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SAHEL RESILIENCE LEARNING

FINAL PERFORMANCE EVALUATION

February 2018

This publication was produced at the request of the United States Agency for International Development. It was prepared independently by Dr. Alice Willard, Abdoulaye Tambandia, Sidiki Sanogo and Safyatou Diallo of Management Systems International, A Tetra Tech Company, for the USAID/Senegal Monitoring and Evaluation Project.

SAHEL RESILIENCE LEARNING (SAREL) FINAL PERFORMANCE EVALUATION

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DISCLAIMER

The authors' views expressed in this publication do not necessarily reflect the views of the United States Agency for International Development or the United States Government.

CONTENTS

Contents	iii
Acronyms	iv
Executive Summary	1
Evaluation Purpose and Questions.....	1
Activity Background.....	1
Evaluation Design, Methods and Limitations.....	2
Findings, Conclusions and Recommendations.....	2
Introduction	8
Activity Background	8
Evaluation Purpose and Questions	9
Evaluation Purpose and Intended Use.....	9
Evaluation Questions.....	9
Evaluation Methods and Limitations	10
Evaluation Team.....	10
Data Collection Methods.....	10
Data Analysis Methods.....	12
Limits and Challenges.....	12
Findings and Conclusions	13
Question 1.....	13
Question 2.....	18
Question 3.....	22
Question 4.....	24
Recommendations	26
Question 1: Recommendations.....	26
Question 2: Recommendations.....	27
Question 3: Recommendations.....	27
Question 4: Recommendations.....	28
Work Plan Recommendations for SAREL’s Final Year.....	28
Annexes	30
Annex I: SAREL Chronograph.....	30
Annex II: Financials from the Annual Reports.....	34
Annex III: SAREL M&E Activities and Timeline.....	36
Annex IV: SAREL Guiding Documents- Roles and Responsibilities.....	38
Annex V: Evaluation Statement of Work.....	41
Annex VI: Evaluation Work Plan.....	55
Annex VII: Getting To Answers Matrix.....	65
Annex VIII: Data Collection Instruments.....	68
Annex IX: SAREL Spending Budget per Year.....	72
Annex X: FCR.....	73
Annex XI: List of Key Informant Interview and Group Interview Participants.....	80
Annex XII: Sources of Information.....	86
Annex XIV: Disclosure of Any Conflicts of Interest.....	89

ACRONYMS

CESAO	<i>Centre d'Etudes Economiques et Sociales de l'Afrique de l'Ouest</i>
CFW	Cash for Work
CLA	Collaborating, Learning and Adapting
COP	Chief of Party
CRS	Catholic Relief Services
DCOP	Deputy Chief of Party
DFAP	Development Food Assistance Program
EQ	Evaluation Question
FCR	Findings, Conclusions and Recommendations
FFP	Food for Peace
GoBF	Government of Burkina Faso
GoN	Government of Niger
HC3N	<i>Haut Commissariat de l'Initiative 3N « Les Nigériens nourrissent les nigériens »</i>
HKI	Helen Keller International
IP	Implementing Partner
KII	Key Informant Interview
LOP	Life of Project
M&E	Monitoring and Evaluation
MEP	Monitoring and Evaluation Project
NECS	Niger Education and Community Strengthening
NGO	Non-Governmental Organization
OASIS	Organizing to Advance Solutions In the Sahel
PRN	<i>Pôle Régional Niger</i>
REGIS-AG	Resilience and Economic Growth in the Sahel-Accelerated Growth
REGIS-ER	Resilience and Economic Growth in the Sahel- Enhanced Resilience
RISE	Resilience in Sahel Enhanced
SAREL	Sahel Resilience Learning
SE-CNSA	<i>Secrétariat Exécutif du Conseil National de Sécurité Alimentaire</i>
SOW	Statement of Work
SPRING	Strengthening Partnerships, Results and Innovations in Nutrition Globally
SRO	Sahel Regional Office

TANGO	Technical Assistance to Non-Governmental Organizations
TMG	The Mitchell Group
USAID	United States Agency for International Development
VSF	<i>Vétérinaires Sans Frontières</i> /Veterinarians Without Borders

EXECUTIVE SUMMARY

Evaluation Purpose and Questions

USAID's Sahel Resilience Learning (SAREL) is a five-year (2014–2019), \$11,515,689 activity whose purpose is to provide monitoring, evaluation, collaboration and learning support to the USAID Resilience in the Sahel Enhanced (RISE) initiative. This report presents findings, conclusions and recommendations of SAREL's final performance evaluation. USAID/Senegal's Sahel Regional Office (SRO) commissioned the USAID/Senegal Monitoring and Evaluation Project (USAID/Senegal MEP) to design and implement this evaluation. The SRO requested this final performance evaluation to complement the larger Resilience in Sahel Enhanced (RISE) final evaluation and to provide more activity-specific information that can be used by USAID for adaptive management in the design of future learning activities for resilience programming.

The SAREL final performance evaluation aimed to answer four evaluation questions that the SRO developed:

1. Does SAREL have the appropriate resources (including time, budget, expertise, context assessment and monitoring, access to beneficiaries and access to implementing partners and key stakeholders) to achieve the stated objectives of the contract?
2. Have the activity implementers under RISE accelerated, expanded and scaled up resilience – enhancing best practices, innovations and models as a result of SAREL activity?
3. Have the activity implementers under RISE adopted a culture of collaborating, learning and adapting (CLA) within activities and institutions to adapt strategies, practices and indicators to reflect knowledge gained from experience, evidence and lessons learned as a result of SAREL activity, and to what extent has this improved development results in RISE Zones of Intervention?
4. To what extent will host country institutions, including the Governments of Burkina Faso and Niger and the *Centre d'Etudes Economique et Sociales de l'Afrique de l'Ouest* (CESAO), be able to continue implementing activities that further the SAREL contract objectives once the SAREL contract finishes, based on institutional capacity and the extent to which SAREL has fostered skills and motivation for ongoing learning and adapting?

Activity Background

The goal of SAREL is to strengthen the capacity of key stakeholders to engage in adaptive, evidence-based learning to promote best practices for resilience in the region. SAREL was to achieve this goal through five main components:

1. Test, expand and accelerate the adoption of proven resilience-enhancing technologies and innovations already underway.
2. Develop, test and catalyze widespread adoption of new models that integrate humanitarian and development assistance and promote resilience and growth.
3. Promote ownership, build the capacity of national and regional institutions, and coordinate humanitarian and development interventions in the zone of intervention.
4. Address Gender Issues Key to Resilience and Growth.

5. Creation of a knowledge management database that will house a SAREL-led baseline assessment, ongoing monitoring data, and impact evaluations for REGIS-ER and REGIS-AG.1

SAREL works closely with the SRO's two primary resilience-strengthening activities in Burkina Faso and Niger: Resilience and Economic Growth in the Sahel-Accelerated Growth (REGIS-AG) and Resilience and Economic Growth in the Sahel-Enhanced Resilience (REGIS-ER). The Center for Economic and Social Studies of West Africa (*Centre d'Etudes Economiques et Sociales de l'Afrique de l'Ouest*, CESAO) is a major partner working closely with SAREL to develop capacity to eventually take over certain of SAREL's collaboration, learning and adapting (CLA) tasks. SAREL also works with five Development Food Assistance Programs (DFAP) and 20 other USAID development activities being implemented in Burkina Faso and Niger.

Evaluation Design, Methods and Limitations

This evaluation engaged in an extensive desk review (SAREL annual reports, work plans, quarterly reports, contract and modifications as well as other RISE-related evaluations and research and RISE partner annual reports), quantitative data collection (statistics from the SAREL knowledge management (KM) portal: numbers of users, most frequent documents downloaded, etc.) and qualitative data collection (semi-structured and key informant interviews in Niamey, Niger, and Ouagadougou, Burkina Faso, with SAREL staff, RISE partners and representatives from the governments of Niger and Burkina Faso).

During data analysis, the team drew on findings organized by evaluation question, facilitated by the standardized data collection instrument. Analysis of qualitative data collected via the key informant interviews used thematic and content analysis, with categories developed inductively.

The evaluation team faced several limitations while implementing this evaluation, including its compressed timeframe; highly scripted, standardized responses from all SAREL staff interviewed; and the timing of the DFAP cycle.² To work as efficiently as possible, while the desk review of key documents continued in the U.S., MEP/Senegal developed a detailed field agenda well in advance of the team's arrival in-country to ensure maximum fieldwork time for primary data collection with key stakeholders. In instances where the team was not able to meet all identified stakeholders, the local evaluators in each country followed up with interviews and sent notes to the international team for inclusion in analysis.

Findings, Conclusions and Recommendations

Findings and Conclusions

Evaluation Question 1: Does SAREL have the appropriate resources (including time, budget, expertise, context assessment and monitoring, access to beneficiaries and access to implementing partners and key stakeholders) to achieve the stated objectives of the contract?

Despite significant resources (\$11.5 million) and a five-year timeframe, it is unlikely that SAREL will achieve its stated objectives in the time left under the contract, given what SAREL has accomplished to date. There is progress on components one and five, but little movement on components two through four. All parties interviewed for this evaluation generally agreed that the scope was too broad, and SAREL decided at different points to triage resources (time and staff) to concentrate on certain elements (resilience CLA

¹ Page 6 from SAREL Contract, AID-625-C-14-00002

² The DFAPs were in their final year of implementation, and most teams were operating in close-out mode while also working on the next cycle's proposal. This meant that they were even busier than usual.

and KM). At the same time, the scope was very generic, so determining how much could be done was left to SAREL to propose in annual work plans. USAID reviewed these plans, and added tasks during each year (for example, regional meetings) that then required diverting planned resources to cover the additional tasks. While these tasks were not beyond the overall scope for SAREL, they had not figured in SAREL's proposed annual work plans. SAREL accommodated the new requests at the expense of other work planned. The SAREL Chronogram in Annex I and the SAREL Monitoring and Evaluation Activities and Timeline in Annex III provide additional evidence of the length of time it took SAREL to accomplish key tasks.

Despite a hard-working staff, SAREL was consistently understaffed by The Mitchell Group (TMG). Of the initial seven subcontractors³, SAREL dropped three completely, used two as core staff providers (Engility and CESAO), and two for specific deliverables (ethnographic research and database development). SAREL was also challenged by a lack of understanding by USAID RISE partners in Burkina Faso and Niger on SAREL's precise role in terms of M&E, collaboration and learning, caused in part by changing and at times inconsistent terminology in key documents with a shift from "REGIS" to "RISE" for the entire portfolio as well as a 2014 ADS revision shift turning "programs" into "projects". Annex IV- SAREL Guiding Documents- Roles and Responsibilities -provides a tracking table of the potential sources of confusion in the document trail regarding roles and responsibilities. These inconsistencies could have been resolved with better communication between REGIS-ER, REGIS-AG, SAREL, SRO, and its activity managers.

All these factors resulted in the need for additional time and effort by SAREL staff to build relationships and develop trust among key partners that would promote open information sharing in support of learning. Relations between the Activity and USAID implementing partners in Burkina Faso were particularly difficult due to the presence of only one technical SAREL staff in Ouagadougou, compared to seven in Niamey. This hindered the Activity's ability to make quick decisions and to interact effectively with the large number of RISE partners in Burkina Faso.

Although resilience metrics is a new and evolving field, SAREL's contribution to improving RISE partners' M&E capacities was limited, despite its access to the premier firm for resilience metrics (TANGO). By the time of the evaluation, there was minimal evidence of any substantial M&E skill transfers or M&E outreach to implementing partners. SAREL (see table in Annex III) has conducted, generally via consultants, baseline and midline surveys as part of its Activity impact evaluation. It has trained staff in conducting data quality assessments (DQAs), generally in concert with conducting the DQAs for REGIS-ER and REGIS-AG. SAREL included (usually) half-day meetings on M&E as part of their larger CCR events: from the documents, these meetings consisted primarily of reporting out findings from the surveys and midterm assessments. There is only one mention during FY15 of working on the REGIS-ER and REGIS-AG AMELPs, and partners noted in interviews that the SAREL team was unavailable/unable to respond to additional queries about indicators.

Evaluation Question 2: Have the activity implementers under RISE accelerated, expanded and scaled up resilience – enhancing best practices, innovations and models as a result of SAREL activity?

Evidence is inconclusive on SAREL-related resilience innovations due to a lack of monitoring, validation and analysis of best practice adoption by SAREL. While it is not possible to determine to what degree

³ TMG's original contract had seven subcontractors: IRG/Engility, The Atlantic Council, University of California/Berkeley (The OASIS Institute), Hennice, Search for Common Ground, CESAO, and Social Impact Lab (SIMLab). Hennice provided support for the PIDS and the KM portal. Search for Common Ground worked on community radio, which was discontinued after a year.

implementers have accelerated or scaled up resilience, there is clear evidence that certain practices have spread beyond the originating partner.

As a learning platform, SAREL is intended to bring RISE partners together to share and document approaches that worked effectively within their project context. This proved to be SAREL's greatest value, per interviews with implementing partners. However, while SAREL documented these practices, it did not provide any verification, validation or analysis of the practices, which is critical to effective scale-up. Despite the lack of analysis, partners did adopt certain of these documented practices. The evaluation team confirmed 30 collaborations⁴ among RISE partners that resulted in 13 modifications to technical approaches. In most cases, partners integrated the new or expanded technical approaches into existing services, with changes made more frequently among projects in the earlier stage of their life cycle, as opposed to those that were closer to close out.

Evaluation Question 3: Have the activity implementers under RISE adopted a culture of collaborating, learning and adapting (CLA) within activities and institutions to adapt strategies, practices and indicators to reflect knowledge gained from experience, evidence and lessons learned as a result of SAREL activity, and to what extent has this improved development results in RISE Zones of Intervention?

Activity implementers under RISE have certainly expanded CLA to adapt strategies and practices, to the extent possible (given resource constraints and pre-existing requirements). SAREL enabled the implementing partners to learn more about each other's practices, and the partners' then chose whether and how to collaborate with other partners. It is not clear how this improved development results among the FFP partners except through findings in their final performance evaluation that emphasized the growth in collaborations and coordination, without respect to changes in results (only in implementation). The two REGIS activities contributed to many of those collaborations, both informal and formal. It is possible that the RISE midline survey may provide more data on actual results improved, but that was not available at the time of this evaluation.

SAREL has primarily used workshops to support a culture of collaboration, learning and adapting (CLA) among RISE partners, strongly encouraged by USAID. While some RISE partners, such as Catholic Relief Services (CRS), Save the Children and Mercy Corps, have organization-wide CLA systems already in place, other partners' systems are still in progress. SAREL's main contribution as an independent platform is the provision of a space for all partners to come together and share their learning. However, SAREL's focus on workshops in capital cities (Niamey and Ouagadougou) and on Chiefs of Party as its primary points of contact among RISE partners, has constrained grassroots dissemination of knowledge gained from experience. Another SAREL CLA tool is its knowledge management portal. Unfortunately, RISE partners have made limited use of the SAREL knowledge management portal materials. The portal functions essentially as a repository of best practices identified by RISE partners and does not provide any value-added analysis or guidance to users.

Evaluation Question 4: To what extent will host country institutions, including the governments of Burkina Faso and Niger and the *Centre d'Etudes Economique et Sociales de l'Afrique de l'Ouest (CESAO)*, be able to continue implementing activities that further the SAREL contract objectives once the SAREL contract finishes, based on institutional capacity and the extent to which SAREL has fostered skills and motivation for ongoing learning and adapting?

⁴ "Collaborations" are defined as partners working together, either through a formal Memorandum of Understanding or more informally to add new or modify existing technical approaches.

SAREL has worked closely with the governments of Burkina Faso and Niger, CESAO and the resilience initiatives in both Niger (HC3N) and Burkina Faso (SE/CNSA). SAREL's closest local partner is CESAO, which staffs three SAREL positions and provided strong start-up support for the Activity. Given the broad scope of SAREL, no one partner currently appears capable of taking over operations of the platform. CESAO has strong capacity in terms of networks in the sub-region and a large training and facilitation center in Burkina Faso; however, it has limited monitoring, evaluation and learning capacity and its financial systems are weak. While SAREL carried out an initial organizational assessment of CESAO in the first year of the Activity, its capacity-building support for CESAO began only recently, in 2017. SAREL determined that the institutional support CESAO required was beyond their abilities during the first year of implementation, and has followed a policy of individual on-the-job training (knowledge management, workshop facilitation, etc.) since. Planned institutional strengthening consultancies have been delayed due to the pressure of other work. It is not clear how much strengthening can realistically be done in SAREL's final year of operations. In terms of the resilience initiatives in Burkina Faso and Niger, neither HC3N nor SE/CNSA appear to have the staff and capacity to manage a SAREL platform. Without financial support, none of the government offices would be able to take on even a more limited version of SAREL. Without both financial and institutional support, neither would CESAO.

Recommendations

Recommendations for the next iteration of a RISE learning platform are listed below, followed by recommendations for SAREL in its remaining year of operation.

Next Iteration of SAREL:

For SAREL:

1. Continue playing its key role as a CLA coordination and collaboration mechanism.
2. Explore alternate staff capacity building approaches such as training and mentoring more junior-level in-country staff for SAREL, including detailing staff from other organizations.
3. Adjust the balance of staff between Niger and Burkina Faso (even if the resource pool is two-thirds, one-third, there should be more of a technical presence in Burkina Faso than currently exists).
4. Decentralize workshops outside of capitals and provide more in-depth focus on fewer topics.
5. Set clear objectives and a detailed MEL plan to track results from the outset of any learning platform.
6. Balance equal number of learning activities between the two countries (e.g. ethnographic studies and university courses).
7. Develop better communications and outreach on the purpose and benefits of CLA, targeted at various audiences.
8. Improve advance notification and coordination for workshops with RISE partners and USAID staff.
9. Link discussions in the workshops more explicitly to the resilience theory of change.

10. Develop a CLA sustainability plan from project outset, including identification of partners (government agencies or regional institutions like CESAO) and a capacity building plan to enable the selected partners to carry on these activities post-project.
11. Reinforce collaboration with the Government structures in Burkina Faso and Niger.

For USAID

1. Provide a clear, strong explanation and endorsement of any future learning platforms to the many RISE partners.
2. Coordinate the learning platform life cycle and RISE II Learning Agenda with RISE partner project cycles.
3. Ensure that future RISE implementing partner solicitations allocate funds for partner participation in learning workshops and interaction with the learning platform.
4. Reinforce the importance of collaboration with State structures (in particular, ensure that the resilience policies of both governments align with USAID policy) and support communication and coordination with Government of Burkina Faso and Government of Niger structures. This should be done in a more formal manner by USAID, through an established agreement of collaboration with a related M&E mechanism for implementation that would involve SAREL.

SAREL's Final Year:

SAREL faces considerable challenges in its last year of implementation with respect to the imbalance in reaching the objectives of its five primary components. SAREL may want to consider concentrating on fewer activities, such as the following:

Component 1:

- RISE final survey and final performance evaluation (in concert with TANGO, et al.).
- Validate no more than four good resilience practices (two should focus on gender). Validation should consist of direct field observation of communities where these practices occur, and communities where they do not occur, discussions with communities about the results obtained where those practices do occur, and detailed cross-matching of those findings with reported results from the implementing partner(s).
- Disseminate validated practices as part of a major lessons learned event: here are the good practices we (together) have identified, and here are the expected results of these key practices based on an empirical and independent examination of actual performance in the field

Component 2:

- Map out humanitarian and development assistance partners in the USAID portfolios within the zone of influence. Make that mapping available more widely, disseminate the recent HA/DA integration paper, and conduct strategy discussions about what can currently be done to shift from a development to a humanitarian focus (and back again), with respect to programmatic and resource implications, especially with respect to the shock response paper, as a precursor to a larger discussion on adaptive management for contracts/grants.
- Conduct one workshop to share mapping findings and provide a platform to discuss the crisis modifier paper, with the intention of facilitating partner plans on responding to crises.

Component 3:

- Assuming the second ethnographic study focuses on gender, assist in conducting findings meetings in the field offices (Maradi and Zinder).
- Work with Component 1 on validating two of the four good resilience practices.

Component 4:

- Organize the KM portal (map topics, develop a users' guide, write up synopses/summaries of key documents, translate most-downloaded documents, update user statistics metrics).
- Conduct an open workshop on M&E for resilience and CLA, focusing on the resilience capacities index, adaptive management, and correct measurement practices. Most partners will not have seen the overall resilience capacities module, nor how that module explores absorptive, adaptive, and transformative capacities from a food security context. That basic orientation will help inform additional conversations in the next round of Title II activities, and provide a basis for discussion of the RISE midline survey findings, as well.

Component 5:

- With CESAO (probably the regional coordinator, but not limited to that office), triage the types of capacity strengthening identified, and develop a realistic plan of action for the remaining year.

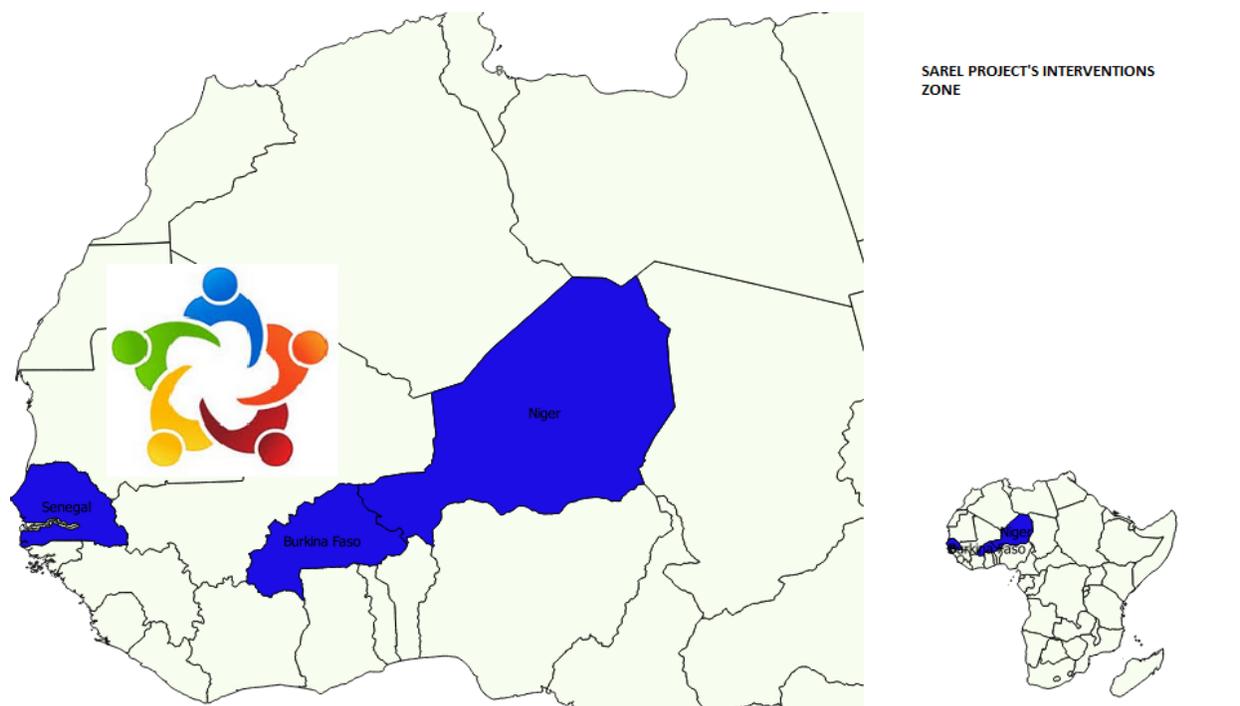
INTRODUCTION

This evaluation report presents the findings, conclusions and recommendations of Sahel Resilience Learning (SAREL) activity final performance evaluation. USAID/Senegal, specifically the Sahel Regional Office (SRO) commissioned the USAID/Senegal Mission-Wide Monitoring and Evaluation Project (MEP) to design and implement the evaluation.

This report is structured in four parts. The first part presents a brief background on SAREL. The second part presents the evaluation purpose, questions, methodology and limitations as well as an overview of the evaluation team. The third part describes the findings and conclusions for each of the four evaluation questions. The last section presents the evaluation team’s overall recommendations, based on the findings from the four questions.

ACTIVITY BACKGROUND

Sahel Resilience Learning (SAREL) is a five-year (2014–2019), \$11,515,689 Activity, implemented by The Mitchell Group (TMG), whose purpose is to provide monitoring, evaluation, collaboration and learning support to the USAID Resilience in the Sahel Enhanced (RISE) initiative. The goal of SAREL is to strengthen the capacity of key stakeholders to engage in adaptive, evidence-based learning to promote best practices for resilience in the region.



SAREL works closely with SRO’s two primary resilience-strengthening Activities in Burkina Faso and Niger: Resilience and Economic Growth in the Sahel-Accelerated Growth (REGIS-AG) and Resilience and Economic Growth in the Sahel-Enhanced Resilience (REGIS-ER). The Center for Economic and Social Studies of West Africa (*Centre d’Etudes Economique et Sociales de l’Afrique de l’Ouest, CESAO*) is a major

partner working closely with SAREL to develop capacity to eventually take over some of SAREL's collaboration, learning and adapting (CLA) tasks. SAREL also works with five Development Food Assistance Program (DFAP) partners, as well as 20 other USAID development Activities being implemented in the target areas of Burkina Faso and Niger. The SAREL office is in Niamey, Niger. The Activity has an affiliate office in Ouagadougou, Burkina Faso. SAREL also started with seven partners (including Search for Common Ground, University of California/Berkeley, the Atlantic Council, Engility, Hennice, CESAO, and Social Impact Lab). UC/Berkeley works with local universities under a separate agreement titled OASIS. Engility and CESAO provided staff positions within SAREL, while Hennice provided database support. Search for Common Ground was responsible for community radio, an activity dropped after a year. SAREL did not use either The Atlantic Council or the Social Impact Lab.

EVALUATION PURPOSE AND QUESTIONS

Evaluation Purpose and Intended Use

SRO requested this final performance evaluation of SAREL to complement the larger RISE final evaluation and to provide more activity-specific information that USAID can use for adaptive management in the design of future learning activities for resilience programming. The SAREL evaluation focused on the activity's effectiveness in reaching its objectives and in overcoming implementation challenges. It also identified lessons learned and looked at the sustainability of SAREL's tasks.

The evaluation report will be shared with the SRO team, SRO-managed USAID Limited Presence Country (LPC) Offices in Burkina Faso and Niger, The Mitchell Group (TMG), SAREL, and the Center for Resilience in Washington, D.C. The findings and conclusions will be used to make recommendations for the remaining year of the contract and for the design of future MEL platforms. The RISE portfolio partners and CESAO will also receive copies of the final report.

The following are the intended users of the evaluation:

- **USAID/Senegal Mission**, the primary stakeholders and users of this evaluation.
- **SAREL** staff and partners (CESAO, OASIS) as well as TMG.
- **Resilience partners**, including the Center for Resilience at USAID/Washington, which was involved in the key informant interviews, and will be interested in this report in terms of lessons learned around resilience CLA platforms.
- **Government stakeholders**: The secondary users of this evaluation are the governments of Niger (GoN) and Burkina Faso (GoBF) and local institutions that could be interested to learn from this evaluation to strengthen the collaboration and partnerships with USAID.

Evaluation Questions

The SAREL final performance evaluation was structured to answer four evaluation questions (EQs) that the SRO team developed.

- I. Does SAREL have the appropriate resources (including time, budget, expertise, context assessment and monitoring, access to beneficiaries and access to implementing partners and key stakeholders) to achieve the stated objectives of the contract?

2. Have the activity implementers under RISE accelerated, expanded and scaled up resilience – enhancing best practices, innovations and models as a result of SAREL activity?
3. Have the activity implementers under RISE adopted a culture of collaborating, learning and adapting (CLA) within activities and institutions to adapt strategies, practices and indicators to reflect knowledge gained from experience, evidence and lessons learned as a result of SAREL activity, and to what extent has this improved development results in RISE Zones of Intervention?
4. To what extent will host country institutions, including the governments of Burkina Faso and Niger and the Centre d'Etudes Economique et Sociales de l'Afrique de l'Ouest (CESAO), be able to continue implementing activities that further the SAREL contract objectives once the SAREL contract finishes, based on institutional capacity and the extent to which SAREL has fostered skills and motivation for ongoing learning and adapting?

Each of these questions has been expanded for the respondent categories: donors, host country governments, and CESAO and RISE partners (see Annex VIII for the Data Collection Instruments and Annex XI for the list of key informant and group interview participants).

EVALUATION METHODS AND LIMITATIONS

Evaluation Team

A team of four individuals, working from December 2017 to February 2018, carried out the SAREL final performance evaluation. The four team members included one international consultant, two national consultants (one Nigerien and one Burkinabe) and an M&E associate from USAID/Senegal Monitoring and Evaluation Project (MEP). The team members are:

- Dr. Alice Willard, evaluation team leader and consultant in M&E (resilience expert), led and participated in all evaluation activities, from design to report writing.
- Mr. Abdoulaye Tambandia, Nigerien national consultant, participated in the desk review, key informant interviews and analysis of interview notes.
- Mr. Sidiki Sanogo, Burkinabe national consultant, participated in the desk review, key informant interviews and analysis of interview notes.
- Ms. Safyatou Diallo, M&E associate, provided support during all stages of this evaluation, from design to analysis and report writing, and co-facilitated all interviews.

Data Collection Methods

This performance evaluation engaged in desk review and quantitative and qualitative methods to assemble data required for arriving at findings, conclusions, and recommendations. The team used quantitative data from documents reviewed (quarterly and annual reports, work plans, monitoring and evaluation plan) and statistics from the knowledge management (KM) portal managed by SAREL. The evaluation team collected qualitative data from fieldwork in Niamey, Niger, and Ouagadougou, Burkina Faso. The team conducted key informant and semi-structured interviews with RISE partners in both countries, as well as with SRO staff in Dakar, Center for Resilience staff in Washington, D.C. and TANGO. Most of these interviews were person-to-person, with the main discussion points recorded in writing using a standardized data collection form for easier coding and analysis and, as permitted, on an audio recording for later cross-checking during the data analysis phase.

At the end of each day, team members typed up notes from the interviews, noting at the top of each interview guide any interesting or significant points, and holding a debrief meeting to review key findings. The team leader reviewed all notes and developed a consolidated file for each interview as a cross-check on quality and to add any points omitted due to language or other deficiencies.

Document Review

The evaluation team reviewed a wide range of documentation, including the SAREL activity contract, modifications, the activity monitoring and evaluation plan, annual work plans, quarterly reports and reports related to progress around specific activity objectives. During the fieldwork, the team received additional documents from SAREL's team, TMG and SRO. The document review allowed the evaluation team to have a clear understanding of the activity objectives and implementation characteristics, contexts and challenges, and reported activity results. Based on the document review, the team developed the "Getting to Answers with Secondary Data" matrix to identify areas of focus for primary data collection for each evaluation question (EQ). A complete list of all documents reviewed by the evaluation team is in Annex XII.

Key Informant and Semi-Structured Interviews (KIIs)

The team conducted key informant and semi-structured interviews with the SAREL staff in Niamey and Ouagadougou, TMG in Washington, D.C., the Center for Resilience also in Washington, representatives from the Governments of Niger and Burkina Faso, and primary RISE partners. The evaluation team based its interview questions on the master data collection instrument (see Annex VIII). Each of the main evaluation questions has been further elaborated in two or three additional questions, and the key informant interviews (KIIs) are customized by type of respondent category to minimize confusion and target the appropriate level of access to information about both SAREL and resilience activities.

Selection of Respondents

SAREL and RISE partners have offices in two countries: Niger and Burkina Faso. SAREL and RISE also work with other partners in Senegal, Mali and Chad. Due to time limitations in the evaluation (and relatively lower levels of interaction with the other three countries), fieldwork focused on Niamey and Ouagadougou, where the majority of RISE partners are based. Details of activities outside Niger and Burkina Faso were included in the document review and the KIIs.

The focus of the sampling for interviews was purposive and based on the following criteria:

1. Direct knowledge of SAREL and resilience activities in the SAHEL;
2. SRO and LPC staff responsible for SAREL;
3. Senior staff among SAREL, CESAO and SAREL's Tier 1 partners⁵ (chief of party, deputy chief of party, M&E manager, CLA manager);
4. Host country government officials tasked with resilience policy and implementation; and
5. Tier 2 partners (chief of party, et al).

⁵ SAREL considered the two REGIS activities and the five food security activities as Tier 1 partners. Organizations outside those seven, but located in the zone of influence and funded by USAID, were lower tiers, through Tier 8.

A total of 81 individuals participated in 45 separate interviews across four countries (U.S., Senegal, Niger and Burkina Faso). For a full list of respondents, including the total number of interviews and respondents and the total number of interviews by type of respondent, see Annex XI.

Data Analysis Methods

Data analysis drew on findings organized by evaluation question, facilitated by the standardized data collection instrument. The evaluation team analyzed qualitative data collected via the key informant interviews using thematic and content analysis, with categories developed inductively.

The MEP team in Dakar received recordings of interviews for transcription and translation, as necessary, but the team determined (through the notes consolidation) that this was unnecessary and would delay analysis. The team designed an analysis rubric to analyze the data and capture these emerging themes and patterns. Content analysis helped the team go beyond descriptions of changes in practices and attitude to identify the most salient characteristics of these changes, in particular the modifications to both resilience programming and CLA adopted as a result of SAREL's interventions. The evaluation team used data triangulation (the use of two or more data sources) to strengthen findings or identify areas of divergence. The team initially planned to describe the findings in frequencies and frequency distributions, but the demands of the findings, conclusions and recommendations (FCR) table made that approach unworkable. Instead, the team used a modified Likert categorization (none, some, many, most) to reference general strength in responses.

One other analytical tool proven useful in similar management and performance reviews is a chronograph. Chronographs show operational context over time at various levels: general operating environment, project management and specific performance benchmarks. These included security concerns or staffing gaps/overlaps, thus providing useful overviews of challenges and advantages that offer additional insight into an activity's implementation. The evaluation team uses this to provide an ongoing context for SAREL's implementation successes and challenges, especially including its access to resources.

Limits and Challenges

Compressed Time Frame

The time for the evaluation was relatively short, due to the evaluation starting later than anticipated and having a firm deadline for the draft deliverable. The evaluation began in mid-December, with fieldwork planned for approximately three weeks in Senegal, Niger and Burkina Faso. In addition, the team needed to produce not only the evaluation report, but also a strategy paper that would incorporate lessons learned from the evaluation findings. To start efficiently and work as effectively as possible, MEP/Senegal obtained not only most of the documents needed, but also a key list of contacts for the evaluation. While the desk review continued in the U.S., the MEP/Senegal M&E manager for the SAREL evaluation contacted local evaluators and contracted with them to join the team in Niger and Burkina Faso. The M&E task manager, Ms. Safyatou Diallo, scheduled interviews with the key informants in all three countries. A detailed field agenda with appointments scheduled was completed by the MEP team before arrival in-country. This enabled them to use fieldwork time solely for primary data collection with key stakeholders. In instances where the team was not able to meet all identified stakeholders, the local evaluators in each country followed up with interviews and sent notes to the international team for inclusion in analysis.

The team leader stayed an extra week in Dakar so she would be available to the Mission staff during production of the strategy paper and to ensure that both deliverables met USAID needs. Completion of the FCR table and the draft strategy paper both occurred prior to her departure from Senegal, with the evaluation team reviewing the former and developing it with Ms. Diallo.

It was clear from the start that the evaluation team would not leave the capital cities. This meant that access to field staff was limited to those who were able to leave their sites or were based in the capitals. As SAREL had targeted the chiefs of party (COPs) and had only rarely done field visits, this was an appropriate strategy, especially given the trade-off between travel time to the field and the compressed timeframe for the evaluation. It also meant that the evaluation team was not able to talk with field staff directly to ascertain how the collaborations with other organizations were affecting their own results and to find out how the mechanics of the collaboration and coordination changed their relationships with previously competing implementing partners.

DFAP Lifecycle

An unexpected challenge for the evaluation timing was the demand on the five DFAP teams, as they were in the middle of writing proposals for the next cycle of funding. This meant that their attention tended to be focused on that task. This also affected how much change/adaptation the DFAPs could incorporate into their already highly-structured activity plans without shifting resources. This lack of synchronization had been an issue throughout SAREL, as the DFAPs were approximately midway through their implementation when SAREL and the REGIS activities started, making it difficult to align RISE objectives with existing contracted activities. REGIS-ER started approximately six months before SAREL, and the DFAPs in Burkina Faso took the initiative to convene the first collaboration meeting. SAREL led other meetings with the RISE partners once it began operation.

Scripted Responses

The evaluation team shared the evaluation questions from the scope of work with the SAREL home office who asked permission to share the questions with their field teams. The evaluation team received written responses to the four evaluation questions from the contractor and was surprised by the almost verbatim responses to those questions across all SAREL staff interviews, despite efforts by the evaluation team members to elicit more spontaneous, less standardized input (separating out staff for individual interviews, changing the focus of the questions and even changing languages). To offset this highly scripted message from the contractor, the evaluation team utilized more rigorous triangulation of the SAREL staff responses with interview notes from the rest of the informants, to validate input regarding results, obstacles and lessons learned.

FINDINGS AND CONCLUSIONS

Question 1

Does SAREL have the appropriate resources (including time, budget, expertise, context assessment and monitoring, access to beneficiaries, and access to implementing partners and key stakeholders) to achieve the stated objectives of the contract?

Findings

Resources: Time, Budget, Expertise

SAREL started with an ambitious scope of work, combining CLA, M&E, knowledge management, gender and institutional capacity building while bridging humanitarian assistance and development assistance. This was all to be accomplished under the broad and fluid multi-sectoral structure of resilience. SAREL needed to operationalize this across two countries, working initially with two other new activities under the RISE portfolio: REGIS-ER and REGIS-AG, and with five DFAPs in Niger and Burkina Faso already well underway.

Other partners (USAID IPs and other implementers, such as Concern, Groundswell, and Africare, who either operated in the ZOI or outside it) in the region also joined SAREL's working audience, as well as government organizations in both countries tasked with resilience.

SAREL had a strong behavior change focus, shifting RISE implementing partners from a stance of competition to collaboration and coordination in learning. Doing this with a small team across two countries required not only extensive travel between the countries, but also relationship building with the many implementing partners. At its introduction, RISE partners saw SAREL as being imposed on them, with collaborations not so much encouraged as mandated by the donor. SAREL and implementing partners did not believe that USAID introduced SAREL well with either a clear scope or link with partners presented. Due to this, SAREL's relationship building took longer and required considerable effort to create an atmosphere of trust. Even now, considerable confusion remains among RISE partners about SAREL's role; based on USAID and RISE partner interviews, that role has shifted over time, adding to the confusion. At the same time, partners almost unanimously said that a non-implementing partner being the lead for collaboration and coordination was key to the learning platform approach. It gave a bit of distance to donor contact and control, yet did not represent one partner managing or directing the others in the same portfolio.

Partners especially valued the market approach and the mapping exercises. The market approach allowed partners to explore each other's techniques, with each partner hosting a table with materials and staff in a large conference room. Interested partners could circulate throughout the room and find out more about the various techniques and approaches in that conference space, and then determine subsequently how and with whom they might be able to collaborate. The partners made those arrangements independently of SAREL. Mapping exercises provided a concrete visual of who was doing what, and where. The first approach allowed each partner not only to present what they were doing, but did so in a "safe space." The latter opened the possibility of localized collaborations (formal or informal). The host governments were also appreciative of the mapping exercise, noting that it was something they would have done if they had had funds for it.

The headquarters of SAREL is in Niamey. There is a widespread perception among RISE partners and government officials that Niger receives far more attention in the SAREL portfolio than Burkina Faso does. This perception is reinforced by the SAREL budget, which allocates resources unevenly in favor of Niger, at an 80/20 ratio. Prior to the addition of a technical coordinator in Burkina Faso, almost every decision had to be relayed to the COP in Niamey for an answer, which slowed response time significantly for the implementing partners (IPs) in Burkina Faso. In addition, only one SAREL (technical) staff was based in Burkina Faso as opposed to seven in Niger. Some RISE partners in Burkina Faso noted that, even in the workshops, it seemed as if the Niamey-based staff simply showed up to repeat the workshop they had just given in Niger, without any customization for Burkina Faso, and left immediately after the workshop. When SAREL added another technical staff to the team in Burkina Faso, this helped improve response time. Under the USAID model, there are country staff covering activities in-country, regional staff providing additional support to those activities in LPC, and (depending on the funding stream), agreement or contract office representatives at the central level. SAREL had one decision-maker, based in only one of the two countries for which it was responsible. REGIS COPs both noted the importance of having at least a DCOP in the second country for daily management and to reduce the burden on the COP for traveling between the two countries for higher-level decisions and overall management.

At the time of the evaluation, SAREL had gone through five contract modifications, mostly to allocate or realign funds. An analysis of actual expenses versus budget projections in Annex II shows a pattern of consistent underspending and the uneven division between Niger and Burkina Faso's resources. It also describes a pattern of functional triage in terms of SAREL's five various components, which will be

discussed in subsequent paragraphs. Only one respondent said the financial resources for SAREL were inadequate, citing the REGIS budgets as a comparison.

TMG had assembled a rather formidable array of partners for SAREL, with the five components assigned to individual or grouped partners. By the time of this evaluation, one partner had completed its task (designing the KM portal); one partner (Search for Common Ground) had been released when SAREL determined that the mechanism of community radio broadcasts was not as appropriate as envisioned; and two other partners were never used (The Atlantic Council or the Social Impact Lab) because of shifted priorities. UC/Berkeley, operating as Organizing to Advance Solutions in the Sahel (OASIS), was still working on the second of two ethnographic studies. SAREL's core senior staff represent the remaining three partners: TMG (the COP), Engility (one staff) and CESAO (three staff), three of whom have been with SAREL from the beginning, with the two others hired within the last year. These two are the gender and knowledge management specialists (both recruited by CESAO and considered to be CESAO staff.

Most of the respondents rated SAREL staff between good and very good, but also said staff were overwhelmed with the volume of work. SAREL found it difficult to hire qualified local staff, perhaps unsurprisingly given the relative novelty of both resilience and knowledge management and the persistent challenge of identifying M&E personnel. The only alternate solution that TMG pursued was to provide temporary fixes in the form of periodic consultants. While TMG had a budget for consultants to augment staff, these visits seemed more in response to donor concerns about staffing levels than a sustainable solution. CESAO took the lead to locate and propose two additional staff (gender and knowledge management) when TMG was unable to identify other candidates. What was unanticipated, however, were the additional tasks from the donor, requiring redirection of staff time and resources. Based on a desk review of the original scope for SAREL and its annual reports, consistent gaps in tasks and results (for example, gender, knowledge management, validating best practices) were left unresolved due to the volume of work on other tasks. For example, the integration of humanitarian and development assistance started as a concept note in year one, but the study was only done last year (year four of SAREL), with planned dissemination for year five.

All parties interviewed for this evaluation generally agreed that the scope was too broad, and SAREL decided at different points to triage resources (time and staff) to concentrate on certain elements (resilience CLA and KM). At the same time, the scope was generic, so determining how much could be done was also left to SAREL to propose in annual work plans. USAID reviewed these plans, and added tasks during each year (for example, regional meetings) that then required diverting planned resources to cover the additional tasks. While these tasks were not beyond the overall scope for SAREL, they had not figured in SAREL's proposed annual work plans. SAREL accommodated the new requests at the expense of other work planned. The SAREL Chronogram in Annex I and the SAREL Monitoring and Evaluation Activities and Timeline in Annex III provide additional evidence of the length of time it took SAREL to accomplish key tasks.

Based on a review of key guiding documents (see Annex IV), there is conflicting language in guiding documents related to SAREL's roles and responsibilities within the overall RISE portfolio, notably its M&E obligations to the two REGIS activities. Despite some inconsistencies, TMG knew from the outset of the contract that an impact evaluation (IE) of the overall RISE portfolio was required. It is clearly identified in both the contract and the SAREL first year work plan. However, based on interviews with SAREL staff, significant time was spent developing a baseline questionnaire for the REGIS-ER activity. According to interviews with SAREL staff and SAREL annual reports, their two M&E staff spent almost 90% of their time during year one (plus the COP, who spent approximately 50 percent of his time on this task) on the REGIS-ER baseline activity. According to interviews, SAREL staff spent nearly three months developing a REGIS-ER baseline survey instrument and sampling frame, as well as identifying subcontractors for the data collection. They shifted to a more resilience-focused survey instrument (based on one that

USAID/Ethiopia used), which took an additional three months of work, as this required changing indicators and the sampling frame. Based on desk review of REGIS-ER cooperative agreement, REGIS-ER was responsible for its M&E Plan and collection of baseline data.

SAREL's contribution to the M&E for the two REGIS partners has been primarily limited to conducting data quality assessments. Annex IV provides additional detail from the document review on potential confusion for the partners, especially REGIS-ER and REGIS-AG.

Resources: Context Assessment and Monitoring

SAREL revised its own M&E plan three times, only collecting data at the end of the third year. Monitoring outputs at the most basic level (number of people attending a workshop) is certainly necessary, but not sufficient. However, the two SAREL M&E staff spent most of their time initially on the RISE baseline survey, with SAREL's own M&E plan being revised by consultants arriving for each new draft. Once the RISE baseline survey initial analysis was done, it was sent to another firm for reanalysis. By that point, it was time to prepare for the RISE midterm performance evaluation and the midline survey, this time managed more closely by the USAID/Washington-based Center for Resilience and its resilience research and assessment partner, Technical Assistance to NGOs (TANGO). Until last year, only one SAREL staff was based in Burkina Faso (the M&E assistant), so even routine monitoring was sidelined with other tasks. EQs 2 and 3 (see below) look at the effects of SAREL's collaborations and coordination, but SAREL has only recently sent a survey to implementing partners to ascertain the number and kinds of collaborations that resulted from the contacts and discussions during the workshops and meetings SAREL organized, despite this being part of SAREL's own reporting indicators.

Resources: Access to Beneficiaries, Implementing Partners and Key Stakeholders

SAREL chose to concentrate its outreach and interaction with RISE COPs as the primary target audience, realizing that they would be able to make decisions about collaborations that would require resources and leadership. The COPs and the implementing partner country office, not to mention the host country key stakeholders, were all located in the capital cities, meaning that access would be much simpler. SAREL did revisit this decision in their year four work plan, expanding participation beyond the COPs (and the M&E specialists). Because of costs to the activities in terms of time and financial resources, not all activities can afford to send additional staff. SAREL was tasked with validating best practices, but decided (apparently unilaterally, as there is no documentation of a contract modification about this shift) to rely on the implementing partners' own completion of a "Good Practice of Resilience" template. SAREL chose not to go into the field to validate practices, which use more conventional direct observation and comparison models, or even to use secondary data from the host country government to examine any behavioral changes that would have been tracked by (for example) a health information system.

Beyond the individual relationship-building with partners, SAREL's primary contact with their audience was via workshops (and larger reviews). Workshops and reviews often began with a major theme (gender), or presentations by the partners on key practices that could reasonably be associated with resilience. Many partners noted that the workshops were USAID-focused, with limited participation from other donors or relevant host government offices. Partner experiences in workshops varied; some found the workshops too unfocused (too many topics to cover in too short a time), while others noted that scheduling was challenging (people needed more notice) and still others said some workshops were too short. Several organizations also changed the participants at workshops, based on the topics under discussion, so that the COPs attended the larger reviews and technical staff meetings focused more on specific technical approaches. Most of the longer-tenure partners noted, too, that the workshops had become better facilitated over time, and much more focused. Earlier workshops had been critiques of technical approaches, while latter ones tended to focus more on identifying problems and finding solutions. Almost all partners noted, however, that they had not budgeted for attending workshops, so field staff

attending workshops required not only additional resources (especially for staff not located in the capitals), but time away from their own work. One respondent wondered if the shorter workshops were because of budget concerns, so that SAREL would not need to pay for lunches.

SAREL did go out to the field with its partner OASIS to present the findings from the first ethnographic study (done only in Niger, a point stressed by a Burkina Faso [implementing] partner). The second ethnographic study is underway again in Niger, presumably also including a presentation outside the capital in either Maradi or Zinder, as they did with the first ethnographic study.

Conclusions

Overall, it is unlikely that SAREL will achieve its stated objectives in the time left, given the amount they have accomplished to date. There is progress on components one and five, but little movement on components two through four. The scope was too broad, widely acknowledged by all those interviewed, and SAREL decided at different points to triage resources (time and staff) to concentrate on certain elements (resilience CLA and KM). At the same time, the scope was generic, so determining how much could be done was also left to SAREL to develop in annual work plans. USAID reviewed these plans, and added tasks during each year (for example, regional meetings) that then required diverting planned resources to cover additional tasks. These tasks were not beyond the overall scope for SAREL, but were not included in its annual work plans. SAREL accommodated the new requests at the expense of some other work planned. The SAREL Chronogram (Annex I) and Monitoring and Evaluation Activities and Timeline Table (Annex III) provide additional evidence of the length of time it took SAREL to accomplish key tasks. SAREL had an untenable scope of work from the start – resilience coordination; M&E; knowledge management; CLA; gender; and institutional capacity-building. This was simply too many moving parts for one entity to accomplish, and the addition of new tasks further compounded the unwieldy nature of the contract. SAREL staff worked extremely hard, triaged tasks and did a good job documenting why tasks were not done.

SAREL did not have adequate staffing to reach the objectives of its mandate. These limited human resources never allowed it to work on all the components, and was the main reason that SAREL has not achieve its planned results. While the partners might not have known about the financial resources, they did wonder if that was the cause of constant and significant gaps in staffing. TMG never added staff to SAREL beyond those planned, instead relying on consultants to “backfill” positions and provide some respite to core staff. The SAREL document review and interviews do not indicate if the decision not to add staff was at the TMG HQ level, SAREL level, or in consultation with the SRO.

Implementing partners interviewed stressed that it is critical to have an independent, non-implementing partner for this type of CLA activity. Yet it takes time to create an environment where partners are willing to share their own methods- in essence, to give up their comparative advantage to a competitor. SAREL was tasked with achieving in quick order behavior change across multiple organizations and multiple sectors.

The lack of understanding among partners of SAREL’s role is due to SAREL having such a large scope that included M&E, coordination, collaboration and more, then revised its focus annually. This was compounded with a workshop approach that enabled conversation and discussion, albeit not always with the correct people in attendance. The behavior change occurred after the workshops, at the instigation of the partners, instead of being mediated or even monitored by SAREL. Keeping the workshops in the capitals meant no chance to see the approaches in the field or to interact with field staff to discuss the approach in other than a theoretical manner.

Although resilience metrics is a new and evolving field, SAREL’s contribution to improving RISE partners’ M&E capacities was limited, despite its access to the premier firm for resilience metrics (TANGO). By the

time of the evaluation, there was minimal evidence of any substantial M&E skill transfers or M&E outreach to implementing partners. SAREL (see table in Annex III) has conducted, generally via consultants, baseline and midline surveys as part of its project impact evaluation. It has trained staff in conducting data quality assessments (DQAs), generally in concert with conducting the DQAs for REGIS-ER and REGIS-AG. SAREL included (usually) half-day meetings on M&E as part of their larger CCR events: from the documents, these meetings consisted primarily of reporting out findings from the surveys and midterm assessments. There is only one mention during FY15 of working on the REGIS-ER and REGIS-AG AMELPs, and partners noted in interviews that the SAREL team was unavailable/unable to respond to additional queries about indicators.

Question 2

Have the activity implementers under RISE accelerated, expanded and scaled up resilience – enhancing best practices, innovations and models as a result of SAREL activity?

Findings

The RISE partners noted that the mapping exercise, together with workshops and the KM portal providing information on good practices, brought proximity and overlap to their attention, but it was up to them to choose to collaborate, coordinate or adopt new practices. SAREL had limited follow-up with partners to find out how those collaborations developed or continued, and chose to report only on formal collaborations (with an MoU between the partners). Based on a review of RISE partner reports and interviews with partners, most collaborations have been informal, and the evaluation team developed a short table to report the types of collaborations that partners noted during the interviews.

SAREL recently sent out a questionnaire to 35 RISE partners (with just over a 50 percent response rate) noting four practices in particular that multiple partners had adopted: husbands’ schools, conservation agriculture, safe spaces and cash for asset (for pasture land recovery). SAREL had targeted identifying a total of 14 best practices by the end of Activity. At the same time, SAREL noted a number of adaptations by RISE partners from that same questionnaire, including habbanaye and care groups. These adaptations were confirmed during RISE partner interviews. In some cases, partners modified their best practices based on their learning in the field. For example, Sawki (one of the Niger DFAPs) modified its safe spaces approach by adding income generation training for young girls and developing safe spaces for boys.

The following table, based on interview data, gives more detail on the type of changes and/or collaborations that partners reported. Niche partners (family planning, animal health) expanded their operations because their work complemented what was underway. The SPRING Activity had perhaps the most extensive adoption of its practice of using community videos, which are now in use for many additional topics. The community video approach works well and requires little financial input, facilitating adoption. One point of clarification is that SAREL simply created an environment through meetings where the various organizations could discuss these practices. It was up to the partners to follow through with different collaborations, either formal or informal.

TABLE I : SAREL COLLABORATIONS AND ADAPTATIONS: TALLY FROM INTERVIEW NOTES

Organization	Activity Name	Collaboration(s) with	Practice Modified
NIGER			

Population Services International (PSI)	Phare		Added kitchen gardens/community gardens for women as a way of talking about family planning (so activity replaced a meeting)
Hellen Keller International (HKI)	Diffa Community Management of Malnutrition		Added moringa cultivation
			Changed WASH approach to a longer timeframe for latrine use
Lutheran World Relief (LWR)	12/12 Alliance	REGIS-AG on animal health	
Pathfinder	E2A	REGIS-ER and SAWKI (pilot to integrate indicators starting in 2018)	
		SPRING for community video	
Vétérinaires Sans Frontières (VSF)	Support for Vulnerable Pastoral Households	REGIS-ER (partner), expanded to REGIS-AG	Expanded to work with women's groups on SVPP (nearby private veterinary services)
The Alliance for International Medical Action (ALIMA)	Paquet médical, nutritionnel et pédiatrique dans le DS Mirriah		Introduced husband schools, expanded scope to include men about to get married
John Snow International (JSI)	Strengthening Partnerships, Results and Innovations in Nutrition Globally (SPRING)	World Vision, CRS for community video	
National Cooperative Business Association/ Cooperative Ligue of the United States of America (NCBA/CLUSA)	Resilience and Economic Growth in the Sahel- Enhanced Resilience (REGIS-ER)	CRS & Save The Children for conservation agriculture (and MoUs with other organizations)	
		WFP for restoring degraded pasture	
		VSF for SVPP	
Mercy Corps	SAWKI		Introduced husband schools (via Mercy Corps)
			Safe spaces expanded to include second chance schools, working with adolescent males, IGA (like soap-making)
Save The Children	LAHIA		Adopted safe spaces (via Mercy Corps)

		REGIS-AG (microfinance, literacy)	
		SPRING for community video	
		Marie Stopes International for family planning	
		REGIS-ER for governance	
World Food Program (WFP)		REGIS-ER for conservation agriculture and habbanaye	
		REGIS-AG	
		Save the Children	
BURKINA FASO			
Vétérinaires Sans Frontières (VSF)		SVPP (lots of partners)	
Africare			Adopted husband schools, explored habbanaye
		WFP for Cash for Work (CFW)	
Marie Stopes International (MSI)		REGIS-ER on social marketing	Added husband schools
		HKI for adding FP info to nutrition talks	
Groundswell			Added EWS (from ACDI-VOCA)
Agricultural Cooperative Development International – Volunteers in Overseas Cooperative Assistance (ACDI-VOCA)	Victory over Malnutrition (VIM)	REGIS-ER for conservation agriculture	Changed latrine approach
		informal collaborations with WFP	Adopted village savings & loan (after midterm)
		informal collaborations with CRS	
Catholic Relief Services (CRS)	Families Achieving Sustainable Outcomes (FASO)	REGIS-ER on mixed schools (not the same as husband schools)	
Cultivating New Frontiers in Agriculture (CNFA)	Resilience and Economic Growth in the Sahel- Accelerated Growth (REGIS-AG)	expansion of SVPP (VSF) into REGIS-ER	

National Cooperative Business Association/ Cooperative Ligue of the United States of America (NCBA/CLUSA)	Resilience and Economic Growth in the Sahel- Enhanced Resilience (REGIS-ER)	WFP for CFW	
		REGIS-AG on value chain	
		VIM on SVPP, health, nutrition	
		FASO on gardening, mothers' groups	
		SPRING on community video	

This table is based on interview data related to the collaborations. Where the interviewee noted what practice was modified, it is included here. Most of the collaborations did result in some modifications, again within the limits of budget and pre-existing requirements. Informal collaborations might only be at the level of ‘tweaking’ an existing approach, or integrating other training messages into existing functions. For example, Marie Stopes International was able to add family planning messages as one of the topics of the existing mothers’ groups used for nutrition and health messages in some of the DFAPs. There are two major challenges with adopting or even adapting the various best practices. One is a function of SAREL’s own operations, and the other is a function of its partners’ project cycle. In the first place, SAREL has never independently validated any of these practices, nor conducted an analysis to find out what worked best, where and why. The best practices are self-reported by RISE partners and collected by SAREL. The partners, through subsequent discussions and field visits with each other, refined approaches to match their own operating environment. The second challenge was the starting points for the seven main partners: REGIS-ER began approximately six months before SAREL, REGIS-AG approximately two years afterward, while the five DFAPs were already past the midway point in implementation when SAREL started. Adding new activities or modifying older ones, let alone scaling-up, presented significant management and resource issues, especially when work plans and budgets were already approved.

Conclusions

It is not possible to determine if implementers have accelerated or scaled up resilience, although clear evidence indicates that certain practices have spread beyond the originating partner.

The final evaluation of the Niger DFAPs in 2017 provided evidence of the effects of collaborations in terms of approach: for example, not creating additional village committees on different topics, but rather adding the topics (from another partner) to the existing village committee. Nothing has been scaled up, exactly, just more partners adopting similar approaches (animal health or habbanaye). More communities are using these approaches, but that is because more partners are choosing to adapt/adopt the practices. It is not scaling up so much as expansion. The challenge would be for SAREL to determine how much of the results had changed for the partners because of the changes in their approach, which is unlikely to have been captured in the existing performance indicators for the DFAPs.

Adoption of new practices was not always possible, especially given budget and contract mechanisms, as well as the life-of-project (LOP) cycle. At the same time, it is impressive how many organizations were able to adapt and adopt, having been introduced to new practices during the workshops. The mapping exercise opened a possibility for smaller partners to layer and integrate their work most effectively onto the more expansive portfolios of the DFAPs (in particular).

The five DFAPs already operated as consortia, integrating individual organizational strengths to create a more robust operating environment. Food security activities tend to be relatively similar, emphasizing

access, availability, utilization and disaster responsiveness in their basic theory of change. What is striking, especially in Niger but noted also in Burkina Faso, was the shift to partners outside of their consortia through collaborations, such as with SPRING. Before SAREL, collaboration was infrequent; with SAREL, collaborations, adoptions and adaptations are blossoming. The donor definitely strongly encouraged this, and SAREL did not orchestrate any of these operational changes (the collaborations or adaptations) after the workshops. SAREL did create a marketplace for partners to shop and compare.

The main issue for that marketplace, however, was the absence of oversight on the quality of the good practices. The independent validation of a practice is a key function of a learning platform, rather than relying on self-reports. It is true that partners would probably not continue to use a particular practice or approach if it did not generate the intended results, but it is also true that practices are often habits, as opposed to tested or re-tested hypotheses and theories of change. Validating practices demonstrates the effects and requirements of why and how something produces key results for it to become a best practice, as opposed to it simply being a practice or even a good practice. With so many partners now adopting/adapting good practices, it is imperative to find out which approach is truly the best empirically.

Question 3

Have the activity implementers under RISE adopted a culture of collaborating, learning and adapting (CLA) within activities and institutions to adapt strategies, practices and indicators to reflect knowledge gained from experience, evidence and lessons learned as a result of SAREL activity, and to what extent has this improved development results in RISE Zones of Intervention?

Findings

The concept of CLA has been difficult to understand within the RISE portfolio: collaboration, learning and/or adaptation is a feature of results-based management. With partners at different stages of implementation, there was little opportunity to link the new collaborations and adaptations to indicators that would show changes in the results. In addition, partners already have their own organizational culture (for communication and CLA). For example, CRS no longer has M&E staff, but rather has monitoring, evaluation, accountability and learning (MEAL) staff resting on a solid core of standard practices and routine reflection events. Mercy Corps and Save the Children also have evolved approaches to CLA that are not quite the same as USAID, but still reflect the fundamental approach. Other organizations, however, have experienced a progressive development in a culture of CLA, often based largely on changes to their implementation strategies through exposure to new practices and collaborations with other implementing partners (as suggested in the preceding table).

SAREL's primary target audience (for dissemination) was the COPs, in both Burkina Faso and Niger. Some organizations decided unilaterally to send different staff to different events: technical staff to specific workshops and the COPs to the CCRs, depending on staff availability. In an organization with an evolved CLA or dissemination approach, information obtained from one source is transmitted to others in that organization, often in a monthly update. Organizations without that culture tend to store documents or other products from workshops, and information may not flow to the rest of the staff. As a result, it is unclear how much and how often field staff accessed SAREL information, outside of their specific collaborations and adaptations. SAREL expanded its audience to include gender and M&E points of contact (for example, the half-day meetings as part of the CCRs). This would certainly have widened the pool of partner staff directly exposed to resilience content. At the same time, it still does not address more direct access to the implementing staff in the field, and begs the question of why SAREL still chose not to engage in that way.

The KM portal was another way to provide information more generally to partner staff, including every document, workshop report, and product by SAREL, as well as other materials uploaded to the portal by partners. Most partners have access to the KM portal, but from interview data, they do not use it much. The portal has a large array of materials that are useful to certain partners and for specific subjects. A few partners reported not finding it useful for their own more specific approaches (such as family planning or animal health). Few partners post their own material directly, so SAREL posts the majority of documents. In addition, most of the materials on the portal are in English only and lack abstracts or summaries of their contents. This creates a library that is potentially rich, but is difficult for field staff in Burkina Faso and Niger to use effectively. As with collaborations, SAREL has done only limited monitoring on portal use beyond simple user statistics: 392 personal access codes are assigned for portal users, but it is not clear how much or how often those users access the portal.

SAREL never validated the various good practices, only amplified (and edited, through discussions with the “owners” of those practices) what the various partners gave them. SAREL standardized a format to describe the practices, but relied on partners to complete that template. The narratives are dense and, for a non-English speaker, difficult to access without considerable effort. Even with the reports and good practices on the KM portal, it is not clear how much time (or bandwidth) was available to field staff to read through 10 to 20 pages in English.

RISE partner field staff rarely attended SAREL’s workshops, as discussed. Two workshops that did (or will) engage field staff are the ones linked to the ethnographic studies done by OASIS (UC/Berkeley). These studies took place in Niger, and only the first study has been completed. That study, however, was the major work done by SAREL on gender, one of its five main components. Partners mentioned these workshops as useful for the field staff, but did not indicate why or how the study might have changed their own operations.

Most critically, for an activity focused on resilience, SAREL’s own learning approach was sector-specific, perhaps unsurprisingly given that the practices not linked into the resilience theory of change. For example, conservation agriculture has been used for decades. What makes the conservation agriculture approach used by REGIS-ER more resilient? What aspect of resilience capacities does it address? The RISE baseline provided a basic snapshot of resilience capacities in the zone of influence, although the final analytical report was almost a year after the survey was completed. The findings from the midline survey, done in early 2017, would show some of the changes to resilience capacities, but is still in production. The DFAPs are ending this year, and all have already had their final performance evaluations (and endline surveys); none of those interviewed indicated any changes to their basic M&E that would show differentiation from before/after adoptions or adaptations. The interaction between resilience and the food security activities remains largely unexamined, as does the interaction between humanitarian and development assistance.

Conclusions

Learning is not a single activity, nor is learning the same for all people. Holding workshops and writing findings and good practices are marginally more acceptable for a highly literate audience. It is much less functional for less literate audiences, and for those without the necessary language skills to access the materials. A project focused on CLA that uses a lengthy document-heavy approach to learning is not producing products that are user-friendly to the widest possible audience.

The small group discussions in the workshops are more active and provide a better opportunity to learn from shared or comparative experiences. However, primarily targeting COPs meant that workshops generally involved a critical mass of decision-makers — good for the possibility of collaborations, but not good in terms of disseminating information to the field staff. Most organizations did not have the time (in terms of field staff already fully engaged with implementation) or money to send field staff to workshops in the capital, and reduced the potential scope of those fruitful discussions.

A weak M&E system, as well as a lack of field visits, compromised SAREL's ability to monitor and track both the adoption and adaptation of practices. Since SAREL was not validating practices, but only recording them, this added to the "document storage facility" structure of the portal. In addition, SAREL's own production times meant that workshop proceedings took months to be available. Practices that were time- or season-sensitive (specifically conservation agriculture) were delayed for implementation for that growing cycle. When partners used the portal successfully, it was to conduct literature reviews as background for their own design or evaluation workshops.

More importantly, SAREL's learning approach, focusing on specific traditional sectors, meant that learning on resilience was fairly untouched in project work. The linkages within and across the sectors of food security and humanitarian assistance and their interaction on resilience was never examined as part of a resilience learning platform.

Question 4

To what extent will host country institutions, including the governments of Burkina Faso and Niger and the Centre d'Etudes Economique et Sociales de l'Afrique de l'Ouest (CESAO), be able to continue implementing activities that further the SAREL contract objectives once the SAREL contract finishes, based on institutional capacity and the extent to which SAREL has fostered skills and motivation for ongoing learning and adapting?

Findings

The two main government points of contact for SAREL have been HC3N in Niger and the Executive Secretariat of the National Council for Food Security (*Secretariat Exécutif du Conseil National de Sécurité Alimentaire*, or SE-CNSA) in Burkina Faso in 2016 (prior to that, the point of contact was the SP/CPSA, the permanent secretary in charge of coordinating rural sector policies). HC3N was a relatively new organizational structure for the Nigerien government, combining functions from three other ministries to create an office focused on resilience through food security and self-reliance. SAREL used to have closer ties with HC3N, but staff changes there have minimized contacts to workshop attendance. HC3N noted strongly that they should be the leaders in coordination and collaborations for resilience, but cannot do those tasks without direct funding. Partners, by contrast, noted that HC3N would be inadequate to continue SAREL's work, in large part because leadership in the "donating" ministries has changed.

SE-CNSA has existed for more than a decade, but their mandate to engage in resilience is relatively new. They are open to working with SAREL, and value their participation in SAREL's workshops. They, too, see a bigger role for themselves, especially in terms of outreach to both other ministries and the various local governments.

SAREL's own interactions with ministries has been limited to largely ceremonial appearances at workshops or plenary meetings. Partners coordinate with local government officials in the field; SAREL has no interaction with them there. USAID has more contact with the host government and, in Burkina Faso, brokered the contact between SAREL and SE-CNSA. SAREL did try to work with HC3N, and contact varied depending on HC3N's own internal staffing and its external position among ministries (which limited its ability to operate).

All respondents confirmed that, if SAREL stops, any coordinated outreach among the various actors and partners operating under a resilience umbrella will be lost. Respondents do not consider any entity able to continue SAREL's activities without funding, although HC3N would want to do so (with appropriate funding). A challenge for both host country offices is their ability to access USAID resources and activities, compounded by small staffs and competing government priorities. Only one partner suggested that an implementing partner might be able to take on the role of resilience coordinator (again, with funding).

By contrast, CESAO has been an integral part of SAREL from the beginning. CESAO is a large training, facilitation and research institution headquartered in Bobo Dioulasso, Burkina Faso. It has numerous country and local offices in both Niger and Burkina Faso (as well as other countries). It also has a regional office, staffed by a dynamic regional coordinator, now relocated to Ouagadougou.

When SAREL started, CESAO's regional coordinator was based in Niamey. His networking ability was critical in the initial outreach to the partners and continues to be an important resource. CESAO staff have considerably eased SAREL's staffing shortfalls, either detailed for workshop facilitation or actively recruited/detailed by CESAO for three (of seven) core staff positions. These positions are the gender advisor, the M&E assistant (in Ouagadougou) and the KM technical coordinator (also in Ouagadougou). The M&E assistant was the only full-time technical staff person in SAREL's Ouagadougou office until late 2016, when the KM technical coordinator was added to the team.

TMG structured SAREL so that there would be a progressive handover of tasks to CESAO over the life of project, reinforcing and expanding CESAO's institutional capacity. TMG conducted an initial organizational capacity assessment during SAREL's first year of operation. Since then, however, any capacity building has occurred via supervised coaching, especially facilitation skills during workshops. It was only in 2017 that TMG worked with CESAO to produce a business development plan that highlights key institutional weaknesses (finance, administration, human resources). A series of consultancies are planned for 2018 to build those capacities, as 2017 was largely dedicated to the RISE midline survey. SAREL's annual reports note the continued delays on organizational capacity, in part due to challenges finding consultants, CESAO's existing/new responsibilities with SAREL (meaning that staff would not be available for focused technical assistance across numerous sectors), and SAREL's own decisions to concentrate on other components in their scope of work. CESAO's regional coordinator intends to keep the three CESAO staff working on SAREL as CESAO employees when SAREL ends, and expanding CESAO's market into M&E, gender and KM with their experience.

Conclusions

Any continuation of SAREL's activities would need early engagement and coaching among potential government or private partners to pick up these tasks. Funding remains the central concern and challenge for all identified local organizations. The partners expressed considerable skepticism about the capacity of host country institutions to manage even the most visible outputs of SAREL: the workshops. It is not clear whether USAID would be able to fund government offices, leaving only CESAO as a potential future leader for resilience learning and collaboration. Per SAREL's organizational capacity assessment and other SAREL documents, CESAO is weak institutionally, especially at the regional level; with the relocation of the regional coordinator, it is also weak institutionally in Niger. The institutional capacity assessment noted significant failings in administration, human resources management, and, especially, financial management. The regional office consists primarily of the regional coordinator and his own administrative staff. With the departure of the regional coordinator from the Niger country office, their technical ability has decreased, despite their willingness to continue to participate.

TMG has not strengthened the institutional capacity of CESAO to the point where it would be able to take over from SAREL, but SAREL would not have functioned as well as it did without CESAO's active partnership and collaboration. CESAO provided three key personnel to the SAREL team, either detailing existing staff, or locating staff with capacities (gender) that SAREL had not been able to find on its own.

RECOMMENDATIONS

This section sorts recommendations by the individual evaluation questions for the design of a new MEL platform. The final recommendation section suggests key tasks for the remaining year of SAREL operations, building on the findings, conclusions and recommendations.

Question 1: Recommendations

Continue playing SAREL’s important role as a CLA coordination and collaboration mechanism: SAREL originally had a number of partners identified to accomplish its large scope. The chief strength for SAREL at this point would be to continue as a CLA coordination and collaboration mechanism. Any future SAREL would need to break the scope into manageable elements and install staff accordingly. SAREL would have benefited from a scope review and the possibility of de-scoping tasks left undone or barely touched.

Explore alternate staffing approaches such as training and mentoring of junior-level in-country staff: Where local staff do not have the skills (and even when they say they do, or plan to learn on the job, as suggested by the KM technical coordinator), hire junior staff with “close-enough” skillsets and develop a more extensive and attentive mentoring approach through short- to medium-term consultancies. “Close-enough” skillsets could mean that an M&E assistant might have a background in statistics or the social sciences, along with moderate computer skills. Have an experienced M&E consultant (for example, someone who came to develop the MEL plan for the activity) work with the assistant, explaining the component parts of an MEL plan and delineating responsibilities for monitoring (timing, forms, etc.). This type of coaching should be part of the consultant’s scope of work, with time set aside for online mentoring and responding to questions for some specific amount of time/month.

Improve the balance of staff between Niger and Burkina Faso: Regional projects need to take into account both the individual countries in that region and the scope of the region itself. The individual country portfolios and the specific context in that national zone of influence should be respected and staffed accordingly.

Ensure an extensive and clear introduction of future learning platforms to the many RISE partners: Regional projects also need strong introductions to their stakeholders by the donor, and decisions related to their scopes of work should be transparent and well-communicated. Misunderstandings surrounding SAREL’s M&E responsibilities for the two REGIS activities has left lingering ill will that could have been prevented through clearer communications between USAID and SAREL and if those activities had known early enough to shift resources to compensate. It is important, especially in a contract, to be clear about tasks, and, where these are unclear, to meticulously document and communicate to the partner when decisions or changes are made in work plans and tasks.

Coordinate the learning platform life cycle with RISE partner project cycles: Partners for SAREL were at many stages of implementation; some just beginning and others more than halfway through. Encouraging collaborations and coordination is much easier at the start of an activity, when resources and work plans are most fluid. Resources become more constrained and flexibility diminishes as you move through the project cycle, so only smaller changes (adaptations vs. scaling-up) are possible.

Decentralize workshops outside of capitals and develop a more comprehensive focus on fewer topics: Restructure workshops to have a few workshops that are shorter, based on field recommendations for topics, and focused on fewer techniques; locate them in the field so that more partner staff (and local government) can benefit from that access. If a roster of additional skills is available (developing presentations, reviewing problematic indicators, conducting data quality assessments, etc.),

those longer-form courses should be available either in targeted workshops or online. As SAREL continued facilitating workshops, the facilitation improved and the number of topics discussed at any single workshop decreased. This tighter focus should continue, but does not have to be the sole format.

Question 2: Recommendations

Set clear objectives and an M&E plan to support tracking of results from the outset of any learning platform: SAREL should have instituted a stronger monitoring system so it could have more systematically assessed the numbers and types of collaborations and adaptations undertaken by the partners. Given the M&E staff limitations (only one person in each country), this still could have been accomplished with short evaluations at the end of each workshop or telephone follow-up.

Balance learning activities between the two countries: Future iterations should be more balanced in terms of advocacy, collaboration and sharing information between (and within) the two countries. Having more contextual information from each country would make sharing experiences more effective, both for the individual country and the possibility of generating Sahel-specific approaches.

Ensure that future RISE implementing partner solicitations allocate funds for partner participation in learning workshops and interaction with the learning platform: With the DFAP proposal season starting up, having a set of recommendations of what the proposals should include (budgeting for participation in workshops, types/scope of collaborations (and the effect of those on results), explicit fit of resilience with food security) would create a stronger platform for additional and ongoing CLA activities. The Niger DFAPs' final performance evaluation noted that the lessons learned and good practices should include an in-depth examination of these for potential scaling-up. SAREL should have organized this type of examination of several key practices (for example, *habbanaye*, safe spaces, warrantage, husband schools) each year. The partners could still present good practices, but then details on what works best where, why and how would have formed the core of best practices available for adoption. This would have also given SAREL a tighter focus each year on both the production and dissemination of these best practices, working with the partners to amplify their internal communication and CLA mechanisms.

Question 3: Recommendations

Develop better communications and outreach on CLA targeted at various audiences: CLA activities need to respect the principles of adult learning and access, both for those implementing CLA and partners exploring and expanding their internal communication and learning approaches. SAREL should change the learning “products” to match different languages, capacities and uses to increase the utility of the practices disseminated in those products. This could include summaries, “short-form” practices and the longer practice documents developed to the standard templates. The summaries would help with navigating the KM portal, as opposed to the drop-down tab menu structure. SAREL did send monthly updates about new material on the portal, but this, again, is an opportunity for summaries (in both French and English) so partners would be better informed about the utility and purpose of new resources.

Improve advance notification and coordination for workshops with RISE partners: Workshop management should be improved, including: earlier communication (save-the-date notices, just introduced by SAREL) about the purpose and timing of the workshops, tighter guidelines for presentations and faster turn-around for workshop findings and proceedings.

Link discussions in the workshops more explicitly to the resilience theory of change: Resilience is still a new-enough policy at USAID that reinforcing how elements fit within the resilience theory of

change is important for identifying how certain types of collaboration would strengthen individual approaches. SAREL should link the discussions in the workshops more explicitly to the resilience theory of change and return to the crisis modifier paper for wider discussion on connectivity between humanitarian and development assistance. This was an almost untouched component in the previous years of SAREL's implementation, and is an important element in determining when to initiate additional resilience measurements (such as the recurrent monitoring survey, begun after the onset of a crisis).

Question 4: Recommendations

Reinforce local capacities (governments or institutions like CESAO) identified early in the project as partners to carry on these activities: SAREL's capacity-building for CESAO should concentrate on technical skills (M&E) rather than administrative/finance in the last year of operations. Institutional capacity strengthening probably should not have been a component of SAREL. Any future CLA activities with institutional capacity strengthening components should include early assessments of strengths and weaknesses of potential institutions that would be able to continue activities after the "parent" activity ends. Benchmarks and annual improvement plans should be developed collaboratively, reviewed annually and then have progressively more responsibility devolved to them. It is important to consider the best strategic capacities to strengthen: Is the organization simply too weak to be able to finance itself or to operate to an international standard, so its role should be limited to tasks it could accomplish under supervision only?

SAREL should review with CESAO what can realistically be strengthened in the last year of operation, rather than trying to do everything at once. This may mean that CESAO's MEL skills are the focus of a concerted effort to strengthen its marketable skillset, matched with its expertise in training and facilitation.

Reinforce collaborations with the State structures: Relevant government structures with similar mandates (collaboration, coordination) should be engaged with a two-prong approach and need to ensure that USAID approaches align with national policies. The first of these is more specific partnered activities (shared responsibilities for facilitation, for example) with SAREL, especially in communicating new practices and findings to other government structures at the national level. The second is for the IPs to work with the decentralized government structures in their areas, conducting similar types of dissemination about new practices and findings at their own administrative levels (region, district, etc.).

Work Plan Recommendations for SAREL's Final Year

SAREL faces considerable challenges in its last year of implementation with respect to the imbalance in reaching all its objectives in the five primary components. SAREL may want to consider concentrating on fewer activities, such as the following:

Component I:

- RISE final survey and final performance evaluation (in concert with TANGO, et al.).
- REGIS-ER final evaluation (to be done out of the SRO rather than SAREL). SAREL will not be conducting this, but findings from the midline survey, staff time (for logistics and interviews), will be required.
- REGIS-AG midterm performance evaluation (to be done out of the SRO, but will need some coordination from SAREL), as for the REGIS-ER final performance evaluation.

- Validate no more than four good resilience practices (two should focus on gender). Validation should consist of direct field observation of communities where these practices occur, and communities where they do not occur, discussions with communities about the results obtained where those practices do occur, and detailed cross-matching of those findings with reported results from the implementing partner(s).
- Disseminate validated practices as part of a major lessons learned event: here are the good practices we (together) have identified, and here are what four key practices look like when empirically and independently examined.

Component 2:

- Map out humanitarian and development assistance partners in the USAID portfolios within the zone of influence. Make that mapping available more widely, disseminate the recent HA/DA integration paper, and conduct strategy discussions about what can currently be done to shift from a development to a humanitarian focus (and back again), with respect to programmatic and resource implications as a precursor to a larger discussion on adaptive management for contracts/grants.
- Conduct one workshop to share mapping findings and provide a platform to discuss the crisis modifier paper, with the intention of facilitating partner plans on responding to crises.

Component 3:

- Assuming the second ethnographic study focuses on gender, assist in conducting findings meetings in the field offices (Maradi and Zinder).
- Work with Component 1 on validating two of the four good resilience practices.

Component 4:

- Organize the KM portal (map topics, develop a users' guide, write up synopses/summaries of key documents, translate most-downloaded documents, update user statistics metrics).
- Conduct an open workshop on M&E for resilience and CLA, focusing on the resilience capacities index, adaptive management, and correct measurement practices. Most partners will not have seen the overall resilience capacities module, nor how that module explores absorptive, adaptive, and transformative capacities from a food security context. That basic orientation will help inform additional conversations in the next round of Title II activities, and provide a basis for discussion of the RISE midline survey findings, as well.

Component 5:

- With CESAO (probably the regional coordinator, but not limited to that office), triage the types of capacity strengthening identified, and develop a realistic plan of action for the remaining year.

ANNEXES

Annex I: SAREL Chronograph

Data on this table are from SAREL's annual reports.

	FY2015		FY2016		FY2017	
	Planned	Actual	Planned	Actual	Planned	Actual
Component One						
conducted resilience mapping exercise		x				
launched Sahel Resilience Community of Practice		x				
trained group one of emerging Sahelian leaders		x	x	x	x	x
conducted RISE Partners Collaboration Workshop		x				
conducted brief political economy study on family planning		x				
developed/broadcast community radio programming				x		
contacted new partner for community radio					x	
developed two templates for good practice fact sheets				x		
produced good practice fact sheets				x	x	x
updated mapping exercise (with USGS)				x		x
hosted two CCR forums (one each in Burkina Faso and Niger)				x		
tentatively agreed to a shared CLA forum with SPRING				x		
met with government representatives in Burkina Faso and Niger		x		x		
organized two resilience collaboration and coordination (CCR) forums				x		
organized RISE CCR forum (conducted six in FY17)				x	x	x
meeting organized by USAID/Niger to rekindle working partnership with HC3N				x		
developed formal relationship with HC3N for HC3N-led CLA forum					x	x

	FY2015		FY2016		FY2017	
	Planned	Actual	Planned	Actual	Planned	Actual
Component Two						
initiated desk study to identify & document existing practical examples integrate humanitarian and development assistance	X					
concept note on integrated humanitarian & development assistance			x	x		
conduct forum			x			
analyze & disseminate findings			x			
conduct CLA workshop			x			
Component Three						
completed institutional assessment of CESAO		x				
facilitated strategic planning workshop for CESAO		x				
trained RISE partners in advanced participatory methods		x				
trained RISE partners in CLA approach and tools						
RISE partner review meeting			x	x		
CCR forum			x	x		
consultants identified for institutional capacity-building; work delayed			x		x	
Component Four						
launched ethnographic research on gender & resilience		x	x	x		
conducted workshop on gender and resilience			x	x		
develop a gender and resilience community of practice (e-discussions)		x		x		
Component Five						
completed RISE baseline survey	X	x				
developed & upgraded RISE performance indicator database system (PIDS)		x	x	x		
initiated development of KM portal & online discussions		x	x	x		
KM portal launched			x		x	x
trained REGIS, SAREL, and CESAO on data quality assessment			x	x		

	FY2015		FY2016		FY2017	
	Planned	Actual	Planned	Actual	Planned	Actual
CESAO conducted DQA				x	x	x
CESAO conducted REGIS-ER and -AG baseline				x		
revised RISE baseline survey report				x		
conducted RISE midterm survey					x	x
developed RISE midterm survey			x	x		
developed SOW for RISE midterm performance evaluation			x	x		
conducted RISE midterm performance evaluation and resilience report				x		x
upgraded REGIS-ER and AG M&E systems based on DQA				x		
Staffing and Operational Challenges						
RISE baseline survey development required 90% time of the two M&E staff, and almost 50% from the COP		x				
difficulty finding qualified staff (especially with resilience and/or KM expertise)		x				
low quality of work of local consultants/sub-contractors		x				
TMG mobilized consultants in response to SRO's concerns about strength of field implementation team		x		x		x
TMG mobilized consultants and increased HQ backstopping				x		
CESAO tasked with detailing a technical staff to learn KM		x		x		
CESAO would need more assistance to become institutionally capable (to be compliant with USAID regs); decision made to plan for specific technical implementation (vs. administrative or financial or organizational upgrades)				x		
difficulty in accessing key information/evidence from partners (time constraints or lack of data)						x

	FY2015		FY2016		FY2017	
	Planned	Actual	Planned	Actual	Planned	Actual
Operational Advantages		x				
Niger and Burkina Faso both validated national resilience frameworks		x				
launch of REGIS-AG		x				
emphasis by USAID offices on collaboration				x		
addition of a CLA team at USAID/Senegal				x		
hired digital communications specialist				x		
KM technical coordinator added to Burkina Faso staff			x	x		
gender expert added to staff				x		
building CESAO's M&E capacities using SAREL staff			x			
partners interested in documenting and sharing practices						x

Key

-  done by SAREL partners or consultants
-  postponed/deferred
-  Canceled

FY15 includes four months in FY14; only actuals are available in the FY15 annual report

Annex II: Financials from the Annual Reports

	YR I	FY15	FY16	FY17	YR 5	Country Total	Grand Total
Component 1	Actual	actual	actual	actual			
	\$1,012,429						
Niger		\$1,358,734	\$1,179,559	\$1,231,466		\$3,769,759	
Burkina Faso		\$338,817	\$459,142	\$282,577		\$1,080,536	
Test, expand and accelerate the adoption of proven resilience-enhancing technologies and innovations already underway							\$5,862,724
Component 2	\$0						
Niger		\$0	\$12,919	\$814		\$13,733	
Burkina Faso		\$0	\$6,481	\$0		\$6,481	
Develop, test and catalyze widespread adoption of new models that integrate humanitarian and development assistance and promote resilience and growth							\$20,214
Component 3	\$0						
Niger		\$21,618	\$165,649	\$51,450		\$238,717	
Burkina Faso		\$6,307	\$108,726	\$51,008		\$166,041	
Promote ownership, build the capacity of national and regional institutions, and coordinate humanitarian and development interventions in the zone of intervention							\$404,759
Component 4	\$3,923						
Niger		\$37	\$38,078	\$39,290		\$77,405	
Burkina Faso		\$2,833	\$26,663	\$0		\$29,496	

	YR I	FY15	FY16	FY17	YR 5	Country Total	Grand Total
Address Gender Issues Key to Resilience and Growth							\$110,824
Component 5	\$10,582						
Niger		\$204,939	\$46,251	\$322,066		\$573,256	
Burkina Faso		\$49,242	\$35,623	\$318,385		\$403,250	
Creation of a knowledge management database that will house a SAREL-led baseline assessment, ongoing monitoring data, and impact evaluations for REGIS-ER and REGIS-AG							\$987,087
Total	\$1,026,934	\$1,982,527	\$2,079,091	\$2,297,056	\$0		\$7,385,608

Note: Year I actuals are derived from the cumulative totals in the FY2015 annual report and are not disaggregated by country.

Annex III: SAREL M&E Activities and Timeline

Reference	Type of M&E	SAREL Monitoring and Evaluation Activities	Start Date	End Date
SAREL FY15 Annual Report	Baseline	90% of time of two M&E Specialists + 50% of COP's time dedicated to preparation and execution of RISE baseline survey (development of instrument, hiring local subcontractors, supervision, sampling and analytical assistance)	Seems to apply to entire period of the annual report	
	Baseline	Baseline survey (pre-test through submission of report)	November 2014	August 2015
	Database	Hennice (TMG partner) completes design of RISE Performance Indicator Database System (PIDS); launch deferred until Q1 FY16	No date	
	Database	PIDS modified to incorporate changes made to REGIS-ER M&E	September 2015	
	DQA	Trained 20 REGIS/ER, REGIS/AG, CESAO, and SAREL staff on conducting DQAs		
	Routine M&E	Consultant provided TA on REGIS-ER and REGIS –AG AMELPs; conclusion was to obtain additional information for the REGIS-AG prior to completion of their AMELP	May 2015	June 2015
	Meeting	M&E 'assistance': helped obtain authorizations for qualitative baseline, and helped SRO organize a meeting to present RISE and its M&E system		
SAREL FY16 Annual Report				
Interview	Baseline	Final revised baseline survey report (analysis done by TANGO at the request of the Center for Resilience); revision done with assistance of consultant to SAREL	No date	September 2016
	Meeting	SAREL presented baseline survey findings at four meetings	November 15	March 2016
	Routine M&E	SAREL's AMELP approved	(November 2014?)	August 2016
	DQA	Trained CESAO and SAREL staff on DQA	No date	
	DQA	Conducted 16 DQAs for REGIS-ER and REGIS-AG; part of this was developing action plans for these two partners to ameliorate data collection methods	No date	
	Evaluation	p.28 "USAID informed SAREL in June 2016 that ... it had decided to assess the performance of the overall RISE Initiative as opposed to focusing on the REGIS projects." Shift in developing SOW for the mid-term performance evaluations, planned submission in October 2016		

Reference	Type of M&E	SAREL Monitoring and Evaluation Activities	Start Date	End Date
	Workshop	Lessons learned from baseline survey to plan for midline	June 2016	June 2016
	Survey	SAREL 'approached' CESAO to do the survey	August 2016	
	DQA	13 DQAs conducted for REGIS-ER and REGIS-AG, most done in the field	November 2015	March 2016
	Meeting	Met with REGIS-ER and REGIS-AG teams to help prepare for their own baselines	No date	
	DQA	Preparation for FY2017 DQAs with meetings	May 2016	August - September 2016
	Database	PIDS updated, demonstration of system, SOW reduced to first tier partners	2 nd quarter	4 th quarter
SAREL FY17 Annual Report	Survey	Preparation; training; data collection, entry, and analysis	January 2017	May 2017
	Survey	Analysis and preparation of draft report	May 2017	October 2017 (FY18)
	Survey	<i>Revised analysis and report (done by TANGO)</i>		March 2018
	Evaluation	RISE mid-term performance assessment (two parts: strategy review and qualitative assessment)	No dates	
	DQA	Conducted DQAs for REGIS-ER and REGIS-AG	October 2016	June 2017
	Meeting	Half day M&E meetings (as part of CCRs) focused on good practices & evidence-used; June meeting converted to a full-day and included the COPs, not just the M&E specialists	February - September	
	Database	p.46 "In September, USAID formally advised TMG/SAREL that it did not intend to deploy the PIDS and that it should, consequently, halt any further development of the system."	September 2017	

Annex IV: SAREL Guiding Documents- Roles and Responsibilities

No	SAREL Guiding Document	SAREL role reference	REGIS-ER and REGIS-AG	RISE IE
1	SAREL Contract			
	Statement of Work (Section C, pps. 20-21)	“SAREL will lead the baseline assessments for the two new procurements....The REGIS-ER and REGIS-AG programs will conduct baselines...SAREL will propose a comprehensive set of indicators to collect baseline information on that (sic) will measure progress on the overall impact of the Sahel Joint Planning Cell Strategy... The impact evaluation... will provide SAREL and its partners, appropriate information on the outcomes and impact of the REGIS interventions.”	✓	✓
	Section C.5 Technical Approach ⁶	C.5.2.5.1 Baseline Assessment and Ongoing Monitoring: “SAREL will be the exclusive provider of the REGIS ER/AG baseline, midterm and final assessments” (p 37); “Within 45 days, the TMG team is SAREL will organize a baseline study of the factors considered to bear on the expected results and desired outcomes of each project” (p 38) “first round sample of 3700 respondents” (p 38) C.5.2.5.2 Impact evaluation: “SAREL will provide a robust impact evaluation...it will be a basis for assessing the impact of the REGIS program over time.” (p38) “The sample size will be...around 2,600” (p38)	✓	✓
	Section F.5 Reports and Deliverables	Under Component 5 “Conduct baseline assessment and impact evaluation for REGIS-ER and REGIS-AG” page 60	✓	
	Section J.2 REGIS Roles and Responsibilities	Under Monitoring and Evaluation, SAREL is listed as responsible for “Carrying out baseline and final evaluation for the REGIS projects ⁷ (p97)	UNCLEAR	
2	2012 PAD⁸			
	Responsibilities of SAREL	“Gather baseline data and final evaluation for the REGIS projects” (p33)	UNCLEAR	
	Division of Labor	SAREL plays the lead role in developing the baseline and PMP for REGIS ⁹ . (p 36)		✓
		“A final evaluation of the multi-sectoral and value chain projects will be externally conducted.... SAREL will also be charged with gathering baseline data for the REGIS project.”	✓	✓

⁶ It is assumed that this portion of the contract is pasted directly from the TMG proposal

⁷ Table of responsibilities in Attachment J.2 appears to be pulled from the PAD, page 33

⁸ The REGIS (now RISE) PAD was developed in 2012 prior to the 2014 ADS update which transitioned terminology of “programs” into “projects” and “projects” into “activities”.

⁹ At the time of PAD development, the project was referred to as REGIS, the project name was later changed to RISE

No	SAREL Guiding Document	SAREL role reference	REGIS-ER and REGIS-AG	RISE IE
3	SAREL Solicitation Amendment (Q&A)			
		SAREL will be responsible for measuring the impact of USAID’s overall Sahel Resilience Strategy” (p3)		✓
		SAREL to work with REGIS (ER and AG) on DQA (but not collect their monitoring data)	✓	
		SAREL to conduct MPE and FPE of REGIS-AG and REGIS-ER; but they will do their own M&E Plans	✓	
4	SAREL Year I Workplan			
	Implementation Calendar	Component 5.3: “M&E technical support to REGIS-ER and REGIS-AG” “Complete REGIS-ER questionnaire” Provide technical assistance to REGIS for data collection procedures and analysis” Component 5.4 “Develop SAREL PMP” and Component 5.6 “Prepare to conduct baseline household survey” “finalize questionnaire for baseline survey”	unclear	✓
5	REGIS-ER Contract (CA signed 15 November 2013)			
	Annex I Illustrative Performance Indicators and Definitions (p 106)	Ten higher level illustrative impact indicators are listed as those collected by SAREL or another M&E contractor		✓
	p.16	“The recipient should discuss the timeline methodology for baseline collection against expected results and derived outcomes and proposed coordination with SAREL, the Learning Agenda, which will be collecting baseline data across all USAID programs in the target zones.”		✓
	p.17	“A baseline shall be completed by the Recipient at the beginning of the project and must be submitted no later than 120 calendar days after signature of the agreement.”	✓	

Reflection points:

- 1) At the development of the project design (2012 PAD), RISE was referred to as REGIS, which could cause some confusion. In addition, in 2014, USAID revised its ADS to change the terminology of programs into projects and projects into activities. This may also cause some of the confusion about SAREL as a what is now referred to as a “project-level” learning mechanism.
- 2) The strongest and most clear inconsistency in the SAREL contract is under the deliverables section – which appears to clearly state that SAREL must conduct baseline assessment and impact evaluation for REGIS-ER and REGIS-AG. An additional challenge is that the FFP DFAPs already had existing baselines, and REGIS (now RISE) incorporated their districts

into the sampling frame for the impact evaluation sampling. REGIS-ER and REGIS-AG also planned to work in many of those districts.

3) TMG always planned to conduct the RISE IE from its technical approach and year one workplan.

Annex V: Evaluation Statement of Work



USAID
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SAHEL RESILIENCE LEARNING FINAL PERFORMANCE EVALUATION

STATEMENT OF WORK

APRIL 17, 2017

This publication was produced for review by the United States Agency for International Development. It was prepared by Management Systems International, a Tetra Tech Company, for the USAID/Senegal Mission-Wide Monitoring and Evaluation Project.

SAHEL RESILIENCE LEARNING (SAREL) FINAL PERFORMANCE EVALUATION

STATEMENT OF WORK

Contracted under AID-685-C-15-00003

USAID Senegal Monitoring and Evaluation Project

ACRONYMS

CESAO	<i>Centre d'Études Economique et Sociales de l'Afrique de l'Ouest</i>
CLA	Collaboration, Learning and Adapting
COR	Contracting Officer's Representative
M&E	Monitoring and Evaluation
MEP	Monitoring and Evaluation Project
POC	Point of contact
REGIS-AG	Resilience and Economic Growth in the Sahel - Accelerated Growth
REGIS-ER	Resilience and Economic Growth in the Sahel – Enhanced Resilience
SRO	Sahel Regional Office
SAREL	Sahel Resilience Learning
TMG	The Mitchell Group
USAID	United States Agency for International Development

I. STATEMENT OF WORK DETAIL

USAID SOW Manager	Cornelia Tremann, SRO
Activity COR/AOR	Yikee Adje, SRO
MEP SOW Manager	Safyatou Diallo
Activity Title	Sahel Resilience Learning
Activity Period	March 3, 2014-March 2, 2019
Award/Contract #	AID-625-C-14-00002
Funding	\$11,515,689.00
Implementing Organization	The Mitchell Group
Geographic Coverage	Burkina Faso and Niger
Task	Sahel Resilience Learning (SAREL) Final Performance Evaluation
Task Start and End Dates	November 13, 2017-April 7, 2018

2. ACTIVITY DESCRIPTION

Sahel Resilience Learning (SAREL) is a five-year (2014-2019), \$11,515,689 project whose purpose is to provide monitoring, evaluation, collaboration and learning support to the USAID Resilience in the Sahel Enhanced (RISE) initiative. The goal of SAREL is to strengthen the capacity of key stakeholders to engage in adaptive, evidence-based learning to promote best practices for resilience in the region.

SAREL works closely with USAID/Sahel Regional Office (SRO)'s two primary resilience-strengthening projects in Burkina Faso and Niger: Resilience and Economic Growth in the Sahel-Accelerated Growth (REGIS-AG) and-Resilience and Economic Growth in the Sahel- Enhanced Resilience (REGIS-ER). The *Centre d'Etudes Economique et Sociales de l'Afrique de l'Ouest* (CESAO) is a major research partner working closely with SAREL to develop capacity to take eventually over some of SAREL's CLA activities. SAREL also works with five Development Food Assistance Program partners as well as 20 other USAID development projects being implemented in the target areas of Burkina Faso and Niger. The SAREL office is located in Niamey, Niger and has an affiliate office in Ouagadougou, Burkina Faso.

3. DEVELOPMENT HYPOTHESIS AND IMPLEMENTATION

The theory of change that guides SAREL's action is: "if the principles of collaborating, learning and adapting (CLA) are employed by SAREL, RISE implementing partners and other stakeholders, and if data is collected in a timely fashion and made available to decision-makers, then resilience innovations and strategies will be locally-defined, evidence-based and more conducive to adoption." SAREL has five main objectives:

- 1) Test, expand and accelerate the adoption of proven resilience-enhancing technologies and innovations that are already under way;
- 2) Develop, test and catalyze widespread adoption of new models that integrate humanitarian and development assistance;

- 3) Promote ownership, build the capacity of national and regional institutions, and coordinate humanitarian and development interventions in the intervention zone;
- 4) Address gender issues that are key to resilience and growth;
- 5) Create a knowledge management database that will house the baseline assessment, routine monitoring data and impact assessments for REGIS-ER and REGIS-AG.

4. EXISTING PERFORMANCE INFORMATION SOURCES

USAID will provide the Evaluation Team with a package of Activity background materials, including:

- Cooperative Agreement and modifications.
- Performance Management Plan for 2014-2019
- Activity annual reports, quarterly reports, work plans and field visit reports;
- Baseline and midline data collected to date; and
- Any relevant studies or background reports used to support the activity.

All background documents will be provided to the MEP Team by November 6, at least two weeks prior to the Evaluation Team arrival in-country.

5. TASK PURPOSE, AUDIENCE, AND INTENDED USES

SRO is requesting this final performance evaluation of SAREL to complement the larger RISE final evaluation and to provide more activity-specific information that can be used by USAID for adaptive management in the design of future learning activities for resilience programming. The SAREL evaluation will focus on the project's effectiveness in reaching its objectives and in overcoming implementation challenges. It will identify lessons learned, the sustainability of SAREL's achievements. In addition to the evaluation report, the evaluation team will also make recommendations, in a separate design strategy, for USAID to consider in the design of one or several new learning mechanisms for future resilience activities. The design strategy will also consider whether SAREL's objectives and structure were appropriate. The audience for the evaluation results will be USAID/SRO, The Mitchell Group and the USAID/Washington Resilience Center. The RISE portfolio partners and CESAO will also be consulted in the evaluation and receive copies of the final report. The design strategy will be used only as an internal planning document for SRO to consider for future learning activities.

6. TASK REQUIREMENT

The specific objectives of the evaluation are to:

- 1) Asses the progress of the contractor in terms of achievements, management processes and overcoming challenges in meeting the stated objectives of the contract;
- 2) Analyze lessons learned and make recommendations for the remaining year of the SAREL contract; and

- 3) Based on lessons learned, develop design strategies for future learning mechanisms aimed at providing monitoring, evaluation, collaboration and learning support to USAID resilience activities.

The evaluation will answer the following questions:

- 1) Does SAREL have the appropriate resources (including time, budget, expertise, context assessment and monitoring, access to beneficiaries, and access to implementing partners and key stakeholders) to achieve the stated objectives of the contract?
- 2) Have the activity implementers under RISE accelerated, expanded, and scaled-up resilience – enhancing best practices, innovations and models as a result of SAREL activity?
- 3) Have the activity implementers under RISE adopted a culture of collaborating, learning and adapting (CLA) within activities and institutions to adapt strategies, practices, and indicators to reflect knowledge gained from experience, evidence and lessons learned as a result of SAREL activity, and to what extent has this improved development results in RISE Zones of Intervention?
- 4) To what extent will host country institutions, including the Governments of Burkina Faso and Niger and the *Centre d'Etudes Economique et Sociales de l'Afrique de l'Ouest (CESAO)*, be able to continue implementing activities that further the SAREL contract objectives once the SAREL contract finishes, based on institutional capacity and the extent to which SAREL has fostered skills and motivation for ongoing learning and adapting?

Based on the findings and conclusions from each of these five questions, the evaluation team will provide practical and actionable recommendations for USAID in the design of new learning mechanisms for resilience activities in the future, including for how future CLA activities among implementing partners could be better targeted or structured and to what extent new learning activities should involve local NGOs and commune leaders.

7. GENDER DISAGGREGATION AND GENDER DIFFERENTIAL EFFECTS

The evaluation team will explore the way in which SAREL includes the issue of gender in its CLA work for the RISE portfolio as part of its fourth stated objective. The evaluation will identify the key gender-related issues regarding resilience and growth and will assess how these issues have been addressed and to what effect in the RISE portfolio in terms of both planned and unforeseen consequences.

8. APPROACH

I. Design

The sources of data for this evaluation will be derived from the main stakeholders in the activity, i.e. the implementing partner and its activity partners, the RISE project partners, USAID/SRO and Government of Niger and Burkina Faso national-level counterparts. The evaluation team will measure the activity's outcomes through a review of program documentation and interviews with USAID, The Mitchell Group and SAREL staff and partner institutions (specifically REGIS-ER, REGIS-AG, CESAO, food security partners and health partners).

This statement of work requires that the evaluation team develop and submit for approval a work plan with detailed methodology within the first seven days of the evaluation schedule. A central part of the work plan will be the getting to answers matrix which will build upon the initial matrix developed below:

EVALUATION QUESTIONS	TYPE OF ANSWER NEEDED	DATA COLLECTION METHODS	DATA SOURCE(S)	SAMPLING OR SELECTION CRITERIA	DATA ANALYSIS METHODS
Does SAREL have the appropriate resources (including time, budget, expertise, context assessment and monitoring, access to beneficiaries, and access to implementing partners) to achieve the stated objectives of the contract?	✓ Descriptive Comparative ✓ Cause and Effect	Desk review Individual interviews Group interviews	Desk Review Individual interviews with USAID/SRO Individual interviews with TMG and SAREL Individual and group interviews with REGIS-ER and REGIS-AG and CESAO Food security partners and health partners	Purposeful sample of all key RISE partners as identified with USAID/SRO	Content analysis using codification of answers
Have the activity implementers under RISE accelerated, expanded, and scaled-up resilience – enhancing best practices, innovations and models as a result of SAREL activity?	✓ Descriptive Comparative (normative) ✓ Cause and Effect	Desk review Individual interviews Group interviews	Desk Review Individual interviews with USAID/SRO Individual interviews with TMG and SAREL Individual interviews with REGIS-ER, REGIS-AG, food security partners and health partners	Purposeful sample of all key RISE partners as identified with USAID/SRO	Content analysis using codification of answers
Have the activity implementers under RISE adopted a culture of collaborating, learning and adapting	✓ Descriptive Comparative (normative) ✓ Cause and Effect	Desk review Individual interviews Group interviews	Desk Review Individual interviews	Purposeful sample of all key RISE partners as identified	Content analysis using codification of answers

EVALUATION QUESTIONS	TYPE OF ANSWER NEEDED	DATA COLLECTION METHODS	DATA SOURCE(S)	SAMPLING OR SELECTION CRITERIA	DATA ANALYSIS METHODS
<p>(CLA) within activities and institutions to adapt strategies, practices, and indicators to reflect knowledge gained from experience, evidence and lessons learned, and to what extent has this improved development results in RISE Zones of Intervention?</p>			<p>with USAID/SRO</p> <p>Individual interviews with TMG and SAREL</p> <p>Individual interviews with REGIS-ER, REGIS-AG and food security and health partners</p> <p>Individual interviews with Govt of Niger</p> <p>Govt of Burkina Faso</p>	<p>with USAID/SRO</p> <p>Govt of Niger</p> <p>Govt of Burkina Faso</p>	
<p>To what extent will host country institutions, including the Governments of Burkina Faso and Niger and the <i>Centre d'Etudes Economique et Sociales de l'Afrique de l'Ouest</i> (CESAO), be able to continue implementing activities that further the SAREL contract objectives once the SAREL contract finishes?</p>	<p>✓ Descriptive</p> <p>Comparative (normative)</p> <p>✓ Cause and Effect</p>	<p>Desk review</p> <p>Individual interviews</p> <p>Group interviews</p>	<p>Desk Review</p> <p>Individual interviews with USAID/SRO</p> <p>Individual interviews with TMG and SAREL</p> <p>Individual interviews with REGIS-ER, REGIS-AG, food security and health partners</p> <p>Individual interviews with Govt of Niger</p>	<p>Purposeful sample of all key RISE partners as identified with USAID/SRO</p> <p>CESAO</p> <p>Govt of Niger</p> <p>Govt of Burkina Faso</p>	<p>Content analysis using codification of answers</p>

EVALUATION QUESTIONS	TYPE OF ANSWER NEEDED	DATA COLLECTION METHODS	DATA SOURCE(S)	SAMPLING OR SELECTION CRITERIA	DATA ANALYSIS METHODS
			Govt of Burkina Faso Individual and group interviews with CESAO staff		

I. Data Collection Methods

The data collection methodology to be used by the team will consist of two phases:

Phase 1: Document review

The team will review a wide range of documentation including the activity contract, modifications, the activity Performance Management Plan, Annual Work plans, quarterly reports and specific reports related to progress around specific activity objectives.

Phase 2: Qualitative field research

The primary data collection will focus primarily on qualitative research, the team will use the following research instruments:

- Key informant interviews: Open questions for interviewing USAID/SRO staff, TMG and SAREL staff as well as RISE partner staff.
- Focus or discussion groups: Focus or discussion groups with staff from various sections of the RISE portfolio staff including technical staff in addition to M&E staff.

Other data sources, such as secondary data available from SAREL and the RISE partners themselves, research studies, or from the Governments of Niger and Burkina Faso will also be considered.

10. STRENGTHS AND LIMITATIONS

USAID’s evaluation policy states that any methodological strengths and limitations are to be communicated explicitly. The work plan developed by the evaluation team is required to include limitations in the methodology and approach, as well as limitations in the data to be used, either primary or secondary data, as part of the evaluation. The table below is a suggested tool to outline the strengths and limitations of the methodology used for each evaluation/research questions.

RESEARCH QUESTIONS	DATA COLLECTION METHOD(S)	DATA SOURCE(S)	STRENGTHS	LIMITATIONS
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11. DELIVERABLES

The deliverables for this evaluation include:

- **Work Plan:** Detailed work plan which will indicate methodology, data analysis, detailed calendar, and data collection tools for the elaboration of the evaluation. The work plan will be submitted to the MEP COR and SRO Technical POC for approval prior to fieldwork.
- **Progress Report:** A brief written report of the data collection progress made during fieldwork covering key scheduled activities, status of completion, and constraints encountered during the data collection process.
- **Initial presentation (s):** A PowerPoint presentation on initial findings, conclusions, and recommendations of the evaluation as well as preliminary ideas for future learning design mechanisms. The presentation should not be more than 25 slides.
- **Submission of Draft Evaluation Report:** The team will submit a draft report to the MEP COR and Technical POC who will provide comments for revision and finalization of the report ten working days following the draft submission. The evaluation report will cover recommendations for the final year of the SAREL contract.
- **Final Report:** A written and electronic document that includes an executive summary, table of contents, methodology, findings, conclusions, lessons learned, and recommendations. The report will be submitted in English. The final report should include a database with all collected information and transcripts.
- **Design Strategy:** A written document which outlines possible ideas and ways to structure future learning activities for the resilience portfolio. The strategy document will be roughly 10 pages and will provide general ideas that could support future activities to be developed by SRO.
- **Abstract:** A 2-page document including the purpose, questions, methodology and outcome of the evaluation/research; i.e. findings, conclusions and recommendations.

12. TEAM COMPOSITION

The evaluation team will be led by a team leader who has at least ten years' experience in evaluating international agricultural development projects, with five years' experience in leading evaluation teams and with fluent French. S/he should be familiar with CLA principles and have experience working in the Sahel on development/resilience issues. The team leader will work with one evaluation assistant in Niger and a second in Burkina Faso who will coordinate in-country interviews, notetaking and/or recording of interviews and support data analysis based on the local context. An M&E Associate from MEP Senegal will travel with the Team Leader to support all logistical arrangements and to ensure compliance with use of MEP interview tools. All confirmed team members are required to provide a signed statement attesting that they have no conflict of interest or describing any existing conflict of interest.

TASKS/DELIVERABLES AND LOE

Dates	Tasks/Deliverables	Estimated LOE (in days)			
		Team Leader	Niger Evaluator	Burkina Evaluator	Total
November 1-15	Identification of potential team members for the evaluation				
November 14	Signature of the SOW				

Dates	Tasks/Deliverables	Estimated LOE (in days)			
		Team Leader	Niger Evaluator	Burkina Evaluator	Total
November 17-30	Contracting process with the consultants				
Dec 5-8	Desk review and completion of “Answering Questions with Secondary Data”	4	4	4	12
Dec 11-12	Development of detailed work plan including G2A matrix, the sampling plan, data analysis plan, fieldwork schedule and tools, review of compliance check results	2	2	2	6
December 15	Presentation of detailed work plan and tools to USAID/SRO; Feedback from USAID	1			1
December 20	Feedback from SRO on Work plan				
December 22	Finalization of Work plan				
January 6	Travel to Dakar	1			1
January 8	Meetings with USAID/SRO	1			1
January 9	Travel to Niamey	1			1
January 10-16	Meetings with SAREL, USAID, GoN and resilience partners	6	5		11
January 17	Travel to Ouagadougou	1			1
January 18-23	Meetings with SAREL, USAID, GoBF and resilience partners	5		4	9
January 24	Travel to Dakar	1			1
January 25-27	Data analysis and preparation of initial findings	3	2	2	7
January 29	Presentation of initial findings to SRO	1			1
January 30	Depart Dakar	1			1
Jan 31-Feb 5	Complete the data analysis & consolidate the FCR table	4	3	3	10
Feb 7	Approve the FCR table				
Feb 6-16	Develop the rough draft evaluation report and design strategy	9	4	4	17
Feb 23	Feedback from SRO on draft report and design paper				
Feb 26-March 2	Revisions to draft report and strategy	4	2	2	8
March 5-7	Review the draft evaluation report (MEP)				
March 8-9	Copy-edit, format + technical review of draft report				
March 13	Submit the draft evaluation report and strategy design to USAID				
March 13-27	Review the draft evaluation report (USAID)				

Dates	Tasks/Deliverables	Estimated LOE (in days)			
		Team Leader	Niger Evaluator	Burkina Evaluator	Total
March 15	Share the evaluation report with the TMG				
March 22	Receive feedback from TMG on evaluation report				
March 28-31	Revise draft report and strategy design	4			4
April 7	Submission of the final evaluation report and strategy design to USAID				
Total Estimated LOE		49	22	21	92

13. PARTICIPATION OF USAID STAFF AND PARTNERS

It is expected that the USAID/SRO will hold an initial discussion with the evaluation team by phone as the team conducts the desk research. MEP will request a list of relevant stakeholders to participate in this evaluation including emails and phone numbers for SAREL, RISE partners, CESA, USAID/Niger, USAID/Burkina Faso and Government of Niger (GoN) and Government of Burkina Faso (GoBF) counterparts. The SAREL team should be contacted directly by the MEP to obtain a list of government counterparts and local NGO representatives at national and local level who have participated in SAREL learning events or capacity building efforts. This initial call would allow the team to ask clarifying questions and request additional documents. Upon completion of the work plan and tool development, USAID/SRO will be expected to review and approve the work plan and tools in a period of 24 hours. Once the evaluation team is in-country, the SRO will provide an initial in-brief with the evaluation team during the Team Planning Meeting. As part of the evaluation, USAID/SRO will also be interviewed as well as TMG staff supporting the project from Washington, DC. At the completion of the fieldwork, it is expected that USAID/SRO, and SAREL will participate in a presentation of the evaluation’s initial findings, conclusions, and recommendations.

14. SCHEDULING AND LOGISTICS

MEP Senegal will arrange all logistics for fieldwork in Dakar, Niger and Burkina Faso. MEP Senegal (for the USAID/Senegal SRO Team) will request introductory communications for the evaluation team. All appointments will be made by MEP Senegal staff and in-country point people that are part of the evaluation team. It is expected that all evaluation interviews will be held in Niamey and Ouagadougou. If this is not possible, MEP will conduct phone interviews.

15. DISSEMINATION

Once the report is completed, it is expected that it will be shared with the SRO team, USAID/Senegal EGO staff, TMG, SAREL and the Resilience Center in Washington, DC. The evaluation team will explore ways to maintain a complete list of all stakeholders interviewed as a part of the evaluation in order to share the report with them upon completion, in English and French. This would include all RISE partners and GoN and GoBF counterparts. The Design Strategy will be a proprietary document that will be provided as an internal planning document to SRO. The final evaluation report will be provided to

USAID in a form suitable for public posting - potentially sensitive sections should be submitted separately (such as transcripts of individual conversations).

16. REPORTING REQUIREMENTS

It is expected that this report will be drafted and finalized in English and then translated into French. The report itself should not be longer than 25 pages total, excluding the Annexes. A draft evaluation report template will be used which is based on the USAID evaluation report template and guidance (<http://usaidlearninglab.org/library/evaluation-report-template> and How-To Note Preparing Evaluation Reports - <http://usaidlearninglab.org/library/how-note-preparing-evaluation-reports>). The report includes Appendix I, which is the Mandatory Reference on Evaluation. The report will be branded with the standard USAID branding requirements and will be formally submitted to the DEC upon approval. Copies in English will be shared with USAID/SRO and the Resilience Center. The Design Strategy will be drafted in English and will not be posted on the DEC or shared with the public.

16. ATTACHED REFERENCE DOCUMENTS

Please check all that apply below.

- Budget
- Document review matrix
- Results framework
- Response matrix
- Gantt chart
- CVs
- Conflict of Interest Statements
- USAID evaluation policy
- USAID evaluation report structure

17. AUTHORIZATIONS

The undersigned hereby authorize the following items (checked below) for the Statement of Work (SOW) described above:

The undersigned hereby authorize the following items (checked below) for the Statement of Work (SOW) described above:

- Completion of the SOW, as described above;
- SOW staffing, as described above;
- Concurrence with Contracting Officer's Travel Approval for the Consultant(s), requested above (if received prior to review).

[COR to either sign below or indicate approval in a return email]

Contracting Officer's Representative (COR)
Fatou Thiam, or designate

Date

Office Director

Date

Annex VI: Evaluation Work Plan



USAID
FROM THE AMERICAN PEOPLE

SAHEL RESILIENCE LEARNING FINAL PERFORMANCE EVALUATION WORK PLAN

JANUARY 2018 (FINAL)

This publication was produced for review by the United States Agency for International Development. It was prepared by Management Systems International, A Tetra Tech Company, for the USAID/Senegal Mission-Wide Monitoring and Evaluation Project.

SAHEL RESILIENCE LEARNING (SAREL) FINAL PERFORMANCE EVALUATION

WORK PLAN

Contracted under AID-685-C-15-00003

USAID Senegal Monitoring and Evaluation Project

I. INTRODUCTION TO THE SAREL FINAL PERFORMANCE EVALUATION

USAID SOW Manager	Cornelia Tremann, SRO
Activity COR/AOR	Yikee Adje, SRO
MEP SOW Manager	Safyatou Diallo
Activity Title	Sahel Resilience Learning
Activity Period	March 3, 2014-March 2, 2019
Award/Contract #	AID-625-C-14-00002
Funding	\$11,515,689.00
Implementing Organization	The Mitchell Group
Geographic Coverage	Burkina Faso and Niger
Task	Sahel Resilience Learning (SAREL) Final Performance Evaluation
Task Start and End Dates	December 14, 2018-April 7, 2018

The USAID Sahel Regional Office (SRO) is requesting this final performance evaluation of Sahel Resilience Learning (SAREL) to complement the larger Resilience in Sahel Enhanced (RISE) final evaluation and to provide more activity-specific information that can be used by USAID for adaptive management in the design of future learning activities for resilience programming. The SAREL evaluation will focus on the project's effectiveness in reaching its objectives and in overcoming implementation challenges. It will identify lessons learned, the sustainability of SAREL's achievements. In addition to the evaluation report, the evaluation team will also make recommendations, in a separate design strategy, for USAID to consider in the design of one or several new learning mechanisms for future resilience activities. The design strategy will also consider whether SAREL's objectives and structure were appropriate. The audience for the evaluation results will be USAID/SRO, The Mitchell Group (TMG) and the USAID/Washington Resilience Center. The RISE portfolio partners and *Centre d'Etudes Economiques et Sociales de l'Afrique de l'Ouest* (CESAO) will also be consulted in the evaluation and receive copies of the final report. The design strategy will be used only as an internal planning document for SRO to consider for future learning activities.

The specific objectives of the evaluation are to:

- 4) Asses the progress of the contractor in terms of achievements, management processes and overcoming challenges in meeting the stated objectives of the contract;
- 5) Analyze lessons learned and make recommendations for the remaining year of the SAREL contract; and
- 6) Based on lessons learned, develop design strategies for future learning mechanisms aimed at providing monitoring, evaluation, collaboration and learning support to USAID resilience activities.

The evaluation team consists of one international consultant (team leader), two local evaluators (one Nigerien, one Burkinabe), and an evaluation manager based in Senegal who is part of the Monitoring and Evaluation Project (MEP) support contract. The team will be in the field from 8-24 January 2018. Due to the tight timeline for this evaluation, the team will focus primarily on Tier I participants in RISE, principally

the two REGIS activities and the five FFP Title II activities in Burkina Faso and Niger. The interviews will also include the government entities, such as H3N, CESA0, and SP/CNSA (in Burkina Faso). As much as possible in the timeframe, the team will also interview Tier 2 participants. As local consultants will be available during the week following the full team's fieldwork in each country, they may also continue interviewing Tier 2 participants, conducting follow-up sessions, and perform preliminary analyses based on their interview findings. We are managing the accessibility of respondents with the various levels of participation, during this fieldwork in order to respect the mid-February deadline for the draft reports. The team leader will continue the data analysis and FCR table (with any additional follow-up questions and analysis in Niger and Burkina Faso done by the local evaluators in each country) in Dakar until 6 February. This will also permit SRO to participate in these discussions and thus to ensure that the key deliverables match their evolving needs. The draft report(s) are due on 16 February 2018.

2. ACTIVITY DESCRIPTION

SAREL is a five-year (2014-2019), \$11,515,689 project whose purpose is to provide monitoring, evaluation, collaboration and learning support to the USAID Resilience in the Sahel Enhanced (RISE) initiative. The goal of SAREL is to strengthen the capacity of key stakeholders to engage in adaptive, evidence-based learning to promote best practices for resilience in the region.

SAREL works closely with USAID/SRO's two primary resilience-strengthening projects in Burkina Faso and Niger: Resilience and Economic Growth in the Sahel-Accelerated Growth (REGIS-AG) and-Resilience and Economic Growth in the Sahel- Enhanced Resilience (REGIS-ER). CESA0 is a major research partner working closely with SAREL to develop capacity to take eventually over some of SAREL's Collaboration, Learning and Adapting (CLA) activities. SAREL also works with five Development Food Assistance Program (DFAPs) partners as well as 20 other USAID development projects being implemented in the target areas of Burkina Faso and Niger. The SAREL office is located in Niamey, Niger and has an affiliate office in Ouagadougou, Burkina Faso.

The evaluation will concentrate on SAREL's Tier I partners (the two REGIS activities, CESA0, and the five DFAPs), but not limit itself to those. We will conduct additional interviews with host country government entities in Niger and Burkina Faso, as well as the other USAID activities that have participated in SAREL as time permits.

3. DEVELOPMENT HYPOTHESIS AND IMPLEMENTATION

The theory of change that guides SAREL's action is: "if the principles of collaborating, learning and adapting (CLA) are employed by SAREL, RISE implementing partners and other stakeholders, and if data is collected in a timely fashion and made available to decision-makers, then resilience innovations and strategies will be locally-defined, evidence-based and more conducive to adoption." SAREL has five main objectives:

- 6) Test, expand and accelerate the adoption of proven resilience-enhancing technologies and innovations that are already under way;
- 7) Develop, test and catalyze widespread adoption of new models that integrate humanitarian and development assistance;
- 8) Promote ownership, build the capacity of national and regional institutions, and coordinate humanitarian and development interventions in the intervention zone;
- 9) Address gender issues that are key to resilience and growth;
- 10) Create a knowledge management database that will house the baseline assessment, routine monitoring data and impact assessments for REGIS-ER and REGIS-AG.

Working from this theory of change and objectives, SAREL fits within the following Agency framework of resilience activities.

Table I: SAREL ‘Goodness of Fit’

Office/Activity	Strong	Moderate
Sahel Regional Office (RISE portfolio: REGIS-AG and REGIS-ER)	x	
FFP DfAPs (Niger, Burkina Faso, Mali, Chad)	x	
BFS Feed the Future		X
Center for Resilience	x	
Resilience Focus Countries		X
USAID Resilience Activities		X
TOPS Partners and Materials		X
USAID bilateral activities (Senegal, Mali, Burkina Faso, Chad)		X
USAID Resilience Policy		

While it is out of the scope of this evaluation to examine the all of the effects of SAREL, it is important to consider how well SAREL fits within the overall framework for resilience and other resources available within the USAID portfolios.

4. EVALUATION QUESTIONS

The evaluation will answer the following questions:

- 1) Does SAREL have the appropriate resources (including time, budget, expertise, context assessment and monitoring, access to beneficiaries, and access to implementing partners and key stakeholders) to achieve the stated objectives of the contract?
- 2) Have the activity implementers under RISE accelerated, expanded, and scaled-up resilience – enhancing best practices, innovations and models as a result of SAREL activity?
- 3) Have the activity implementers under RISE adopted a culture of collaborating, learning and adapting (CLA) within activities and institutions to adapt strategies, practices, and indicators to reflect knowledge gained from experience, evidence and lessons learned as a result of SAREL activity, and to what extent has this improved development results in RISE Zones of Intervention?
- 4) To what extent will host country institutions, including the Governments of Burkina Faso and Niger and the *Centre d’Etudes Economique et Sociales de l’Afrique de l’Ouest* (CESAO), be able to continue implementing activities that further the SAREL contract objectives once the SAREL contract finishes, based on institutional capacity and the extent to which SAREL has fostered skills and motivation for ongoing learning and adapting?

Each of these questions will be further customized and expanded for the respondent categories: donors, host country governments, CESAO, and Tier I partners (please see the attached Excel file for expanded versions of the questions and respondent categories). At the same time, the questions will be reviewed for both translation and back-translation to ensure that meaning stays consistent. The team leader will work with the entire team to ensure shared comprehension, make revisions as necessary, and will ensure consistency in approach. This will also facilitate subsequent pattern and content analysis.

As part of the data collection, the team will also examine the integration of gender into resilience activities, both in terms of participation and also deliverables (for example, special studies, recommendations, and/or reports).

Based on the findings and conclusions from each of these four questions, the evaluation team will provide practical and actionable recommendations for USAID in the design of new learning mechanisms for resilience activities in the future, including for how future CLA activities among implementing partners could be better targeted or structured and to what extent new learning activities should involve local NGOs and commune leaders.

As USAID staff may shift and institutional memory about SAREL's implementation may not be as readily available, the strategy paper will contain abridged version of the FCR table that has been amplified to include operational-izable recommendations dovetailed with the FCR. This will permit design strategies closely allied with evidence and help develop the necessary rationale for subsequent activities for SRO.

5. DATA COLLECTION METHODS AND SOURCES

This performance evaluation will engage in desk review and qualitative methods to assemble data required for arriving at findings, conclusions, and recommendations.

- **Desk Review:** the evaluation team will review and analyze activity design and implementation documents, which add up to hundreds of pages. This review will arrive at an understanding of the activity objectives and implementation characteristics, contexts, and challenges, and will identify and describe achieved activity results.
- **Qualitative methods:** the evaluation team will conduct key informant interviews with USAID, host country government officials, and senior staff of partner organizations and Tier I participants. As possible, the evaluation team will also conduct semi-structured interviews with additional staff in Tier I participants and with non-Tier I organizations. The local evaluators will, after training, continue to conduct additional organizations for semi-structured and key informant interviews in their respective countries while they are also working on the analyses.
- **Quantitative methods:** We have determined that we will not attempt even a short e-survey for this evaluation, due to time and response rate concerns. Instead, the team will obtain the statistics for the KM portal on: number of users, most frequent downloads, and any available patterns in use, etc.

5.1 STRENGTHS AND LIMITATIONS OF DATA COLLECTION METHODS.

Not contacting all of the participants directly via a survey does limit the evaluation in terms of the widest possible reach for SAREL (contacting participants outside of Tier I and non-USAID sources), but the team considers that the depth and concentration of technical assistance offered to the Tier I participants (plus the local governments) is a better choice considering the purpose of this final evaluation, especially as we will still reach out to Tier 2 participants as time allows. Using the KM portal statistics should help compensate by providing a strong indication of the breadth of the resilience resources distributed & managed by SAREL.

Desk reviews are naturally limited by what is written. Activity reports often concentrate on the positive: achievements as opposed to challenges or roadblocks. In addition, desk reviews can be overwhelmed by

the sheer volume of writing, which limits a more complete mastery of the findings (due to the twin constraints of volume and time).

In a similar way, interviews tend to be myopic and can also be self-serving, but are still one of the best ways to ascertain details not contained in the written documents and can offer a 'safer environment' to express concerns about implementation.

The best way to manage the limitations in each method is to use them as cross-checks on the other. This is not triangulation, per se, which requires an additional source. Instead, this allows for an enhanced internal validation of findings, minimizing the subjectivity of the interviews with the redacted version in the documents.

5.2 GETTING TO ANSWERS MATRIX

The identification of potential data collection methods and sources appropriate for each Evaluation Question (EQ) are presented in a completed "Getting to Answers" matrix is included as an annex to this work plan.

The evaluation team will base its interview questions on the master data collection instrument (see Excel file). Each of the main evaluation questions has been further elaborated in two to three additional questions, and the key informant interviews (KIIs) are customized to the type of respondent category to minimize confusion and target the appropriate level of access to information about both SAREL and resilience activities. As it is not yet clear what staff on the various USAID-funded activities will be available, the primary target for the KIIs will be senior staff. If field staff or other team members can be made available, the evaluation team proposes to interview them collectively in smaller groups using a semi-structured approach.

6. SAMPLING

SAREL has offices and Tier 1 partners in two countries: Niger and Burkina Faso. They also work with other partners in Senegal, Mali, and Chad. Due to the time limitations in the evaluation (and relatively lower levels of interaction with the other three countries), fieldwork with SAREL, its Tier 1 partners, host country governments and Tier 2 participants will only be in Niger and Burkina Faso. Details of activities and participation that are more widespread should be available via the document review and the KIIs.

The focus of the sampling for interviews will be purposive based on the following criteria:

1. Direct knowledge of SAREL and resilience activities in the SAHEL
2. Sahel Regional Office (SRO) staff responsible for SAREL
3. Senior staff among SAREL, CESAO and SAREL's Tier 1 partners (Chief of Party, Deputy Chief of Party, M&E Manager, CLA Manager)
4. Host Country Government Officials tasked with resilience policy and implementation
5. Tier 2 partners (Chief of Party, et al).

Due to staff transitions, it is possible that the team may reach out to prior incumbents of key senior staff positions. In addition, the team leader will conduct interviews with Washington-based Center for Resilience staff prior to departure for the fieldwork and with the home office of The Mitchell Group.

Most of these interviews would be person-to-person with the main discussion points recorded (in writing using a standardized data collection form for easier coding & analysis), and, as permitted, on voice recording for later cross-tabulation during the data analysis phase. In order to protect sources and

encourage honest responses, the data collection form will only include date, organization, and general respondent category.

At the end of each day, team members will type up notes from the interviews, noting at the top of each interview guide any interesting or significant points, and having a round-up meeting to determine the efficacy and consistency of the data collection.

7. DATA ANALYSIS

Data analysis will draw on findings organized by evaluation question, facilitated by the standardized data collection instrument. Qualitative data collected via the key informant interviews will be analyzed using thematic and content analysis, with categories developed inductively.

Recording of interviews will be provided to the MEP team in Dakar for transcriptions and translations, as necessary. These will be used to enhance the analysis from the written notes and refine their analysis. The evaluation team will note patterns and develop themes from the interviews. The team will design an analysis rubric to analyze the data and capture these emerging themes and/or patterns. Once the team has completed the thematic analysis, it will analyze key findings and themes using content analysis. Content analysis will help the team go beyond descriptions of changes in practices and attitude to identify the most salient characteristics of these changes, in particular the modifications to both resilience programming and CLA adopted as a result of SAREL’s interventions. The evaluation team will use data triangulation, the use of two or more data sources, to strengthen findings or identify areas of divergence. In order to illuminate the validity of findings, percentages of respondents (for example, 60%, or 6/10 respondents) will be included in the narrative.

Master analytical graphs showing descriptive statistics (frequencies and frequency distributions) will also provide more visual reinforcement to the narrative analysis of findings. One other analytical tool that has proven useful in similar management and performance reviews is a chronograph. Chronographs can show operational context over time at various levels: general operating environment, project management, and specific performance benchmarks. These might include security concerns or staffing gaps/overlaps, and can thus provide very useful overviews of challenges and advantages that offer additional insight into an activity’s implementation.

8. FIELD WORK PLAN

The timeline below ensures that a first draft report and strategy paper will be submitted to USAID/Senegal on February 16, 2018. Feedback from SRO will be used to provide a revised, finalized draft report and strategy paper by March 13, 2018. The detailed work plan for the data collection in each country is included in Annex III

Dates	Tasks/Deliverables
January 6	Travel to Dakar
January 8	Meetings with USAID/SRO
January 9	Travel to Niamey
January 10-16	Meetings with SAREL, USAID, GoN and resilience partners

Dates	Tasks/Deliverables
January 17	Travel to Ouagadougou
January 18-23	Meetings with SAREL, USAID, GoBF and resilience partners
January 24	Return to Dakar
January 25-27	Data analysis and preparation of initial findings
January 29	Presentation of initial findings to SRO
Jan 30- Feb 6	Conduct data analysis, develop detailed FCR table and draft report
February 6	Depart Dakar
Feb 7	Approve the FCR table by SRO
Feb 6-16	Develop the rough draft evaluation report and design strategy
Feb 23	Feedback from SRO on draft report and design paper
Feb 26-March 2	Revisions to draft report and strategy
March 5-7	Review the draft evaluation report (MEP)
March 8-9	Copy-edit, format + technical review of draft report
March 13	Submit the draft evaluation report and strategy design to USAID
March 13-27	Review the draft evaluation report (USAID)
March 15	Share the evaluation report with the TMG
March 22	Receive feedback from TMG on evaluation report
March 28-31	Revise draft report and strategy design
April 7	Submission of the final evaluation report and strategy design to USAID

9. ROLES AND RESPONSIBILITIES

The evaluation team has four principals: the team leader, the two local evaluators, and a MEP evaluation associate. The team leader has the overall responsibility for the evaluation report, but other roles and responsibilities divide up along these lines, per the following table. This does not include the donor's responsibilities with respect to review.

Table II: Roles and Responsibilities

Roles & Responsibilities	Team Leader	Nigerien Evaluator	Burkinabe Evaluator	M&E Associate	MEP Staff Dakar/DC
Work plan	X				
Desk Review	X	X	x		
Data collection instruments	X	X	X	X	

Roles & Responsibilities	Team Leader	Nigerien Evaluator	Burkinabe Evaluator	M&E Associate	MEP Staff Dakar/DC
Schedule & appointments				X	
Logistics				X	
Interviews (Tier I)	X	X	X		
Interviews (add'l.)		X	X		
Data entry	X	X	X	X	
Data analysis structure	X	X	X	X	
Data analysis	X	X	X		
Draft presentation	X				
Draft report and design document	X	X	X		
Quality review				X	X
Edit report	X			X	X
Prepare report for USAID review				X	X
Revise report	X				
Edit revised report				X	X
Prepare report for USAID review				X	X

Annex VII: Getting To Answers Matrix

EVALUATION QUESTIONS	TYPE OF ANSWER NEEDED	DATA COLLECTION METHODS	DATA SOURCE(S)	SAMPLING OR SELECTION CRITERIA
<p>1) Does SAREL have the appropriate resources (including time, budget, expertise, context assessment and monitoring, access to beneficiaries, and access to implementing partners and key stakeholders) to achieve the stated objectives of the contract?</p>	<p>Descriptive (including chronograph) Comparative (by country and activities; planned/actual achievements and narrative)</p>	<p>Document review Key informant interviews (KIIs) CSEAO semi-structured interviews (may be easier to do this in small groups) Possibly short e-surveys to other participants (field IP and Tier 2 participants)</p>	<ul style="list-style-type: none"> - SAREL quarterly and annual reports, MEL plan - REGIS-EG and AG quarterly and annual reports, MEL plans - RISE quarterly and annual reports, MEL plans - FFP DfAP quarterly and annual reports, MEL plans (for Burkina & Niger; total= 5) - additional USAID reports (trip reports, etc.) - additional SAREL reports (training, etc.) - KIIs ((government, USAID, FtF and FFP implementing partners + SAREL staff - semi-structured interviews (CSEAO staff); possibly IP field staff if available 	<p>No sampling for document review; all reports analyzed in chronological order KIIs limited to Tier 1 IP and government senior staff¹⁰ based in capital cities; USAID FtF and FFP staff in Washington, Dakar, Ouagadougou and Niamey Semi-structured interviews with IP field staff as available; possibly replaced with short e-surveys sent to activity participants across Tier 2 as well)</p>

¹⁰ Senior staff for IPs include: COP, DCOP, M&E or MEL Manager; Senior staff for government include: relevant Ministry official(s) liaising with SAREL; FtF and FFP staff include AORs/activity managers for Tier 1 activities, selected staff at the Center for Resilience

EVALUATION QUESTIONS	TYPE OF ANSWER NEEDED	DATA COLLECTION METHODS	DATA SOURCE(S)	SAMPLING OR SELECTION CRITERIA
<p>2) Have the activity implementers under RISE accelerated, expanded, and scaled-up resilience – enhancing best practices, innovations and models as a result of SAREL activity?</p>	<p>Descriptive (frequency, frequency distribution) Content analysis</p>	<p>Document review Key informant interviews (KIIs)</p>	<p>- IP reports (Tier 1) - KIIs (government, USAID, FtF and FFP implementing partners + SAREL staff); possibly semi-structured interviews with field staff if available</p>	<p>No sampling for document review; all reports analyzed in chronological order KIIs limited to Tier 1 IP and government senior staff based in capital cities; USAID FtF and FFP staff in Washington, Dakar, Ouagadougou and Niamey Semi-structured interviews with IP field staff as available; possibly replaced with short e-surveys sent to activity participants across Tier 2 as well)</p>
<p>3) Have the activity implementers under RISE adopted a culture of collaborating, learning and adapting (CLA) within activities and institutions to adapt strategies, practices, and indicators to reflect knowledge gained from experience, evidence and lessons learned as a result of SAREL activity, and to what extent has this improved development results in RISE Zones of Intervention?</p>	<p>Descriptive Comparative (by country and activities; planned/actual achievements and narrative) Content analysis (from documents and KIIs)</p>	<p>KIIs Document review</p>	<p>- KIIs (government, USAID, FtF and FFP implementing partners + SAREL staff) - IP reports (Tier 1)</p>	<p>KIIs with senior staff of IPs and USAID AORs/Activity Managers (FtF and FFP)</p>

EVALUATION QUESTIONS	TYPE OF ANSWER NEEDED	DATA COLLECTION METHODS	DATA SOURCE(S)	SAMPLING OR SELECTION CRITERIA
<p>4) To what extent will host country institutions, including the Governments of Burkina Faso and Niger and the <i>Centre d'Etudes Economiques et Sociales de l'Afrique de l'Ouest</i> (CESAO), be able to continue implementing activities that further the SAREL contract objectives once the SAREL contract finishes, based on institutional capacity and the extent to which SAREL has fostered skills and motivation for ongoing learning and adapting?</p>	<p>Content analysis Organizational capacity assessment (if pre/post exists)</p>	<p>KIIs; possibly semi-structured interviews with CSEAO staff</p>	<ul style="list-style-type: none"> - KIIs (government, CSEAO, SAREL staff) - Possibly semi-structured interviews with additional CSEAO staff 	<p>KIIs limited to Tier I IP and government senior staff¹¹ based in capital cities; USAID FtF and FFP staff in Washington, Dakar, Ouagadougou and Niamey</p>

¹¹ Senior staff for IPs include: COP, DCOP, M&E or MEL Manager; Senior staff for government include: relevant Ministry official(s) liaising with SAREL; FtF and FFP staff include AORs/activity managers for Tier I activities, selected staff at the Center for Resilience

Annex VIII: Data Collection Instruments

MASTER INSTRUMENTS FOR KEY INFORMANT INTERVIEWS (KIIS) AND SEMI-STRUCTURED INTERVIEWS (SSI)

NOTE: Phrasing of the different questions will change based on the respondent category, but content will not.

			RESPONDENT CATEGORY						
EQ	TYPE	EVALUATION QUESTION	USAID	GOVT	SAREL	TMG HO	CESAO	TIER 1 IP	Tier 2 IP
	I KII	Does SAREL have the appropriate resources (including time, budget, expertise, context assessment and monitoring, access to beneficiaries, and access to implementing partners and key stakeholders) to achieve the stated objectives of the contract?	x		x	x			
Ia	KII	What has been your experience with SAREL? <i>prompts: rough number of contacts and/or years working with SAREL</i>		x		x	x	x	
		<i>prompts: attendance at workshops, conferences; requests for technical assistance, accessing information through the portal, etc.</i>							
Ib	KII	What do you see as the advantages and disadvantages of this type of regional and topical activity? <i>prompts: collaboration, networking, information-sharing, gender focus</i> <i>prompts: costs, language, usefulness, access</i>	x	x	x	x	x	x	
Ic	KII	Did you encounter any challenges in working with SAREL? If so, what do you think they needed to do to resolve those? <i>prompts: access, available time, language, personnel, location, gender focus</i> <i>prompts: operational solutions, funding (travel grants for participation, research grants)</i> <i>As needed for small groups; use similar prompts</i>	x	x		x	x	x	
Id	SSI	What has been your experience with SAREL?					x		x
Ie	SSI	What do you see as the advantages and disadvantages of this type of activity?					x		x

MASTER INSTRUMENTS FOR KEY INFORMANT INTERVIEWS (KIIS) AND SEMI-STRUCTURED INTERVIEWS (SSI)

3	KII	Have the activity implementers under RISE adopted a culture of collaborating, learning and adapting (CLA) within activities and institutions to adapt strategies, practices, and indicators to reflect knowledge gained from experience, evidence and lessons learned as a result of SAREL activity, and to what extent has this improved development results in RISE Zones of Intervention?	x		x	x			
3a	KII	What is the value to your organization of the resilience networks established/reinforced by SAREL?		x			x	x	
		<i>prompts: examples, types of participation</i>							
		<i>prompts: value - evidence available for this</i>							
3b	KII	How often are you in contact with other organizations in this network for informal or formal collaborations or learning events?		x			x	x	
		<i>prompts: examples, types</i>							
		<i>prompts: week/month/quarter/year</i>							
3c	KII	Have you seen positive changes in your own activity's results from modifications due to participation in these networks?		x			x	x	
		<i>prompts: examples, types</i>							
		<i>prompts: evidence</i>							
3d	KII	How would you describe the culture of CLA in your organization? How has that changed from participating in SAREL's activities?					x	x	
		<i>prompts: collaboration, learning, adaptation; use of information to foster change</i>							
		<i>prompts: examples, evidence</i>							
		<i>As needed for small groups; use similar prompts</i>							
3e	SSI	How often are you in contact with other organizations in this network for informal or formal collaborations or learning events?						x	x
3f	SSI	Have you seen positive changes in your own activity's results from modifications due to participation in these networks?						x	x
3g	SSI	How would you describe the culture of CLA in your organization? How has that changed from participating in SAREL's activities?						x	x

MASTER INSTRUMENTS FOR KEY INFORMANT INTERVIEWS (KIIS) AND SEMI-STRUCTURED INTERVIEWS (SSI)

		To what extent will host country institutions, including the Governments of Burkina Faso and Niger and the <i>Centre d'Etudes Economique et Sociales de l'Afrique de l'Ouest (CESAO)</i> , be able to continue implementing activities that further the SAREL contract objectives once the SAREL contract finishes, based on institutional capacity and the extent to which SAREL has fostered skills and motivation for ongoing learning and adapting?	x	x	x	x	x	x	
4	KII								
4a		What strengths and capacities has SAREL fostered in your institution?		x			x	x	
		<i>prompts: organizational training/TA provided, changes in systems or operations</i>							
		<i>prompts: responsiveness to OCAT: personnel, FM, etc.</i>							
4b		What do you see as your main institutional strengths and weaknesses in implementing resilience-based activities?		x			x	x	
		<i>prompts: sustainability (KM portal, organizing meetings, access to resources)</i>							
		<i>prompts: resources or institutional support needed to carry out these types of activities</i>							

Annex IX: SAREL Spending Budget per Year

Yearly Spending Total (Niger & Burkina)	BUDGET.	Year 1.	Year 2.	Year 3.	Year 4 (9 months thru Nov 2017).	CUMULATIVE DISB.	% of execution.	Balance.
Allowances	\$ 614 546	\$ 64 031	\$ 73 747	\$ 84 934	\$ 57 758	\$ 280 471	46%	\$ 334 075
Consultants	\$ 493 204	\$ 74 724	\$ 49 498	\$ 67 471	\$ 40 633	\$ 232 326	47%	\$ 260 878
Equipment & Supplies	\$ 162 552	\$ 104 096	\$ 30 225	\$ 26 402	\$ 2 749	\$ 163 472	101%	\$ (920)
Fixed Fee	\$ 456 881	\$ 81 473	\$ 90 542	\$ 117 611	\$ 58 156	\$ 347 782	76%	\$ 109 099
Fringe Benefits	\$ 284 683	\$ 57 991	\$ 60 886	\$ 64 577	\$ 58 060	\$ 241 513	85%	\$ 43 170
G&A	\$ 924 900	\$ 248 563	\$ 151 614	\$ 167 446	\$ 110 978	\$ 678 600	73%	\$ 246 300
Other Direct Costs	\$ 635 686	\$ 131 917	\$ 122 405	\$ 144 522	\$ 115 783	\$ 514 626	81%	\$ 121 060
Overhead Off-Site	\$ 384 528	\$ 63 304	\$ 61 010	\$ 63 844	\$ 41 310	\$ 229 467	60%	\$ 155 061
Overhead On-Site	\$ 211 908	\$ 28 703	\$ 23 415	\$ 26 719	\$ 37 805	\$ 116 641	55%	\$ 95 267
Salaries & Wages	\$ 1 785 246	\$ 242 978	\$ 312 877	\$ 337 233	\$ 281 728	\$ 1 174 816	66%	\$ 610 430
Subcontracts	\$ 2 787 686	\$ 477 460	\$ 756 137	\$ 794 001	\$ 297 818	\$ 2 325 415	83%	\$ 462 271
Surveys and Evaluations	\$ 1 895 450	\$ 13 526	\$ 194 487	\$ 75 501	\$ 588 904	\$ 872 419	46%	\$1 023 031
Training, Capacity Building & Institutional Strengthening Grants	\$ 401 279	\$ 19 060	\$ 114 631	\$ 23 377	\$ 57 705	\$ 214 774	54%	\$ 186 505
Travel & Per Diems	\$ 477 138	\$ 110 039	\$ 47 783	\$ 90 177	\$ 60 794	\$ 308 793	65%	\$ 168 345
Total général	\$ 11 515 687	\$ 1 717 865	\$ 2 089 256	\$ 2 083 814	\$ 1 810 180	\$ 7 701 115	67%	\$3 814 572

Annex X: FCR

Evaluation Questions	Findings	Conclusions	Recommendations
<p>Q1: Does SAREL have the appropriate resources (including time, budget, expertise, context assessment and monitoring, access to beneficiaries, and access to implementing partners and key stakeholders) to achieve the stated objectives of the contract?</p>	<p>(F1-1) Based on desk review of the original scope for SAREL and annual reports, there are consistent gaps in tasks and results (for example, gender, knowledge management, validating best practices) that were left undone due to the volume of work.</p> <p>(F1-2) Most of those interviewed mentioned that the SAREL staff were good (to very good), but also, clearly, overwhelmed.</p> <p>(F1-3) SAREL and respondents understood that local staff might not have been available with the required skills; but the solutions were to state that, repeatedly, and provide band-aids with periodic consultants.</p> <p>(F1-4) There is a widespread perception among partners and USAID that there is far more work done in Niamey and for the Niger-based partners than in Burkina Faso.</p> <p>(F1-5) There is a clear imbalance of Niger and Burkina Faso staff and resources: only late in 2016 was there a technical coordinator in Burkina Faso (detailed from CESAO).</p>	<p>SAREL had an unworkable SOW from the start – resilience coordination, M&E, KM, CLA, gender, building bridges between HA and DA, and institutional capacity-building. (F1-1).</p> <p>SAREL didn't have adequate staffing to reach the objectives of its mandate. These limited human resources never allowed it to work on all of the components, and was the main reason that SAREL did not achieve its planned results. (F1-2) to (F1-4)</p> <p>While the financial resources might have been sufficient (and most partners did not</p>	<p>Continue this coordination and collaboration mechanisms. Break up scope into manageable elements, staff appropriately. (F1-1).</p> <p>Find a way to increase staff with necessary skills (or hire a junior and reinforce his skills through a system of mentoring). (F1-2) to (F1-4)</p> <p>Future iterations should be more balanced between the two countries (in addition to regional coordination). (F1-6)</p> <p>Reinforce communication about SAREL's mandate, its roles & responsibilities among the RISE partners. (F1-8)</p>

Evaluation Questions	Findings	Conclusions	Recommendations
	<p>(F1-6) Resources are very unevenly (80/20) divided between Niger and Burkina Faso when you look at the budget. Prior to the addition of a technical coordinator in Burkina Faso, almost every decision had to be relayed to the COP (in Niamey) for an answer, which slowed response time significantly for the IPs.</p> <p>(F1-7) Budgets were re-aligned every year, with significant underspending in the first two years of SAREL.</p> <p>(F1-8a) Partners received limited introductions to SAREL.</p> <p>(F1-8b) Most partners have a misunderstanding of SAREL's roles and responsibilities.</p> <p>(F1-9) Significant changes were made to SAREL's scope without formal written amendments (for example, shifting from REGIS baselines to RISE baseline, and removing validation from field practices).</p> <p>(F1-10) Most partners reported that having a non-implementing partner was important for this coordination function – there would be too much resistance if another partner took on this task.</p>	<p>know what those resources were), there were constant and significant gaps in staffing. (F1-6) & (F1-7).</p> <p>The lack of clarity by partners of SAREL's role is due to SAREL having such a large scope that included M&E, coordination, collaboration, etc., then changed scope annually. (F1-8a & b) & (F1-9)</p> <p>A separate, independent organization to run the CLA is critical to establish trust between partners. (F1-10)</p> <p>Partners are naturally competitive, so it takes time to develop an environment that fosters collaboration. (F1-11)</p> <p>SAREL has done little to improve M&E capacities. (F1-12)</p>	<p>Document each change in SAREL's mandate and communicate it with all of the interested parties. (F1-9)</p> <p>Different phases of activity implementation (based on LOP and M&E process) require different approaches for CLA. (F1-10)</p> <p>Restructure workshops so that there are a few technical workshops that are shorter, based in the field recommendations for topics, and focused on fewer techniques. And have some longer workshops on acquiring particular skills (presentations, M&E, etc.) (F1-11) to (F1-13)</p>

Evaluation Questions	Findings	Conclusions	Recommendations
	<p>(F1-11) Partners valued the market approach and the mapping exercises. The first approach allowed each partner to present not only what they were doing, but also did so in a ‘safe space’ environment. The latter showed the partners who did what where, opening up the possibility of collaborations (formal and/or informal).</p> <p>(F1-12) Most of the M&E activities has been working with the two REGIS teams in preparing for DQAs, apart from the two RISE surveys, so questions about M&E and indicators often went unanswered.</p> <p>(F1-13) Partners had conflicting opinions about the timing, content, and format of SAREL’s workshops.</p>	<p>Workshops are effective if the right people attend, and preferred if they are in the field (rather than in the main cities). (F1-13)</p>	
<p>Q2: Have the activity implementers under RISE accelerated, expanded, and scaled-up resilience – enhancing best practices, innovations and models as a result of SAREL activity?</p>	<p>(F2-1) The mapping exercise, together with workshops and the KM portal providing information on good practices, brought proximity and overlap to the attention of the partners, but it was up to them to choose to collaborate, coordinate, or adopt new practices.</p> <p>(F2-2) Many of the collaborations among RISE partners have been informal ones (no MOUs, etc.). (Please see the list in the narrative for more examples of collaborations and adaptations)</p>	<p>The final evaluation of the Niger DFAPs provided evidence of the effects of collaborations in terms of approach: for example, not creating additional village committees on different topics, but rather adding the topics (from another partner) to the existing village committee. (F2-1) & (F2-4)</p> <p>Nothing has been scaled-up, exactly, just more partners adopting similar approaches (SVPP or habbanaye). There are more communities using these approaches, but that is because more partners are choosing to adapt/adopt the practices. It is not</p>	<p>Monitor the RISE partners more closely on the types and numbers of collaborations they’ve undertaken and document. (F2-1) & (F2-2)</p> <p>Future iterations should be more balanced between the two countries in terms of advocacy, collaboration and sharing information. (F2-1) & (F2-2)</p> <p>Once the best practices are identified and validated, establish a strategy with the</p>

Evaluation Questions	Findings	Conclusions	Recommendations
	<p>(F2-3) SAREL has not conducted validation of best practices: what worked best, where & why and no analysis of WHY a practice is ‘best’.</p> <p>(F2-4) These collaborations have not always led to adoptions of new practices, but rather adaptations of existing practices (husband schools, habbanaye, care groups, etc.).</p> <p>(F2-5) Most interviews with DFAPs and REGIS revealed that the start-up gap between their projects is a real challenge for coordination and collaboration (and for the adoption of new practices).</p>	<p>scaling-up so much as expansion. (F2-2) & (F2-4)</p> <p>The independent validation of a practice is a key function of a learning platform, rather than relying on self-reports. (F2-3)</p> <p>Validating practices demonstrate the effects and requirements of why and how something produces key results in order for it to become a best practice. (F2-4)</p> <p>Adoption of new practices was not always possible, especially given budget and contract mechanisms, as well as the LOP cycle. (F2-5)</p>	<p>partners to adopt and expand them. (F2-3)</p> <p>A much clearer analysis of what works best where, fieldwork, and workshops held for technical staff and local government would all be useful. (F2-4)</p> <p>With the DFAP season starting up, having a set of recommendations of what the proposals should include (budgeting for participation in workshops, types/scope of collaborations (and the effect of those on results), explicit fit of resilience with food security) would create a more level playing field. (F2-5)</p>
<p>Q3: Have the activity implementers under RISE adopted a culture of collaborating, learning and adapting (CLA) within activities and institutions to adapt strategies, practices, and indicators to reflect knowledge gained from experience, evidence and lessons learned as a result of SAREL activity, and to what extent has this improved</p>	<p>(F3-1) The concept of ‘CLA’ has been difficult to understand within the RISE portfolio: collaboration, learning, and/or adaptation is a feature of results-based management.</p> <p>(F3-2) Different partners already have their own organizational culture (for communication and CLA). At the same time, there’s been a progressive development in a culture of CLA for others.</p> <p>(F3-3) SAREL’s primary target audience (for dissemination) was the COPs, in both Burkina Faso and Niger. Some organizations decided (unilaterally) to send different staff to different</p>	<p>Learning is not a single activity, nor is learning the same for all people. Holding workshops, writing up findings, writing up good practices is marginally more acceptable for a highly literate audience. It is much less functional for less literate audiences. (F3-1) & (F3-2)</p> <p>Targeting COPs meant that there was generally a critical mass of decision-makers at workshops (good for the possibility of</p>	<p>Develop a better communication outreach on CLA and encourage the RISE partners to develop this further in their own organizations. (F3-1) & (F3-2)</p> <p>Change the learning ‘products’ to match different language, capacities and uses increases the utility of the practices being disseminated in those products. (F3-3)</p>

Evaluation Questions	Findings	Conclusions	Recommendations
<p>development results in RISE Zones of Intervention?</p>	<p>events: technical staff to specific workshops, the COPs to the CCRs, depending on staff availability.</p> <p>(F3-4) SAREL never validated the various good practices, only amplified (and edited, through discussions with the ‘owners’ of those practices) what the various partners gave them.</p> <p>(F3-5) The only two ‘field’ workshops done or planned have been linked with the ethnographic studies, done by OASIS (UC/Berkeley).</p> <p>(F3-6) Most partners have access to the KM portal, but don’t use it very much. The portal has a large array of materials that are useful to certain partners and for specific subjects. A few partners don’t find it useful for their own, more specific, approaches (such as family planning or animal health). Very few partners post their own material directly, so the majority of documents are posted by SAREL.</p> <p>(F3-7) SAREL has had very limited downstream tracking of collaborations, use of the KM portal,</p>	<p>collaborations), but not good in terms of disseminating information to the field staff. (F3-3)</p> <p>The interaction between resilience and the food security activities remains largely unexamined, as does the interaction between humanitarian and development assistance. (F3-4)</p> <p>Not holding the main SAREL workshops in the field made it more difficult (and expensive) for field staff to participate. ((F3-5)</p> <p>The portal is more of a document storage facility, and it is very sector-specific, rather than resilience-focused. (F3-6)</p> <p>The absence of both field visits and an M&E system made the use of practices and compromised SAREL ability to monitor. (F3-7)</p>	<p>Need more notice (about workshops) and better communication not just before, but afterwards in terms of the findings and follow-up. (F3-3)</p> <p>Link the discussions in the workshops more explicitly to the resilience theory of change, and return to the crisis modifier paper for wider discussion on connectivity between humanitarian & development assistance. (F3-4)</p> <p>Make using the materials on the portal easier with short summaries to help guide the reader. (F3-6)</p> <p>Provide regular updates to users to increase access & use. (F3-6)</p>

Evaluation Questions	Findings	Conclusions	Recommendations
<p>Q4: To what extent will host country institutions, including the Governments of Burkina Faso and Niger and the <i>Centre d'Etudes Economique et Sociales de l'Afrique de l'Ouest</i> (CESAO), be able to continue implementing activities that further the SAREL contract objectives once the SAREL contract finishes, based on institutional capacity and the extent to which SAREL has fostered skills and motivation for ongoing learning and adapting?</p>	<p>or changes to programming based on dissemination of their good practices</p> <p>(F4-1) In Niger, most of the respondents confirmed that HC3N is inadequate to ensure that these activities continue, in part due to a shift in ministry leadership.</p> <p>(F4-2) SE-CNSA (in Ouagadougou) is open to working with SAREL, and values its participation on workshops. They, too, see a bigger role for themselves, especially in terms of outreach to both other ministries and to the various local governments.</p> <p>(F4-3a) All of the respondents confirmed that, if SAREL stops, all of this outreach will be lost.</p> <p>(F4-3b) At this point, respondents do not consider that there is any entity that would be able to continue SAREL's activities without funding.</p> <p>(F4-4) SAREL had limited interactions with ministries (periodic appearances at workshops), and none at the local government level.</p> <p>(F4-5a) The Mitchell Group has relied heavily on CESAO to do their recruitment (three staff of a total of seven technical staff are CESAO identified/recruited).</p> <p>(F4-5b) CESAO's regional coordinator was critical in the initial outreach to partners.</p>	<p>HC3N does not currently have the resources (financial or personnel) to take on this role, and, given the changing political climate, may not be able to take on such a role. (F4-1)</p> <p>Any continuation of SAREL's activities would need early engagement and coaching among potential government or private partners to pick up these tasks. Funding remains the central concern & challenge for these types of activities. (F4-1), (F4-2), (F4-3a & b) & (F4-4)</p> <p>The Mitchell Group was fortunate with their partnership with CESAO, and, in particular, with the regional coordinator. (F4-5a & b)</p> <p>However, the general consensus is that CESAO is probably able to conduct workshops, but would NOT be able to</p>	<p>Identify the strengths and weaknesses of the potential institutions that might be able to continue these activities. (F4-1), (F4-2) & (F4-3a & b)</p> <p>Reinforce local capacities (governments or institutions like CESAO) identified early in the project as partners to carry on these activities. (F4-1), (F4-2) & (F4-3a & b)</p> <p>Reinforce collaborations with the State structures (especially sector-specific ministries) to build support for taking on SAREL's activities and to ensure that these match with government policies. (F4-1), (F4-2) & (F4-3a & b)</p> <p>However, given the importance of decentralization in both countries, it means that the IPs may need to take a more active role in communicating new practices or findings to their government counterparts. (F4-1), (F4-2), (F4-3) & (F4-4)</p> <p>SAREL's capacity-building for CESAO should concentrate on technical skills (M&E) rather than administrative/finance in the last year of operations. (F4-5a & b), (F4-6), F4-7)</p>

Evaluation Questions	Findings	Conclusions	Recommendations
	<p>(F4-6) At the same time, there has been limited institutional capacity building for CESAO, more on the job coaching, workshop facilitation supervision.</p> <p>(F4-7) It is only in 2017 that TMG worked with CESAO to produce a business development plan that highlights key institutional weaknesses (finance, admin).</p>	<p>serve as a coordinating body in the absence of a SAREL-type structure. (F4-5a & b)</p>	

Annex XI: List of Key Informant Interview and Group Interview Participants

Number of participants	Organizations	Contact Person	Title	E-mail	Dates	Number of interviews
1	Center for Resilience	Gregory Collins	Director	gcollins@usaid.gov	January 4	1
2		Andre Mershon	Resilience advisor	amershon@usaid.gov		
3		Sally Rey	West Africa Team Lead for BFS/CSI	srey@usaid.gov		
4		Lindsey Anna	MEL Specialist in BFS/SPPM			
	TANGO	Tim Frankenberger	President	tim@tangointernational.com	February 22	1
5	The Mitchell Group	Jenkins Cooper	Vice President	jenkinsc@the-mitchellgroup.com	January 5	2
6		Elaine Clark	Program Manager	elainec@the-mitchellgroup.com		
7		Abou Kone	Program Manager	abouk@the-mitchellgroup.com		
8	USAID Senegal/ SRO	Cornelia Tremann	Regional Learning Specialist, acting SAREL activity manager	ctremann@usaid.gov	January 8	3
9		Bescaye Diop	Regional M&E Specialist	bdiop@usaid.gov		
10		Patrick Smith	Agriculture Officer, REGIS-AG COR	pasmith@usaid.gov		
11	USAID/FFP	Jon Armah	West Africa Regional Deputy Director	jarmah@usaid.gov		5
12	USAID Senegal/ SRO	Doudou Ndiaye	REGIS-ER COR	dndiaye@usaid.gov		6
13		Isabelle Mulin	SRO Program Office Director, former SAREL COR	imulin@usaid.gov		7

Number of participants	Organizations	Contact Person	Title	E-mail	Dates	Number of interviews
14		Scott Dobberstein	Deputy Mission Director			
15	USAID/FFP	Ahmadou Ndiade	Officer	andiade@usaid.gov	January 10	8
16	USAID	Jennifer Karsner	Resilience coordinator/Ag Officer	jkarsner@usaid.gov		9
17	Concern Worldwide	Kwanli Kladstrup	Country Director	kwanli.kladstrup@concern.net		10
18		Michèle Siébou	Equality Technical Coordinator	michele.seibou@concern.net		
19	Véténiraires sans frontières	Amadou Sayo	Regional Director West Africa	a.sayo@vsf-belgium.org		11
20	HC3N	Mado Diakité	Assistante Technique & Sécurité Alimentaire/Filets Sociaux	madodiakite3n@gmail.com		13
21		Arimi Mamadou	Chef Division Base de données et Statistiques	arimi.mamadou@gmail.com		
22		Vincent Moussa Paraiso				
23	Mercy Corps	Théodore Kaboré	COP	tkabore@mercycorps.org	January 11	14
24		Georgette Pokou	DCOP	gpokou@mercycorps.org		
25		Djirmaou Aissatou	Gender Advisor	adjirmaou@mercorps.org		
26	Stephen Reid	COP	sreid@sarel.com	15		
27	SAREL	Amal Redwan Mohammed	Organizational Learning and knowledge Management Coordinator	amal.redwan@engilitycorp.com		

Number of participants	Organizations	Contact Person	Title	E-mail	Dates	Number of interviews
28		Souley Issa	M&E specialist	isouley@sarelproject.com		
29		Mounkaila Goumandakoye	Conseiller technique	mgoumandakoye@sarelproject.com		
30		Sidikou Rabi	Gender specilaist/ Knowledge Management	rsidikou@sarelproject.com		
32	PASAM-TAI/ CRS	Caroline Agalheir		caroline.agalheir@crs.org		16
34	Alima	Cornier Mahamedoune	Répresentant Pays	prp@niger.alima.ngo		17
35		Maidadji Oumarou	Coordinateur Général	gbefencoordinat@yahoo.fr		
36	WFP	Sory Oune	Country Director	sory.ouane@wfp.org	January 12	18
37		Sidiki Traoré		-		
38	SPRING	Ibrahima Garba	Coordinator	dgarba@spring-nutrition.org		19
39	CESAO. PRN	Anne Marie Douramane Tahirou	Coordinatrice	annemariédouramane@yahoo.com		20
40	Save The Children	Tamo Maitouraré	Gender Specialist	Ado.Tamo@savethechildren.org		21
41	REGIS-ER	Bill Stringfellow	COP	Bstringfellow@ncba.coop	January 13	22
42		Amath Diop	DCOP	adiop@ncba.coop		
43	PATHFINDER INTERNATIONAL	Sani Aliou		saliou@pathfinder.org	January 15	23
44		Alhassane Oumarou Ossouba	M&E specialist	Oalhassane@pathfinder.org		
45	PSI	Mahamane Badamassi Bacharou	Coordonnateur Projet EECO	mbadamassi@psi.org		24
46		Abdou Louché Ado	Assistant recherhche	ado@psi.org		
47		Abani Maazou Aminata	Coordinatrice recherche S&E	abaniaminatakeita@gmail.com		

Number of participants	Organizations	Contact Person	Title	E-mail	Dates	Number of interviews
48	Plan Niger/ NECS	Amadou Ali	COP	Amadou.Ali@plan-international.org	January 16	25
49	REGIS-AG/ CFNA	Georges Dimithe	COP	gdimithe@cnfa.org		26
50		Steves Humphreys	Responsable Composante Chaines de valeur et Marketing	shumphreys@regisag.net		
51		HKI	Halima Niandou	Nutrition Program Manager and Communication Officer		hniandou@hki.org
52	Adèle Bienvenue		Coordinatrice du projet de résilience (DFAP avec Mercy Corps)	Abienvenue@hki.org		
53	Idé Habibou		Chargé de S&E	hide@hki.org		
54	LWR	Alissa Karga	COP	akarg@lwr.org		28
55	Concern Worldwide	Abdel Djelil Taha	Point Focal	abdel.taha@concern.net		29
56	CRS	Jean Marie Adrien	COP	jeanMarie.Adrian@crs.org		30
57	USAID de Burkina Faso	Siaka Milogo	SAREL Alternate COR	smilogo@usaid.gov	January 18	31
58		Shawn Wozniak	Resilience Coordinator/ Acting Representative Burkina Faso	swozniak@usaid.gov		
59	SAREL	Lucien Ouali	Technical Coordinator	louali@sarelproject.com		32
60		Marcel Kaboré	Spécialiste M&E	mkabore@sarelproject.com		
61	FASO/ CRS	Mourad Aidi	COP	Mourad.Aidi@crs.org		33
62		Edouard Nonguerma	DCOP	-		
63		Dramane Bonsara	MEAL Manager Assistant	dramane.bonsara@crs.org		
64	REGIS-AG/ CFNA	Bruno Ouédraogo	DCOP	bouedraogo@regisag.net		34
65		Arsène Fidèle Kientaga	MEL manager	akientega@regisag.net		
66	CESAO	Dramane Coulibaly	Coordinateur Régional	dramane_c@yahoo.fr		35

Number of participants	Organizations	Contact Person	Title	E-mail	Dates	Number of interviews
67	ACDI/VOCA	Amidou Kaboré	COP	akabore@acdivoca-vim.org		36
68		Regis Terrien	DCOP	rterrien@acdivoca-vim.org		
69	SE/CNSA	Halimatou Sieba	Département de la résilience et de la résilience alimentaire/Chef de service de la résilience	halimay73@yahoo.fr		37
70		Victor Bonoga	Chef du département de planification et de S&E	wendne@yahoo.fr		
71	REGIS-ER	Alain Ky-Zerbo	Country Representative	aky-zerbo@ncbaclusa.net		38
72		Patrice Beaujault	Chef de composante Bien-être Economique Durable	pbeaujault@ncba.coop		
73	Marie Stopes International	Georges Coulibaly	Country Director	georges.coulibaly@mariestopes-bf.org		39
74	Véténiraires sans frontières	Christian Donovanou	Country Program Manager	c.dovonou@vsf-belgium.org	January 23	40
75	Africare	Hubert Badiel	Chargé de bureau	hbadiel@africa.org		41
76		Bationo Ange Boris	Coordonnateur de projet	-		
77	ONF-BF	Ganou Issifou	Secrétaire exécutif	issouf.ganou@gmail.com		42
78		Caroline Ouedraogo	Specialiste en communication	caroline.ouedraogo@ymail.com		
79	Groundswell	Bourgou Tsuamba	Directeur exécutif ANSD	bttsuamba@yahoo.fr	January 24	43
80	USAID/FFP	Marie Thérèse Ndiaye	FFP / Rise Coordinator	mtndiaye@usaid.gov	February 1	44

NUMBERS OF INTERVIEWS BY TYPE OF RESPONDENT

# of Interviews	Type of Respondent
9	USAID
2	SAREL
1	TMG
2	Center For Resilience + TANGO
2	Local Governments (HC3N, CNSA)
2	CESAO
12	Tier 1 (REGIS-ER, REGIS-AG, CRS, etc...)
15	Tier 2 (WFP, ONF, VSF, Africare etc...)

Annex XII: Sources of Information

LIST OF DOCUMENTS REVIEWED

I. SAREL Background documents

N°	Type/ Title of the document	Date
Award Contract and Modifications		
1	Award Contract	March 2014
2	Amendment of Solicitation/ Modification of Contract # 1	March 2014
3	Amendment of Solicitation/ Modification of Contract # 3	March 2014
4	Amendment of Solicitation/ Modification of Contract # 4	March 2014
5	Amendment of Solicitation/ Modification of Contract # 5	
PMP		
6	SAREL Performance Management Plan (2014-2019)	July 2016
7	SAREL Performance Management Plan FY 2017 (revised in track changes January 2018)	October 2017
Work Plans		
8	SAREL Y1 Compilation Work Plan Revised (June- September 2014)	July 2014
9	SAREL Y2 Work Plan (October 2014- September 2015)	October 2014
10	SAREL Y2 compilation table work Plan (October 2014- September 2015)	October 2014
11	SAREL Y3 work Plan (October 2015- September 2016) approved March 2016 (French and English)	September 2015
12	SAREL Y4 Work Plan (October 2016- September 2017)	September 2016 (revised November 2016)
13	SAREL Y5 Work Plan (October 2017 – September 2018) Draft	September 2017 (revised October 2017)
Quarterly reports		
14	SAREL 1 st Quarterly Report (Draft), FY 2014 (April 1 – June 30)	July 2014
15	SAREL 2 nd Quarterly Report (Draft), FY 2014 (July 1 – September 30)	October 2014
16	SAREL 3 rd Quarterly Report, FY 2014 (October 1 – December 31)	January 2015
17	SAREL 4 th Quarterly Report, FY 2015 (January 1 – Mars 31)	May 2015
18	SAREL 5 th Quarterly report, FY 2015 Quarter 3 (April 1 – June 30)	July 2015
19	SAERL 7 th Quarterly Report, FY 2016 Quarter 1 (October 1- December 31)	January 2016
20	SAREL 8 th Quarterly Report (Draft), FY 2016 Quarter 2 (January 1 – March 31)	April 2016
21	SAREL 9 th Quarterly Report (Draft), FY 2016 Quarter 3 (April 1 – June 30)	July 2016
22	SAERL 11 th Quarterly Report, FY 2017 Quarter 1 (October 1- December 31)	April 2017
23	SAREL 12 th Quarterly Report, FY 2017 (January 1 – Mars 31)	April 2017

N°	Type/ Title of the document	Date
24	SAREL Thirteenth Quarterly Report (Draft), FY 2017 (April 1-June 30)	July 2017
Annual reports		
25	SAREL Annual report, FY 2015	September 2015
26	SAREL Annual Report, FY 2016	October 2016 (revised December 2016)
27	SAREL Annual Report, FY 2017	October 2017
CCR Forums		
28	Rapport du Forum d'apprentissage, de collaboration, de coordination sur la résilience des partenaires RISE au Niger (Draft)	Juillet 2017
29	Resilience learning, collaboration and coordination forum for RISE partners in Burkina Faso Report (Draft)	July 2017
30	Synthèse Des Rencontres Avec Les Partenaires Dans Le Cadre De La Collecte De Données Complémentaires Pour Le Suivi De La Collaboration Et L'adoption Des BP De Résilience Au Burkina Faso.	October 2017
RISE Midterm Performance Assessment		
31	Midterm Performance Assessment of USAID's "Resilience in the Sahel Enhanced (RISE) Initiative in Burkina Faso and Niger). Phase 1: Resilience strategy Review	February 2017
32	Midterm Performance Assessment of USAID's "Resilience in the Sahel Enhanced (RISE) Initiative in Burkina Faso and Niger). Phase 2 Efficacy Review (Final approved)	August 2017

2. REGIS-ER

N°	Type/ Title of the document	Date
M&E Plan		
33	REGIS-ER M&E plan with PMP (2013-2018)	
Annual work plans		
34	REGIS-ER Year 1 Work plan (15 December 2013 – 30 September 2014)	
35	REGIS-ER Year 2 Work Plan (October 1, 2014- September 30, 2015)	
36	REGIS-ER Year 2 Work Plan (October 1, 2014- September 30, 2015)	
37	REGIS-ER Year 3 Work Plan (October 1, 2015 - September 30, 2016)	
38	REGIS-ER Year 4 Work Plan (October 1, 2016- September 30, 2017) revised	September 2017
Annual Reports		
39	REGIS-ER Annual Report FY14 (15 November 2013-30 September 2014)	
40	REGIS-ER Annual Report FY15 (October 1, 2014 – September 30, 2015)	October 2015
41	REGIS-ER Annual Report FY16 (October 1, 2015 – September 30, 2016)	November 2016

N°	Type/ Title of the document	Date
42	REGIS-ER Annual Report FY17(October 1, 2016 – September 30, 2017)	November 2017

3. REGIS-AG

N°	Type/ Title of the document	Date
PMP _ M&E Plan		
43	REGIS-AG M&E Plan (Final version submitted)	July 2015
44	REGIS-AG M&E Plan (revised version submitted)	December 2015
Annual Work Plans		
45	REGIS-AG Year 1 Work Plan (1 March – 30 September 2015)	May 2015
46	REGIS-AG Year 2 (FY16) Work Plan (October 1, 2015 – September 30, 2016)	September 2015
47	REGIS-AG Year 3(FY17) Work Plan (October 1, 2016 – September 30, 2017)	September 2016
48	Project FY18 Joints Work Plan (1 October – 30 September 2018) Part 3a - REGIS-AG & REGIS-ER	November 2017

4. Other documents

N°	Type/ Title of the document	Dates
49	RISE rationale Problem Statement, Goals and Theory of Change (revised version)	January 2016
50	REGIS PAD	January 2012
51	DFAP Evaluation (Draft)	November 2017
52	PREG Secretariat Paper	June 2017
53	FFP RFAs for Burkina Faso and Niger	FY 2018
54	Draft FFP CSI Burkina Faso	FY 2018
55	Draft FFP CSI Niger	FY 2018
56	Notes for USAID Concerning CLA in RISE	August 2017
57	Encouraging a CLA culture case – Case Study	

NB: We received also a large number of documents from SAREL.

Annex XIV: Disclosure of Any Conflicts of Interest

No conflict of interest issues.

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