and information as appropriate
- Attend debriefing meeting with Evaluation Team.

Phase 5: Report (2 days – November 2019)

- Review the draft ER on the basis of :
 - The external Quality Support advisory service feedback
 - ERG comments
 - The Evaluation team responses documented in the comments matrix
- Approve the final ER.

Phase 6: Disseminate and Follow-up Phase (1 day)

- Facilitate preparation of the management response to the evaluation recommendations
- Approve the Management Response
- Disseminate evaluation results
- Make the report publicly available
- Is finally responsible to ensure periodic follow up and updating of the status of the implementation of the recommendations.

Procedures of Engagement

- The country director will appoint members of the evaluation committee
- The Evaluation manager will notify the members of the time, location and agenda of meetings at least one week before the meeting, and share any background materials for preparation.
- Approval can be made via email on the basis of submission to the EC chair after endorsement by all EC members
- EC meetings will be held face-to face and/or via electronic conference call/Skype and/or email depending on the need, the agenda and the context

Annex 4 Membership of the Evaluation Reference Group

Context: SIPE is a pilot initiative that tests an innovative climate risk management approach which includes a weather-index microinsurance product combined with disaster risk reduction (DRR) interventions with the aim of protecting pastoralists in Somali region from climate shocks. The pilot phase of the project is expected to run for two years: from September 2017 to September 2019. It is intended that the evaluation would be undertaken during this time period.

Purpose: The overall purpose of the ERG is to support a credible, transparent, impartial and quality evaluation process in accordance with WFP Evaluation Policy 2016-2021. ERG members review and comment on evaluation TOR and deliverables. The ERG members act as experts in an advisory capacity, without management responsibilities. Responsibility for approval of evaluation products rests with the Country Director/Deputy Country Director as Chair of the Evaluation Committee.

Composition of ERG:

Samir Wanmali - Deputy Country Director (Chair)
 Roberto Borlini - Evaluation Manager (Secretary)
 Sibi Lawson-Marriot – Head of Programme
 Anna Hentinnen – OEV impact evaluation expert
 Azzurra Massimino- HQ technical expert
 Focal person at the Ministry of Fisheries and Livestock

Tasks: the ERG will review the evaluation products and provide comments to the evaluation team

Time commitment-:

ERG members responsibilities by Evaluation Phase	Estimated time required	Approximate dates
Phase 2: Preparation <ul style="list-style-type: none"> Review ToR and provide feedback ensuring that the ToR will lead to a useful evaluation output and provide any additional key background information to inform the finalization of the TOR. Identify source documents useful to the evaluation team. Attend ERG meeting/conference call etc. 	1 day	End of June 2017
Phase 3: Inception <ul style="list-style-type: none"> Meet with evaluation team (together and/or individual members) The ERG is a source of information for the evaluation, providing guidance on how the evaluation team can design a realistic/practical, relevant and useful evaluation. Assist in identifying and contacting key stakeholders to be interviewed, identifying and accessing key documentation and data sources, and identifying appropriate field sites. This 	1 day	July 2017

<p>is important in their role of safeguarding against bias.</p> <ul style="list-style-type: none"> Review and comment on the draft Inception Report (see inception report Template, Quality Checklist, and Comments Matrix). 		
<p>Phase 4: Data collection and analysis</p> <ul style="list-style-type: none"> Act as key informant during the data collection stage. Assist the evaluation team by providing sources of information and facilitating data access. Attend the validation /debriefing meeting conducted by the evaluation team at the end of the fieldwork. 	1.5 days	September 2017
<p>Phase 5: Report</p> <ul style="list-style-type: none"> Review and comment on the draft evaluation report (see evaluation report Template, Quality Checklist, and Comments Matrix), specifically focusing on accuracy and on quality and comprehensiveness of evidence base against which the findings are presented, and conclusions and recommendations are made. Particular attention should be given to ensuring that the recommendations are relevant, targeted, realistic and actionable. The ERG must respect the decision of the independent evaluators regarding the extent of incorporation of feedback provided to them by the ERG and other stakeholders, as long as there is sufficient transparency in how they have addressed the feedback, including clear rationale for any feedback that has not been accepted. 	2+2 days	October 2017 (baseline) and November 2018 (endline)
<p>Phase 6: Disseminate and Follow-up</p> <ul style="list-style-type: none"> Disseminate final report internally and on websites of ERG members as relevant; Share as relevant evaluation findings within respective units, organizations, networks and at key events; Provide input to management response and its implementation (as appropriate). 	2 days	January 2019

Procedures of Engagement:

- The Evaluation manager will notify the ERG members the time, location and agenda of meeting at least one week before the meeting, and share any background materials for preparation

- ERG meetings will be held via electronic conference call/Skype.
- The ERG will meet at least once per quarter;
- ERG members, representing their organizations will also be interviewed by the evaluation team during the inception and data collection phases. This will be indicated in the evaluation schedule, and ideally confirmed prior to the commencement of the data collection phase
- For each of the key evaluation products (Terms of Reference, Inception Report, Evaluation Report), the ERG members will provide feedback electronically to the Evaluation Manager. For the Inception Report and Evaluation Report the Evaluation Manager will consolidate all feedback for forwarding to the Evaluation Team and will ensure that these have been appropriately responded to by incorporating them in the reports or providing rationale where feedback is not incorporated.

Annex 5 Acronyms

ASAL - arid and semi-arid lands

BoANR - Somali Regional Bureau of Agriculture and Natural Resource Development

CO – Country Office

DEQAS - Decentralized Evaluation Quality Assurance System

DRR – Disaster risk reduction

EB – Executive Board

EC – Evaluation Committee

ERG - Evaluation Reference Group

ETHCO - WFP Ethiopia Country Office

GEEW - gender equality and women’s empowerment

HH - household

HQ – headquarters

IBLI - Index-based Livestock Insurance

IfA - Insurance for Assets

ILRI - International Livestock Research Institute

NDVI - Normalised Difference Vegetative Index

NGO – Non Governmental Organization

OA - Oxfam America

OEV – Office of Evaluation

OIC - Oromia Insurance Company

PSNP - Productive Safety Net Program

QS – Quality Support

RB – Regional Bureau

SIPE - Satellite Index Insurance for Pastoralists in Ethiopia

TLU - Tropical Livestock Units

TOC - Theory of Change

TOR – Terms of Reference

UNCT – United Nations Country Team

UNDSS - UN Department of Safety & Security

UNEG – United Nations Evaluation Group

WFP – World Food Programme