



Ministry of Foreign Affairs

Terms of Reference for the Policy Evaluation:

## The Dutch Food Security Policy 2012-2015

Dutch Ministry of Foreign Affairs  
Policy and operations evaluation department (IOB)

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## 1 Introduction

The Dutch government has chosen food security as one of its four priorities ('spearheads') of its development cooperation policy for 2012-2015. The food security policy letter of 24 October 2011, elaborated jointly by the Ministry of Foreign Affairs and the Ministry of Economic Affairs, Agriculture and Innovation, formulates four main objectives ('pillars'): (1) increased sustainable agricultural production, (2) access to better nutrition, (3) more efficient markets, and (4) a better business climate. The policy letter indicated that the total annual direct expenditure on food security is expected to rise from €160 million in 2011 to €435 million in 2015.

The Policy and Operations Evaluation Department (IOB), under the Ministry of Foreign Affairs, has programmed the review of the Dutch food security policy in 2015, with impact evaluations to be carried out between 2013/4 (baseline studies) and 2015/6 (impact studies).

## 2 Background

### 2.1 Urgency of food security

Food security exists '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 live' (World Food Summit, Rome 1996). In spite of economic growth and increased prosperity in large parts of the world, many people are still not food secure. The FAO reports in its 'The State of food insecurity in the world' of 2012, that after a period of steady decline, the number of malnourished people is stagnating since 2007 at 850 million, or 15% of the population in the developing world. The population eating insufficient food of good nutritional quality (micro nutrients) is even larger: about 2 billion people worldwide.

### 2.2 Dutch government regained interest in food security

After a period of declining investments in agriculture by donor agencies and by developing countries' governments between the late 1980s and 2007/2008 (OECD-DAC, 2010), there has been a renewed interest in investments in agriculture and food security<sup>1</sup>. Governments and multilateral organisations put more emphasis on food security. There is recognition that national economic growth is often insufficient to reach the poorer households, and that calories need to be accompanied by micro nutrients, safe drinking water and health care to result in a good nutritional status. In the long term, food production needs to increase by 70% to feed the expected 9 billion people by 2050. Besides, agriculture is recognised as the engine of economic development in developing and transition countries (World Bank 2008). International organisations that play an important role in the renewed attention for food security are the Rome institutions (FAO, WFP and IFAD), the United Nations High Level Tasks Force on the Global Food Security Crisis, the G20 (who initiated the Aquila Food Security Initiative, ratified by the Netherlands), and the World Bank.

The Dutch government aims at contributing to improved food security through bilateral cooperation and through multilateral organisations. To support food production on the one hand, the government has chosen for a stronger focus on bilateral cooperation through the Dutch embassies in the 15 partner countries, and on intensive collaboration between public and private actors. The

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<sup>1</sup> While in the 1990s Dutch ODA budgets for agriculture declined, the Dutch Ministry of Agriculture maintained agriculture on the international agenda.

Dutch government encourages strategic use of Dutch knowledge and expertise, especially in the priority areas of the government's economic policy (top sectors) including agro-food, life sciences, water, horticulture and improved genetic material, which can all contribute to increased production. To support social safety nets and emergency aid on the other hand, the government will work through multilateral organisations.

### 2.3 The Dutch policy on food security

The Food Security Policy Letter of October 2011<sup>2</sup> describes the Dutch food security policy and programme between 2011 and 2015 and is the basis for this policy evaluation. Three policy documents in the period 2008-2011 gradually prepared this food security policy: 'Agriculture, Rural economic development, and food security', May 2008<sup>3</sup>; 'Outline development cooperation policy', November 2010<sup>4</sup>; and 'Spearheads of development policy', May 2011<sup>5</sup>. They describe the concentration of Dutch bilateral aid in fewer countries, the specialisation in fewer themes - including food security - and the greater focus on public-private partnerships involving Dutch knowledge and expertise. Besides, two policy letters were written that have an overlap with the food security objective: 'Development by sustainable entrepreneurship', November 2011<sup>6</sup> and 'Water for Development', January 2012<sup>7</sup>.

The food security policy letter will not be taken as the only policy framework to evaluate against. At the level of partner countries, the Dutch embassies have developed 'Multi-Annual Strategic Plans' (MASP) for the period 2012-2015. These plans reflect the country specific context in terms of food insecurity, policies and programmes by the national government and other donors, and the opportunities and added value of a Dutch food security programme. Coherence of Dutch-funded interventions within one partner country will be assured by the embassy and presented in the MASP. Therefore, these MASPs will be considered as part of the Dutch food security policy when evaluating the results at country level<sup>8</sup>.

#### ***Elaboration food security policy, October 2011***

In October 2011, the Ministry of Foreign Affairs and the Ministry of Economic Affairs, Agriculture and Innovation jointly wrote a more elaborated policy letter on food security. The FS policy is constructed on four pillars:

- (1) Increased sustainable agricultural production,
- (2) Access to better nutrition,
- (3) More efficient markets,
- (4) A better business climate.

While emergency aid and direct poverty reduction is channelled through multilateral organisations, longer-term productive and economic interventions are channelled preferably through bilateral cooperation. The focus is on public-private collaboration and the use of Dutch knowledge and expertise (value chains, agro-logistics, and financial services), especially in the Dutch priority 'top sectors'. The policy promotes self-reliance through economic development and distribution of food and income, while avoiding negative impacts on water and environment.

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<sup>2</sup> Uitwerking voedselzekerheidsbeleid, oktober 2011

<sup>3</sup> Landbouwnotitie 'Landbouw, rurale bedrijvigheid en voedselzekerheid in ontwikkelingslanden', mei 2008

<sup>4</sup> BZ Basisbrief Ontwikkelings-samenwerking, november 2010

<sup>5</sup> Focus brief, mei 2011

<sup>6</sup> Ontwikkeling door duurzaam ondernemen, november 2011

<sup>7</sup> Water voor ontwikkeling, januari 2012

<sup>8</sup> One of the lessons from the IOB Balkan evaluation was not base the policy reconstruction exclusively on the policy letter written in The Hague

This policy aims utilising a market driven approach with a focus on innovation, and lobbying for national policies to create a favourable business climate as precondition. There should be a synergy between the bilateral and multilateral channels, and between central and delegated programmes. Contributions to multilateral institutions will be replaced by thematic programme financing, which should act as leverage for Dutch knowledge and companies to get more involved.

The broader foreign policy aims at combining development objectives with international positioning of Dutch companies and institutions. A small budget of the Ministry of Economic Affairs, Agriculture and Innovation is spent on agricultural research and agricultural PPP in developing countries.

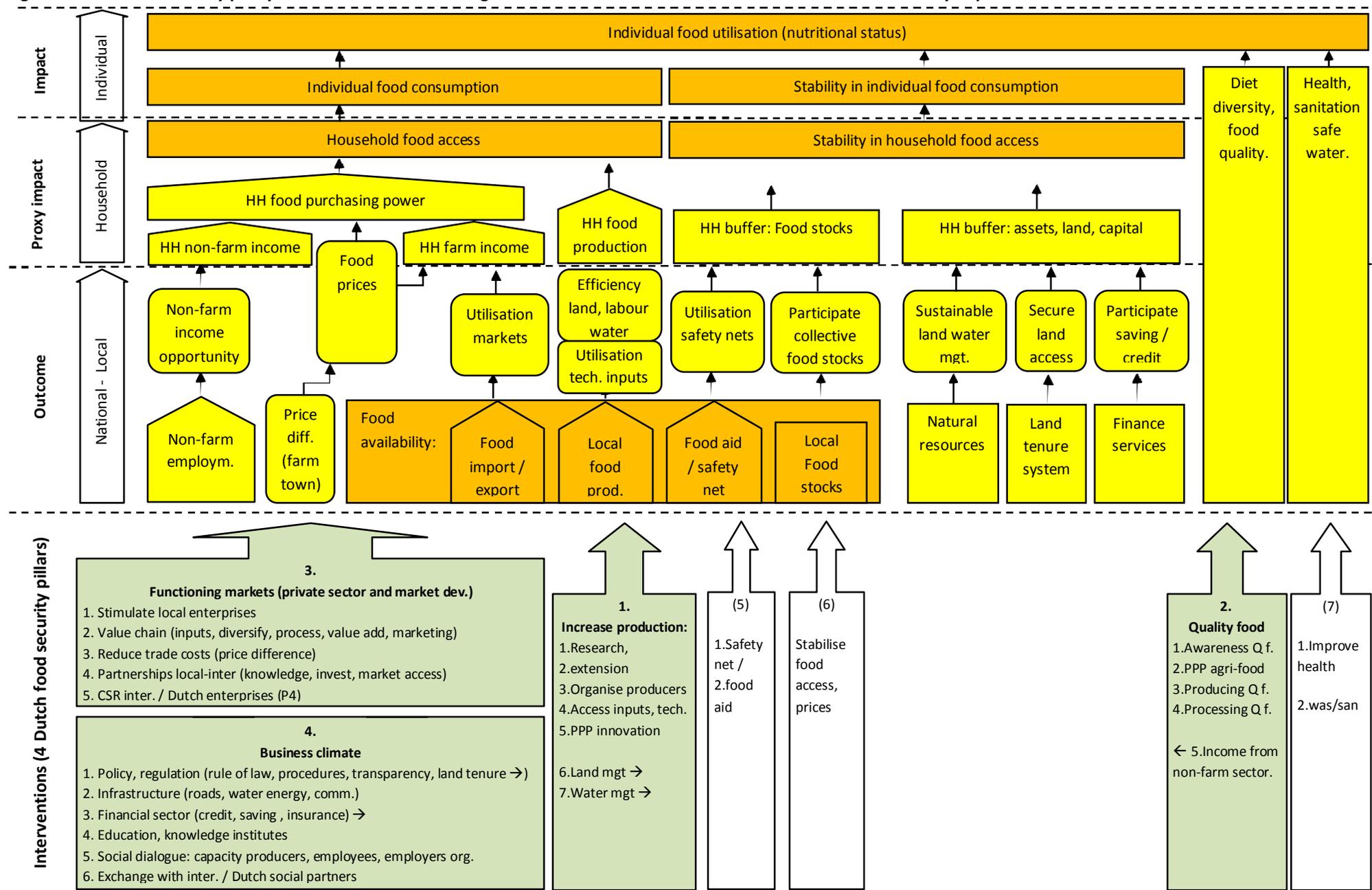
***Food security, private sector development, economic diplomacy and water***

As a result of this approach, there is an overlap in objectives between projects supported under operational objective 'food security' (OO 4.1), 'private sector development' (OO 4.3), and 'water' (OO 6.2). Organisations that support private sector development in industry and business will be steered towards development policy priorities, including food security. Economic diplomacy will be used to improve the business climate in developing countries. The operational objective 'water' (OO 6.2) serves 3 themes, of which one is 'efficient water use in agriculture', which also contributes to food security.

***Policy reconstruction and intervention logic***

The theory of change of how food security is achieved, and the result chains between interventions and food security are presented in Figure 1. This figure, that found its origin in the systematic review of food security interventions (IOB 2011), presents the intervention logic from the food security policy letter. Note that while improved food utilisation, i.e. reduced malnutrition, is the ultimate *goal* of improving food security, this does not mean that reducing malnutrition is also the *responsibility* of the Dutch government. For example, interventions funded by the Dutch government may aim at increasing food access or increased awareness about nutrition, but targeted individuals may decide to spend their income on other things than nutrition.

Figure 1. Dutch food security policy 2012-2015. Intervention logic with result chains between interventions and food security impact



### Explications Figure 1:

At the bottom, the Dutch government interventions with its four pillars are presented:

1. Increasing production.
2. Increasing access to quality food, combined with non-farm income.
3. Improving markets.
4. Improving business climate.

Some aspects mentioned in the policy letter on development by sustainable entrepreneurship are included in pillars 3 and 4. Figure 1 also includes interventions and results chains that are not explicit part of the food security policy letter, such as:

5. Safety nets and food aid – an intervention supported by Dutch finance through multilateral organisations.
6. Stabilisation of food access and food prices, which only recently have become part of the Dutch foreign policy.
7. Improving health, water and sanitation, which is part of the Dutch water policy.

Coloured in orange, the 4 aspects of food security are presented organised in a hierarchy:

1. At the outcome level there is *food availability*, at local, national or regional level, which is the sum of food trade (balance of import and export), local food production, food aid, and local food stocks.
2. At the household impact level there is household and individual *food access*: the ability to acquire food, either through own production or through purchase.
3. Next to it there is household and individual *food access stability*: the ability to bridge difficult periods such as seasonal shortages, years of crop failure, or other shocks.
4. Just below the top level is individual food consumption, and stability in individual food consumption. Intra-household decision making and distribution determines the extent to which household access is transferred to individual consumption: certain members decide e.g. whether or not to spend money on food; certain household members may eat more or better than others.
5. At the top there is at the individual impact level *food utilisation*, the ultimate goal of food security, reflected in the nutritional status (malnutrition).

There are a number of complex parallel pathways between the interventions and food security (outcome and proxy-impact level). From left to right in Figure 1:

- Non-farm employment, resulting in household income, determines together with food prices the food purchasing power of the household.
- Food prices can be affected by various interventions; reduced price differences between producers and consumers, and reduced price fluctuations over time are generally favourable for both consumers and producers.
- Market development can increase farm income and can reduce food prices for consumers.
- Agricultural support can increase the utilisation of technologies and inputs, increase the efficiency of land, labour and water, and increase household food production.
- Safety nets and local food stocks can help bridge difficult periods and support the most food insecure people.
- Natural resource management, land tenure security, and financial services contribute to the household productive assets, and to both food access and food access stability.
- Food quality and diet diversity complement the food calorie intake and to the nutritional status.
- Health, sanitation and safe drinking water are preconditions for optimal food utilisation: a child suffering from diarrhoea will not benefit optimal from food consumption.

The policy letter lists some indicators for each of the 4 pillars, which were not meant to be exhaustive or limiting. Table 1 below presents a very brief description of each pillar and the indicators proposed in the policy letter<sup>9</sup>. Child malnutrition, expressed in % of children under 5 years old having a too low height for age (stunting) or too low weight for height (wasting), is the most commonly used indicator for food security. The 15 Dutch partner countries show stunting rates between 28% in Ghana to 59% in Afghanistan. Stunting and wasting rates for the 15 partner countries are presented in Annex 2.

Table 1. Brief summary and proposed indicators for the four pillars of the food security policy

Overall food security impact: child malnutrition and household income (DDE-IOB discussion May 2012)			
1. Production	2. Access quality food	3. Efficient markets	4. Business climate
Higher production is precondition for food security. Efficient use of land, water, nutrients, labour. Sustainable and climate-proof. Research, value chains, innovation.	Micronutrients have a lasting effect on child development and later productivity. Production and awareness of quality food, and income.	Link supply and demand encourages producers and relieves consumers. Legislation, transparency, regional integration, value chains, remove barriers.	Preconditions for private sector development. Remove obstacles. Legislation, infrastructure, financial services, producer organisations, CSR.
<ul style="list-style-type: none"> <li>• per capita production;</li> <li>• efficiency of land, labour, water;</li> <li>• producer access and use inputs;</li> <li>• stability and sustainability;</li> <li>• sustainable management agreements</li> </ul>	<ul style="list-style-type: none"> <li>• % malnourished children (&lt;5y);</li> <li>• employment for wages above the poverty line;</li> <li>• access to quality food (dietary diversity score);</li> <li>• % income spent on good-quality food.</li> </ul>	<ul style="list-style-type: none"> <li>• domestic and regional trade;</li> <li>• trading costs;</li> <li>• differences between farm gate and consumer prices;</li> <li>• waiting times at borders.</li> </ul>	<ul style="list-style-type: none"> <li>• scores for doing business;</li> <li>• use of infrastructure;</li> <li>• graduates in vocational education;</li> <li>• trade unions, employers' and producers' organisations;</li> <li>• compliance OECD Guidelines</li> <li>• households with land use certificates.</li> </ul>

***Converging points of view of the Ministry of Foreign affairs and the Ministry of Economic Affairs, Agriculture, and Innovation***

Over the last years, there has been a convergence of the policies of the Ministry of Economic Affairs, Agriculture and Innovation (EL&I) and the policy of Directorate General of International Cooperation (DGIS) under the Ministry of Foreign Affairs.

- DGIS has moved from traditional poverty reduction to sustainable economic development, in which agriculture has now been recognised as an engine, and for which Dutch expertise has an added value. Development aid in general has now embraced a value chain approach in which market-demand is a starting point.
- EL&I has moved from an initial focus on the interest of the Dutch agricultural sector, towards corporate social responsibilities that consumers and retailers want. EL&I recognises the challenges and needs for international collaboration, and the opportunities for partnerships in developing countries. EL&I has a broader focus than DGIS, and includes economic

<sup>9</sup> In later discussions between the Ministry for Foreign Affairs (DDE) and IOB (May 2012), DDE concluded that the impact indicators for the overall food security programmes were child malnutrition (anthropometric survey) and household income (household expenditure survey); the latter also being the highest level impact indicator for private sector development.

diplomacy, trade policy, intellectual property rights, and is working in all countries, not just in poor countries with high malnutrition rates.

Compared to DGIS, EL&I does not fund large projects, has no clear target groups of final beneficiaries, and does not formulate household-level impact indicators, but facilitates processes that potentially have a large impact through leveraging private sector investment. This has implications for the evaluation methods. In the selected country case studies, the evaluation will also look at these EL&I activities within the whole food security programme, including those with a smaller budget, because of our interest in coherence and synergy.

Food security has long-term challenges: how to increase food production worldwide by 70% to feed 9 billion people in 2050; and short term challenges: how to improve the nutrition of 1 billion that are currently malnourished (or 2 billion when considering micro nutrient malnourishment). For the first, economic growth and even production in middle and higher income countries play a role; for the latter, a clearer targeting of the poor and malnourished is needed. Understandably, DGIS puts more emphasis on the latter, while EL&I also sees more opportunities in the former. For this policy evaluation, IOB decided to focus on the latter without losing sight on the former.

### ***Hypotheses underpinning the Dutch food security policy***

The policy letter reflects a number of underlying hypotheses, some of which may also be subject of evaluation:

- Dutch added value creates win-win situations. By involving Dutch companies and organisations specialised in priority themes, the Dutch economy benefits and the recipient countries receive more specialised, higher quality assistance, including technical assistance. There are a number of specific instruments available for private sector to work on food security.
- By involving the private sector, temporary ODA money leverages longer-term private sector investment and economic development in recipient countries.
- Coordination by embassies will assure a coherent programme with synergies between delegated and central, bilateral and multilateral (Dutch-funded) programmes, and between the Dutch programme and government and other donors' programmes.
- Donor investment in productive sectors has longer-lasting effects than investment in social sectors, and will make households and governments able to generate revenue to invest them-selves in social sectors.
- Multilateral organisations are particularly appropriate for safety net activities, and for leveraging additional ODA money for Dutch policy priorities.
- NGOs are particularly appropriate for their pro-poor focus, and in situations where governments are relatively weak activity implementers.

New policy documents will come out between now and 2015, which may include additional hypotheses that are worth evaluating. For example:

- to what extent does a transition from aid to trade take place in the Dutch partner countries, and what is the effect on food security?

However, even if certain aspects such as trade or private sector development will receive more emphasis, for IOB these aspects remain means to achieve food security and will not become goals in itself.

## 2.4 Food security policy instruments and budget

### **Instruments**

Instruments can be grouped in delegated funding, through Dutch embassies in partner countries, and central funding, through the policy directorates in the Ministry of Foreign Affairs and the Ministry of Economic Affairs, Agriculture and Innovation. Besides, funds can be given to bilateral programmes, where Dutch funding may cover the costs of a whole project, and to multilateral programmes, where Dutch funding is often one of the many contributions to a larger project budget.

1. Delegated funds, through Dutch embassies:
  - a. Bilateral: local and international NGOs, government programmes, private sector initiatives and public private partnerships.
  - b. Multilateral, including: UNICEF, World Bank, IFAD, FAO, IFDC, Global Crop Diversity Trust.
2. Central funds:
  - a. Bilateral, including private sector instruments that can contribute to food security: Agriterre, IDH, IFDC, FMO, Agentschap NL, CBI, PSI, PPP facility for food security, PUM, 2g@thereIS.
  - b. Multilateral, including: World Bank, FAO, CGIAR, ILO, GAFSP, IFC, WHO, AfDB, WTO.

Besides, there is a large programme to support civil society organisations, through Dutch NGOs (MFSII). Although this does not fit under the food security operational objective, the MFSII programmes do include food security interventions<sup>10</sup>.

### **Budget**

The food security policy letter foresees that the commitments for food security will rise from €160m in 2011 to €435 in 2015<sup>11</sup>.

About one third of the budget for food security (operational objective 4.1) will be used for private sector development. On the other hand, part of the budget for private sector development (operational objective 4.3), growing from 335 m€ in 2011 to an expected 434 m€ in 2015, will contribute to food security. It is thus expected that some projects will have food security as explicit objective, with impact hopefully measurable in 2015, while other projects will have business climate and private sector development as preconditions for food security, as explicit objectives, of which the food security impact may not be measurable in 2015. The delimitation according to budget lines between 'core' and 'periphère' food security activities is explained in Chapter 5.

Of the 15 partner countries, 12 countries have a food security programme for 2012-2015. The total commitments for food security activities in the MASP (delegated embassy plans) for the 4-year

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<sup>10</sup> MSF II is not object of this evaluation: these programmes will be evaluated separately by NWO. Later, IOB will consider these evaluations for this food security policy evaluation.

<sup>11</sup> Certain existing projects have been relabelled and now fit under food security (e.g. energy in Rwanda, Governance Rwanda, and NGO research capacity Mozambique).

period 2012-2015 total €482 million. The top 3 countries are Ethiopia (€131m), Rwanda (€86m) and Uganda (€46m). Annex 1 provides more detail about the annual disbursements on agriculture between 2006 and 2011, and the annual commitments on food security between 2012 and 2015 for all partner countries.

### ***Themes and strategies used in ongoing food security projects***

In order to have an idea about the main themes and the main strategies that projects use, an inventory was made of the projects contributing to food security, which were ongoing at least up to end 2014. Initially, we tried to group projects in the four FS pillars. However, because most projects worked on more than one pillar, a different grouping was found to be more appropriate. Projects were grouped in 8 themes and 5 strategies. This grouping shows concentrations of 4 theme and strategy combinations:

1. Input supply (sometimes with credit), combined with private sector development (PSD)
2. Demand-driven output value chains (buyer and product as starting point), with PSD
3. Supply-driven output value chains (producers as starting point), with PSD
4. Producer organisations, combined with capacity development

A distinction is made between bilateral projects that are funded through embassies (delegated) – subject for IOB-commissioned impact evaluations, and projects implemented by multilateral organisation or funded centrally through the Dutch Ministry, which will do their own evaluations. The bilateral, delegated activities show a similar concentration, on the first three theme-strategy combinations. The fourth theme-strategy combination is covered by a centrally funded activity (Agriterra).

## **3 Evaluation objectives and research questions**

### **3.1 Objective**

The objective of this policy evaluation is to support the Ministry of Foreign Affairs and the Ministry of Economic Affairs in giving account towards parliament for the food security policy under implementation between 2012 and 2015. It will do so by answering the overarching research question: ***What is the contribution of the Dutch food security policy to the food security situation in the 15 Dutch partner countries between 2012 and 2015?*** The multiannual evaluation programme planned for the policy evaluation in 2015, supported by a selection of case studies with baseline studies in 2013 and impact studies in 2015. Besides accountability, this policy evaluation aims to contribute to learning and policy development.

### **3.2 Research questions**

The Dutch government regulation for periodic evaluation (RPE) proposes 13 research questions organised around five topics for policy evaluation<sup>12</sup>. Based on this RPE, we formulated an adapted series of 6 main policy evaluation questions, and a number of subjects that will be described, but not formulated as a question<sup>13</sup>. For each policy evaluation question, a brief description is given below of the type of information and analysis that is expected here. The object of this evaluation has three

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<sup>12</sup> Regulation Periodic Evaluation, 31 August 2012

<sup>13</sup> Some of the RPE questions will be covered by a description, and are not formulated as questions in these ToR: RPE 1 and 2: Delimitation of the policy; RPE 3 and 4: Motivation of the policy RPE 8. Inventory of evaluations; and RPE 9: evaluation gaps. Besides, RPE 11 and 12 both cover effectiveness and are combined in one question in these ToR.

different scale levels: general or global, country and project. For the evaluation questions, these levels are indicated in the evaluation matrix (see chapter Methodology). Case study project evaluations and case study country studies will feed in the general policy evaluation. Effectiveness and efficiency questions are first of all answered at the project level, while the questions related to policy coherence and relevance are answered at country and general level.

### 3.2.1 Delimitation and motivation of the policy

#### *Description and motivation of the Dutch food security policy 2012-2015*

A reconstruction is given of the policy debate in the period before the current policy (2008-2011). A summary is given of trends and analyses of food security, globally and in the 15 Dutch partner countries. A summary is given of the recent international debate on causes and solutions to food insecurity. A description is given of the relation between the Dutch food security policy and other Dutch policies.

A description of the current Dutch FS policy 2012-2015 is given. A distinction is made between the 'core' and the 'peripheral' food security budget lines, operational objectives, and policy articles (see Chapter 5: Delimitation and scope). Based on policy documents, a distinction is made between parts that the government considers as their responsibility<sup>14</sup>, and parts that are considered to be the responsibility of others, and why.

#### *Overview of the Dutch policy evaluation programme*

An inventory will be made of the evaluations programmed for other operational objectives (OO), which also, or partly, contribute to FS, but which are not the focus of this evaluation. Some indications:

- Private sector development (OO 4.3), was evaluated in 2012/13 and will again be evaluated in 2016/17. I will make use / discuss with Max some common indicators for PSD effects and on a common a definition of 'demand-drive'.
- Water (OO 6.2), the component on integrated water mgt. in agriculture will be evaluated in 2016/17. I will investigate the possibility to combine in one evaluation one water activity and one food security activity that are implemented in the same project area in Bangladesh., in a way that the two effects can be disentangled.
- Strengthening civil society in the South, some of which have food security objectives, through programmes implemented by co-financing organisations (MFOs) (OO 5.2), will be evaluated in 2014/15. I will consider the lessons from a value chain evaluation in Ethiopia, one of the SNV evaluation case studies.

### 3.2.3 Description of the policy and corresponding expenditure

#### **1. What instruments are used and what is the synergy in tackling food insecurity?**

A description of the instruments is given: central (from the Ministry), delegated (through embassies); bilateral, multilateral; through national governments, NGOs, and private sector. The assumptions underpinning the choice for different instruments are explained. The relation between the National

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<sup>14</sup> Although food utilisation is presented here as the ultimate goal of improving food security, food utilisation may not necessarily be the responsibility of the Dutch government.

food security context, the Dutch Multi Annual Strategic Plan (MASP) objectives, and the funding decisions for individual activities is assessed. To what extent did the instruments, funding procedures and funding decisions result in ‘coverage’ of the MASP objectives by activities? The synergy is assessed at country level: between projects within the MASP, with central projects, and between the Dutch programme and the policy and programme of recipient government and other donors.

**2. *What was the expenditure, for the different policy sub-components, through the different instruments, for tackling food insecurity?***

An overview is given of the budgets for countries and instruments, showing the coverage of policy components by expenditure. Other costs, resulting from the FS policy are described. Trends are presented of expenditure to food security and agriculture by recipient government, private sector, the donor community, and the Dutch government.

**3. *How does the expenditure relate to the number of directly and indirectly targeted beneficiaries?***

The available NL budget for FS is compared to the number direct and indirect targeted beneficiaries and the total number of malnourished people in 15 partner countries.

### **3.2.4 Overview of evaluations done on effectiveness and efficiency**

*Inventory of evaluations of the food security policy and its components, information gaps, and recommendations for future evaluations*

An overview is given of available evaluations: commissioned by IOB, by multilateral organisations, by implementing agencies, centralised by the ministry, or delegated by the embassies. An overview is given of policy components that are not yet covered, indicating whether evaluations are planned, and if not, whether an evaluation is desired.

**4. *To what extent can conclusions be drawn, based on the quality of available evaluation material, about effectiveness and efficiency of food security interventions?***

From the overview of evaluations, a sub-selection is presented that meet the IOB evaluation quality criteria, indicating the policy subcomponent and whether results are reported about effectiveness (institutional and household level; outcomes, proxy-impact and food security impact) and efficiency (expenditure versus number of beneficiaries). Within each evaluation, the quality of different information is assessed separately, to allow using only part of the evaluation report.

### **3.2.5 Effectiveness and efficiency of the policy**

**5. *What are the effects of the programme on food security?***

What are the, positive and negative, planned and unplanned, effects of the food security programme, distinguishing institutional level outcome; and household level outcome, proxy impact and food security impact? At project level, an overview is given of project-level outcome, and expected sustainability. Household-level impact (food security) and proxy impact (food production, income, buffers and food prices) are described, and where possible, aggregated for the Dutch portfolio of projects.

We formulated one specific question related to the long-term effects and sustainability of Dutch food security interventions: Which factors amenable to policy influence are driving positive long-term effects in development cooperation by the Netherlands government? This will be addressed in a long-term ex-post impact evaluation of an intervention that stopped over 10 years ago.

At country level, the relevance and synergies in the wider country context are explored. The relevance, as we define it here, is the contribution of (local) project effects to the national food security situation, which includes an assessment of the extent that food insecure people have benefited, directly or indirectly, from the interventions. Synergies within the Dutch programme (MASP), and between MASP – Govt – other donors’ programmes at country level are described in case study countries. Coherence between the Dutch food security policy and other Dutch policies will not be assessed systematically, but only taken into account when this comes up as an issue in case studies.

At general policy level, the Dutch FS policy intervention logic is validated. Besides, policy assumptions are validated: did involvement of Dutch expertise and private sector result in win-win situations; did ODA through PPP leverage private investment; were different FS activities coordinated by the embassy; were FS policy and other Dutch policies coherent (optional); and what were the effects of the FS policy on stability and global public goods?

#### **6. *What can be said about the efficiency or cost-effectiveness of the food security interventions?***

First a comparison is made between project costs and number of reached beneficiaries, which can be compared with benchmarks from other evaluations or reviews. If the evaluation of effectiveness shows quantifiable results, a comparison can be made between costs and benefits per targeted beneficiary: cost-effectiveness. The costs effectiveness exercise most likely only considers the direct beneficiaries, of which the number is known and the effect can be assessed.

#### **Five OECD DAC evaluation criteria**

This set of evaluation questions covers the five OECD-DAC evaluation criteria: relevance, outcome, impact, sustainability and efficiency, plus the sixth criterion: policy coherence, added by IOB<sup>15</sup>. The evaluation questions explicitly mention effectiveness and efficiency (questions 5 and 6), and implicitly cover relevance. We adopt this definition of relevance: to what extent have (local) project outcome and impact improved the national food security. Impact is covered under effectiveness. Sustainability will be covered as part of effectiveness (expected continuation of benefits), and may receive more emphasis where projects address specific sustainability issues (environmental, financial or economic, technical, institutional, political, or socio-cultural). One long-term ex-post impact evaluation will be commissioned to look at the sustainability and dynamics of a Dutch food security intervention that stopped over 10 years ago (Case study in south Mali). Coherence will only be considered in country case studies.

The ToR for case study country impact evaluations will cover the 6 evaluation criteria in more detail.

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<sup>15</sup> IOB evaluation policy and guidelines for evaluations, 2009

## 4 Methodology

The policy evaluation will make use of impact evaluations to answer the evaluation questions of effectiveness and efficiency. Although many impact evaluations will be available for this policy evaluation, the IOB systematic review of food security interventions (2011) warns us for the low quality of the majority of impact evaluations. Therefore, IOB will commission 4 impact evaluations of the current food security programme, plus one long-term ex-post impact evaluation, to complement the impact evaluations undertaken by others.

The general policy evaluation is presented in 4.1: evaluation matrix; and 4.2: indicators. The IOB-commissioned case study methodology is presented in 4.3.

### 4.1 Evaluation matrix

The 6 policy evaluation questions are used to construct an evaluation information matrix (Table 2). First, each general evaluation questions are translated in required information, data sources, data collection activities, who will be involved and when. SMART indicators at impact and proxy impact level will be added later in the inception phase.

In the policy evaluation, information at different scale levels is used: general or global level, country level, and project level. This level is indicated in the evaluation matrix. In the synthesis of the policy evaluation, project and country information will be aggregated to conclude about the effectiveness and efficiency of the food security policy in general.

The policy evaluation will use the following building blocks:

1. An analysis of the Dutch food security policy 2012-2015.
2. An inventory of instruments and expenditure for food security.
3. Four country case studies of Dutch food security programmes.
4. Four impact studies of current Dutch food security projects plus one ex-post impact evaluation.
5. A systematic review of all available evaluations of Dutch food security activities.
6. A systematic review of food security activities by other donors, to validate assumptions.

Table 2. Evaluation information matrix: policy evaluation questions, required information, scale and detail of information, information sources, data collection activities, responsibilities and time.

Description / Evaluation question	Required information a)	Scale*			Detail**		Info source	Activity b)	Who	When
		g	c	p	all	case				
Description and motivation Dutch FS policy	Description Dutch FS policy 2012-2015. Description 'core' and 'peripheral' food security budget lines, operational objectives and policy articles.	g			a		Policy documents	Document review NL (1)	IOB	2013 (update 2015)
	Analysis food insecurity: global. Summary international debate cause and solutions food insecurity. Reconstruction Dutch FS policy 2008-2011. Position FS policy in broader Dutch foreign policy.	g			a		Food insecurity data (FAO, etc), worldwide and in 15 partner countries. International debate on causes. Foreign policy papers. Interviews MoFA staff	Internet search NL. Document review NL. Interview staff MoFA NL (10)	IOB	2013 (update 2015)
	Analysis food insecurity in Dutch partner countries. Reconstruction country plans (MASP).		c		a	c	MASP Embassy and MoFA staff	Document review. Interview during baseline and impact studies (10)	IOB Impact cons.	2013
	Responsibility Dutch govt. Policy reconstruction. Theory of change. Country plans.	g	c		a		Policy documents NL MASP in partner countries Reconstruction intervention logic: who is supposed to do what?	Document review (1) Interview MoFA staff NL (10). Interview embassy staff (6)	IOB	2013 - 2014
Overview Dutch evaluation programme	Inventory other planned evaluations (PSD (2016), Water (2016), MFS (2014))	g			a		Evaluation programme	Document review NL (1)	IOB	2013 (2015)
1. Instruments?	Inventory instruments. Intervention logic per instrument. Motivation. Overview of activities. Coverage of MASP objectives by activities.	g			a		Policy documents Project (bemo) overview	Document review NL (11) Interview MoFA staff (6)	IOB	2014
	Synergy between different activities and instruments in one country: within Dutch FS programme; between Dutch program and programme of recipient govt. and other donors		c			c	MASP; Embassy staff, govt and other donors.	Document review NL (11) Interviews, during baseline and impact studies (6, 13)	IOB Impact consultants	2013 + 2015
2. Expenditure?	Budget analysis of activity overview, grouped in instruments, pillars, themes and strategies. 'Costs for related fields or by other parties as result of policy'	g			a		Project (bemo) overview [?]	Document review. Data analysis (13)	IOB	(draft 2013) 2015
3. Justification expenditure?	Budget per malnourished beneficiary. Compare, per partner country, the budget for FS to the total number of malnourished people and the number of direct beneficiaries.	g	c	p	a	c	MASP; Embassy staff, Project staff Analysis costs / beneficiary	Document review NL. Interviews embassy and project staff. Data analysis (13).	IOB	2015

a) Required information. Will be translated in either sub-questions or judgement criteria, and indicators.

b) Activity number, refers to organisation and planning.

\*Scale: global, country, project

\*\* Detail: all documented info, case study of 3-4 countries and 3-4 projects (i.e. impact evaluations)

Evaluation question	Required information a)	Scale*			Detail**		Info source	Activity b)	Who	When	
		g	c	p	all	case					
Inventory FS evaluations, gaps, recommendations	Systematic review all evaluations. Review country progress reports. Compare evaluation overview with our evaluation questions: gaps? Plan?	g	c	p	a	c	List all impact evaluations: Screen for quality. Gap analysis. Recommendations for future evaluations.	Inventory impact evaluations Systematic review of impact evaluations; gap analysis (14)	IOB	2015	
4. Possibility to draw conclusions?	Check quality and info of evaluation overview (systematic review)	g	c	p	a	c	Availability and quality of info per evaluation question.	Systematic review of impact evaluations; selection quality data (14)	IOB	2015	
5. Effects of policy?	0. Preparation: harmonization (proxy) impact indicators and methods for case studies.	g		p	a	c	Long list indicators. Country specific indicators. Harmonised indicators	Inventory (4). Country inception reports (6). Inception workshop (7).	IOB (Rob) Impact consultants. Method C..	2013	
	1. Case study countries: a. Project and country level outcome, impact and sustainability. Direct and indirect effects. b. Country level: relevance, coherence, synergy: <ul style="list-style-type: none"> <li>within Dutch programme,</li> <li>between Dutch programme and programme govt. and other donors.</li> <li>Contribution NL programme to national FS</li> </ul>		c	p		c	Results along result chain. IOB case study country evaluation: interviews stakeholders and survey beneficiaries. Qualitative opinions of different stakeholders and independent experts.	Baseline + impact study. Interviews embassy staff, project staff, govt staff, staff other donors, independent experts (6, 8, 12)	IOB Impact consultants Method consultant.	2013 + 2015	
	2. Case study country: Ex-post long-term impact and sustainability Dutch programme in Mali, 1980s-1990s			c	p		c	Verify theories of change, verify most significant change and NL contribution.	Long-term ex-post impact study Mali (9).	Impact consultant	2013
	3. General policy, link to other policies, check assumptions <ul style="list-style-type: none"> <li>'Win-win' by involving Dutch expertise.</li> <li>Temporary ODA leverages long-term PS investment.</li> <li>Coordination by embassy</li> <li>(optional: coherence food security and other Dutch policies.)</li> </ul>	g	c	p	a	c	Involvement Dutch organizations. PS investments and likelihood of follow up investments. Appreciation embassy role.	Interviews and secondary data. Govt, NL organizations, external experts, during impact studies (12)  (case studies and general)	IOB Impact consultant Method consultant	2015	
	4. Synthesis of all projects and countries. Aggregated impact. Compare to policy.	g	c	p	a	c	All project evaluations. Opinions stakeholders.	Systematic review of impact studies (14). Draft conclusions (15). Restitution meetings (16). Country reports. Policy evaluation report (17).	IOB Impact C. Method C.	2015 2016	
6. Efficiency of policy?	Project efficiency: costs and benefits per beneficiary? Country programme efficiency: synergie? Aggregated costs and benefits. Compare approaches.	g	c	p	a	c	Evaluations. Opinions stakeholders	Systematic review impact evaluations. Interviews stakeholders. Survey beneficiaries. Restitution meetings (13, 15, 16, 17)	IOB Impact consultant Method C.	2015 2016	

## 4.2 Food security indicators

Based on the experiences with the systematic review of food security interventions (IOB 2011) we identified a short list of 'ideal' indicators at household-level impact and proxy impact level. At least in the IOB-commissioned impact evaluations, we will require to use as much as possible these impact indicators. When reviewing evaluations done by others, we can only hope that some of these indicators will be used.

- Child malnutrition. For food utilisation. Although the field work may be demanding, the analysis, interpretation and comparison across studies are relatively easy. It consists of comparing age, length and weight of children under 5 or even better under 2 years old. Results are underweight (weight for age), stunting or chronic malnutrition (height for age), and wasting or acute malnutrition (weight for height). Reference tables are available for the standard deviations. Many secondary data available. the Z score, a continuous variable, is more likely to show a significant change in 2 years than the % malnourished children.
- Optional Body Mass Index of women. For food utilisation of productive women, who form a vulnerable group. Fewer secondary data available than for child malnutrition.
- Household diet diversity score. For food consumption. Easy to record but more difficult to interpret. The number of food groups eaten last 24 hours, out of a pre-set list of 8-12 food groups, is an indication of food quality. It is useful as additional indicator within the result chain.
- Months of household food access: the number of months over last 12 months with sufficient food access. An indication of food access stability over the year. Although a subjective measure, studies so far show good correlations with other food security indicators. Simple to collect and analyse.
- There are various other food security indicators that reflect the perception of people. For example, the Hunder scale. Subjectivity is a risk<sup>16</sup>.
- Household income. Ideally, a household survey on income, expenditure or consumption serves as proxy for household income in a way that it can be related to poverty or food purchasing power. To make a link to food security, it is recommended to make a distinction between expenses on staple food, other food, and other expenses. This is time consuming.
- Food prices. Both from secondary data and in household surveys. Staple food prices are monitored in many countries by e.g. national governments or FAO. Important to compare with changes in income. Important to analyse price differences between producers and consumers, and analyse seasonal price fluctuations.
- Household food production. This is probably the most cumbersome data to collect. On the one hand we should focus on only the most important crops. On the other hand we should capture substitution e.g. of food crops by cash crops.
- Household assets: food stocks, land, capital, other assets. The objective of capturing this is to have an indication of food access stability. Households that can use assets to bridge periods of food shortage (e.g. selling a goat and buying cereals) are more food secure than households that have not such buffer.
- Diversification of production and income (to be further developed) as measure of food security stability and resilience.

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<sup>16</sup> See the FANTA website, where USAID and the Feed the Future choose most of their food security indicators from.

### 4.3 IOB-commissioned impact evaluations

As mentioned earlier, we expect that many project impact evaluations will not be of good enough quality to find food security impact at household level than can be attributed, by a counterfactual analysis, to the interventions. Besides, several policy evaluation questions can be best answered by an evaluation of the Dutch food security programme at country level. Therefore, IOB will commission four impact evaluations of the current food security programme. Each impact evaluation will evaluate in a more qualitative way the whole Dutch food security programme in one country, and will evaluate one project with household-level food security impact in more detail.

In this section, we first discuss the difference between the country programme evaluation and the project evaluation, then the requirement of attribution and counterfactual, sampling, and indicators for food security. Then we explain the criteria for the selection of case study countries and case study projects for an impact evaluation.

#### 4.3.1 Country programme evaluation and project evaluation

##### *Dutch FS country programme study*

The country study starts with a context analysis: what is the food security situation, what are the trends, and what are the supposed constraints and options to improve food security. This includes a stakeholder analysis: who and where the food insecure people are, and how they could potentially benefit directly or indirectly from interventions. The targeted direct beneficiaries may not be the most food insecure people. The country study also looks at the national policy and programme, the programmes by other donors, and within that context the place of the Dutch FS programme. An inventory is made of the assumed possible synergies between Dutch food security programmes, in particular between institutional outcome (pillar 3 and 4, often national) and household level impact (pillar 1, 2 or 3, often local).

##### *Dutch FS project impact study*

In each case study country, at least one impact study of a Dutch delegated and bilaterally implemented project with household-level impact will be undertaken. The detailed methodology for a country case study plus project impact case study is presented in a separate Impact Evaluation ToR. Each impact study will start with an inception phase further elaborating the intervention logic, evaluation questions, indicators and data collection methods. Projects often achieve household level effects by working through institutions (e.g. government, private sector, producer organisation). In such cases, we will break the results chain in (at least) two major parts: a first part from intervention up to institutional outcome, and a second part from institutional outcome up to household level effects. We will ask the general evaluation questions (relevance, effectiveness, efficiency, and sustainability) for these two parts separately, rather than considering the whole result chain from intervention to household impact as one black box. Given the short time of only 2 years between baseline and impact survey, what is called 'impact' here is in fact the immediate, short-term impact, and not the long-term ex-post impact.

#### 4.3.2 Policy objectives versus project objectives

Policy objectives are often more ambitious than project objectives. Nevertheless, such projects have been selected based on the assumption that they contribute to policy objectives. Therefore, IOB will also consider the effects beyond the project objectives, and could theoretically conclude that a project has been successful but that the match between policy objectives and policy objectives has not.

### 4.3.3 Attribution and counterfactual analysis, and contribution analysis

The evaluation is interested in effects that are caused by the intervention. Observed changes are not necessarily effects caused by project interventions alone. An effort need to be made to attribute part of the changes to project intervention. This requires a counterfactual analysis: what would have happened in the absence of the project. A distinction is made between quantitative data at household level, and qualitative data on organisational, institutional or national level.

For quantitative information at household level, we foresee a 'before-after' and a 'with-without' comparison.

- A baseline household survey will be done in 2013/14; an impact household survey will be done in 2015/16. Baseline and impact surveys are to be done in the same month of the year.
- A comparison will be made between households that will be targeted by the project and a control group of households that will not be targeted by the project, in the 2 year period.

For qualitative information, e.g. about institutional capacity building or lobbying for national policies, it will be difficult to make a 'with-without' project comparison. Where an attribution analysis is not possible, we will do a contribution analysis: assess to what extent one intervention between many other factors have made a contribution to an observed change. This will require triangulation by comparing opinions of different stakeholders, and testing alternative cause-effect hypotheses<sup>17</sup>.

- Triangulation is best achieved by asking opinions of people that are not involved and may have a different view of development than the project staff or project beneficiaries. These include: people from government, NGOs, or donor organisations that were not directly involved in the project.
- Alternative hypotheses, different than the hypotheses underpinning the project intervention logic, can give ideas about different cause-effect relations. Again, people not directly involved in the project may come up with alternative hypotheses. These are not only formulated as 'the intervention has no effect', but more often as 'the effect is caused by something else than the project'.

### 4.3.4 Direct and indirect beneficiaries

A distinction is made between direct effects and indirect effects.

- Direct effects are clearly described in the project document (e.g. income increased by 20%) for a clearly described target group (e.g. 5,000 farmers).
- Indirect effects are food security effects of indirectly targeted beneficiaries, e.g. benefiting from increased employment, improved national food availability, reduced food prices relative to wages, or reduced food price differences between places or reduced price fluctuations in time.

For each activity, an analysis is made with project staff about who the direct and indirect beneficiaries are. The household survey in the detailed project evaluation will most often focus on the direct beneficiaries. Indirect beneficiaries will be dealt with qualitatively, in the inception phase, focus group discussions during baseline and impact studies, and restitution discussions.

### 4.3.5 Sampling

The sample size should be sufficient to show a significant difference between baseline and impact surveys, and between beneficiaries and non-beneficiaries, if the project performs as planned. The proposed sample

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<sup>17</sup> See ideas and methods describe by H.White & D.Phillips 'small n samples', 3ie.

size should be based on a power calculation, using results from previous studies as examples<sup>18</sup>. As a general rule of thumb, we want sample sizes in all impact studies to be sufficient to detect a 15% increase in income due to the project. More specific estimates of expected effects and power calculations can be made for each case study. A challenge is to include vulnerable groups in the representative sample, who tend to be overlooked e.g. because they live on the edge of the village terrain as recent immigrants, or are less prominently present during village discussions.

#### **4.3.6 Data collection methods and indicators**

As much as possible, we will stick to indicators and data collection methods that are commonly used, can be compared across evaluations for the eventual policy evaluation, and have proven to work, especially at impact and proxy impact level. Two indicators are of particular importance because these are often included in policy objectives: child malnutrition and poverty rate. Both are 'head count' indicators with a threshold (e.g. % children moderately stunted; % households living under poverty line). Sufficient additional indicators are chosen along the result chain to provide more detail of the path followed between intervention and impact. These are often more sensitive to changes, i.e. are more likely to see a significant effect over a limited time span. IOB has made an inventory of commonly used indicators and data collection methods.

For project specific outcomes and more qualitative country evaluation questions, each evaluation team will propose data collection methods, after which IOB will reach an agreement with the evaluation team and decide on a harmonised methodology.

A challenge is to get reliable information on food production and crop yield, especially because most information will have to come from recall in interviews after the harvest. One way to filter out certain inaccuracies, e.g. in land size, is to visit the same panel of households again in the impact survey. GPS references will help finding the same farmers again. Consider possibilities to verify data e.g. with local field staff, Google Earth, and by comparing data with the previous season. Make sure that fallow land is properly dealt with in the questionnaire.

#### **4.3.7 Mixed methods: qualitative and quantitative phases in the evaluation**

Four phases are foreseen:

1. Inception phase 2013. Mainly qualitative. During the inception phase, the intervention logic of both the country programme and one household-level project is further investigated: what is expected to be achieved and how. Other factors and risks are identified. Agreement on methods to be used in the survey.
2. Household baseline survey for one project 2013/14. Mainly quantitative.
3. Household impact survey for one project 2015/16. Mainly quantitative.
4. Interpretation phase 2016. Mainly qualitative. Household survey results are discussed during focus group discussions and key informant interviews. The effects of the Dutch programme is assessed and discussed with various key informants. Context, other factors, and risks are considered. Draft findings and conclusions are discussed.

#### **4.3.8 Selection of a sample for IOB-commissioned impact case studies**

We selected countries and activities for an impact study by considering criteria for countries and criteria for activities simultaneously.

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<sup>18</sup> The systematic review of agricultural interventions that aim to improve the nutritional status of children (Masset, 2011) presented ex-post power calculations that showed that the majority of selected studies had too small sample sizes to show a significant difference in child malnutrition even if the projects would have been successful.

### ***Selection criteria for countries***

Selection criteria for countries include:

- Budget for Dutch food security programme.
- The relevance of food security interventions relative to other factors, including conflict and safety, influencing food security effects. West Bank & Gaza and Mali were left out.
- Coverage of the four pillars of the food security policy.
- Coverage of the main themes: agricultural inputs, supply and demand driven value chain development.

### ***Selection criteria for activities***

Selection criteria for activities (projects) include:

- Household level effect at impact or proxy impact level: food security, production or income.
- Expected change between 2013 and 2015 will be measurable.
- Delegated, bilateral projects.
- Coverage of the top 3 theme-strategy combinations in bilateral decentralised projects:
  - 1) Agricultural inputs – private sector development;
  - 2) Demand driven value chain development – private sector development;
  - 3) Supply driven value chain development – private sector development;
- Overlap of project period with the evaluation period 2013-2015: projects should have started in or before 2012 and should continue up to end 2014.
- Budget of project, at least €1m
- Clear targeting of number of beneficiaries.
- Netherlands is the only or the main donor.
- Possibility for a counterfactual analysis: geographically delimited project areas.

### ***Long and short list of projects and countries for impact studies***

Based on the above mentioned criteria, we first made a long list of 20 projects in 10 countries (Annex 5). Then we made a short list of four projects, trying to cover different countries in different agro-ecological zones:

- Ethiopia (23448) Seed sector development programme (by CDI)
- Rwanda (24720) Catalyst: input and output value chains in agri-hubs (by IFDC)
- Bangladesh (24552) SAFAL: marketing agricultural products in new polders (by CARE and Solderidad)
- Uganda (23615) Dairy cooperative, collection processing and market development (by aBi-Trust)

One interesting aspect of the Bangladesh food security project is that this takes place in a larger polder area where a Dutch water management project takes place, which also has food security as explicit objective: Blue Gold (24007): water management in new polders. This gives the option to combine an evaluation of Blue Gold with the evaluation of SAFAL in one large impact study (subject to investigation in a feasibility visit). A brief description of the 5 projects in the 4 countries is presented in Annex 6, 7, 8 and 9.

### ***Long-term ex-post impact evaluation***

For the long-term ex-post impact evaluation, the selection criteria were:

- Large scale Dutch agriculture / food security intervention, that lasted over 10 years,

- Interventions were concentrated in specific areas and not applied nationwide.
- Intervention stopped over 10 years ago. (no follow-up by similar large scale interventions by other donors)
- The intervention addresses issues that are still relevant for the current Dutch food security policy.
- The country is still one of the Dutch partner countries, preferably in Africa.

This has resulted in selecting the Dutch programme in South Mali that consisted of support to agricultural research and agricultural extension. Wageningen University<sup>19</sup> is involved in, and aware of, a number of household surveys in Southern Mali. A discussion between IOB and WUR will avoid duplication and assure that best use is made of the efforts already made.

#### 4.3.9 Representativeness and limitations

**Countries:** The selection of IOB-commissioned country case studies is not representative for the food security programme in 12 partner countries, but country programmes covers a large part (>50%) of the delegated food security budget.

**Themes:** The selection of IOB-commissioned household level project impact evaluations is not representative for the whole food security portfolio, but at least tries to cover the main themes and strategies combinations that are being used by a number of food security projects that have been approved so far, notably private sector development and development of input and output value chains. One theme-strategy combination that is important for the Dutch Ministry, capacity building of producer organisations, is not covered by a project that has this as its main theme. The selected case studies do all have capacity building of producer organisations as a secondary theme, but if the evaluation is not set up to explicitly compare producer organisations with and without capacity building support, we may not be able to evaluate this theme. In the Terms of Reference for the project impact evaluations we will ask to consider this secondary theme in the evaluation set up.

**Limited period:** There are only 2 years between the baseline survey and the impact survey in the IOB commissioned impact studies. Most projects have a longer duration (3 to 4 years). We discussed, and will continue to discuss during first field visits, the likelihood that we can observe a significant effect at household level in only 2 years: this is one of the criteria for selecting projects for an impact evaluation. It is likely to find an effect on household income, but less likely to find a reduction in child malnutrition<sup>20</sup> within 2 years. In some cases we will be able to compare two different project areas, one that has started a longer time ago and one that has just recently started. This allows observing a longer part (2 x 2 years) of the project period.

**Expected results bias:** The selection of projects, where we expect a significant food security impact at household level between 2013 and 2015, results in a bias. Therefore, we will provide an overview of all projects, indicating for which we expect household level food security impact and for which not.

**Ongoing projects bias:** The selection of projects that are approved before March 2013 and continue up to end 2014 excludes new projects that are approved later or that are evaluated after 2015. These projects may include new or innovative approaches. An overview of all projects under implementation between 2012 and

<sup>19</sup> Ken Giller and Katrien Descheemaker of Plant Production Systems, PPS, WUR.

<sup>20</sup> The most commonly used malnutrition indicator is stunting: % children with too low height for age, is a relatively slow changing indicator. Other indicators such as underweight (weight for age) and wasting (weight for height), especially when taken as continuous variables, are more likely to show changes in only 2 years.

2015, including those without an evaluation, will be presented in the policy evaluation, showing to what extent the included impact evaluations are representative for the whole portfolio.

Delegated projects bias: The choice for delegated and bilateral projects for IOB evaluations and the dependence on evaluations by others for central and multilateral projects result in a bias. Delegated projects represent only about 40% of the total budget for food security. Central programmes may be underrepresented in the policy evaluation if impact evaluations come in late (after 2015) or if evaluations are of insufficient quality.

## 5 Delimitation and scope:

### 5.1 Core and peripheral food security activities

In this policy evaluation, we consider two groups food security activities:

1. A core group of food security activities, which are paid from specific food security budget lines (SBE numbers).
2. A peripheral group of activities, which are paid from other budget lines, but which also, or partly, contribute to food security objectives.

Food security has become a specific operational objective (OO 4.1) in 2012, accompanied by a clear set of budget lines. However, food security activities that started before 2012, when there was no specific food security operational objective yet, fitted under different operational objectives and different budget lines, mainly under operational objective 4.3 'Economic growth, poverty reduction and private sector development'. For the sake of this policy evaluation, a selection has been made of budget lines that we consider 'core food security budget lines'.

Table 3. Overview of core and peripheral food security activities (>1m€; running in 2012)

Budget line (SBE)	Description (SBE)	Number and budget of activities	
		#	m€
<b>Core food security</b>			
0610S13	Food security (decentral)	45	285
1990S00	Food security PPP (central)	1	43
1967S00	Knowledge and economic structure	3	56
Sub-total		49	383
<b>Periphere food security</b>			
0610S04	Business climate (decentral)	9	29
0610S08	(? Civil society? Check)	1	2
0610S15	Water (decentral)	3	61
0610S18	Drinking water and sanitation (decentral)	1	3
0610S21	Good governance, anti corruption (decentral)	1	2
0610S23	Reconstruction (decentral)	4	16
0611S02	Environment, integrated water mgt	2	22
Sub-total		21	135
<b>Grand Total</b>		<b>70</b>	<b>519</b>

A first inventory we made of activities with an explicit food security objective shows that the majority of old and new activities fall under the budget line labelled 'food security' (SBE 0610S13), see Table 3. A detailed

overview of core and peripheral food security budget lines for different operational objectives is presented in Annex 4.

For accountability, the focus of this policy evaluation will be on the core group of food security activities. Within this group, there are activities with explicit food security objectives and activities with an intermediate outcome as objective (e.g. more efficient markets or improved business climate).

For the broader policy evaluation and learning, the policy evaluation will focus on both core and peripheral food security activities, clearly indicating the separation between these two groups of activities, when describing the broader Dutch food security policy and when drawing more general lessons about the food security results.

## 5.2 Gender and vulnerable groups

Gender, a cross cutting issue in Dutch foreign policy, is related to food security, because women are often more food insecure than men. This evaluation will not evaluate specific gender activities separate from food security activities, but will assess the effects of food security interventions on food insecure groups, including women (female headed households and women in the household) and other marginalised or vulnerable groups, which could be certain ethnic groups, nomadic livestock farmers, immigrants or landless people. We will start with a context analysis of who the food insecure people are in a certain country before we evaluate the effects of a food security intervention. At the household level, we will look at intra-household distribution of food access. Specific attention will be given to the extent to which women, or other vulnerable groups, are targeted by the project, are involved in decision making in the project, participate in project activities, and benefit from project effects. Intra household decision making about access or control of land, about income, and about expenditure on food, will be asked for in interviews.

## 5.3 Period of implementation

The policy evaluation considers the food security programme from 2012 to 2015. The policy evaluation, a synthesis study of several impact evaluations, will be finalised in 2016. Any evaluation ready before end 2015, evaluating a core food security activity implemented any period between early 2012 and end 2015 will be used after judgment of evaluation quality.

# 6 Organisation

### *IOB inspector and research assistant*

The policy evaluation will be undertaken under the responsibility of the IOB director, by inspector Ferko Bodnár, with help from the research assistant Rob Kuijpers. IOB, inspector and research assistant, manages the contracts with contracted international evaluation team leaders, who in turn contract the local teams.

### *IOB Peers*

Within IOB, two inspectors will assure the evaluation quality by internal peer review: Antonie de Kemp and Henri Jorritsma. They will review the terms of reference for the policy evaluation and the impact evaluations, give regular advice, and review the draft reports of the impact evaluations and the final policy evaluation.

*Reference group*

A reference group, consisting of internal IOB staff and external members, will meet at key moments (ToR, draft reports). The reference group includes two members of Ministry directorates involved in food security: Robert-Jan Scheer (DGIS) and Marcel Vernooij (EL&I), and two external members: Ken Giller, agronomist, and Inge Brouwer, nutritionist, both from Wageningen University and Research Centre.

*Methodology coordinator*

IOB will contract a methodology coordinator as sparring partner for the IOB inspector, who will assist in harmonisation the evaluation methodologies applied in the IOB-commissioned case studies, and in the synthesis of these case studies. This person has access to experience in both agricultural and health surveys in the tropics.

*International evaluators and local evaluators*

IOB will organise five impact studies. Four impact studies evaluate the current food security programme, with baseline surveys in 2013/14 and impact surveys in 2015/16. One contracted evaluation group does both baseline and impact study in one country, and will be responsible for contracting the local evaluators. The evaluation groups will initially work on an inception report, based on interviews and document review and a first exploratory field visit, with more detailed evaluation methodology, which will be agreed on by IOB before the quantitative field work starts.

In addition, one other study will be commissioned to an international evaluator: a long-term ex-post impact study of a Dutch agriculture and food security programme in Mali, implemented in the 1980s and 1990s. The organisation is presented in Figure 2.

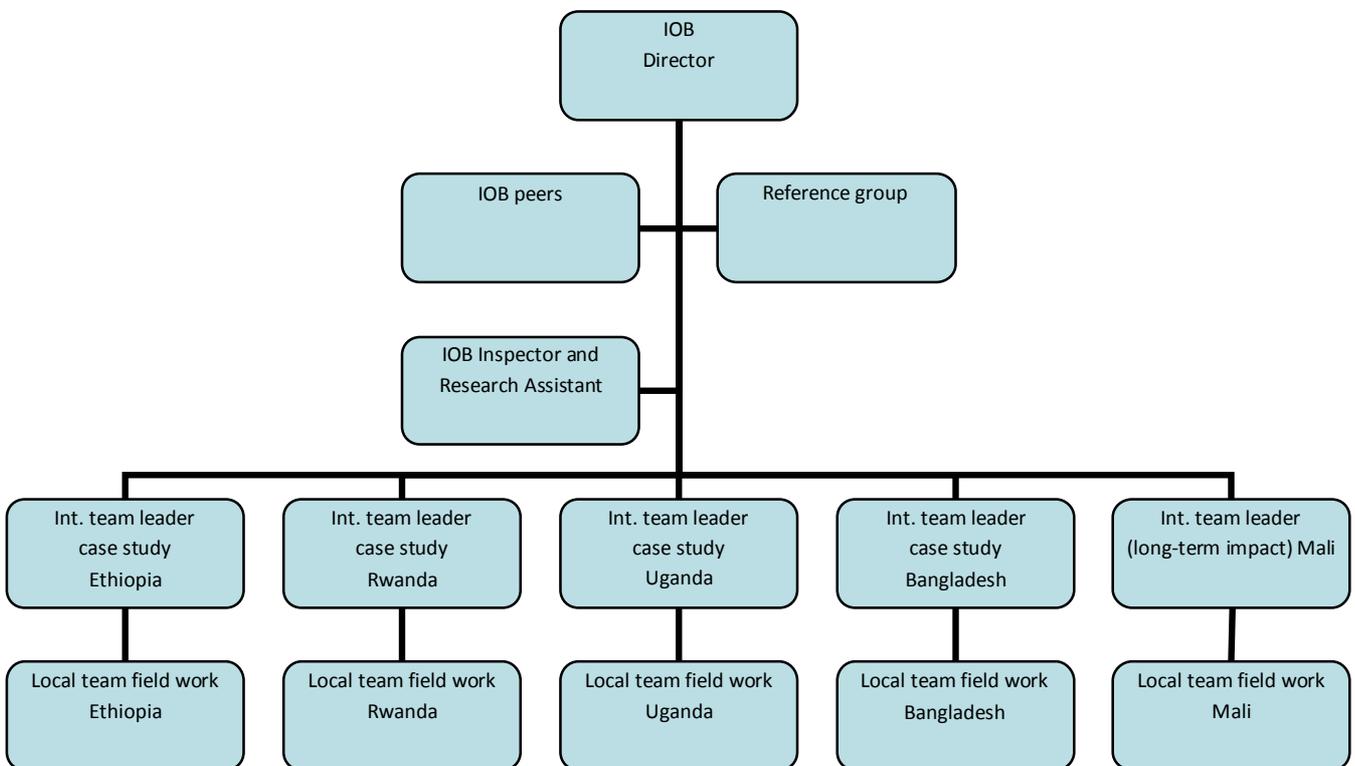


Figure 2. Organisation of the policy evaluation.

## 7 Products

The following reports will be produced:

For the IOB organised impact studies:

- 4 baseline studies reports (March 2014)
- 4 impact study reports (April 2016).
- 1 long-term ex-post evaluation (2013-2014)

Policy evaluation final report (July 2016).

## 8 Planning

Table 4. Activity plan (numbers correspond with activity numbers in evaluation matrix)

When	What	By whom
(Partly done, update 2015)	1. Document review: <ul style="list-style-type: none"> <li>• Dutch FS policy</li> <li>• Inventory Dutch projects</li> <li>• Evaluation programme</li> </ul>	IOB
Sept 2013	2. Finalisation ToR Policy Evaluation <ul style="list-style-type: none"> <li>• Verify feasibility impact studies</li> <li>• final choice countries and projects</li> </ul>	IOB Co-readers Reference group
Sept 2013	3. ToR Impact studies: <ul style="list-style-type: none"> <li>• 4 country case studies</li> <li>• 1 long-term ex-post</li> </ul>	IOB
Sept 2013	4. Inventory indicators and methods	IOB (Rob)
July-Aug 2013	5. Field visits: feasibility impact study	IOB
Oct 2013	5. Contracting consultancies	IOB
Nov 2013	6. Baseline study: qualitative (4 countries); <ul style="list-style-type: none"> <li>• country context,</li> <li>• Dutch programme, coherence,</li> <li>• Reconstruction intervention logic / alternative logics</li> <li>• Refine evaluation questions</li> <li>• Set-up quantitative survey: indicators, methods, sample</li> </ul>	Impact consultants + IOB
Dec 2013	7. Inception workshop, harmonisation indicators and methods for quantitative survey. Approval by IOB. Go-no go moment for each evaluation team.	IOB Impact consultants Method consultant (Reference group?)
Dec 2013 – Feb 2014	8. Baseline study: quantitative + qualitative (4 countries) <ul style="list-style-type: none"> <li>• Survey</li> <li>• Focus group discussions</li> </ul>	Impact consultants
Okt 2013 – Mar 2014	9. Long-term Ex-post impact evaluation Mali	Impact consultant
(2013-2014)	10. Document review, internet search, interviews NL + embassy staff: <ul style="list-style-type: none"> <li>• Analysis food security data, global, partner countries;</li> <li>• International debate on causes food insecurity;</li> <li>• Vision on Dutch govt. role responsibility</li> <li>• Analysis MASP of 15 partner countries</li> </ul>	IOB
(2013-2015)	11. Document review: instruments and centrally funded	IOB

	<p>programmes.</p> <ul style="list-style-type: none"> <li>• Inventory activities</li> <li>• Intervention logic grants</li> <li>• Intervention logic subsidies</li> <li>• Inventory evaluations (progress reports)</li> </ul>	
<p>Dec 2015- Feb 2016</p> <p>March 2016</p>	<p>12. Impact studies (4 countries)</p> <ul style="list-style-type: none"> <li>• Preparation meeting NL</li> <li>• Qualitative and quantitative evaluation</li> <li>• Analysis</li> <li>• Restitution meeting in-country</li> <li>• Country reports</li> </ul>	<p>Impact consultants IOB Method consultant</p>
2015	<p>13. Doc review NL:</p> <ul style="list-style-type: none"> <li>• Inventory budget and expenditure (piramide)</li> <li>• Analysis (budget # food insecure # beneficiaries)</li> <li>• Discussion staff MoFA; embassy staff.</li> </ul>	IOB
<p>Aug 2015 Feb 2016</p>	<p>14. Systematic review evaluations:</p> <ul style="list-style-type: none"> <li>• List indicators</li> <li>• Quality check evaluations</li> <li>• Gap analysis</li> <li>• (meta analysis 4 case studies)</li> <li>• Recommendations for future evaluations</li> </ul>	IOB, Method consultant
May 2016	15. Draft Conclusions effectiveness and efficiency	IOB Method consultant
May 2016	16. Restitution meetings on draft conclusions; workshop?	IOB Method consultant Impact consultants Reference group (Other participants?)
July 2016	17. Final policy evaluation report	IOB

## Annex 1. Budget for food security in partner countries

Table 5. Disbursement (up to 2011) and commitments (from 2012) for food security projects between 2006 and 2015 for the Dutch partner countries

	Disbursement agriculture (CRS 311)						Commitment food security (MASP)					FS 1) BEMOs
	2006	2007	2008	2009	2010	2011	2012	2013	2014	2015	total	
Afghanistan	1.0	3.0	7.6	9.4	1.9	1.6						
Bangladesh 2)	2.8	2.0	2.3	3.7	0.2		2.0	4.0	6.2	6.1	18.3	78.9
Benin	0.1	1.1	0.8	1.5	1.2	1.8	2.0	9.0	17.0	17.0	45.0	14.6
Burundi							3.0	5.0	10.0	13.0	31.0	9.4
Ethiopia	1.7	2.2	2.7	2.8	2.6	10.4	25.9	30.4	35.0	40.0	131.3	47.0
Ghana	0.1	2.2	1.0	0.6			5.1	8.4	8.9	6.5	28.9	7.9
Indonesia 3)	0.1	1.3	1.5	0.5	0.5	3.3	1.3	5.3	5.8	5.3	17.5	
Kenya		1.0	0.4	0.2	0.3	1.6	2.0	3.0	5.0	7.0	17.0	15.3
Mali	5.2	5.7	5.5	6.2	4.0	4.6	0.5	2.0	4.0	4.0	10.5	20.5
Mozambique		0.6	0.6			2.6	7.3	8.2	7.8	7.3	30.6	13.3
Rwanda	2.2	1.7	0.0	0.1	0.1		13.1	22.4	24.2	26.8	86.5	48.5
Large lakes 4)							3.0	4.0	4.0	4.0	15.0	
Sudan			0.3	2.5	1.3	2.1						
South Sudan												
Uganda	1.2	1.1	1.0			0.5	7.3	10.8	14.2	14.2	46.5	36.0
West Bank, Gaza	5.0	1.4	4.5	7.9	7.6	9.8	3.0	5.0	6.9	6.7	21.6	15.9
Yemen		0.5	0.8									
total	19.4	23.8	29.0	35.3	19.7	38.3	74.2	112.2	143.2	152.6	482.2	307.0

1) FS BEMOs: budgets in approved activity documents with funding overlapping the period 2012-2015; situation in October 2012.

2) Bangladesh has only a small FS budget (€18m), but a large Water budget (€127m), of which an important part contributes to food security.

3) Food security budget Indonesia (EL&I Multi-annual Interdepartmental Policy Framework) from annual plan 2013; no approved BEMOs yet

4) Part of the programme presented under Rwanda (2006-2015) takes also place in DRC and Burundi (Large Lakes Region)

## Annex 2. Child malnutrition in partner countries

Table 6. Child malnutrition, stunting and underweight of children under 5 years, in Dutch partner countries

Country Name	Year latest survey	% Stunting	% Underweight
Afghanistan	2004	59.3	32.9
Burundi	2005	57.7	35.2
Yemen, Rep.	2003	57.7	43.1
Benin	2006	44.7	20.2
Rwanda	2010	44.3	11.7
Ethiopia	2011	44.2	29.2
Mozambique	2008	43.7	18.3
Bangladesh	2007	43.2	41.3
Indonesia	2010	39.2	18.6
Uganda	2006	38.7	16.4
Mali	2006	38.5	27.9
Kenya	2008	35.2	16.4
Ghana	2008	28.6	14.3
South Sudan	NA	NA	NA
West Bank and Gaza	NA	NA	NA
High income countries	2011	3.53	1.72

Source: WHO and UNICEF data presented on World Bank website

## Annex 3. Grouping of Dutch food security projects in themes and strategies

Table 7. Overview of all food security programmes in, with budget > 1m€, going on in 2012.

Themes	1. Capacity		2. TA		3. Vulnerable		4. PSD		5. Bus. climate		Total	
	#	m€	#	m€	#	m€	#	m€	#	m€	#	m€
1. Input, credit	1	2.0			1	1.7	9	69.1			11	72.8
2. Output, value chain												
2a. demand-driven	2	23.1					7	77.1	1	7.0	10	107.2
2b. supply driven							6	44.6			6	44.6
3. Producer org.	3	59.2					1	6.5			4	65.7
4. Non-farm income	1	1.2			2	17.3			1	5.4	4	24.0
5. Land titling	1	12.0									1	12.0
6. Best ag. practice	4	19.0	2	11.0							6	30.0
7. Nutrition	1	8.8	2	3.5	2	6.1					5	18.3
No direct effect FS	1	3.5							1	5.3	2	8.8
<b>Total</b>	<b>14</b>	<b>128.0</b>	<b>4</b>	<b>14.5</b>	<b>5</b>	<b>25.1</b>	<b>22</b>	<b>197.2</b>	<b>3</b>	<b>17.7</b>	<b>49</b>	<b>383.3</b>

Updated March 2013: complete for delegated-bilateral activities, incomplete for central and multilateral activities

\* Most projects combine more than one theme or strategy; the overview is based on one main theme and one main strategy per project.

Table 8. Overview of decentrally-funded bilateral food security programmes, with budget > 1m€, not ending before end 2014.

Themes	1. Capacity		2. TA		3. Vulnerable		4. PSD		5. Bus. climate		Total	
	#	m€	#	m€	#	m€	#	m€	#	m€	#	m€
1. Input, credit							8	65.1			8	65.1
2. Output, value chain												
2a. demand-driven	1	15.5					6	34.6			7	50.1
2b. supply driven							4	34.1			4	34.1
3. Producer org.	2	9.2					1	6.5			3	15.7
4. Non-farm income	1	1.3			1	8.1					2	9.4
5. Land titling	1	12.0									1	12.0
6. Best ag. practice	4	19.0	1	9.0							5	28.0
7. Nutrition			2	3.5							2	3.5
No direct effects FS	1	3.5									1	3.5
<b>Total</b>	<b>10</b>	<b>60.4</b>	<b>3</b>	<b>12.5</b>	<b>1</b>	<b>8.1</b>	<b>19</b>	<b>140.3</b>			<b>33</b>	<b>221.2</b>

Updated March 2013: complete.

## Annex 4. Overview of core and peripheral food security budget lines

Table 9. Delimitation of core and peripheral food security activities, started in different years, based on operational objectives and budget lines (SBE)

		<b>Operational objective</b>	<b>Budget lines (SBE)</b>
Up to 2012	Core	4.3 Economic growth, poverty reduction, private sector dev.	0610S13 Food security (decentral)
			1967S00 Knowledge and economic structure (central): 1. Global Crop Diversity Trust (1jan2011) 2. IFDC agribusiness (1jan2011) 3. Agriterra support PO (POP) (1jan2011)
	Peripheral	2.5. Regional stability and crisis mgt 2.7. Good governance 4.3 Economic growth, poverty reduction, private sector dev. 6.1. Environment and water 6.2. Sustainable water mgt, drinking water and sanitation	0610S23 Reconstruction (decentral)
			0610S08 Good governance
			0610S04 Business climate (decentral)
			0610S10 Environment (decentral) 0611S02 Integrated water mgt (decentral)
			0610S15 Water (decentral)
From 2012	Core	4.1 Food Security	0811S00 Market access
			1995S00 Food security: international education programme
			1991S00 Food security knowledge
			1987S00 Food security (central)
			0810S00 Food security (multilateral)
			0610S13 Food security (decentral)
			1990S00 Food security PPP (central)
	Peripheral	3.1. Safety, good governance, rule of law 4.3 Private sector development	0610S21: good governance, anti-corruption (decentral)
			0610S04 Business climate (decentral) ? a few, directly related to agriculture and food security. 1905S00 Economic diplomacy and PPP (central)
			1923S24 MFS II - Large [Only parts related to agriculture and food security]
		5.2 Civil society building	1923S24 MFS II - Large [Only parts related to agriculture and food security]
		6.2 Water	0610S15: Water (decentral) 0610S18: Drinking water and sanitation (decentral) 0620S04 / 0611S02: Integrated water mgt [if related to agriculture?]

## Annex 5. Long list of countries and projects for case studies

Table 10. Long list of countries and household-level impact projects working on the themes: inputs, supply and demand driven value chain development, and best agricultural practices.

Ranking themes	project period	clear targeting	NL main donor	Priority theme	Ranking countries (budget in m€)									
					Ethiopia	Rwanda	Uganda	Benin	Mozambique	Burundi	Ghana	Bangladesh	Indonesia	Kenya
<b>Theme 1: inputs</b> main theme	MJSP				131	86	46	45	31	31	29	18	17	17
	BEMOs				64	57	42	17	36	5	8	17	6	15
	Burundi	24759	IFDC fert subsidy	++	-	+	++					1		
	Ethiopia	23448	CDI seed	++	+	+	++	1						
	Ethiopia	25032	beekeeping	-	+	+	++	1						
	Kenya	23132	CDI seed sector	++	-	+	+							1
	Mozambique	24728	Technoserve seed	++	+	+	++			1				
	Rwanda	24720	Catalist*	++	+	+	++		1					
	Uganda	23616	Catalist*	+	+	+	++			1				
	Uganda	23617	CDI Seed sector	+	+	+	++			1				
<b>Theme 2a: demand driven value chain</b>														
main theme														
	Ethiopia	24596	Finance innovation	-	--	+	++	1						
	Ghana	23207	Certified cocoa	++	+	+	++				1			
	Ghana	23342	Sustainable oilpalm	+	+	+	++				1			
	Kenya	23131	Horticulture	++	+	+	++							1
subtheme														
	Uganda	23615	Dairy coops	+	+	-.*	+			1				
*Ug dairy: Danish Emb. funds several value chains; NL contribution = ~dairy chain														
<b>Theme 2b: supply driven value chain</b>														
main theme														
	Bangladesh	24552	Safal (markets polder)	+	+	+	++					1		
	Ethiopia	25061	Dairy	--	+	-	++	1						
	Indonesia	24965	Vegetable market	+	+	+	++							1
	Mozambique	23447	Beira growth (ag)	++	+	+	++			1				
sub theme														
	Benin	24941	Use research results*	+	-	+	+			1				
	Ethiopia	25032	beekeeping*	-	+	+	++	1						
	Rwanda	24720	Catalist*	++	+	+	++		1					
	Rwanda	25059	Marshlands*	++	-	+	+		1					
	Uganda	23616	Catalist*	+	+	+	++			1				

\*Note: some projects are presented both under main and subtheme

## Annex 6. Project info: Seed sector development in Ethiopia

Country:	Ethiopia (Addis Ababa)
Project name:	<b>Integrated seed sector development (ISSD) 2</b>
Activity nr.:	23448
Implemented by:	Wageningen UR – Center for Development Innovation
Budget:	€10,2 million
Activity period:	01-DEC-2011 – 31-DEC-2015
Single donor?	Yes
Main themes:	Inputs, private sector development

### Problem identification

One of the main bottlenecks to achieve increased agricultural productivity of smallholder farmers in Ethiopia is the availability and affordability of quality seed of improved varieties. At present, more than 90% of seeds used by farmers is farm saved seed, while higher quality seed of improved varieties could increase productivity by 15 -35%.

Private seed companies avoid self-pollinating crops -those grown by smallholder farmers and on which many of them depend for food security. They can make limited profit on these types of crops, because their biology makes it easy for farmers to save their own seed for planting.

### Goals and theory of change

The main objective is to improve food security and economic development in Ethiopia by increasing agricultural production and marketing of quality seed of improved varieties -- benefiting both producers and users of the seed.

This goal is expected to be achieved by

- Contributing to several foreign and national seed companies becoming operational in Ethiopia, focusing on cash crops.
- Increasing the number of professional, small- and medium-scale private seed producers also focusing on cash crops.
- *Local seed business component*: Establishing between 165 and 330 groups of farmers engaged in commercial seed production of quality self-pollinating seed for smallholders.
- Shaping an enabling institutional environment for a new private seed sector.

## Annex 7. Project info: Catalyst (input and output value chains) in Rwanda

Country:	Rwanda (Kigali)
Project name:	<b>Catalist-2</b>
Activity nr.	23888
Implemented by:	IFDC (in collaboration with cdi/wur)
Budget:	€19.830.100,-
Activity period:	01-JUL-2012 – 31-DEC-2015
Single donor?	Yes
Main themes:	Value chain development (push and pull)

### Problem identification

This project will be implemented across the rural areas of Rwanda, Burundi and the east of DRC. The Rwanda National Agricultural Survey (2008) suggests that 85-90% of the agricultural households in the country are food insecure. UNICEF and WHO estimated - for Rwanda as a whole - that in 2010, 44.3% of the Rwandan children were stunted (a sign of chronic food insecurity). According to the project document the overall agricultural production and yields are far below their potential

### Goals and theory of change

The overall goal of Catalyst-2 is improved farmers income (with 30%) and food security in the great lakes region; directly by improving the food security and income of 700.000 supported farmers, and indirectly through the resulting economic dynamics (benefiting an estimated additional 250.000 households) and increased availability of food (an additional 1 million metric tons of cereal equivalents).

To achieve this goal, the theory of change has four major interrelated components:

#### *a. Agribusiness clusters (ABC's)*

The project will contribute to the development of clusters wherein value chain operators (e.g. farmers and processors), supporters (e.g. input suppliers) and enablers collaborate in the development of the chain. This will happen through the provision of hands-on advisory services and by strengthening the ABC actors' capacities to finance their economic activities.

#### *b. Production push*

On the production side, the project focuses on increased smallholder production, yield improvement and cost price reduction of major crops. Access to quality seed (in cooperation with CDI (in a variant of ISSD), implementation of crop-specific ISFM (Integrated Soil Fertility Management) packages and storage improvement are key elements of the strategy to improve productivity and production.

#### *c. Market pull*

Raising production and productivity will create a marketable surplus. Past experience showed that farmers became more competitive and started to participate in markets. However, approximately 50 percent of the impacted farmers were not directly engaged in a project-supported value chain, but were selling their crop production through traditional market structures. The new cluster approach aims to stimulate farmers to become involved using 'market pull,' rather than through 'product push.' The establishment of supplier-buyer relations with large enterprises, including Dutch and

other multinational enterprises, will receive specific attention as these may provide important market opportunities and hence an important driver for viable agribusiness clusters.

*d. Policy environment and business climate*

This involves setting up stakeholder networks that could address agribusiness challenges.

The project will assure a balanced mix of commodities and markets to reduce the risks of reliance on a narrow commodity base. Staple crops as well as pulses, oil-crops, fruits and vegetables will be included; allowing the region to address nutritional issues through diversification of diets.

## Annex 8. Project info: Dairy sector development in Uganda

Country:	Uganda (Kampala)
Project name:	<b>Support to aBi-Trust for Dairy</b>
Activity nr.:	23615
Implemented by:	aBi-Trust
Budget:	€6.505.000
Activity period:	16-OCT-2012 – 31-DEC-2016
Single donor?	In practice yes, but investment is not officially earmarked.
Main themes:	Producer Organizations, value chain development

### Problem identification

The south-western milk shed produces 25% of all milk in Uganda. Currently 80% of the produced milk is sold through an informal chain that lacks decent tanks and cooling equipment. This leads to unhygienic handling and post-harvest losses in the form of spillage and spoilage.

Currently the logistical costs of collecting small quantities of milk from scattered locations, preferably through a cold chain, are very high and the chain is lacking adequate infrastructure. The majority of the existing milk coolers and generators in the area are owned by a big company that is holding a monopoly and thereby denying farmers the opportunity to sell their milk to other buying companies. The company is offering dairy cooperatives lower prices than it offers other traders and obliges them to transport the milk to the factory themselves (which makes any spoilage or spillage during transportation at the expense of the farmers).

### Goals and theory of change

The goal of this project is to overcome “market pull” constraints in the dairy chain identified in the previous paragraph in order to increase the income of 18.000 dairy farmers and increase the supply of milk with an extra 72 million liters.

To reach this goal, the project aims to

- *Strengthen 100 cooperatives (institutionally and in their capacity to collect, transport and process milk of an improved quality) by*
  - o Supplying them and their apex (UCCCU) with technical assistance
  - o Supplying the primary cooperatives with 50% grant for acquiring coolers, generators, milk cans, milk testing and grading kits and mini-laboratories
  - o Supplying a 50% grant for 10 trucks with insulated tanks to the apex cooperative (UCCCU)
- *Increase access to financial services for dairy farmers and other dairy agri-business by having five financial institutions serving the dairy chain*
  - o Supporting financial institutions to improve their agribusiness financing skills
  - o Develop financial products that are relevant for agribusiness
  - o Providing guarantees to mitigate risk
  - o Provide lines of credit to financial institutions keen to lend to dairy agribusiness.
- *Support the establishment of one additional dairy processing plant in the region*
  - o Mainly by providing technical assistance
  - o First UCCCU planned to open a processing plant themselves, but recently the EKN has initiated a relationship between UCCCU and FrieslandCampina. FrieslandCampina is interested in opening a processing plant themselves in close collaboration with UCCCU.

## Annex 9. Project info: Water management and output value chains in Bangladesh

Country:	Bangladesh (Accra)
Project name:	2 projects: Safal Blue Gold
Activity nr.:	24552 and 24007
Implemented by:	Solidaridad (and the Government of Bangladesh)
Budget:	€12 million ( and €50.6 million)
Activity period:	01-Sep-2012 – 31-AUG-2016 (01-JAN-2012 – 30-06-2020)
Single donor?:	Yes
Main themes:	

### Problem identification

Blue Gold targets the coastal zone of Bangladesh. In particular three districts (Patuakhali, Khulna and Satkhira) covering 160.000 ha of polders with an estimated population of 1 million (150.000 households). In many polders the embankments have been rehabilitated to protect the population for flooding, but little attention has been given to the water infrastructure inside the polders. Most people depend on agriculture, but production is low due to

- ineffective water infrastructure and management,
- lack of quality inputs (seed, fertilizer),
- lack of supportive infrastructure (storage, processing)
- lack of (awareness and knowledge of) new technologies

and farmers have inadequate market access resulting in low farm gate prices. As a result more than half of the population lives below the poverty line and the prevalence of stunting among children aged 59 months or less lies around 50%.

Safal covers an area that coincides with Blue Gold, but will target far fewer households (50.000 - an equivalent of 250.000 people).

### Goals and Theory of change

The goal of both Blue Gold and Safal is to reduce poverty and increase food security in the region.

*Blue Gold wants to achieve this goal as follows:*

1. Mobilizing communities in water management groups (WMG's)
2. Construction of water infrastructural works (with Dutch TA)
3. Development of productive sector (FFS, support to government extension, linking wmg's with service/input providers)
4. Business development (WMG's become enterprises providing services their members require – increased income of members allows them to pay membership fee's)

*Safal elaborates Blue gold on the third point (development of productive sectors), by:*

1. Establishing and increasing capacity of producer groups (where existent Safal uses WMG's) to pool resources, increase bargaining power, achieve economies of scale, reduce transaction costs, exchange knowledge and information or share risks.
2. Efficient farm management
3. Linking farmers with local, national and international markets. Win-win contracts will be facilitated to minimize farmers' marketing risks and increase incomes.

4. Developing village market chains (organizing village markets)
5. Improving nutrition. Farmer groups will be the entry points to introduce significant behavioral change as to the quality of food intake, food handling, sanitation and personal hygiene. (in collaboration with Max Value).