

# **Independent Comprehensive Evaluation of the Scaling Up Nutrition Movement**

## **Inception Report**

**Mokoro Limited**

*in partnership with*

**Valid International**



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**Independent Comprehensive Evaluation of the Scaling Up Nutrition Movement – Inception Report**

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The Independent Comprehensive Evaluation was commissioned by the SUN Movement's Lead Group and is overseen by its Visioning Sub-Group (VSG) . Three quality assurance advisors, Julia Compton, Chris Gerrard and Eva Lithman, have been appointed to assist the VSG. Funding for the Independent Comprehensive Evaluation is provided by the Bill & Melinda Gates Foundation. The evaluation manager is Ruwan de Mel.

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## 1. Introduction

### 1.1 Origins of the Evaluation

1.1 The current strategy and the revised road map of the Scaling Up Nutrition movement (SUN) were prepared in 2012 and envisaged a comprehensive evaluation to guide the movement's development after 2012 (SMS 2012s, SMS 2012q). In line with this, the SUN Lead Group has commissioned an Independent Comprehensive Evaluation (ICE) to report by the end of 2014 and feed into a subsequent "visioning" exercise to map a future course for the SUN movement. Full Terms of Reference (TOR) for the evaluation are at Annex A.

### 1.2 Structure of the Report<sup>1</sup>

1.2 The aim of this Inception Report (IR) is to set out a clear methodology and work plan for conducting the evaluation. The main text has been kept as concise as possible, but the IR has to provide thorough justifications for some elements of the methodology, and it will also serve as a handbook for the team conducting the evaluation. It therefore includes a number of detailed annexes, as shown in Table 1 below. A bibliography (Annex S) and a guide to abbreviations are at the back of the report.

**Table 1 Overview of the Report Structure**

| Chapter/coverage   | Linked annexes  |
|--|---|
| 1. Introduction  | Annex A Terms of Reference  |
| 2. Subject of the Evaluation<br><i>Brief context and description of SUN</i>  | Annex B SUN Chronology<br>Annex C Key Document Summaries  |
| 3. Evaluation Focus<br><i>The objectives of the evaluation and an analysis of its stakeholders</i>   | Annex D Stakeholder Analysis  |
| 4. Approach to Comprehensive Evaluation<br><i>Methodological challenges and the theory of change approach</i>                                | Annex E Theory of Change  |
| 5. Evaluation Criteria and Questions<br><i>Overview of key evaluation criteria, proposed main evaluation questions and evaluation matrix</i> | Annex F Glossary<br>Annex G Evaluation Matrix<br>Annex H Mapping TOR Questions to the Evaluation Matrix |

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<sup>1</sup> The report structure is adapted from the CGIAR Standards for Independent External Evaluation (CGIAR 2013).

| <b>Chapter/coverage</b>                 | <b>Linked annexes</b>   |
|---|---|
| 6. Evaluation Instruments               | Annex I Data Availability<br>Annex J Interview Guidelines<br>Annex K SelectiOn of Country Cases<br>Annex L Country Case Study Guidelines<br>Annex M Survey Approach and Methods |
| 7. Organisation and Timing              | Annex N Evaluation Progress<br>Annex O Team Roles and Responsibilities<br>Annex P Detailed Evaluation Timetable   |
| 8. Preliminary Findings and Limitations | Annex Q Approach to Interim SMS Assessment<br>Annex R Outline of Interim Progress Assessment  |

## **2. Subject of the Evaluation**

2.1 This section describes the context that led to the Scaling Up Nutrition Movement and how that initiative has evolved. It is supported by a chronological summary in Annex B, and Annex C provides brief summaries of many of the seminal documents mentioned.

### **2.1 Context**

2.2 In recent years, recognition of the importance of good nutrition for a wide cross section of development outcomes has grown. A mounting catalogue of evidence has underlined the critical role of nutrition in child survival and development, galvanised by the 2008 Lancet series on maternal and child undernutrition (The Lancet 2008). This seminal publication identifies a key window of opportunity in the first 1000 days (between start of pregnancy and two years old), during which period appropriate nutrition can deliver substantial impact in reducing death and disease, and avoiding irreversible harm to health and cognitive physical development. This is accompanied by robust evidence on what works in terms of nutrition interventions, with the Lancet series (and its recent update – The Lancet 2013) collating evidence from hundreds of studies across the world to identify a range of efficacious nutrition interventions.

2.3 Building from this, the World Bank in 2010 identified a package of 13 highly cost-effective interventions, and calculated the annual costs of introducing these in 36 highest burden countries (Horton et al. 2010). It estimated that at full implementation, the package of interventions would result in a child mortality decline of 1.1 million deaths per year, a saving of 30 million disability-adjusted life years. The longer-term impacts of sound nutrition are also being evidenced through research, with longitudinal studies presenting estimates of 2-3 percent GDP growth as the results of early childhood nutrition interventions (Hoddinott et al. 2008).

2.4 This evidence has helped foster agreement around nutrition as a valuable and high return investment. In 2012, the Copenhagen Consensus, which set out to identify the most efficacious investments for addressing a series of the “greatest global challenges”, concluded that fighting malnourishment “should be the top priority for policy-makers and philanthropists” (Copenhagen Consensus 2012). It cited research that each dollar spent reducing chronic undernutrition has at least a US\$30 payoff (Hoddinott et al. 2008, Hoddinott et al. 2012). Although nutrition-specific interventions are conceptually more straightforward, nutrition-sensitive interventions in areas such as water and sanitation, agriculture and social protection are also essential if the burdens of malnutrition are to be lifted.

2.5 However, progress in terms of global action on nutrition has not been commensurate with the evidence on its importance. Child malnutrition estimates compiled jointly by UNICEF, WHO and the World Bank estimate that in 2012 162 million under-five year olds were stunted, 99 million were underweight, and 51 million were wasted (UNICEF et al 2012). The recent economic crises and food price hikes have increased undernourishment and delayed progress towards MDGs closely linked to food and nutrition, particularly child mortality (MDG4) and maternal mortality (MDG5), with 105 countries of the 144 monitored not expected to reach MDG4, and 94 off track on MDG5 (WB 2012).

2.6 To improve nutrition, a global architecture has evolved which includes a myriad of institutions and collectives. The Lancet series offered a cursory mapping that includes UN system agencies, programmes and funds (at least 14); international and regional development banks (five); regional cooperation organisations (at least five major); government aid agencies (over 20), charitable foundations (at least five major), and the implementing agencies they create (at least 15); international NGOs (over 30); major universities and research centres (at least 20 with international scope, plus the 15 centres of the Consultative Group on International Agricultural Research); academic journals (several hundred); and multinational commercial food and nutrition companies (at least 12 major) (The Lancet 2008, Morris et al. 2008). On top of this, sits an array of coordination bodies, including the UN Standing Committee on Nutrition (SCN), which is mandated to promote cooperation among UN agencies and partner organisations in support of efforts to end malnutrition, REACH (Renewed Effort Against Child Hunger and Undernutrition) a country-level facilitation mechanism coordinating UN agencies to support national nutrition scale-up plans, the Global Nutrition Cluster which coordinates nutrition activities of the UN and other partners during emergencies, in addition to the Scaling Up Nutrition Movement, the subject of this evaluation.

## **2.2 Origins and Evolution of the SUN Movement**

2.7 SUN was launched in 2010 as a multi-stakeholder effort to strengthen and accelerate the systems and actions that enable people to enjoy good nutrition. Its origins, however, can be traced back to the 2008 Lancet series discussed above. In addition to setting out evidence about the long-term costs of undernutrition, the Lancet was forthright in its criticism of the disregard paid by donors and partner governments to nutrition, and the “fragmented and dysfunctional” global institutional architecture for nutrition. The series called on the international community to establish a new global governance structure for nutrition that would “more effectively represent supra-national organisations, the private sector, and civil society, as well as facilitating dialogue with national actors from high-burden countries” (The Lancet 2008, Morris et al. 2008).

2.8 Over the next two years, there followed intensive discussions on what this global architecture might look like. In 2009 the World Bank, some UN organisations, the Gates Foundation and others formed a small committee which hired two consultants to draft what became the first SUN document. A turning point was marked by the World Bank spring meetings in 2010 when the Scaling Up Nutrition Framework for Action (FFA) was launched. Endorsed by over 100 governments, development agencies, businesses and civil society organizations, the framework sets out key principles and priorities for action to address under-nutrition and mobilise increased investment in a set of nutrition interventions across different sectors. To accompany the framework, a SUN Road Map was developed, establishing the basic principles of a multi-stakeholder effort through which country, regional and international entities would work together to establish and pursue an effort to scale up nutrition. Thus the SUN Movement was born, as a collaborative effort to catalyse coordinated action for better nutrition.

2.9 At the heart of the SUN Movement is an explicit commitment to support country-led efforts to address undernutrition. The nexus of coordination is found at the country level, where multi-stakeholder platforms for SUN are established (or strengthened, if already existing), including representatives from Government, donors, the UN, civil society, business and the technical community, led by a country Focal Point (usually from within Government).

**Figure 1 Multi-Stakeholder Platforms in SUN countries**



Source: SMS 2014h

2.10 In 2012 a SUN Movement strategy document and a revised Road Map (SMS 2012s, SMS 2012q) set out four strategic objectives for the SUN countries and their partners to pursue:

- 1) Create an enabling political environment, with strong in-country leadership, and a shared space (multi-stakeholder platforms) where stakeholders align their activities and take joint responsibility for scaling up nutrition.
- 2) Establish best practice for scaling up proven interventions, including the adoption of effective laws and policies.
- 3) Align actions around high quality and well-costed country plans, with an agreed results framework and mutual accountability.
- 4) Increase resources, directed towards coherent, aligned approaches.

2.11 The SUN movement is open to all countries whose governments commit themselves to nutrition, and to all stakeholders committed to providing support. From an initial membership of five countries, it has grown rapidly to its current size of over fifty.

2.12 At the global level, a series of networks have been established in an effort to support the achievement of these objectives within SUN countries. SUN government focal points from each country come together in the Country Network to share their successes and learn from other countries facing similar challenges. A Civil Society Network, made up of national and international organisations, has been set up with the objective of aligning the strategies, efforts and resources of civil society with country plans. The UN System Network, which is co-led by the UN SCN and the UN REACH Partnership, works to harmonise and coordinate UN agencies' involvement in the SUN movement. The Donor Network, which includes donor convenors from

within SUN countries and other interested agencies, works with SUN countries to identify additional support needs, complete stock-taking of nutrition-relevant programmes and policies, and review capacity to scale up nutrition, technical assistance requirements and identification of critical gaps. Finally, a Business Network works to mobilise and intensify business efforts in support of the SUN movement.

2.13 The governance of SUN was initially undertaken by an interim transition team, chaired by the UN Special Representative for Food Security and Nutrition. However, following the recommendations of a 2011 Stewardship study (Isenman et al 2011),<sup>2</sup> a Lead Group was established, with responsibility for overall governance of SUN. It is comprised of 27 members from government, civil society, international organisations, donor agencies, businesses and foundations, appointed by the UN Secretary-General. The Executive Director of UNICEF chairs the Lead Group on behalf of the UN Secretary-General. The Lead Group's mandate has since been extended to the end of 2015.

2.14 Core to the coordination of the various SUN networks and groups is the Secretariat. The SUN Movement Secretariat (SMS) has no operational role in implementing nutrition programmes, but seeks to link together countries and networks, to facilitate coherent collaboration and to track progress. It also facilitates the management of a Multi-Partner Trust Fund (MPTF), which provides small catalytic grants, mostly to support the strengthening of in-country CSOs. The SMS also has responsibility for coordinating the ongoing monitoring and evaluation of SUN and compiling data from the countries, networks and governance structures, in line with the SUN M&E framework, which was launched in April 2013 (SMS 2013a).

2.15 A recent initiative coordinated by the SMS, is to facilitate the establishment of Communities of Practice (COPs), wherein requests for support from within individual SUN countries are linked with experts drawn from other SUN countries and from across the SUN networks. Four COPs are presently being established, covering (i) advocacy and communication; (ii) planning, costing, tracking use of funds and mobilizing resources; (iii) monitoring, implementation and evaluating impact; and (iv) managing and coordinating implementation.

2.16 From the outset SUN governance structures have been viewed as a time-limited endeavour rather than a permanent institution, and the current mandate of its Lead Group and SMS runs only to the end of 2015. However, transforming nutrition in line with the targets established by the World Health Assembly is a long-term endeavour, and the SUN strategy for 2012–2015 therefore envisaged a comprehensive evaluation which would provide the basis for determining SUN's role and configuration after 2015.

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<sup>2</sup> Two options were proposed: establishment of a multi stakeholder Lead Group (to provide overall leadership to the SUN movement; set its strategy and an accountability structure to support its implementation; as well as proactive advocacy and resource mobilization), or merging of SUN with SCN. The former was adopted.

### **3. Evaluation Focus**

#### **3.1 Evaluation Objectives and Scope**

3.1 The evaluation's objectives and scope are clearly set out in the TOR, as shown in Box 1 below. A detailed set of specific questions to be answered are included in the TOR at Annex A (see Annex E of the TOR).<sup>3</sup>

##### **Box 1 SUN ICE objectives and scope**

The central objective of the Independent Comprehensive Evaluation (ICE) is to inform the Lead Group's Visioning Exercise on the future of the SUN movement. To do this, the evaluation is expected to analyse past and present processes and activities of the movement, and present findings, conclusions and targeted recommendations that would allow the Lead Group and all stakeholders to chart the way forward. In doing so, the ICE should help to strengthen the sense of unity among stakeholders and make SUN fit for purpose, and prepared for the challenges ahead.

In terms of scope, the ICE is to consider all aspects of SUN – its institutional structure, objectives, working model(s), decision processes, role within the wider architecture of international development, relevance, value-added, efficiency and effectiveness. It will address how effective SUN has been in carrying out its objectives – concerned with accelerating the reduction of undernutrition – and to pose options for evolution of the SUN movement to build on strengths and address weaknesses. It will provide an independent assessment of what SUN has accomplished and is accomplishing, the efficiency and effectiveness of its different components (its governance, networks and secretariat), its current functioning and to the extent feasible, its contribution at country, regional and global levels. It will examine the extent to which SUN is helping national governments, and other stakeholders, to contribute to transformations in the way nutrition is being addressed. And it will assess the role of SUN in increasing attention to women's empowerment and gender equality and in catalyzing nutrition-sensitive approaches in agriculture, health care, water and sanitation and other sectors.

*Source: adapted from TOR, ¶7, 13, 14*

#### **3.2 Evaluation Purpose and Users**

3.2 The evaluation has been commissioned by the SUN Lead Group. It is overseen by the Lead Group's Visioning Sub-Group (VSG), and will be the foundation for the consideration of SUN's future directions in a "visioning" exercise beginning early in 2015 (see Box 2 below). Hence the evaluation has a strong formative element; it is seen as milestone in the development of the SUN movement and is relevant to all stakeholders in SUN.

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<sup>3</sup> See Section 5 for further discussion of evaluation questions.

3.3 An Evaluation Manager has been appointed to oversee the evaluation and facilitate communication between the evaluation team and relevant stakeholders, including the VSG and SMS.

3.4 A procedure and timetable for the preparation of a management response to the recommendations of the final SUN ICE report is being developed by the VSG.

### **Box 2 Uses and users of the evaluation**

In analysing past and present processes and activities, therefore, the evaluation is expected to present findings, conclusions and targeted recommendations that would allow the Lead Group and all stakeholders to chart the way forward for the SUN Movement. Consequently, the evaluation should be regarded as a milestone for SUN and nutrition, reinforcing SUN's potential to meet the overarching purposes for which it was established. That purpose entails helping the SUN countries themselves – which are at the centre of the SUN movement – to accelerate and maximize progress toward eliminating the scourge of malnutrition. The ICE should help to strengthen the sense of unity among stakeholders to achieve that purpose and to help make SUN fit for the challenges ahead.

*Source:* TOR ¶14

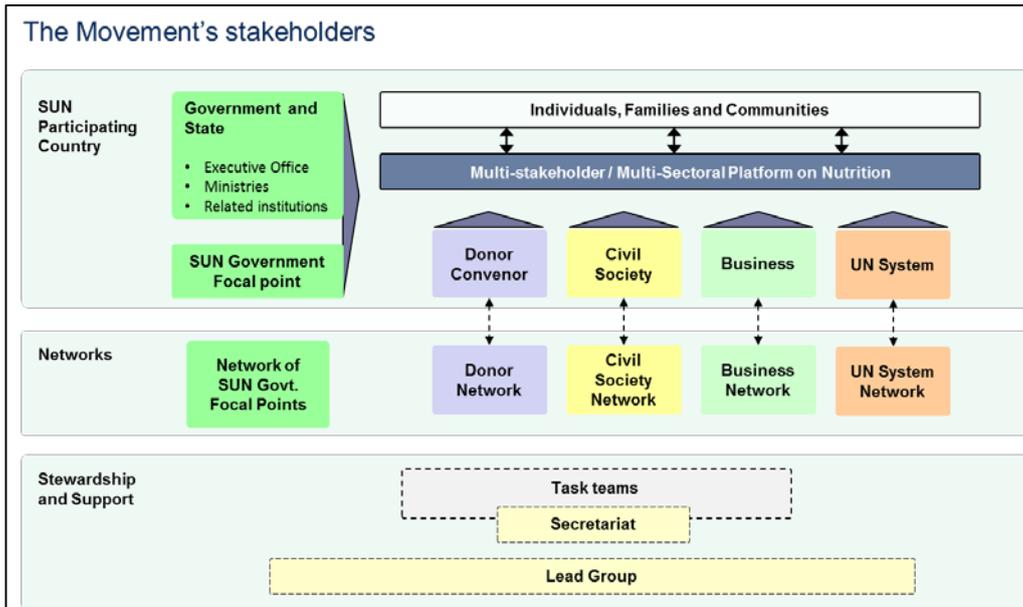
### **3.3 Evaluation Stakeholders**

3.5 The evaluation is intended to "reflect the aspirations and concerns of all stakeholders of the Movement" (TOR ¶8) and to be used by all stakeholders to chart the Movement's way forward (TOR ¶7). Given the diversity of actors involved in the SUN Movement, as well as the complexity and fluidity of the Movement's structure (e.g. the interactions between global and country level networks), it is essential to develop an understanding of the groups of stakeholders who have an interest in (and potential influence on) the evaluation.

3.6 Figure 2 below is taken from the SUN Strategy document. The diagram represents key stakeholder groupings across the Movement. However, it does not depict the relative size of the groups or the potential levels of influence across the layers.

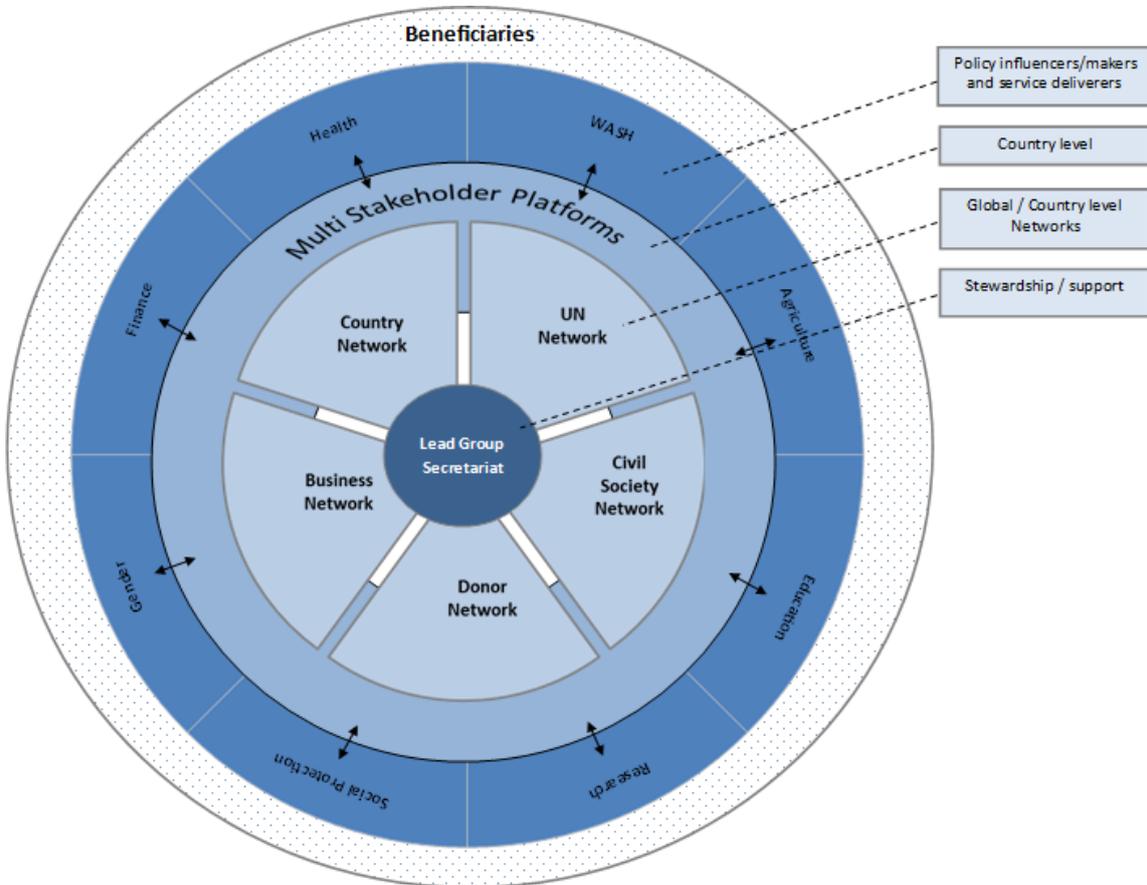
3.7 Figure 3 below provides an alternative view, which reflects (for example) that beneficiaries form the largest group in the SUN movement but are also the furthest from the direct influence of SUN's central governance and support structures. There are complex interactions between global networks and country-level multi-stakeholder platforms, and subsequently the policy makers / influencers and service deliverers in various sub-sectors.

**Figure 2 The Movement’s Stakeholders (Strategy Diagram)**



Source: SMS 2012t

**Figure 3 SUN stakeholder influence and interaction**



Source: Authors

3. 8 The diagram highlights what a wide range of sectors SUN seeks to influence. At the same time it should be noted that any such diagram is a simplification: the SUN movement is not a conventional project or programme. The Lead Group and the SMS see their role as being to support country focal points and governments, so influence flows in both directions, and the networks are not drawn to scale (their scale would look different from the perspectives of different SUN countries, as would the relative importance of different sectors).

3. 9 Figure 3 is the conceptual underpinning for the detailed stakeholder matrix presented at Annex D. The evaluation team will also undertake stakeholder mapping for each of the selected case study countries (see Annex L). The stakeholder maps will be used to ensure that the evaluation engages with all relevant stakeholder groups, notably in the selection of interviewees and participants in the survey (Annex M).

3. 10 It will be important to avoid the dangers of groupthink, and to ensure that the views of internal and external critics of SUN are taken into account (see for example the criticisms levelled in Box 3 below. We will ensure that all parties (both at global level and in the case study countries) have an opportunity to make representations to the evaluation team, by direct invitations to public critics (such as the authors of Box 3) and by generally advertising the accessibility of the evaluation team.

### **Box 3 Example of an external critique of SUN**

- Conflict of interest. Corporations and industry and organisations backed by industry are active on the SUN board.
- Dislocation from the UN process. SUN bypasses the sovereign UN system's role in food and nutrition governance.
- Avoidance of frontally addressing structural determinants. SUN ignores the underlying and basic causes of malnutrition.
- Lack of an appropriate main focus. SUN pays little or no attention to the concept of the human right to nutrition.
- Stress on technical interventions imposed from abroad. Little scope for countries to determine their own national priorities and plans.
- Connection with big business, like the G8 Coalition on Food Security for Africa, that may promote agribusiness and land-grabbing.
- Partnerships with transnational corporations that are used to whitewash their reputations in their public relations campaigns.
- Stress on medical-type approaches. High percentage of SUN's budget is for treatment, in part for ready-to-use therapeutic foods.
- In their governance, preference given organisations that depend on donor funding over popular movements that are critical of SUN.

Source: [http://www.wphna.org/htdocs/2013\\_mar\\_col\\_claudio.htm](http://www.wphna.org/htdocs/2013_mar_col_claudio.htm)

3. 11 In engaging with all stakeholders, the evaluation team will be sensitive to beliefs, manners and customs and act with integrity and honesty, ensuring that all direct and indirect contact with individuals is characterized by respect, and identifying any ethical issues around this, should they arise. The evaluation team will protect the anonymity and confidentiality of individual information.

## **4. Comprehensive Evaluation Approach and SUN Theory of Change**

### **4.1 Evaluability Challenges for a Comprehensive Evaluation**

4.1 Global partnerships such as SUN offer distinct challenges to evaluators. However, there is a growing body of practical experience and methodological guidance on which the present evaluation can draw, and this IR has benefited particularly from guidance provided in the GRPP Sourcebook (IEG 2007) and in a recent review of partnerships involving the World Bank (IEG 2011) as well as from guidance linked to the website of CEPKE (the Comprehensive Evaluation Platform for Knowledge Exchange) such as Isenman 2012a, Isenman 2012b.

4.2 The general challenges to evaluability of partnership activities are noted in the TOR. They include the absence of control groups to allow an experimental approach, the ubiquity of joint inputs and joint outputs, and the likelihood that different participants may in practice have different objectives and approaches (theories of change). Where “upstream” work is involved (influencing the behaviour of others) there are additional challenges in the “soft” nature of intended results, the long chains of causality that may be involved, and the long time frames over which change may occur.

4.3 Woolcock 2013 proposes an analytical framework to distinguish different levels of causal density, where a higher causal density means that causal relationships are more difficult to establish. Under this framework, SUN’s overall activities are certainly a very “complex” intervention – one which requires a large number of person-to-person transactions, and which confers a high level of local discretion where, in general, the agents are required to innovate a solution on-site rather than apply a methodology from a known menu of options. In general, the nutrition-sensitive interventions SUN advocates are more causally dense than the nutrition-specific ones.

4.4 At the same time SUN is also a composite initiative, which advocates for a variety of interventions. The nutrition-specific interventions are in general less complex than nutrition-sensitive ones, but there are layers of complexity in the requirement to consider the relevance of what SUN advocates as well as the effectiveness of its advocacy. The special features of the SUN movement that are most relevant for this evaluation are:

- a) It is a global partnership with a unique structure (not only not a global fund, but has no formal legal charter).<sup>4</sup>

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<sup>4</sup> “SUN, however, is not a new institution or financial mechanism. It is a very broad multi-stakeholder partnership to support national plans to scale up nutrition. It is a voluntary movement that has no legal charter or

- b) Its overriding objectives are clear – to address the international problem of under-nutrition –and it is inspired by a common understanding of the nature of the problem it seeks to address. However the ramifications of scaling up nutrition are wide-reaching. Nutrition-specific interventions are relatively easy to identify, demarcate and monitor, but addressing the underlying causes of inadequate nutrition involves nutrition-sensitive actions across many sectors. Nutrition-sensitive interventions typically have multiple objectives, raising challenges in specifying appropriate project design and selection, in identifying (or attributing) and monitoring nutrition-related expenditures, and in monitoring and evaluating their performance.
- c) Accountability is a core principle for SUN but, taken together, the nature of the partnership and the characteristics of the problems it seeks to address, make mutual accountability a difficult principle to put into practice.
- d) Financial dimensions: estimates of the costs of scaling up are substantial (Horton et al. 2010), but SUN has sought to act as a catalyst rather than a conduit for funding. Funds directly related to SUN (SMS costs, the Multi-Partner Trust Fund (MPTF), and direct support from donors – such as DFID’s MQSUN programme) are comparatively small, and the amount of money mobilised by SUN is a challenging evaluation question in itself.
- e) The movement is young, and it is still evolving. Its present structure follows the recommendations of the stewardship report in 2011 (Isenman et al 2011), and it is still innovating, e.g. in the development of a series of communities of practice (COPs).
- f) It has to operate in a dynamic context<sup>5</sup> which includes rapid change and development in target countries, changes in the nature and architecture of international aid in general, and developments in institutions and initiatives related to nutrition.<sup>6</sup> (The SUN movement itself is shaping, as well as responding to, this dynamic context.)

4.5 The TOR (see its glossary) highlights the following features of comprehensive evaluations (CEs) that differentiate them from evaluations of interventions, projects, or programmes:

- a) The scope of CEs is much broader, since they are evaluating an organisation as whole.
- b) CEs require far greater outreach and inclusion of stakeholder views that do other types of evaluation.

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legal status. It does not directly furnish financial or technical resources, but seeks to catalyze their availability in response to country needs. SUN is open to all countries whose governments commit themselves to scaling up nutrition and to all stakeholders committed to providing support.” (TOR¶4)

<sup>5</sup> “The ICE will need to take into account the rapid changes occurring in the landscape of international development and new realities and challenges in nutrition.” (TOR ¶11)

<sup>6</sup> “A further central issue is the place and comparative advantage of SUN in relation to changes in other institutions and initiatives in nutrition, including: i) the six global targets on nutrition established at the World Health Assembly in 2012; ii) the commitments in the Nutrition for Growth Compact; iii) proposed mechanisms for catalytic financing of nutrition; iv) in-country nutrition information systems; v) work underway to track investments in nutrition; vi) plans for a global report on the state of the worlds nutrition; and vii) changes underway in the UN Standing Committee on Nutrition and in REACH.” (TOR¶12)

- c) The need for broad consultation, as well as for considering a broad range of issues and for drawing on a variety of evaluation methods, means that CEs need more resources and a longer time than narrower evaluations.
- d) Much more than other forms of evaluation, CEs involve both looking backward (what evaluators often call “summative evaluation”) and forward (or “formative evaluation”) and on synthesising the two with recommendations for future actions.

4.6 In practice the SUN ICE is locked in to a very compressed timetable. We discuss in Section 7 how we will try to be as thorough and as consultative as possible within the time available. Next, however, we describe the theory of change approach which provides the methodological underpinning for this evaluation.

## **4.2 SUN Theory of Change**

4.7 The evaluation team has used the theory of change elements present in the SUN Strategy 2012–2015, the SUN Revised Road Map and the SUN Monitoring and Evaluation Framework, and has also drawn on a review of literature and on interviews with the SUN's originators, to develop a high-level theory of change to guide the evaluation.

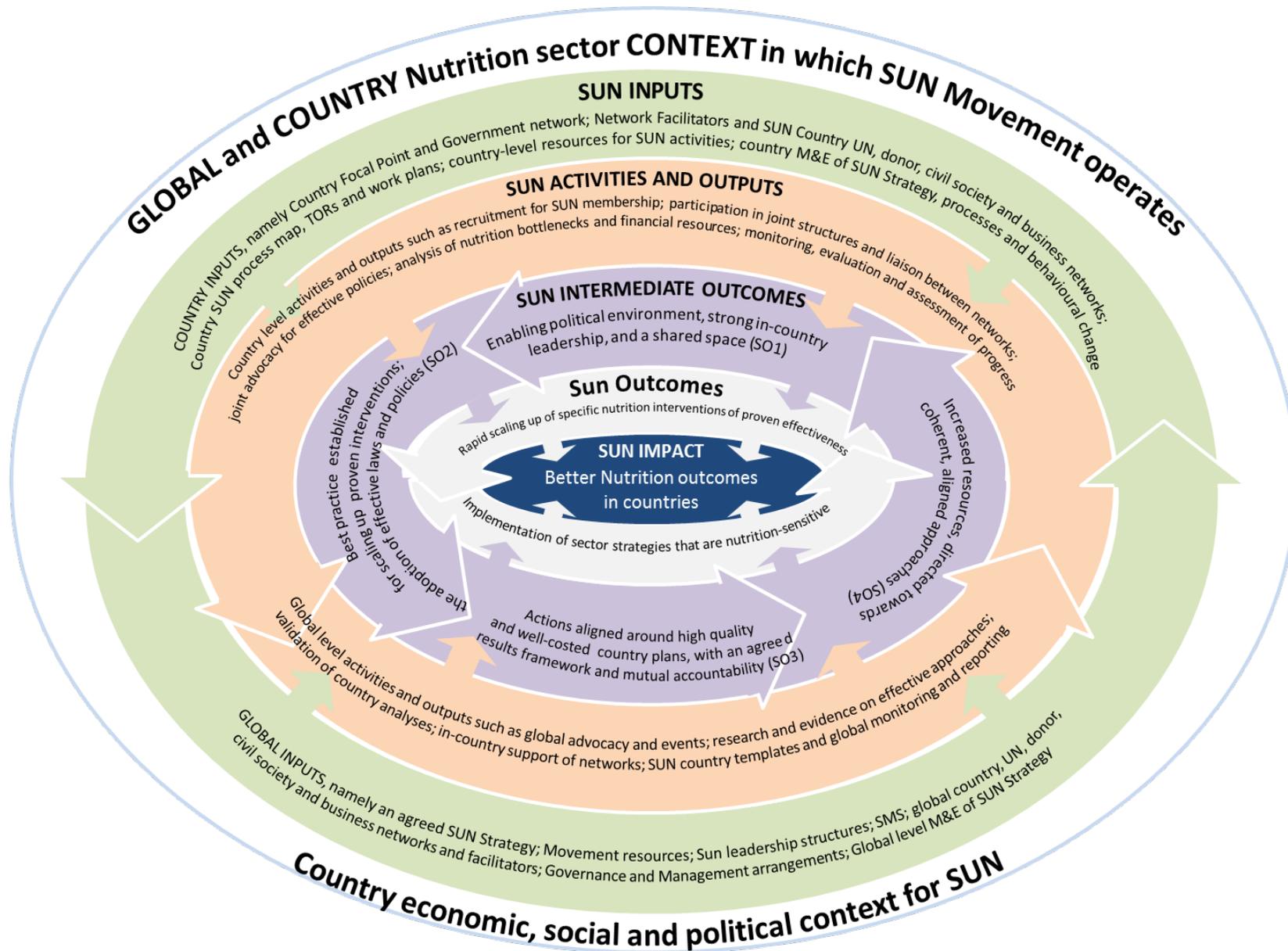
4.8 This theory of change is intended:

- as a high level guide to reflect (and then check) our understanding of the reasoning on which the SUN movement is based; and
- as an evaluation tool to identify and investigate key links in the logic that the theory of change depicts, in terms both of the internal causal/contributory links it proposes and of the key assumptions it sets out.

4.9 Figure 4 below provides a summary of the overarching theory of change. The full reasoning behind it is set out in Annex E which also presents detailed diagrams depicting the assumptions, links from global to country level, and from inputs through to outcomes. The ToC underpins the evaluation matrix discussed in Section 5.2 below.

4.10 Given the nature of the SUN movement, as a collective of interdependent networks, it is possible to recognise numerous sub-theories of change, which underpin this one. Annex E identifies some of these, and they are reflected in some of the assumptions which inform the detailed ToC. To the extent possible, the evaluation will identify such sub-theories and check their consistency with the overarching ToC.

**Figure 4 SUN ICE Global Theory of Change: Foundational Diagram**



## **5. Evaluation Criteria and Questions**

### **5.1 Evaluation Criteria**

5.1 Even familiar evaluation criteria are defined differently by different users (efficiency and impact are two frequent examples). At Annex F, therefore we provide a glossary to ensure consistency in the terminology used by the present evaluation team. The glossary:

- defines the standard OECD DAC criteria (relevance, effectiveness, efficiency, sustainability and impact);
- provides a note on the definition of efficiency and the systematic relationship between efficiency and effectiveness (based on Renard & Lister 2013);
- breaks down relevance in line with IEG 2011;
- includes criteria of (internal and external ) coherence;
- notes terminology for outcome mapping and the evaluation of influence; and
- provides guidance on aid effectiveness criteria (noting the distinction between aid effectiveness and development effectiveness).

### **5.2 Evaluation Questions and Evaluation Matrix**

5.2 The questions to be addressed by the ICE are posed in the TOR, which includes an annex detailing overarching and supporting questions prioritised during consultations about the evaluation. The challenge for evaluators is to structure their enquiry so as to follow a clear sequence from findings to conclusions and recommendations, taking account of the availability of relevant evidence.

5.3 For this purpose, the evaluation team has prepared the evaluation matrix at Annex G. This is based on the theory of change described in Section 4.2 above and in Annex E; it employs the evaluation criteria spelled out in Annex F, and it draws on the specific questions posed in the TOR.<sup>7</sup> Table 2 below summarises the sequence of main evaluation questions and subquestions.

5.4 The evaluation matrix addresses both global and country-specific questions and will also serve as guidance for the country case studies.

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<sup>7</sup> Annex H maps the TOR questions onto the evaluation matrix.

**Table 2 Main Evaluation Questions**

|   |
|---|
| <b>EQ1 Has the SUN movement addressed the right issues?</b>   |
| <p>1.1 To what extent are the objectives of the SUN movement consistent with the needs, priorities and strategies of beneficiary countries?</p> <p>1.2 Has the SUN movement filled a gap in the international and country-level architecture for addressing nutrition?</p> <p>1.3 Did SUN strategies contribute to a stronger focus on nutrition-related gender and gender equity issues?</p> <p>1.4 Did the SUN movement's approach strike the right balance between global and country-level actions?</p>   |
| <b>EQ2 Has the SUN movement followed a clear, consistent and commonly understood strategy?</b>  |
| <p>2.1 Are the SUN movement's goals, priorities and strategies clear at the various levels of the movement?</p> <p>2.2 Have the SUN movement's main inputs, activities and outputs adequately reflected its goals, priorities and strategies?</p> <p>2.3 How is SUN seeking to mainstream gender-consciousness throughout its activities, both nutrition-specific and nutrition-sensitive?</p>  |
| <b>EQ3 What have been the results of SUN's efforts?</b>   |
| <p>3.1 To what extent has SUN contributed to changed attitudes and procedures, thereby creating an enabling environment for scaling up nutrition?</p> <p>3.2 To what extent has SUN brought about changed policies and resource commitments?</p> <p>3.3 Are these changes leading to the scaling up of nutrition?</p> <p>3.4 Are there plausible links between the outcomes to which SUN has contributed and medium to long term impacts for intended beneficiaries?</p>  |
| <b>EQ4 What accounts for these results (or lack of results)</b>   |
| <p><i>Governance and Management</i></p> <p>4.1 How effective have SUN's governance and management arrangements been?</p>  |
| <p><i>Efficiency</i></p> <p>4.2 Concerning its own activities, has the SUN movement used its resources efficiently?</p> <p>4.3 Have the transaction costs of SUN been reasonable?</p> <p>4.4 Has SUN's advocacy for nutrition solutions taken enough account of efficiency considerations? (e.g. in the balance between nutrition-specific and nutrition-sensitive options)</p> <p>4.5 Has SUN achieved the right balance: between global work and attention to countries? between being inclusive (number of countries involved) and being effective in providing in-depth support to countries?</p> |
| <p><i>Coherence</i></p> <p>4.6 Have the SUN movement's various component activities reinforced each other (amounting to more than the sum of their parts)?</p> <p>4.7 How well have SUN's activities complemented other initiatives at global and country level?</p>  |

|  |
|--|
| <p><i>Context</i></p> <p>4. 8 What contextual factors (anticipated or unanticipated) have positively or negatively affected the achievement of SUN objectives?</p>   |
| <p><i>Monitoring, Learning and Adaptation</i></p> <p>4. 9 How well has SUN learned from experience and adapted accordingly?</p>  |
| <p><b>EQ5 How sustainable is the SUN movement?</b></p>   |
| <p>5. 1 Are the emerging results of SUN likely to be durable?</p> <p>5. 2 How well is SUN contributing to systems development (helping to develop the appropriate national policy and institutional architecture to deliver nutritional outcomes sustainably in the medium to long term)?</p> <p>5. 3 Is the SUN movement itself sustainable?</p>  |
| <p><b>EQ6 How should SUN evolve in the short, medium and longer term?</b></p>  |
| <p><i>The sub-questions under this EQ are all formative. The precise questions will be refined in the light of emerging evidence as the evaluation proceeds. The SUN ICE will draw on its summative findings (above) to present alternative options, and will link its recommendations to principles of aid effectiveness and development effectiveness, with reference also to the experience of comparable partnerships.</i></p> |
| <p>6. 1 Is SUN likely to remain relevant? if so, which aspects/components are likely to remain relevant and for how long?</p> <p>6. 2 What are SUN's relevant strategic options in the short, medium and longer term?</p> <p>6. 3 What are the corresponding implications for SUN's governance and management arrangements?</p>  |

## **6. Evaluation Instruments**

6. 1 Our theory of change and evaluation matrix provide a systematic framework for the collection and analysis of data. This section begins with a note on information sources, then discusses the other main data collection instruments (interviews, country case studies and a proposed survey), followed by a note on quality assurance.

### **6.1 Information/Data Sources**

6. 2 Given the limited time and resources available for this evaluation, the TOR rightly stress the need to maximise the use of existing data and to draw as much as possible on existing information. No primary quantitative data collection besides perceptions data amassed through the survey (see Section 6.6 below), is envisaged. Rather, the evaluation will make full use of the large volume of information that exists regarding nutrition and the SUN movement.

6. 3 During the inception phase, basic data regarding SUN countries was assembled, with the primary purpose of aiding country case study selection (see Annex L). In addition, a data mapping was undertaken to assist team members in identifying what information was readily available, from which sources and for what years and where this could be located in the evaluation library (see Annex I). Going forward, it is expected that the evaluation will draw primarily on the data sources

summarised below, for the purposes of the global analysis and in the preparation of country dossiers.

6. 4 For information directly related to performance of the SUN movement, it is expected that the primary country-level data source will be Country Fiches, which are available for 2010 through 2013. These provide data on progress against the four SUN processes (and since 2013, their related sub-markers – see SMS 2013a), as well as a country’s overall state of preparedness. The SMS usefully compiles these into an annual compendium, which is used as a key input in the SUN progress reports. For the most part, these documents track a consistent set of indicators each year, enabling longitudinal analysis. Where this isn’t the case, the SMS may be able to fill priority data gaps. Certain analyses, including self-assessment by in-country networks against the sub-markers under the four SUN processes, have been introduced only recently, and 2013/14 will serve as a benchmark.

6. 5 Country-level documentation will be complemented by global-level SUN reports. Of particular use to the evaluation will be Annual Progress Reports, which are currently available for 2011 through 2013. The 2014 report is due to be presented to the Lead Group in September 2014. The team will also utilise the 2012 SUN M&E Framework Baseline report, which provides baseline information (for 2012) in terms of impact (that is, nutrition indicators), outcomes (behavioural characteristics of the constituent parts that make up the SUN Movement) and outputs (services provided by the SUN governance and management structures) –see SMS 2012r. The SUN 2014 Annual Progress Report is expected to provide the first comprehensive update against this baseline.

6. 6 In terms of data on country nutrition status and trends in performance, it is beyond the scope of this evaluation to assess the extent to which SUN has led to improved nutrition, and too early in the lifecycle of the movement to credibly make such a judgement. However, the evaluation will seek to assess whether SUN has been able to move countries in the direction of plausible pathways for improvement (question 3. 4 in Table 2 above). In determining this, data concerning nutrition outcomes, intervention coverage, determinants, policies and legislative environment, as well as the availability of resources (domestic and externally financed) for nutrition, will be critical. Again, the evaluation team will seek to capitalise on existing studies, which cover “what works” in nutrition (for instance, the Lancet series), how nutrition is governed (including the Hunger and Nutrition Commitment Index), costing of nutrition plans (as emerges from the work undertaken by the MQSUN network), and country nutrition profiles (such as those produced by the World Bank, UNICEF, and other partners). Fortunately, our ability to gather and analyse this data in a systematic and comprehensive manner stands to be greatly facilitated by the forthcoming publication of the first Global Nutrition Report, which is due to be launched at the second International Conference on Nutrition in November 2014. The report will bring together comprehensive nutrition data for over 70 indicators from multiple sources, filling in gaps and constructing an estimated 190 country profiles. The lead author has agreed to share the specification of the profiles and a

list of indicators with the evaluation team, and to share an early draft of the report as soon as it is available.

## **6.2 Interviews**

6.7 Interviews will be the main form of primary data collection. We will draw on Mokoro’s experience to use them in a way that maximises their analytical power and the possibilities of triangulation. Interview notes will be systematically written up, consolidated and shared among team members on the internal team website (see Annex J). If allowed by the interviewee, interviews may be recorded so as to facilitate accurate note-keeping and allow full transcripts of especially significant interviews. To respect interviewee confidentiality, the interview notes and any recordings will be accessible only to team members. The consolidated file of interview notes will facilitate searches on key thematic terms, country names, and so forth.

6.8 Identification of interviewees will draw on the stakeholder analysis (Annex D). Most interviews will be by telephone or e-conferencing. Where the quality of responses is not compromised we will interview groups, recognising that interviews are part of a consultative process, not just evidence-extraction. Where the opportunity arises we will observe SUN meetings and events.

6.9 For each main category of interviewee, we are developing semi-structured interview guidelines for consistency, and to ensure that interviews focus on areas that can add most value. We will undertake relevant documentary analysis ahead of the interviews, and will use the evaluation matrix (especially the key questions in Table 2 above) to inform our interview checklists.

6.10 In approaching stakeholders during the evaluation and in all interactions, the evaluation team will abide by UNEG norms and standards. The evaluation team will exercise sensitivity both in scheduling interviews and in the conduct of interviews.

## **6.3 Country Case Studies**

### *Approach to case studies*

6.11 We note the central importance of the country case studies (CCSs):

The principal focus of the evaluation will be on the SUN countries and on the added value of the Movement over and above what countries can achieve on their own. (TOR ¶19)

6.12 The utility of the country studies will depend on their ability to explore “what works” (Woolcock 2013). A theory-based approach is the key to judicious extrapolation of case study findings, and the evaluation matrix (Annex G) has been designed to serve as a basis for country-level as well as global analysis of how SUN operates. The case studies will explore how well the SUN support is tailored to the specific nutritional constraints and priorities in each country, and the influence of different contexts on SUN's performance.

6.13 Case studies are scheduled for September and October to allow time for adequate preparation and to ensure that country-level enquiries are informed by the

document review and analysis that will already have taken place. Guidelines for the case studies are at Annex L.

- For each case study country a dossier will be prepared in advance of the mission. The dossier will draw on standard SUN and non-SUN data available (cf. Annex I) as well as collecting relevant country-specific reports, plans and policy documents. The dossier will include a stakeholder mapping.
- Ahead of the week-long visit the CCS leader will prepare a brief note identifying the key issues to explore and stakeholders to contact. The programme will be prepared in close collaboration with the Focal Point. In addition, efforts will be made to publicize the country missions in advance, particularly within the relevant in-country networks, to facilitate broad engagement.
- Each mission will start with a briefing, and an in-country feedback session on the main emerging findings will be organized at the conclusion of each country visit.
- A brief (5–10 page) aide memoire will be produced after the return from each mission to capture the main findings. A standard format will be developed for this aide memoire, based on the EQs, to facilitate comparability between findings. In-country interviews will be added to the evaluation's interview compendium.
- A standard checklist, based on the evaluation matrix, will be developed to guide interviews, and we will develop an evaluation grid to serve as a basis for recording country findings in a common format that facilitates cross-country comparisons according to topic.

#### *Selection of case study countries*

6.14 The rationale for country selection and the set of case study countries proposed are fully set out in Annex K, which also shows the proposed schedule and allocation of team members to CCSs. Confirmation of the selection and the timetable of course depends on liaison with the countries concerned, which needs to take place as soon as possible.

6.15 The proposed sequencing will allow the later studies to be adjusted, if necessary, to take account of earlier experiences.

## **6.6 The Survey**

6.16 A synthesis and verification survey will be conducted in early November to test the wider relevance and comprehensiveness of the preliminary findings emerging from the country case studies and other analyses. It will enable the team to reach a wider set of stakeholders than it is possible to interview directly. Emulating and learning from the survey methodology adopted in the SUN stewardship report (Isenman et al 2011), participants will be requested to validate (or otherwise) selected findings and weigh them in line with their perceived importance; they will also have the opportunity to elaborate on their reasons for agreeing or otherwise. A survey at this stage in the evaluation has the added advantage of providing an indication of the likely stakeholder reception to the preliminary findings and recommendations, allowing the evaluation team to “road test” their feasibility and political acceptability.

6.17 The survey questions will be drawn from emerging findings and as such cannot yet be known, but we will strictly prioritise the number of issues, so as to limit the number of questions and completion time requirement. It will consist of largely multiple choice questions, where appropriate to be accompanied by a comment box so that those respondents who wish to provide further qualitative explanation can do so. As an indicative target, the core survey (excluding comment boxes) should not take longer than 30 minutes to complete (ideally less), which implies a maximum 25 questions. The survey will be available in English, French and Spanish, and will be anonymous to promote frank assessment.

6.18 Two survey development packages have been identified as potentially suitable, SurveyMonkey and Adobe FormsCentral, each of which has advantages and drawbacks. The Evaluation Team will test the functionality of both the systems once the questions have been developed, before a final decision is made.

6.19 Given that the purpose of the verification survey is to help to ensure that voices are heard from a broader set of stakeholders, the sample frame will cover all the main stakeholder groups in the stakeholder analysis at Annex D (with the exception of final beneficiaries). The audience will include representatives from Government (including all current SUN focal points, and previous focal points where possible), SUN governance bodies, donors, civil society and the private sector. It will include both SUN and key non-SUN countries (such as India and Brazil), and known sceptics of SUN as well as those closely involved with the movement. In the analysis we will be wary of selection bias, and will disaggregate results according to stakeholder grouping, and, for those working at the country level, by region, and country income status.

6.20 A fuller discussion of the approach and methods for the survey can be found in Annex M.

## **6.4 Quality Assurance**

6. 21 Two levels of quality assurance are built in to the evaluation.
- a) Mokoro has a well-established system of quality support (QS), which includes prior review of deliverables. QS personnel for this evaluation and their roles are included in Annex O.
  - b) Deliverables will be reviewed by a panel of three independent Quality Assurance Advisers (QAA) who are themselves distinguished evaluators. This arrangement is designed to safeguard the independence of the evaluation. The QAA, along with the Evaluation Manager, will review deliverables before they are submitted to the VSG. The evaluation team will respond to QAA comments before each deliverable is submitted to the VSG. This approach is fully described in an annex to the TOR.

## **7. Organisation and Timing of the Evaluation**

### **7.1 Team Composition/Roles and Responsibilities**

7. 1 Annex O lists the team members, their areas of specialism and their allocated roles within the evaluation.

### **7.2 Timeline**

#### *Activities to date*

7. 2 The evaluation's activities thus far are summarised in Annex N (which includes a list of interviews already undertaken).

#### *Evaluation Sequencing*

7. 3 Careful sequencing of the evaluation's activities can have a major influence both on its comprehensiveness and on its efficiency. For instance:

- a) We are utilising our research support team in early data gathering and literature review, to develop an e-library and build thematic and country dossiers for the evaluation team, as well as mapping stakeholders and providing the basis for a sampling strategy for interviews.
- b) Budget constraints dictate that the evaluation will have to make maximum use of electronic communication (including e-conferencing)<sup>8</sup> but we gave priority to an internal team workshop which enabled the team to work together on the main elements of this IR, including the ToC, the evaluation matrix and country case study selection, and set a collaborative pattern for the rest of the exercise. The Evaluation Manager also joined the workshop.

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<sup>8</sup> Core team members reside in half a dozen countries across three continents.

- c) We will follow a careful sequence in our interviews too: thus the early priority was to interview SMS staff and VSG members, so as to deepen our understanding of ICE requirements and ensure that we take full advantage of data and documents already collected. For the most part, other interviews have been deferred until after the IR is complete so that we can structure our enquiries in line with the evaluation matrix now developed.
- d) We also think there is value in taking global analysis (which includes accessing country reports and data that do not require country visits) as far as possible before the country visits. The IPR lends itself to this approach, and we will conduct the country case studies (CCSs) only after the IPR has refined the hypotheses that the CCSs will test.
- e) Thereafter, our proposed verification survey (discussed among evaluation tools below) will enable us to test refined hypotheses that draw on the CCS findings, and feed into the final evaluation report.

#### *Evaluation Timetable*

7.4 The detailed schedule for the remainder of the evaluation is at Annex P. It reflects the sequencing principles discussed above.

### **7.3 Deliverables and Dissemination of Findings**

#### *Deliverables*

7.5 The two major deliverables, after this Inception Report, are an Interim Progress Report (IPR) and a Final Report.

7.6 The IPR is described in the TOR as follows:

An **interim progress report** to be submitted to the VSG at the beginning of September, so that they may inform the Lead Group of the evaluation's status and any major issues for their meeting mid-September. The interim report would outline the principal findings to date, hypotheses and options for broad recommendations being explored for the evolution of the SUN Movement. The section of the Interim Report assessing the work of the Secretariat will include material, complemented by a separate covering note to the relevant donors, sufficient to meet the Secretariat's contractual obligations to those donors. It is understood that any recommendations or options in the Interim Report on future changes to the Secretariat may be subject to further analysis and the conclusions of the final report. The VSG would at that time also recommend to the Lead Group the process for planning the visioning review for which the evaluation results and recommendations will comprise a principal component.

7.7 Annex Q sets out our approach to the interim assessment of the SMS and Annex R is an outline table of contents for the IPR.

7.8 The IPR will include a proposed outline for the Final Report.

### *Comments and Revisions Process*

7.9 All deliverables (this Inception Report, the IPR and the Final Report) will go through a rigorous process of quality assurance. Firstly, the evaluation team's internal Quality Support advisors will provide feedback and comments on early drafts, which will be incorporated into the first drafts submitted to the Evaluation Manager and QAA panel. QAA comments will be consolidated and returned to the evaluation team, who will respond to them in a systematic manner before submitting a revised report to the VSG. Upon receiving comments and feedback from the VSG, the evaluation team will again systematically respond to all points and suggestions made before resubmitting final versions. The QAA panel will review the final Evaluation Report before it is published, and will release a statement commenting on the independence and quality of the evaluation, alongside the final evaluation report.

### *Dissemination and consultation*

7.10 Responsibility for dissemination of the evaluation's reports will rest with the Evaluation Manager, the VSG and the SMS. The deliverables will feed directly into SUN's visioning exercise. The SUN movement has a strong ethos of transparency and interim and final evaluation reports will be published on its web-site (and this will be an important part of the consultative strategy during the evaluation). We will support and facilitate dissemination by observing the TOR requests for concise, accessible and publication-ready final documents, and by providing French and Spanish translations of the final report.

7.11 As part of the evaluation's consultation/communication strategy, the evaluation team will attend the Global Gathering in November; we will liaise with the gathering's organisers on how to make the most of this opportunity for two-way discussion of the evaluation's emerging issues and options.

7.12 In addition, so as to share the professional lessons from a significant Comprehensive Evaluation, we will prepare a concise Note on Approach and Methods after completion of the final report.

## **8. Preliminary Findings and Limitations**

### **8.1 Preliminary Findings**

8.1 Our preliminary findings are, for the most part, embodied in the theory of change analysis we have presented. A clear message from early interviews was to reinforce the importance of the ICE's forward-looking aspect, and its role in helping to chart the way forward for the SUN movement. The IPR will be an opportunity to go further and to begin to sketch possible alternative futures for the SUN movement (see Annex R).

## **8.2 Limitations**

8.2 The generic challenges for this type of evaluation have been described in Section 4.1 above. A particular constraint in this case is the very compressed timetable to which we are committed. This makes it essential to build as much as possible on existing and parallel work, and to be realistic about the depth with which we can address all the questions posed in the TOR. Annex H notes three particular limitations:

- a) The TOR ask whether reduction in overnutrition should be added to SUN's existing objectives. We will note this as a strategic option for the future, and we will examine whether and how obesity is being addressed in the policies and strategies of our case study countries. But it is beyond the scope of this evaluation to undertake a full and thorough review of this topic.
- b) The TOR also ask to what extent programme coverage in nutrition is actually increasing at country level. Our response will depend on the ready available of secondary data. This is known to be, at best, patchy. We expect the Global Nutrition Report will assemble the best available global data; we will focus our efforts on the case study countries, and recognise that we may have to fall back on qualitative or impressionistic judgements.
- c) Finally, we will broadly review the performance of the MPTF. However it is beyond our scope to undertake a full evaluation of the MPTF.

8.3 However, the most serious risk that arises is to the consultative process that lies at the heart of this type of evaluation. We will be seeking many interviews over the European vacation season, and country visits will perforce be short. There will be limited time for stakeholders to comment on our interim report, and our final report will be delivered during another holiday period. We look forward to discussing with the VSG how best to mitigate these constraints, and to ensure that our report has broad stakeholder acceptance as a valid and useful foundation for the visioning exercise.

## **Annex A Terms of Reference**

### **Terms of Reference for the Independent Comprehensive Evaluation of the Scaling Up Nutrition Movement**

Prepared by: Keith Bezanson, Lola Gostelow and Paul Isenman  
(Independent consultants)

March 31, 2014

#### **1. Background**

1. In January 2008, *The Lancet*, one of the world's most respected medical journals, published a special five part series on nutrition<sup>9</sup>. The publication provided robust estimates of the potential benefits of implementing a range of direct nutrition interventions in high-burden countries.

2. The *Lancet* lamented, however, that nutrition was regarded for the most part as an afterthought in development priorities and that it has been seriously underemphasized by both donors and developing countries. It went further, underscoring that the existing international institutional architecture to address under-nutrition was “dysfunctional” and that “...the international nutrition system is broken. Leadership is absent, resources are too few, capacity is fragile, and emergency response systems are urgently needed.”<sup>10</sup> The *Lancet* series also made clear that many of the Millennium Development Goals would not be achieved in the absence of significant improvements in nutrition.

3. The publication proved instrumental to a new international effort to address under-nutrition. It resulted in increasing calls in 2008 and 2009, spearheaded initially by the World Bank, for global coordinated action focused on nutrition. There emerged both a moral and economic imperative to engage global leaders to place nutrition high on the international political agenda and scale up effective interventions at a country level. In April 2010, the SUN Movement was launched when over 100 governments, development agencies, businesses and civil society organizations endorsed a proposal for a new global effort titled “Scaling Up Nutrition: A Framework for Action”. SUN’s current institutional structure was established in early 2012 under the aegis of United Nations Secretary-General, Ban Ki Moon.

4. SUN, however, is not a new institution or financial mechanism. It is a very broad multi-stakeholder partnership to support national plans to scale up nutrition. It is a voluntary movement that has no legal charter or legal status. It does not directly furnish financial or technical resources, but seeks to catalyze their availability in response to country needs. SUN is open to all countries whose governments commit themselves to scaling up nutrition and to all stakeholders committed to providing support.

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<sup>9</sup> *The Lancet*, Maternal and Child Undernutrition, January, 2008

<sup>10</sup> *The Lancet*, Maternal and child undernutrition: an urgent opportunity; Maternal and Child Undernutrition, January, 2008, page 1.

5. Thus, there are unique features of SUN that differentiate it from other international development institutions and initiatives. Its structural features include:

- a. **Fifty Countries and the Country Networks** - The heart of the SUN Movement is to support country efforts to address malnutrition. Fifty countries, plus the state of Maharashtra<sup>11</sup> in India, which is home to well over 80m stunted children (nearly half the world's total) have formally become members of SUN and the number keeps growing. Each undertakes to scale up nutrition through their own national movements which are led by the government and supported by a range of different stakeholders.
- b. **Five Global Networks** – A very large number of actors now participate in SUN through five global networks: The Country Network, the Donor Network, the Business Network, the UN System Network and the Civil Society Network. There is no template for the ways in which these networks should be structured or operated. Each has established its own approaches towards contributing to the scaling up of nutrition. SUN members are required, however, to abide by a social contract that pledges them to mutual accountability and to the shared goals of improving health, saving lives and eliminating the scourge of malnutrition, as well as to the SUN's Principles of engagement, Road Map and Strategy.
- c. **The Lead Group** – The Lead Group is responsible and accountable for the overall governance of SUN. It is comprised of 27 members from government, civil society, international organizations, donor agencies, businesses and foundations, appointed by the UN Secretary General. The Executive Director of UNICEF chairs the Lead Group on behalf of the UN Secretary-General.
- d. **The Secretariat** – The SUN Movement Secretariat operates under the strategic guidance of the Lead Group. It has no operational role, but seeks to link together countries and networks in the SUN Movement, to ensure that support requested to intensify actions and achieve nutrition objectives is received in a coordinated and coherent way and to track and report on progress. It also facilitates the management of the Multi Partner Trust Fund (MPTF). The Fund is used for catalytic actions to enable, initiate or develop SUN Movement activity at country or regional level and provide appropriate global-level support, when other funding is not available. The Sun Movement Coordinator and head of the Secretariat is Dr. David Nabarro, Special Representative of the Secretary-General on Food Security and Nutrition.

6. As part of the establishment of the SUN stewardship (governance) structure in 2011, it was agreed that there would be an in-depth evaluation within three years with an eye to assessing its progress, whether it should continue in its current form, and what adjustments should be made to assure and improve its effectiveness. This "Independent Comprehensive Evaluation" has been commissioned by the Lead Group.

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<sup>11</sup> Maharashtra is the second most populous state in India with a population of over 115 million.

## **2. Objectives and Scope of the Evaluation**

7. The Independent Comprehensive Evaluation (ICE) of the SUN Movement is to consider all aspects of SUN – its institutional structure, objectives, working model(s), decision processes, role within the wider architecture of international development, relevance, value-added, efficiency and effectiveness. It will address how effective SUN has been in carrying out its objectives -- concerned with accelerating the reduction of undernutrition -- and to pose options for evolution of the SUN movement to build on strengths and address weaknesses. It will provide an independent assessment of what SUN has accomplished and is accomplishing, the efficiency and effectiveness of its different components (its governance, networks and secretariat), its current functioning and to the extent feasible, its contribution at country, regional and global levels. It will examine the extent to which SUN is helping national governments, and other stakeholders, to contribute to transformations in the way nutrition is being addressed. And it will assess the role of SUN in increasing attention to women's empowerment and gender equality and in catalyzing nutrition-sensitive approaches in agriculture, health care, water and sanitation and other sectors.

8. The ICE will reflect the aspirations and concerns of all stakeholders of the Movement. Its findings, conclusions and recommendations will be directed to the Lead Group and thence to all stakeholders for their review and action. They will also contribute to informing the policy debate of SUN member countries as well as that of the external partners and the wider international system, on how to maximize SUN's contribution to the reduction in undernutrition.

9. ***Summative and normative evaluation:*** The evaluation will be both “summative” (i.e. looking back and assessing the strengths and weaknesses of what has been done to date) and “formative” (i.e. looking forward, examining needs, gaps, changes in overall context and suggesting options and recommendations for the future).

10. It would, however, be premature to attempt to measure the impact on nutrition, let alone to attribute these to SUN, given that the Movement has been in operation for only four years. Also, it is very difficult to separate out the impact of SUN from that of other determinants of nutrition outcomes. Rather, the ICE will need to focus on inputs, outputs and intermediate outcomes (such as the expansion of coverage of nutrition-related programs) to assess that impact indirectly, and asking what would not have occurred in the absence of SUN. It will need to assess: what difference SUN has made on institutional behaviors and programs; what has worked well and badly; and what can be done to build on strengths and address weaknesses.

11. The ICE will need to take into account the rapid changes occurring in the landscape of international development and new realities and challenges in nutrition. Overnutrition, obesity and their associated non-communicable diseases are now widespread and increasing so rapidly that the World Health Organization refers to this phenomenon as a new pandemic. Moreover, obesity is growing in all developing regions, even in countries beset by high levels of poverty where increasingly there is a double burden on the healthcare system from under-nutrition and obesity. The focus of SUN thus far has been almost exclusively on the challenges of under-nutrition. A central question for the future will be whether the next stage in

SUN's evolution should include a broader nutrition objective that would also specifically address overnutrition.

12. A further central issue is the place and comparative advantage of SUN in relation to changes in other institutions and initiatives in nutrition, including: i) the six global targets on nutrition established at the World Health Assembly in 2012; ii) the commitments in the Nutrition for Growth Compact; iii) proposed mechanisms for catalytic financing of nutrition; iv) in-country nutrition information systems; v) work underway to track investments in nutrition; vi) plans for a global report on the state of the world's nutrition; and vii) changes underway in the UN Standing Committee on Nutrition and in REACH.

13. It is in the context of these major changes and challenges that the SUN Lead Group has mandated a visioning exercise on the future of SUN. This is to follow directly from, and be heavily informed by, the ICE which will be a principal component of the visioning exercise.

14. In analysing past and present processes and activities, therefore, the evaluation is expected to present findings, conclusions and targeted recommendations that would allow the Lead Group and all stakeholders to chart the way forward for the SUN Movement. Consequently, the evaluation should be regarded as a milestone for SUN and nutrition, reinforcing SUN's potential to meet the overarching purposes for which it was established. That purpose entails helping the SUN countries themselves – which are at the centre of the SUN movement -- to accelerate and maximize progress toward eliminating the scourge of malnutrition. The ICE should help to strengthen the sense of unity among stakeholders to achieve that purpose and to help make SUN fit for the challenges ahead.

### **Assessing SUN Progress and Strategic Focus**

15. The evaluation will seek indications of progress in SUN countries in implementing the agreed SUN aims of (i)- Rapid scaling up of specific nutrition interventions of proven effectiveness; and (ii)- Implementation of sectoral strategies that are nutrition-sensitive.

16. In this regard, the evaluation will also track progress (by identifying and measuring intermediate outcome indicators) on the four strategic objectives of SUN that are set out in the Scaling Up Nutrition (SUN) Strategy 2012-2015. These are:

- a. Create an enabling political environment, with strong in-country leadership, and a shared space (multi-stakeholder platforms) where stakeholders align their activities and take joint responsibility for scaling up nutrition;
- b. Establish best practice for scaling up proven interventions, including the adoption of effective laws and policies;
- c. Align actions around high quality and well-costed country plans, with an agreed results framework and mutual accountability;
- d. Increase resources, directed towards coherent, aligned approaches.

17. The evaluation will seek evidence on whether these strategic objectives represented the best choice for SUN strategy (this should also include a balanced scorecard of stakeholder assessments on the current strategy); whether they have

proved or are proving the most conducive choices to support rapid scale up; whether they comprise an adequate theory of change to guide SUN to its principal goal of impact at country level in reducing undernutrition; and the extent to which they are appropriate for the next stage in the SUN effort.

## **Key Components of the Evaluation**

18. The principal focus of the evaluation will be on the SUN countries and on the added value of the Movement over and above what countries can achieve on their own. This, together with the need for comprehensiveness, requires that the evaluation encompasses the following:

a. ***The Governance of SUN:*** The Stewardship study that was prepared to assist in the establishment of SUN suggested “the need for the group to be small if it is to be strategic and effective”...“comprised of no more than 15 members”. The study also recommended that “meetings of the Leadership Group would involve principals only, and would not be transferable”. In the end, it was decided that a much larger group of high-level leaders would be more appropriate as this would accord SUN a high profile and international gravitas. Thus, there are currently 27 Lead Group members, comprised of high-level leaders that represent the array of partners engaged in SUN – government, civil society, international organizations, donor agencies, businesses and foundations. The evaluation will examine the nature, value and effectiveness by the stewardship of the Lead Group, including its leadership in and accountability for the overall effectiveness of the Movement. It will also consider possible changes that might strengthen future governance arrangements.

b. ***The Work of the Secretariat:*** The SUN Movement Secretariat operates under the strategic guidance of the Lead Group. It has no operational role, but functions to link together the countries and networks that make up the SUN Movement with a view to achieving coordination, coherence and alignment and to the timely provision of support requested by countries. Although the size of the Secretariat has increased steadily since 2012 in order to respond to the needs, growing size and complexity of the Movement, it nonetheless remains small (approximately 12 staff) in comparison to the secretariats of other international partnerships. It is funded by several donor agencies on the basis of voluntary contributions. The evaluation will assess the work and performance of the Secretariat, which will take into account the specific evaluation requirements set out in the funding agreements signed between the secretariat and its donors agencies (see Annex C). The evaluation will include an assessment of whether the Secretariat has been/is adequately staffed and recommendations on its future shape.

c. ***The Country Network:*** The Country Network is made up of the Government Focal Points from each SUN country. The Network meets through a series of conference calls every eight weeks and at an annual gathering. Regional meetings take place when the opportunity arises. The Network provides a forum for SUN Government Focal Points to share experience and benefit from mutual learning, advise and provide analyses of country progress in scaling up nutrition, and seek advice or assistance from

others. The evaluation will report on the value and specific benefits of this forum from differing country perspectives, the needs and interests that it helps to serve and any recommendations for modifications or adjustments.

d. ***The Donor Network:*** The evaluation will examine the performance and outcomes attained by the Donor Network against its stated objectives (to facilitate resource availability, align efforts and financing behind national plans, and to track programs and resources) and against the principles of development effectiveness to which they have pledged. This will include analysis of the role played by the “donor conveners” and donor networks in each SUN country.

e. ***The Civil Society Network:*** As would be expected given the diversity of civil society organizations, this network includes a wide variety of different national and international organizations. It is by far the biggest of the SUN networks. Its principal purposes include alignment of the strategies, efforts and resources of civil society with country plans for nutrition, joint work to build capacity and maximize resource commitments and conduct effective advocacy both nationally and internationally for greater commitment, including political commitment, to improved nutrition. Some civil society organizations have been quite critical of SUN, viewing it as not sufficiently inclusive and as being mainly donor or UN led. Some have been critical of private sector involvement in SUN due to what they view as conflicts between profit making and reducing malnutrition. The ICE will need to take account of divergent assessments and viewpoints.

f. ***The SUN Business Network:*** The Sun Business Network aims to harness business expertise and apply its strengths and comparative advantages to improve nutrition. Its stated purposes are to advance opportunities for the business community to support efforts around agriculture, product development, infrastructure systems, distribution channels, or research and innovation. It has developed a public register of commitment to encourage transparency and accountability. To address possible concerns over any conflict of interest, the network requires each organization wishing to become a member to provide a statement of support and compliance with the SUN and network “Principles of Engagement” and a statement of commitment of its planned or actual contribution. As of March 14, eight developing countries had signed up for specific activities that the network is facilitating at country level and discussions are underway with several others. The evaluation will examine the working model of this network, the extent to which it has advanced/is advancing business opportunities to support nutrition in different sectors and its overall contribution to the SUN Movement.

g. ***The United Nations Network:*** The work of many UN system agencies and other international organizations, funds and programs has a direct bearing on nutrition, both at the policy and norm-setting level and through direct interventions in countries. Five UN agencies have specific normative, capacity building or programmatic mandates in nutrition (FAO, IFAD, UNICEF, WFP and WHO). The UN System Network is seeking to broaden this by including other UN agencies with mandates that bear on nutrition in complementary ways in order to increase broad based support to

reducing malnutrition in SUN countries. The evaluation will consider the effectiveness of the UN Network in leading to greater collaboration of UN agencies at the country level, in the broader context of alignment with country programs and harmonisation with other external development partners.

### **3. Methodology of the Evaluation**

18. Utmost care will be taken in the detailed design and execution of the evaluation: (i)- to maintain the comprehensiveness required; (ii)- to secure a holistic approach to the evaluation; (iii)- to assure that synergies are explored and fully developed; (iv)- and that the interconnectedness of the different components and processes of the SUN Movement are adequately reflected. The core team (see below) will have responsibility for this task.

19. Although the evaluation will be comprehensive, it is important to emphasize that the evaluation team will have the independence and degree of flexibility, within the scope of the ToRs, to define and concentrate on those areas in which it feels there are particular strengths to be built and weaknesses to be addressed, and to explore in greater depth those issues which it identifies as being of importance. The team will ensure, however, that this process will be free from any biases that could undermine the independence, impartiality and credibility of the evaluation, and that it has the expertise and time to deal with the issues selected.

20. It is expected that the evaluation will apply established norms, standards and principles for evaluation<sup>12</sup>. There are a number of standard elements of evaluation methodology that would need to be drawn on: well-tested social science methods for sampling; the identification of indicators; benchmarking where appropriate; guidelines for interviews (open, structured or semi-structured; face-to-face, by telephone, or in group sessions); the use of questionnaires and their design; triangulation of different sources of evidence; validation and weighting and triangulation of conclusions. The range of methods available also includes simple tools for cost–benefit analysis; participatory data collection; the design of an overall evaluation matrix; and stakeholder verification and peer review workshops.

21. Specific attention is required to test the theory of change on which SUNs priorities and processes are based. There is not an explicit agreed theory of change for SUN. Rather, the theory of change is implicit in the four agreed strategic objectives outlined earlier. Their sequencing can be broadly summarized: (i)-'Begin by creating an enabling political environment at international as well as national levels, that creates space and opportunity for political and other leaders within countries to raise the priority given to nutrition; (ii)-then establish national plans, programs and policies to translate that priority into action; (iii)-then align the efforts of multiple stakeholders (at international as well as national levels) behind national plans and priorities; (iv)-then increase financial and other resources for successful implementation of those plans and priorities. By these means reductions in

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<sup>12</sup> These include: Norms and Standards for Evaluation in the UN System, as approved by the United Nations Evaluation Group (UNEG) in April 2005. These are largely in accordance with the OECD-DAC Principles for Evaluation. It should also draw on: (i)- the World Bank's Sourcebook for Evaluating Global and Regional Partnerships as well as good practices in comprehensive evaluations available at the website of the "Comprehensive Evaluation Platform for Knowledge Exchange"; and (ii)- "Improving the Quality and Impact of Comprehensive Evaluations of Multilateral Organizations", by Paul Isenman.

undernutrition will be achieved.' A fundamental assumption within this theory of change is that the Movement's stakeholders are prepared to act in a coordinated, cooperative and collaborative manner so that nutrition is truly prioritized. The ICE should make its own assessment of the implicit theory of change and its adequacy to achieve the overall objective of the SUN Movement at country and global level. Based on this, the ICE might propose an explicit theory of change that would take account of risks and suggest additional strategic priorities as necessary to sustained success in scaling up nutrition – such as a more explicit focus on results or on quality of country programs. A fundamental assumption within this theory of change is that the Movement's stakeholders are prepared to act in a coordinated, cooperative and collaborative manner so that nutrition is truly prioritized in the way they engage. This now needs to be tested through the evaluation.

### **Maximizing the use of existing information**

23. The ICE is conceived as maximising the use of existing information. This will start with the preliminary review necessary to prepare the Inception Report and will be continued throughout the evaluation process. The core team will initially carry out a desk review of SUN documents, including strategy documents, summaries of the proceedings of meetings and teleconferences, M&E reports, etc. (to be made available by the SUN Secretariat) and of other relevant documentation from the SUN networks tracing the course of activities since the initial launch of SUN. This will be supported and complemented by initial structured interviews with Secretariat staff during the inception phase.

### **Assessing intermediate outcomes**

24. Identification and assessment of intermediate outcomes by the evaluation team will have to derive for the most part from structured and semi-structured questionnaires and interviews with a wide range of stakeholders. The consultants will need to triangulate in order to assess the quality of the information and data collected by these means. There may also be instances where it is desirable or necessary to back this up with some primary data (perhaps through separately commissioned country rapid appraisal studies aimed at determining whether there is evidence of SUN contribution to plausible outcomes within a line of causality). The inception report would be expected to include proposals for such assessment studies.

25. Consultation with a large and representative number of different stakeholders will be key, in order to ensure confidence and ownership in the evaluation process. This should include individuals and groups that have expressed scepticism or raised questions and concerns regarding SUN. During the inception phase such consultation will be important in determining issues, areas for concentration, etc. It will also be essential for information gathering; to verify findings and to examine the potential implementability of recommendations. In the countries visited, consultations and interviews with government representatives, civil society, the private sector, NGOs, development agencies, in-country coordination and advocacy groups, policy research bodies, and beneficiaries, will all be important. In the interests of time and cost, this may be accomplished through stakeholder workshops or focus group discussions. Structured and semi structured questionnaires and possibly electronic bulletin boards and/or using of social network techniques via

technologies such as Facebook or LinkedIn will also be important in seeking inputs from all stakeholders, as well as helping to ensure transparency and ownership.

26. Major intermediate evaluation deliverables, such as the inception report will be made available on the SUN public website.

### **Sampling for in-depth evaluation and analysis**

27. There are several hundred, if not thousands, of stakeholders that are now directly involved with SUN in one way or another. This means that the number of in-depth interviews will need to be highly selective. Acceptable sampling techniques will need, therefore, to be applied. The extent of sampling required will be informed by the review and consultation process in the inception phase, which may also usefully include a preliminary analysis of SUN strengths, weaknesses, opportunities and threats (SWOT).

### **Country visits and country case studies**

28. It is essential for all aspects of the evaluation that the evaluation team visit SUN countries, in addition to working through other forms of enquiry such as questionnaires and telephone interviews. It is through country-level assessments that the most important findings, lessons, conclusions and recommendations of the evaluation will be derived. The countries to be visited should be selected by the core team on the basis of a set of clearly defined, transparent criteria which should be detailed in the inception report.

29. It will not be possible, however, to arrive at a truly representative sample of SUN countries. The countries are at different stages of economic development and at very different stages of preparedness to scale up nutrition. Some countries when they joined SUN already had relatively strong national plans and programs in nutrition, while others were entirely without either. Also, some countries joined almost as soon as the SUN Movement was launched while others joined only very recently. The evaluation should include SUN countries that reflect this diversity, as well as those with potential for changes in intermediate outcomes such as those that have been classified as being „ready to scale up rapidly“.

30. The countries to be visited, therefore, should be determined on a purposive rather than random basis. Its aim should not be to achieve representativeness but rather to be able to assemble with methodological rigor an informed and „fair“ perspective of the value-added arising from SUN, of positive and negative lessons learned and of requirements and pathways for the future. These assessments could include one or more SUN countries from each of the following groups: East and Central Asia; South Asia; South and East Africa; Francophone West Africa; Latin America and the Caribbean. Up to ten assessments could be expected, although not all need to be at same level of intensity on the ground. Within these considerations, selection criteria will be randomized (stratified random sampling). Logistical and budgetary considerations may also be factors.

31. Country visits would not be expected to need to involve all members of the core evaluation team. In some cases, someone with appropriate evaluation experience and country knowledge could be subcontracted to carry out the work. Evaluators from the relevant country or region would have a comparative advantage

from the point of view of depth of country knowledge. The country visits will be expected to address all major issues indicated in these TORs and a common template should be applied to ensure as that this is the case and that results are as comparable as possible. The basic plan and approach for country visits should be formulated by the core team in line with the criteria defined above, and included as part of the inception report.

32. Given the difficulties of drawing broader conclusions from visits to a limited number of the 50 SUN countries, the evaluation team should consider whether an Internet-based survey on key issues that covers a wider range of countries would be cost-effective in testing the generalizability of major issues to be covered in the country case studies.

### **Consideration of other organizations and benchmarking**

33. An important evaluation question raised by SUN stakeholders is the extent to which SUN is gaining a similar importance, priority and political will for nutrition as was achieved in earlier global health initiatives (e.g. vaccines and immunization, HIV/AIDS, malaria). This cannot be done in depth, as that would require a great deal of primary research, and rigorous and credible benchmarking of the progress of SUN relative to such other initiatives. In addition, benchmarking against other organizations would be exceedingly difficult, given non-comparability of data and the fact that SUN is still a very young initiative. Nevertheless, the evaluation core team should examine whether a literature review of materials readily available in the public domain, coupled with highly selective interviews, might yield some useful proxy indicators of possible trends and/or magnitudes of difference. The purpose would be to draw lessons from other relevant initiatives for increasing SUN's impact.

### **Recommendations of the ICE**

34. The core team will be solely responsible for the evaluation findings and recommendations. But it is expected to consult widely in deriving them, in order to ensure both their evidence base and the potential for practical follow-up. It would be expected that there would be more than one option proposed, each with its advantages and disadvantages, for the future evolution of the SUN Movement.

35. The Visioning Sub-Group (VSG), a sub-group of the SUN Lead Group has been formed provide governance oversight of the evaluation. Its role is to ensure that the terms of reference are adhered to and that the evaluation is conducted in a timely manner, with quality, independence and within budget. Three Quality Assurance Advisors (QAA) will be contracted to advise on the independence, adequacy, methodological soundness and overall quality of the evaluation. They will be accountable to the VSG. Their principal role will be to aid the VSG in assuring that both the process and the product of the evaluation are credible and independent. The QAA will develop a scorecard and apply it to review, assess and grade responses submitted by evaluation consultants in response to the request for proposals. They will submit the results of their review to the VSG for its consideration. The QAA will also review the inception report, the interim report and the final report with regard to their adequacy, methodological rigor, application of good practice in comprehensive evaluations, soundness of evidence and independence. (See Annex A

for detailed terms of reference for the QAA and Annex C for an illustrative scorecard).

## **4. Deliverables and Timetable**

36. **Deliverables:** Deliverables can be expected to include, among possibly others to be identified during the course of the evaluation work:

a. An **inception report:** The first task of the evaluation team will be to prepare an inception report, within six weeks of evaluation start-up, for review by the VSG. In preparing its inception report, the core team will take account of the considerations outlined above, including coverage, issues to be addressed and methodology. The core team is, however, encouraged to suggest different approaches and considerations where it considers these appropriate. The inception report will specify the key deliverables of the ICE core team. The inception report will provide a comprehensive road map for the evaluation, an outline of issues to be addressed by the evaluation and how it intends to address them, the methodology proposed for the evaluation and an outline of:

- Countries for visits and for case studies and the plan of visits and studies based on the criteria presented above;
- Specific issues and main questions the evaluation will examine; and
- Other germane matters that may configure expectations for and outcomes from the evaluation.

b. An **interim progress report** to be submitted to the VSG at the beginning of September, so that they may inform the Lead Group of the evaluation's status and any major issues for their meeting mid-September. The interim report would outline the principal findings to date, hypotheses and options for broad recommendations being explored for the evolution of the SUN Movement. The section of the Interim Report assessing the work of the Secretariat will include material, complemented by a separate covering note to the relevant donors, sufficient to meet the Secretariat's contractual obligations to those donors. It is understood that any recommendations or options in the Interim Report on future changes to the Secretariat may be subject to further analysis and the conclusions of the final report. The VSG would at that time also recommend to the Lead Group the process for planning the visioning review for which the evaluation results and recommendations will comprise a principal component.

c. The **Final Report** is to be delivered to the Chair of the Lead Group, who is also the Chair of the Visioning Sub-Group, as well as to the Coordinator of the SUN Movement by the end of December, 2014. A draft should be made available for comment by the Visioning Sub-Group, as well as the Secretariat, by the end of first week of December. However, the final report of the Independent Comprehensive Evaluation remains the responsibility of the evaluation team. An extraordinary meeting of the Lead Group (date to be

37. All deliverables will be as concise as possible. The inception and interim reports will be submitted in English and the final report in English, French and Spanish. The language used should be direct, free of jargon, avoid euphemisms in describing problems and weaknesses, and be reader-friendly. Annexes and appendices should be included only if there is a clear rationale for doing so. Executive summaries should be included and address findings and recommendations. If certain issues agreed for analysis in the inception report could not be addressed satisfactorily in the course of the evaluation, the final report should explain why this was the case.

## **5. The Evaluation Team and Role**

38. The **core team**: The number of persons comprising the core team will be indicated in the proposals submitted by companies in response to these terms of reference and in recognition of the competencies stipulated in Annex B. One of the core team members will have the role of team leader. The core team will have the sole responsibility for the direction, supervision and conduct of all substantive work of the ICE, including full involvement in the execution of the evaluation work.

39. The core team will report to the Visioning Sub-Group (VSG) of the SUN Lead Group, which is acting on behalf of the SUN Lead Group as a whole. The VSG will provide oversight of the execution of the evaluation, including adherence to standards of quality and independence with the assistance and independent advice of the 3 Quality Assurance Advisors. Day to day support to the core team will be provided by the SUN Movement Secretariat. It will, however, be essential throughout the evaluation that the work of the SUN Movement not be disrupted by the evaluation. Both the Secretariat and the evaluators will need to take that into careful and full account.

## **TOR Annex A: Terms of Reference for Quality Assurance Advisors**

### ***Background***

- 1) The Scaling Up Nutrition (SUN) Movement has come a long way since its launch in September 2010. Borne out of a frustration from countries with high-burdens of malnutrition that a fragmented global nutrition community was not giving sufficient support to their efforts to improve nutrition, the SUN Movement has catalysed the better functioning of systems that support actions designed to improve nutritional status.
- 2) Nutrition has since risen dramatically up political and development agendas. The recognition that nutrition is a key determinant of an individual's wellbeing and nation's future prosperity is accepted by national leaders in 50 countries - home to over half of the world's stunted children. Today, these countries have committed to scale up nutrition with a twin-track strategy of investing in specific nutrition interventions and nutrition-enhancing approaches. They are recognising that women's empowerment is a priority.
- 3) They are joined by tens of thousands of stakeholders with expertise in a wide range of sectors who are working together and aligning behind national plans to scale up nutrition. Billions of dollars have been committed for action on nutrition - both from domestic resources and externally. Investment in nutrition is increasing because the evidence is growing of the importance of investing in nutrition and the pathways considered most likely to achieve success.
- 4) There remains much to be done: millions of children are not achieving their full potential, and in far too many cases, dying as a result of malnutrition. As countries look ahead they are asking whether the SUN Movement, as it is currently functioning, is fit-for-purpose and able to provide appropriate and timely support to so that sustainable results are more rapidly achieved.

### ***Independent Comprehensive Evaluation***

- 5) The SUN Movement's Lead Group - 27 leaders appointed by the UN Secretary General to provide strategic oversight for the Movement - has requested that an independent comprehensive evaluation of the Movement's progress be carried out to enable a longer-term vision to be developed for the Movement's future. This evaluation will focus on the Movement's relevance, effectiveness, efficiency and sustainability in delivering results.
- 6) An independent comprehensive evaluation of the SUN Movement will be undertaken by expert evaluators. Its Terms of Reference (currently being developed) will stipulate the scope and process that should be followed in order to ensure its credibility amongst all stakeholder groups of the SUN Movement.
- 7) The evaluation will be overseen by the Visioning Sub Group (VSG) of the SUN Movement's Lead Group. Administrative and back-up support will be offered by the SUN Movement Secretariat (SMS).
- 8) A small group of three independent experts are required as „Quality Assurance Advisers“ (QAA), to assist the VSG to assure the independence, adequacy, methodological soundness and overall quality of the evaluation.

### ***Role and Responsibilities of the Quality Assurance Advisers (QAA)***

- 9) The QAAs will be accountable to the VSG, as are the independent evaluators. The principal role of the QAA is to aid the VSG in assuring that both the process and the product of the evaluation are credible and independent.

- 10) As part of the recruitment process for the team of independent evaluators, the QAAs will develop a scorecard<sup>13</sup> and apply it to review, assess and grade all the proposals submitted<sup>14</sup>. The QAAs will initially conduct a „blind“ review and then compare the scores they assigned to each category. These will become a part of the record transmitted to the VSG. A second stage will entail discussion between the advisors to arrive at a consensus on the rankings and agree a consensus note, describing the process followed and, taking into account all factors, making a recommendation (or recommendations) for the consideration of the VSG.
- 11) The QAA will review the inception report, the interim report and the final report with regard to their adequacy, methodological rigor, application of good practice in comprehensive evaluations, soundness of evidence and independence. At each of these stages, they will provide brief advisory notes to the VSG. These will need to be made available on a timely basis.

***Requirements***

- 12) The successful applicant (s) will have at least 15 years of experience in a combination of evaluation work and work on or with multilateral organizations or global partnerships, aid effectiveness, and development.
- 13) They should preferably have participated in two or more comprehensive evaluations of multilateral organizations or global partnerships and be seen as experts in such evaluations. They will have in depth experience at both country and global or regional levels.
- 14) The reporting requirements will require a very high standard of English: the successful applicant will be fluent in written and spoken English.

***Timeframe and Location***

- 15) The QAA would agree to undertake the tasks above in a timely manner and consistent with the final timetable to be called for in the contract with independent evaluation team.
- 16) The QAA would work on the basis of drawdown contracts with an estimated maximum total time for each advisor of 15 days. Any extension of contract will be subject to the agreement of both parties, the availability of funds and satisfactory performance.
- 17) The main periods of work are likely to be April/May 2014 (review of proposals/inception report); August/September 2014 (interim report) and December 2014 (final report).
- 18) The QAA will be home-based and communication with the VSG, the evaluators and the SUN Movement Secretariat will be conducted by e-mails and phone calls.

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<sup>13</sup> An example of such a scorecard is appended for consideration by the QAAs.

<sup>14</sup> Eighty-five percent of total score will be based on technical merit and fifteen percent to price. The technical weightings in the scorecard will be expected to be assigned against standard best practices factors, such as the extent to which it responds to the functional requirements and specifications in the TOR, reputation and relevant experience.

## **TOR Annex B: Evaluation Core Team: Qualifications**

The core team, under the direct authority of the team leader, will have sole responsibility for the direction, supervision and conduct of all substantive work of the IEE, including full involvement in the execution of the evaluation work. Core team members will work for extended periods from May 2014 to December 2014.

### ***Qualifications and experience of the core team:***

- Extensive prior experience in designing and conducting large scale, complex evaluations, preferably including one or more comprehensive evaluations and multi-stakeholder organizations.
- Experience in working in or with the public sector, with experience in the private and NGO sectors being an advantage.
- Significant exposure to the multilateral system and to issues and challenges in international development;
- Experience in evaluation of multi-stakeholder and, preferably, multi-sectoral global partnerships;
- Experience in evaluations that take account of the agreed principles of aid effectiveness of the Paris-Accra-Busan process.
- Experience in working in or with the public sector, with experience in the private and NGO sectors being an advantage.
- Significant exposure to the multilateral system and to issues and challenges in international development;
- Demonstrated ability in:
  - a) communication (written and oral);
  - b) conceptual and empirical analysis; and
  - c) synthesis reporting, including synthesis of findings and recommendations;
- At least one member of the core team will require a knowledge of quantitative and qualitative methods of social and economic research, including participatory survey techniques and cost-benefit analysis as applied to complex situations (including substantial non-quantifiable variables).
- Knowledge of international health and nutrition issues will be an advantage.
- Ability to work in French and Spanish as well as English will be an advantage.

Evaluation core team leader: He/she will provide overall leadership of the evaluation team and have a coordinating role. Qualifications, in addition to those above, will include:

- Experience in organizing-directing-managing complex evaluations, preferably in the multilateral system;
- Experience of systems analysis and/or strategic planning
- Extensive knowledge of the international development system and its institutional framework.
- Experience in institutional analysis, including analysis of governance.

**TOR Annex C: Example of Scorecard to Assess SUN Comprehensive Evaluation Proposals<sup>15</sup>**

*[omitted]*

**TOR Annex D: Requirements for a Mid-Term Evaluation of SMS Within the ICE**

*[reproduced in this Inception Report as an appendix to Annex Q]*

**TOR Annex E: Indicative Listing of Issues/Questions to be Addressed in the Independent Comprehensive Evaluation of the SUN Movement**

The issues raised and questions posed in this annex are presented as guidance for the evaluation, not as a definitive listing, and many of them are very closely interrelated. They derive from written comments received and 25 semi-structured interviews (some group interviews) with SUN stakeholders. The interviews started with: „What do you see as the principal issues and questions that the evaluation should give priority to and that should be clearly indicated in the Terms of Reference?“ Stakeholder responses to this pointed to five overarching questions for the evaluation.

**THE OVERARCHING ISSUES**

- To what extent is there evidence of a real and shared understanding of and commitment to the idea of SUN as a "movement", rather than as a single entity, which is not operational itself but whose multiple components all support and encourage the country efforts to scale up nutrition that are at its core? Does it provide significant differences and added value (e.g. in mobilization and in action) from other multi-stakeholder global partnerships? Has this been/is it proving to be a helpful concept in establishing multi-stakeholder and multi-sectoral approaches to nutrition?
- If the SUN Movement is to continue after 2015, does it have an appropriate structure as an informal partnership under the aegis of the UN Secretary General?
- How effective has the overall SUN Movement model and its governance been? This question applies to the Movement as a whole and to its key components --the Lead Group, Secretariat and five networks – carrying out their respective roles? Should that structure or the roles of those components be changed?
- Has there been sufficient transparency and accountability within the Movement and among its components?
- To what extent have the necessary foundations been laid for sustainability of the objectives and progress of the SUN Movement? What structural changes are indicated to increase its sustainability as well as effectiveness?

Deriving from and bearing on these overarching questions, SUN stakeholders suggested a range of key questions that they would like the evaluation to address. The questions deal with intermediate outcomes, needs and priorities, comparative advantage (including gaps in the international architecture), and efficiency. Taken

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<sup>15</sup> For illustrative purposes only; the scorecard is to be determined by the selected Quality Assurance Advisors.

together, answers to them are crucial to overall assessment of the effectiveness of the SUN Movement and its work. These include:

## **GENERAL**

### **Priorities**

- How effectively has SUN made progress on each of its „strategic priorities' -- mobilization of political support, supportive policies and laws and spread of good practice, alignment around well-costed and high quality country plans, and increased domestic and external financing?
- Are the four strategic priorities the right ones to help countries achieve the overall objective of SUN of accelerating reduction in undernutrition in order to meet their national targets as well as the global targets established by the 2012 World Health Assembly? If they are not sufficient, what changes in areas of emphasis should be considered?

### **Country focus**

- To what extent has SUN succeeded in putting countries front and centre in all aspects of its efforts? What do countries view as the benefits they have gained (or the absence of expected benefits) from participating in SUN?
- To what extent has SUN contributed to moving from mobilization to action and concrete changes at country level -- both by government and other country stakeholders and by donors? How can it do so better, and, in so doing, also keep nutrition high on the country and global political agenda?

### **Quality**

- To what extent has SUN contributed to helping countries improve the quality of their plans and programs in terms of, e.g., focus on proven direct nutrition interventions and the first 1000 days, balance of direct and nutrition-sensitive activities, prioritization of activities, resource allocations, addressing capacity and implementation issues, and a sharper focus on achievement of results? Regarding resource allocations, are the governments of SUN countries assigning increases from their own fiscal resources to nutrition?
- What should be done to increase the focus on quality? Would good practice principles, such as those found in the case of IHP+, be merited?

### **The right balance:**

- Has SUN struck the right balance between being inclusive (number of countries involved) and being effective in providing in depth support to countries? Is there a need to place greater emphasis on showing success stories ('proof of concept') in several countries of what difference SUN has made?
- Has SUN focussed adequately on the need to strike a reasonable balance between direct nutrition interventions and nutrition-sensitive interventions? How has SUN contributed to the evolution of thinking on the latter and how effectively is it contributing to multisectoral coordination at country level?
- Has SUN given sufficient attention to issues of gender equity and women's empowerment?

### **Mandate and role:**

- Are SUN's mandate and role appropriate, in relation to the numerous international organizations and global partnerships involved in closely related areas (e.g. food security and maternal and child health)? To what extent have the Movement and its Secretariat been effective in creating a 'magnetic field' to collaborative, complementary and common effort at country and global levels to reduce undernutrition?
- To what extent has SUN contributed to increasing coordination and complementarity, and reducing fragmentation of externally-funded programs at country level?
- Should SUN broaden its overall objective of accelerating reduction in undernutrition to include reduction in overnutrition, with its consequences for Non-Communicable Diseases, as well?

### **Achieving and measuring concrete outcomes**

- To what extent has SUN moved (and/or is moving) beyond its initial focus on structures, capacities and processes that can feed into results to a focus on achievement of outcomes and intermediate outcomes? To what extent is program coverage in nutrition actually increasing at country level?
- To what extent are the tracking and monitoring systems reporting on evidence of actions and investments as well as on statements and pledges? Is there reliable evidence of increased financial flows?

### **Advocacy**

- How strategic and effective has the SUN role in advocacy been?
- To what extent has SUN succeeded in making the shift to multi-stakeholder advocacy at country and global levels (vs. seeing advocacy as essentially the responsibility only of civil society)?

### **Trust Fund**

Should the Multi-Partner Trust Fund -- for catalytic financing at country level when other financing is not available -- be continued? If so, what is the evidence and justification and should its volume or scope be expanded?

## **INDIVIDUAL COMPONENTS OF SUN**

### **Lead Group**

- What role has the SUN Lead Group exercised in providing strategic direction and oversight to the SUN Movement and in mobilizing support at country and global level?
- Has the Lead Group been able to get commitment and active participation from its members?
- Is its very senior membership able to provide the time and leadership needed to scaling up nutrition?
- Is the Lead Group the most appropriate governance arrangement for SUN? Might its role and modus operandi be made more effective through, for example, some form of small Executive Committee with agreed TOR?

- Are Lead Group members kept adequately informed of what is going on in all parts of SUN? Have they been adequately equipped to provide oversight and effective strategic direction?

#### **SUN Networks**

- How well is the SUN Network structure functioning – overall and by network? To what extent does it have an impact on actions by its members? Is this structure appropriate for moving ahead?
- How should the mandates, roles and modalities of the different SUN networks evolve?

#### **Country Network and Country-Level Governance:**

- How effective is governance of SUN at country level (recognizing the country specificity of that governance)? What impact has the SUN Movement had on that governance? What more could be done by the different components of the SUN Movement to increase that impact, for example in getting stronger commitment from heads of government and finance ministers?
- To what extent are the country platforms inclusive and multi-stakeholder based? Do they include balanced participation of different actors, including from civil society and business?
- Have „best practices“ been identified in country networks? Is there evidence that these are helpful in sharing experiences and learning? Is there evidence that they are being successfully transferred? What changes in role and modality would increase the effectiveness of the Country Network? For example, do country focal points have the seniority and „convening power“ required for country networks to function effectively? Would it be useful to give more emphasis to the regional level, or is learning from good practice across regions more important?

#### **Civil Society Network**

To what extent has the CSO network been a factor in embedding nutrition within the priorities of CSOs working at the local level as well as in getting nutrition a more prominent place on the political agenda at country and global levels?

#### **Business Network**

- To what extent has the Business Network specifically been able to move from mobilization to action, including responding to the demand from SUN countries for stimulating public-private partnerships?
- To what extent have the SUN Movement as a whole and the Business Network been able to address and resolve highly contentious issues relating to the role of business and public-private partnerships within SUN (e.g. concerns over conflicts of interest, on the one hand, and understanding/acceptance of the „double value proposition“ (i.e. the social value and the financial value) as prerequisite to the effective mobilization of partnerships with business?

#### **Donor Network**

- To what extent has there been a scaling up of current and credibly-projected funding by donors and other external funders?
- To what extent have donors emphasized effective use of their assistance by following agreed principles of aid effectiveness and given adequate attention to capacity strengthening? And to what extent have they emphasized and helped countries to strengthen the quality of country programs?

## **UN Network**

To what extent has the UN Network been able to achieve better coordination and alignment of activities of UN agencies at country level?

## **Secretariat**

- See Annex D for other important questions for the Secretariat from the log frame agreed with donors to the Secretariat
- Is the size and financing of the Secretariat commensurate with its appropriate role at global and country levels?
- What are the implications of the changing needs of countries, as SUN moves its emphasis from mobilization to action, for the role, size, and structure of the Secretariat? Regarding structure, would the Secretariat be more, or less, effective if it were to become formalized as a UN structure?
- Is the system of monitoring and evaluation coordinated by the Secretariat adequate? How should it be improved, taking account of ongoing work by consultants to be completed in June? (See the question above on intermediate indicators.)
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## **TOR Annex F: Definitions of Terms used in the Terms of Reference**

|                          |   |
|--------------------------|---|
| Benchmark                | Reference point or standard against which performance or achievements can be assessed. A benchmark often refers to the performance that has been achieved in the recent past by other comparable organizations or what can be reasonably inferred to have been achieved in the circumstances. |
| Comprehensive Evaluation | See below.  |
| Effectiveness            | The extent to which the intervention's objectives were achieved, or are expected to be achieved, taking into account their relative importance and the volume of resources deployed.  |
| Efficiency               | A measure of how economically resources/inputs (funds, expertise, etc.) are converted to results.   |
| Impacts                  | Positive and negative, primary and secondary long-term effects produced by an intervention, directly or indirectly, intended or unintended.   |
| Indicator                | Quantitative or qualitative factor or variable that provides a simple and reliable means to verify achievement, to reflect the changes connected to an intervention, or to help assess the performance of an actor.   |
| Outcomes                 | The likely or achieved short-term and medium-term effects of an intervention's outputs.   |
| Outputs                  | The products, goods and services which result from an intervention.   |
| Performance              | The degree to which an intervention or a partner operates according to specific criteria/standards/guidelines or achieves results in accordance with stated goals or plans.   |

|                          |  |
|--------------------------|--|
| Relevance                | The extent to which the objectives of an intervention are consistent with beneficiaries' requirements, country needs, global priorities and partners' and donors' policies.  |
| Results                  | The output, outcome or impact of an intervention.  |
| Stakeholders             | Agencies, organizations, groups or individuals who have a direct or indirect interest in the intervention or its evaluation.   |
| Sustainability           | The continuation of benefits from an intervention after major assistance has been completed. The probability of long-term benefits. The resilience to risk of the net benefit flows over time.   |
| Triangulation            | The use of three or more sources or types of information, or types of analysis to verify and substantiate an assessment, in order to overcome the bias that comes from single informants, single-methods, single observer or single theory studies.  |
| Comprehensive Evaluation | <p>CEs draw on the accepted principles and methods for evaluation in international development, but CEs have a number of distinguishing features that differentiate them from evaluations of interventions, projects, or programs.</p> <p>First, the scope of CEs is much broader. Evaluating an organization as a whole requires that CEs address a much larger set of issues, apply and integrate a larger range of evaluation tools and techniques (e.g. randomized impact evaluations, data from existing monitoring and evaluation systems, benchmarking, operations research, participatory or action research, and peer review) – depending on what is already available and on the time and resources available for the CE.</p> <p>Second, CEs require far greater outreach and inclusion of stakeholder views than do other types of evaluations. They draw on all available quantitative and qualitative evidence but also typically give more weight than in other evaluations to obtaining and analyzing the views and assessments of a broad variety of stakeholders – and some nonstakeholders. This is done, drawing on accepted rigorous methodologies, through interviews, surveys, and case studies. This process of broad consultation is usually vital not only as a source of evidence but to assure credibility and impact. The process entails extensive data collection and analyses as one of the initial steps and then continues, through cross verification and validation (“triangulation”) as conclusions and recommendations emerge from the analysis.</p> <p>Third, the need for broad consultation, as well as for considering a broad range of issues and for drawing on a variety of evaluation methods, means that CEs inevitably take a longer time than narrower evaluations. Ensuring sufficient time is also essential to the credibility and transparency of the entire CE process – from TORs and choice of the independent evaluation team through consideration of the findings of the CE by the governance structure.</p> <p>Fourth, because of their scope and complexity, CEs generally require more time than most other types of evaluation. Establishment of realistic timelines for comprehensive</p> |

evaluations has been shown to correlate highly with the quality and utility of the final product.

Fifth, to a far greater extent than other forms of evaluation, CEs involve both looking backward (what evaluators often call “summative evaluation”) and forward (or “formative evaluation”) and on synthesizing the two with recommendations for future actions. Looking back is essentially for purposes of accountability and to some extent for learning. Looking forward puts a heavier emphasis on learning and equipping the organization for the future. It examines the larger landscape, including the relative position of the organization vis-à-vis other organizations, changing conditions and new challenges. This leads to recommendations for future improvements. These may range from minor adjustments to major changes in organizational and governance structure, accountability and incentive mechanisms, policies and priorities, and even whether the organization should continue or be phased out.

## **TOR Annex G: Bibliography**

This short bibliography mentions only a sample of the wide variety of material relevant to the comprehensive evaluation that is available on the SUN website ([www.scalingupnutrition.org](http://www.scalingupnutrition.org)) and elsewhere.

1000 Days, “Essential Documents”

(<http://www.thousanddays.org/resources/essentialdocuments/documents/>)

Haddad, Lawrence, “Ending Undernutrition: Our Legacy to the Post 2015 Generation”, Institute of Development Studies and Children's Investment Fund Foundation, May 2013

(<http://nutrition4growth.org/Ending%20Undernutrition%20-%20Background%20framing%20paper%20-%20Final%20May%202013.pdf>)

IFPRI, Global Food Policy Report, March 2014

([http://www.unicef.org/publications/index\\_68661.html](http://www.unicef.org/publications/index_68661.html))

Lancet, Series on Maternal and Child Nutrition, January 2008

(<http://www.thelancet.com/series/maternal-and-child-undernutrition>).

Lancet, Series on Maternal and Child Nutrition, June 2013

(<http://www.thelancet.com/series/maternal-and-child-nutrition>)

“Scaling Up Nutrition (SUN) Movement Strategy [2012-2015], September 2012.

(<http://scalingupnutrition.org/wp-content/uploads/2012/10/SUN-MOVEMENT-STRATEGY-ENG.pdf>)

SUN Movement Revised Road Map, September 2012.

(<http://scalingupnutrition.org/wp-content/uploads/2012/10/SUN-MOVEMENT-STRATEGY-ENG.pdf>)

[content/uploads/2012/10/SUN-Movement-Road-Map-Septemeber-2012\\_en.pdf](#)[content/uploads/2012/10/SUN-Movement-Road-Map-Septemeber-2012\\_en.pdf](#)

“SUN Network and Lead Group Resources”  
(<http://scalingupnutrition.org/resources><http://scalingupnutrition.org/resources-archive/network-resources-2>)

“SUN Movement Draft Progress Report” and “Draft Compendium of SUN Country Fiches” (<http://scalingupnutrition.org/news/now-available-draft-state-of-the-sun-movement><http://scalingupnutrition.org/news/now-available-draft-state-of-the-sun-movement-progress-report-september-2013-.UzbxsfTZ1Q>[progress-report-september-2013#.UzbxsfTZ1Q](http://scalingupnutrition.org/news/now-available-draft-state-of-the-sun-movement-progress-report-september-2013-.UzbxsfTZ1Q))

UNICEF, “Improving Child Nutrition: The achievable imperative for global progress”, April 2013 ([http://www.unicef.org/publications/index\\_68661.html](http://www.unicef.org/publications/index_68661.html))

## **Annex B SUN chronology**

It is expected that this chronology will be further refined as the evaluation proceeds. Country-specific chronologies for the SUN ICE case study countries will also be prepared (see Annex L).

| <b>Year</b> | <b>Month</b> | <b>Event</b>  |
|-------------|--------------|---|
| 1992        | November     | <b>First International Conference on Nutrition (ICN):</b> led to the unanimous adoption of a World Declaration and Plan of Action for Nutrition.  |
| 2008        | January      | <b>The Lancet Series on Maternal and Child Nutrition:</b> This series filled a longstanding gap with systematic evidence of the impact of undernutrition on infant and child mortality and its largely irreversible long term effects on health and on cognitive and physical development. It also demonstrated the availability of proven interventions that could address these problems and save millions of lives. The Lancet set of interventions focused on the “window of opportunity” from minus 9 to 24 months for high impact in reducing death and disease and avoiding irreversible harm. It also served to highlight that nutrition was regarded for the most part as an afterthought in development priorities, and had been seriously underemphasised by both donors and developing countries. |
| 2008        | May          | <b>Copenhagen Consensus II:</b> A Panel of economic experts produced a prioritised list recommending how best to tackle ten of the world's most pressing issues. Micronutrient supplements for children (vitamin A and zinc) was ranked as the best development investment.   |
| 2009        |              | <b>Horton et al publication “Scaling Up Nutrition – what will it cost?”</b> Gave first estimates of the cost of implementing the direct nutrition interventions prioritised in the Lancet series. Linked to this, the World Bank, some UN organisations, the Gates Foundation and others formed a small committee which hired two consultants to draft what became the first SUN document presented at the WB spring meetings in 2010.  |
| 2009        | November     | <b>United Nations Standing Committee on Nutrition Meeting</b> exposed disagreements on the existing nutrition architecture – particularly concerning UNSCN.   |
| 2010        | April        | <b>SUN Framework:</b> The Scaling Up Nutrition Framework, which was endorsed by over 100 institutions and launched at the World Bank Spring Meetings, provided an outline of the underlying framework of key principles and priorities for action to address undernutrition and mobilise increased investment in a set of nutrition interventions across different sectors.   |
| 2010        | May/June     | <b>Rome Nutrition Forum:</b> WFP convened actors in Rome, where the SUN Movement conceptualised. David Nabarro was asked to coordinate the translation of the Framework into a Road Map.  |

| <b>Year</b> | <b>Month</b> | <b>Event</b>   |
|-------------|--------------|--|
| 2010        | July         | <b>First meeting of Road Map Task Team chaired by David Nabarro:</b><br>The Task Team consisted of 12 people from potential SUN countries, donors, civil society, business and the UN system , convened to guide the development of the SUN 2010 Road Map. The TT was functioning from July to September 2010 whilst the drafting process of the Road Map took place.  |
| 2010        | ~            | <b>Working Groups Convened:</b> Based on constituent and thematic groups: a) capacity building b) advocacy c) civil society d) donors e) business. The UN System representatives acted as a reference group to reflect their normative function.   |
| 2010        | September    | <b>Launch of SUN Movement–1,000 days:</b> In order to accelerate global action and investment to address the crisis of maternal and child undernutrition, then-U.S. Secretary of State Hillary Rodham Clinton, the then Irish Minister for Foreign Affairs Micheál Martin and a community of global leaders launched the 1,000 Days Partnership in September 2010. The 1,000 Days partnership also encourages support for the SUN Movement of governments, the UN, civil society and private sector which seeks to coordinate and accelerate international efforts to combat undernutrition. |
| 2010        | September    | <b>1st SUN Road Map released:</b> proposes a multi-stakeholder global effort to SUN. Focuses firmly on country-led efforts. Uses SUN Framework, and includes for the first time Nutrition Sensitive approaches.  |
| 2010        | November     | <b>1st Senior Officials meeting of SUN donors in Ottawa:</b> First meeting of what would become the Governance structure for the Donor Network. Agreed on a set of good nutrition partnership principles to which donors will work, namely: 1) support for country led efforts, 2) coordination, 3) measuring outcomes, 4) support for nutrition sensitive initiatives, and 5) nutrition leadership and governance.  |
| 2010        | November     | <b>1st Transition team meeting:</b> with a focus on coordinating collective efforts in support of SUN until mid-2011.  |
| 2010        | December     | <b>UNSCN meeting in Rome:</b> Discussion on the reform of the SCN, revealed some confusion on the relationship between SUN and SCN.  |
| 2010        | December     | <b>1st Task Force Facilitators meeting:</b> Each Task Force is led by two or more co-facilitators and has members representing different organisations.  |
| 2010        | ~            | <b>5 SUN Countries as of end 2010:</b> Bangladesh, Ethiopia, Guatemala, Peru, Zambia.  |
| 2011        | February     | <b>SUN Country Partnerships Meeting</b> in Delhi. First meeting where countries publically talked about their commitments to SUN.  |
| 2011        | February     | <b>Stewardship report funded by WB, EC and Gates Foundation:</b> working to establish proper stewardship arrangements given the temporary (and informal) nature of the current structure.  |

| <b>Year</b> | <b>Month</b> | <b>Event</b>  |
|-------------|--------------|---|
| 2011        | June         | <b>Civil Society Meeting on SUN:</b> First Global Meeting on SUN by civil society in Washington. Meeting organised by Bread for the World and Concern Worldwide. DFID agrees to fund the development of a proposal for civil society engagement in national SUN processes.            |
| 2011        | September    | <b>First SUN High Level Meeting at UN General Assembly:</b> The SUN Movement marked its second birthday with a high level meeting hosted by the UN Secretary-General, Mr. Ban Ki-moon (on the occasion of the UN High-level Meeting on NCDs).   |
| 2011        | September    | <b>1<sup>st</sup> Country focal points meeting</b>  |
|             | September    | <b>1<sup>st</sup> SUN Progress Report:</b> Overview report developed with SUN Task Teams, led by SMS. Focusing on political commitment. Difficulty in tracking donor expenditure exposed- especially in nutrition-sensitive approaches.   |
| 2011        | September    | <b>Stewardship Study released:</b> Gives 2 options: a multi-stakeholder Lead Group, or reverting to the SCN.  |
| 2011        | October      | <b>Reference to SUN Movement in G20 Communiqué.</b>   |
| 2011        | November     | <b>Meeting of TT team and TFs to discuss stewardship</b>  |
| 2011        | November     | <b>Busan meeting on Aid Effectiveness refers to SUN:</b> example of how SUN considered a partnership model that puts countries firmly on in the centre.   |
| 2011        | December     | <b>SUN Multi-Partner Trust Fund initiated:</b> MPTF initiated with \$2m contribution from Switzerland to promote civil society engagement in SUN.   |
| 2011        | ~            | <b>25 SUN Countries as of end 2011.</b><br><br><b>New countries:</b> Benin, Burkina Faso, the Gambia, Ghana, Kyrgyz Republic, Lao PDR, Indonesia, Malawi, Mali, Mauritania, Mozambique, Namibia, Nepal, Niger, Nigeria, Rwanda, Senegal, Tanzania, Uganda, Zimbabwe.                  |
| 2012        | January      | <b>Appointment of Lead Group:</b> All SUN country leaders asked whether they would like to participate. Lead Group ended up larger than originally anticipated (27 people). Secretary General appointed all members, based on a selection of recommendations from the TF, TT and SMS. |
| 2012        | March        | <b>27 Sun Countries:</b> New Countries: Benin, Indonesia, Kyrgyz Republic, Madagascar, Namibia, Nigeria, Rwanda, Sierra Leone and Zimbabwe.   |
| 2012        | April        | <b>Final Meeting of the Transition Team,</b> as it makes way for the Lead Group.  |

| <b>Year</b> | <b>Month</b> | <b>Event</b>   |
|-------------|--------------|--|
| 2012        | April        | <p><b>First Lead Group Meeting.</b> Themes that emerged from meeting:</p> <ol style="list-style-type: none"> <li>1. Building a robust results and accountability framework;</li> <li>2. Documenting and sharing best practices especially between countries and stakeholders;</li> <li>3. Establishing evidence for the cost-effectiveness of nutrition;</li> <li>4. Tracking of financing and investments;</li> <li>5. Ensuring an emphasis on a) the gender dimension and b) women's empowerment in policies and actions to Scale Up Nutrition.</li> <li>6. Advocating for the mobilization of national and international resources for nutrition.</li> </ol> <p>Monitoring and evaluation (M&amp;E) framework for the SUN Movement was finalised and presented to the SUN Lead Group at this meeting.</p> |
| 2012        | May          | <p><b>Copenhagen Consensus III:</b> micronutrient interventions is selected as the best development investment on the basis of research showing each dollar spent reducing chronic undernutrition has at least a \$30 payoff.</p>  |
| 2012        | June         | <p><b>Secretary-General Ban Ki-moon launches the ‘Zero Hunger Challenge’</b> which invites all countries to work for a future where every individual has adequate nutrition and where all food systems are resilient. It has five objectives:</p> <ol style="list-style-type: none"> <li>1. 100% access to adequate food all year round;</li> <li>2. zero stunted children under 2 years, no more malnutrition in pregnancy and early childhood;</li> <li>3. all food systems are sustainable;</li> <li>4. 100% growth in smallholder productivity and income, particularly for women;</li> <li>5. zero loss or waste of food, including responsible consumption.</li> </ol>   |
| 2012        | June         | <p><b>Network Facilitators Meeting:</b> first face to face meeting to set up the development of the SUN Movement strategy and Revised Road Map.</p>  |
| 2012        | June         | <p><b>EC action Fiche Submitted:</b> Funding for Secretariat for 3 years. Alongside other donors SMS fully funded until 2015.</p>  |
| 2012        | ~            | <p><b>The 1<sup>st</sup> Secretariat Implementation and financial report:</b> Agreement with all donors to have one reporting mechanism to save time.</p>  |
| 2012        | July         | <p><b>SUN MPTF formalised:</b> First meeting of MPTF Management Committee.</p>   |
| 2012        | September    | <p><b>Second High Level Meeting of SUN at UN General Assembly:</b> hosted by the UN Secretary-General, Mr. Ban Ki-moon (supported with funds from Canada)</p>  |
| 2012        | September    | <p><b>SUN Movement Strategy (2012–2015) approved</b> by Lead Group in its second meeting. Presents a summary of the Movement's goals, objectives, mode of operation and accountability.</p>  |

| <b>Year</b> | <b>Month</b> | <b>Event</b>  |
|-------------|--------------|---|
| 2012        | September    | <b>SUN Revised Road Map is launched:</b> details how the Movement’s stakeholders will work together to ensure greatest impact of their collective actions on nutrition outcomes in SUN countries, to realise the 2012–2015 SUN Movement Strategy.   |
| 2012        | September    | <b>SUN website re-launched:</b> focus on countries, designed to be dynamic and will morph into primary tool for learning and sharing and transparency.  |
| 2012        | September    | <b>MPTF releases funds:</b> First tranche of funds released to civil society organisations at national level.   |
| 2012        | December     | <b>Business network launched.</b>   |
| 2012        |              | <b>33 SUN countries</b> as of end 2012.<br><br><b>New countries:</b> El Salvador, Haiti, Kenya, Madagascar, Sierra Leone, Sri Lanka, and Yemen.   |
| 2013        | March        | <b>EC-convened SUN High Level Meeting in Brussels:</b> donors agreed to draw on what has been learned about resource tracking through other processes.  |
| 2013        | April        | <b>SUN Movement Monitoring &amp; Evaluation Framework:</b> provides basis for measuring the progress and effectiveness of the Movement as a whole.  |
| 2013        | June         | <b>New series of papers was launched by The Lancet on Maternal and Child Nutrition:</b> containing the strongest evidence to date on the extent of undernutrition and successful interventions to address it.   |
| 2013        | June         | <b>High-level meeting on 'Nutrition for Growth' (N4G):</b> took place in London. World leaders including those from SUN countries came together to sign a Global Nutrition for Growth Compact that will aim to prevent at least 20m children from being stunted and save at least 1.7m lives by 2020.   |
| 2013        | June         | <b>G8 summit</b> takes place in Northern Ireland, covering a range of topics including food security, nutrition, and sexual violence in armed conflict.   |
| 2013        | June         | <b>Sustaining Political Commitments to Scaling Up Nutrition event</b> held in Washington, with the objectives to enshrine and embed U.S. political leadership on 1,000 Days commitment and to advance civil society advocacy and engagement in SUN  |
| 2013        | June         | <b>Civil network launched in Washington, D.C at the ‘Sustaining Political Commitment to Scaling Up Nutrition’ event:</b> inaugural meeting attended by 70 national civil society representatives from SUN countries, government focal points and international civil society organisations. The meeting resulted in a declaration reaffirming civil society’s commitment to support national efforts to scale up nutrition, and discussions on priority actions needed to guide the SUN Civil Society network agenda and actions. |

| <b>Year</b> | <b>Month</b> | <b>Event</b>  |
|-------------|--------------|---|
| 2013        | June         | <b>UN System Network formally established:</b> endorsement of the work plan by the heads of FAO, WHO, WFP, UNICEF and IFAD.   |
| 2013        | June         | <b>A baseline study was undertaken and a report delivered to the SUN Movement Secretariat:</b> intended to provide a point of comparison for future monitoring and evaluation, including the independent evaluation of the SUN Movement and Secretariat   |
| 2013        | August       | <b>UN System Network held its first meeting at a regional launch in Nairobi</b> and agreed a harmonising framework for the role and activities of the UN Network in support of scaling up nutrition at both global and country levels.  |
| 2013        | September    | <b>SUN Global Gathering:</b> designed to create a space for in-depth, structured interaction among participants from all SUN countries and their networks of supporters. Over two days, multiple workshops and plenary sessions fostered in-depth discussions between all participants.   |
| 2013        | November     | <b>Workshop on costing and tracking investments in support of SUN:</b> focused on discussing different methodologies, and their appropriate application in different contexts, for costing nutrition specific and sensitive interventions and tracking investments in support of them. Also set out a plan to build capacity at country level for costing and tracking investments.   |
| 2013        | ~            | <b>48 SUN Countries as of end 2013</b><br><br><b>New Countries:</b> Burundi, Cameroun, Chad, Comoros, Côte d’Ivoire, DR Congo, Republic of Congo, Guinea, Myanmar, Pakistan, South Sudan, Swaziland, and Tajikistan.<br><br>The Indian state of Maharashtra also joined in 2013.  |
| 2014        | January      | <b>UN Secretary General extended the mandate of Lead Group Members until the end of 2015.</b>   |
| 2014        | February     | <b>Scaling up Nutrition in Practice Briefing Papers:</b> ‘Effectively Engaging Multiple Stakeholders’ and ‘An introduction to the Scaling Up Nutrition Movement’.   |
| 2014        | March        | <b>Business Network announced the formation of its Advisory Group of Business Leaders:</b> with the objective to support the network in its vision to ‘find the solutions required to end malnutrition through business, markets and people’. Members will champion the role of progressive business in developing the profitable, sustainable and innovative business models required to scale up nutrition globally and within SUN countries. |

| <b>Year</b> | <b>Month</b> | <b>Event</b>   |
|-------------|--------------|--|
| 2014        | May          | <b>Civil Society Network “Global Day of Action”</b> : second Global Day of Action (GDA) saw civil society alliances calling upon their own governments and others around the world to prioritise nutrition. Activities included public marches, concerts, soccer tournaments and community gardening activities as well as parliamentary meetings and panel discussions.   |
| 2014        | July         | <b>53 SUN Countries as of July 2014.</b><br><br>New countries: Cambodia Costa Rica Guinea Bissau, Liberia, Philippines, Somalia, Togo, and Vietnam.  |
| 2014        | November     | <b>Global Nutrition Report due to be published at the second International Conference on Nutrition in November 2014</b> : The authors are a group of stakeholders, chaired by representatives of the Governments of Malawi and the UK, working to convene, connect and strengthen existing processes for reporting on nutrition. The Global Nutrition Report aims to be comprehensive, fill in the missing data gaps and, in addition to statistics, it will include the stories behind nutrition issues. The Report will be a valuable tool for nutrition advocacy. |
| 2014        | November     | <b>2<sup>nd</sup> SUN Movement Global Gathering</b> to immediately precede the ICN2 meetings in Rome.  |
| 2014        | November     | <b>Second International Conference on Nutrition</b> : 21 years after the first ICN, this follow-up conference will serve to review progress made towards improving nutrition, reflect on nutrition problems that remain, as well as on the new challenges and opportunities for improving nutrition.   |

## **Annex C Key Document Summaries**

This annex is a guide to some of the seminal documents for SUN. The final column is cross-referenced to the bibliography at Annex S and also shows the file location in the evaluation team's electronic library.

| <b>Document</b>                           | <b>Summary</b>   | <b>Reference</b>                  |
|---|--|-----------------------------------|
| The Lancet Series 2008                    | Series of papers on Maternal and Child Undernutrition. The papers bring evidence on the critical role of early nutrition in the health of children, identifying a window of opportunity for intervention between minus 9 months and 24 months. They give systematic evidence of the impact of under-nutrition on infant and child mortality and its largely irreversible long-term effects on health and on cognitive physical development. The papers also demonstrate the availability of proven interventions that could address these problems and save millions of lives. While highlighting that nutrition is a desperately neglected aspect of maternal, newborn and child health, it advocates for preventing maternal and child undernutrition as a long-term investment that will benefit the current generation and the next. The final paper laments fragmented and dysfunctional global institutional architecture for nutrition and calls for the establishment of a new global governance structure for nutrition, that would more effectively represent supra-national organisations, the private sector, and civil society, as well as facilitating dialogue with national actors from high-burden countries. The papers were considered by many as the catalyser for change. | The Lancet 2008<br>F5.3 D1        |
| Scaling up Nutrition – what will it cost? | A World Bank report giving the first estimates of the costs of implementing direct nutrition interventions. The report estimates the cost of scaling up a minimal package of 13 proven nutrition interventions (drawn largely from the Lancet series) from current coverage levels to full coverage of the target populations in the 36 countries with the highest burden of undernutrition. It estimates that at full implementation, the package of interventions would result in a child mortality decline of 1.1 million deaths per year, a saving of 30 million disability-adjusted life years.   | Horton et al. 2010<br>F0.7 D3     |
| SUN Framework for Action 2010             | Endorsed by over 100 governments, development agencies, businesses and civil society organizations, the Scaling Up Nutrition Framework sets out key principles and priorities for action to address under-nutrition and mobilise increased investment in a set of nutrition interventions across different sectors. This evolved from the World Bank cost analysis that was considered by some as top-down. It largely focuses on direct nutrition interventions and less on food security for all   | SUN 2010a<br>SUN 2010a<br>F0.0 D1 |

| <b>Document</b>               | <b>Summary</b>   | <b>Reference</b>                       |
|-------------------------------|--|--|
|                               | (rights dimension) and nutrition sensitive (agriculture, social protection and education).   |  |
| SUN Road Map 2010             | The SUN Road Map 2010 sets concrete recommendations for the wider group of SUN stakeholders on how to scale up nutritional outcomes relevant to the realization of the MDGs. It focuses firmly on country led efforts, establishing the basic principles of a multi-stakeholder effort through which country, regional and international entities would work together to pursue a country plan to scale up nutrition. Critically, it underlines the importance of nutrition sensitive approaches alongside nutrition specific interventions.   | SUN Road Map Task Team 2010<br>FO.0 D5 |
| SUN Stewardship Study         | This report, which was funded by the World Bank, European Commission and Bill and Melinda Gates Foundation, set out to examine and build consensus around possible stewardship options for SUN to replace the Transition Team. It presented two options, (i) a multi stakeholder Lead Group to provide overall leadership to the SUN movement, set its strategy and an accountability structure to support its implementation, as well as proactive advocacy and resource mobilization, and (ii) a merger of the SCN and SUN after three years. The study noted that SUN, as a multi-stakeholder movement, cannot play the role of intra-UN coordination; and the SCN, whose primary function is intra-UN co ordination, cannot plausibly lead a multi-stakeholder movement. The study was presented in a way that led some to think it was inherently leading against the SCN option. | Isenman et al 2011<br>FO.3 D1          |
| SUN Movement Strategy 2012–15 | The SUN Strategy 2012-15 was approved in the second meeting of the lead group. A succinct document, it presents a summary of the Movement’s goals, objectives, mode of operation and accountability, and establishes a three-year plan to significantly reduce under-nutrition in participating countries.   | SMS 2012s<br>FO.0 D3                   |
| SUN Revised Road Map 2012     | The 2012 Road Map compliments the SUN Movement Strategy 2012-2015. It provides a greater level of detail on how the Movement’s stakeholders will work together to ensure greatest impact of their collective actions on nutrition outcomes in SUN countries. The Road Map describes the Movement’s vision, mission and theory of change; what the Movement will do and how it will move forward over the next three years.   | SMS 2012q<br>FO.0 D2                   |

| <b>Document</b>  | <b>Summary</b>  | <b>Reference</b>     |
|--|---|----------------------|
| State of the SUN Movement – Progress Report September 2013 | <p>Most recent in a series of annual reports which present an analysis on the advances made by the countries in the SUN Movement.</p> <p>It examines the benefits of investing in improved nutrition, the evidence that shows the processes needed to strengthen an enabling environment to take effective action, and how these actions are transforming the ways in which governments, and their in-country partners, are working. The report emphasises the need to intensify efforts if progress is to yield major, sustainable improvements of the nutritional status of all people.</p> <p>The report utilises the Movement’s monitoring and evaluation framework, developed the same year at the request of the Lead Group, to track progress in SUN countries and networks against a set of progress markers for four processes.</p>                  | SMS 2013m<br>F0.2 D5 |
| SUN Monitoring & Evaluation Framework                      | <p>The M&amp;E Framework brings together, in one document, the expected results of the Movement and stakeholder commitments as outlined in the SUN Movement Strategy and Roadmap and in individual Network planning documents.</p> <p>It sets out three levels on monitoring: 1. Monitoring the impact of efforts to Scale Up Nutrition within SUN countries by documenting the changes in the nutritional status of women and children, and linking these changes to actions undertaken within SUN countries. 2. Outcome mapping using existing data complemented by a survey to capture behavioural characteristics of the constituent parts that make up the SUN Movement, i.e. information on outcome level. 3. Monitoring the services (outputs) provided by the SUN Movement Secretariat (SMS) and assessing their contribution to the SUN Movement</p> | SMS 2013a<br>F0.6 D1 |

| <b>Document</b>                                     | <b>Summary</b>  | <b>Reference</b>                           |
|---|---|--|
| Third Copenhagen Consensus: Hunger and Malnutrition | <p>The third Copenhagen Consensus was a year-long project involving more than 65 researchers tasked with setting priorities among a series of proposals to confront ten great global challenges. A panel of economic experts, comprising some of the world’s most distinguished economists, was invited to consider these issues.</p> <p>This is the winning assessment paper, which proposed that decision-makers prioritize micronutrient interventions. It demonstrates that for about \$100 per child, a bundle of interventions (including investment in accelerating yield enhancements, investment in market innovations that reduce hunger, and nutrition interventions could reduce chronic undernutrition by 36 percent in developing countries. It also demonstrated that even in very poor countries such as Ethiopia and using very conservative assumptions, each dollar spent reducing chronic undernutrition has a \$30 payoff.</p> | <p>Hoddinott et al. 2012</p> <p>F5 D15</p> |
| The Lancet Series 2013                              | <p>The 2013 series follow up from the 2008 series bringing new data and policy recommendations on global nutrition. The new Lancet series examines the current and expected extent of maternal and child undernutrition and also examines the growing problems of overweight and obesity. It covers the evidence supporting the nutrition-specific interventions and the health impact and cost of increasing their population coverage, and also considers nutrition-sensitive interventions and approaches and their potential to improve nutrition. It examines the features of an enabling environment that are needed to provide support for nutrition programs, and how they can be favourably influenced. The interventions that are appropriate for low- and middle-income countries are also addressed.</p>  | <p>The Lancet 2013</p> <p>F5.2 D2</p>      |

## Annex D Stakeholder Analysis

1. The stakeholder matrix is presented in this annex intended to ensure that all relevant parties are kept in view throughout the process of the evaluation, as well as to guide the selection of interviewees and survey recipients. The matrix is not intended as an exhaustive list of stakeholders nor as a comprehensive interviewee list – more specific listings of interview targets will be developed as appropriate by team members.
2. The structure of the SUN Movement is complex and fluid, and so some of the stakeholder categorisations are somewhat arbitrary. However, the main purpose of the matrix is to ensure that no key groups are overlooked. In constructing the stakeholder matrix, the significance of the final beneficiaries of nutrition interventions is acknowledged. However, given the focus of the evaluation on process rather than nutrition outcomes and the limited timeframe, it is beyond the scope of this evaluation to conduct research at beneficiary level.
3. The mapping exercise drew on stakeholder groupings detailed in the TOR (¶5 and ¶18) and in the SUN strategy (SMS 2012s, ¶18-26) as well as documentation specific to the various SUN networks. The stakeholder mapping also incorporated considerations drawn from information provided in preliminary interviews and discussions amongst the core team at the Inception Workshop (see Annex N).
4. For each country case study, we will prepare a country-specific stakeholder analysis (see Annex L).

**Table 3 Global and Country Level Stakeholders**

| Stakeholder            | Role in SUN operations  | Role in and implications for the evaluation   | Who   |
|------------------------|---|---|---|
| <b>INTERNAL</b>        |   |   |   |
| <i>Lead Group (LG)</i> | High-level representatives from across the SUN Movement (representing countries, donors, businesses, civil society etc.) appointed by the UN Secretary General in 2012 with responsibility for stewardship and functioning of the Movement, including providing strategic oversight, improving resource mobilisation and ensuring collective accountability. The mandate for the LG was extended in January 2014 to the end of 2015.<br><br>Prior to 2012, a SUN Transition Team was temporarily responsible for stewardship of the SUN Movement, | <i>Key informants providing direct experience, analysis and understanding of the governance structure, history and activity of the Movement.</i><br><br>Primary stakeholder – commissioned the evaluation and represented by the Visioning Sub Group. User of key results/recommendations of the evaluation for visioning of the SUN Movement's future. | <i>LG Chair</i><br><br><i>LG members (or their deputies/alternates where relevant)</i><br><br><i>Relevant task team members</i> |

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| Stakeholder                | Role in SUN operations  | Role in and implications for the evaluation  | Who  |
|----------------------------|---|--|--|
|                            | supported by six Task Forces.   |  |  |
| <i>Visioning Sub Group</i> | A sub-group formed of members of the SUN Lead Group or their deputies and representing the Lead Group as a whole. Responsible for overseeing the evaluation as well as participating in the ‘visioning’ exercise on the future of SUN.  | <i>Key informants providing direct experience, analysis and understanding of the governance structure, history and activity of the Movement.</i><br>Primary stakeholder and user of key results/recommendations of the evaluation.<br>Consulted during preparation of the evaluation TOR and selection of the evaluation team. Has lead responsibility for overseeing governance of the evaluation. Will provide comment on the outputs (Inception Report, Interim Progress Report and Evaluation Report).   | <i>VSG Chair</i><br><i>VSG members</i>   |
| <i>SUN Secretariat</i>     | Responsible for coordination of the networks and ensuring the facilitation of access to support requested by SUN countries, as well as facilitation of cross-network and cross-country learning. Lead on tracking and communicating progress across the Movement and providing support to the Lead Group to ensure accountable stewardship.                 | <i>Key informants and source of information. Providing documentation on the Movement and direct experience of the history/context, governance and activities of the Movement (both globally and at country-level). Perspective to triangulate other findings.</i><br>Key stakeholder – both a primary user of evaluation results/recommendations and likely to be directly affected by findings.<br>Providing administrative and back-up support of the evaluation (day-to-day) including facilitation of interview scheduling / country visit planning. | <i>SUN Secretariat Coordinator</i><br><i>Policy Advisors</i><br><i>Advocacy and Communications Team</i><br><i>Country Team</i><br><i>M&amp;E Team</i><br><i>MPTF Coordination Team</i><br><i>Administrative staff</i><br><br><i>Former members of staff of the Secretariat</i> |
| <i>Countries</i>           | <b>Global level:</b> The SUN Country Network (convened by country network resource people / and Secretariat staff, and comprising of country focal points and (increasingly) members of their Multi-Stakeholder Platforms) provides a forum for SUN countries to share experiences in scaling up nutrition, to learn from each other and to request advice, | <i>Key informants providing detail on coordination of network and country-level plans/activities. Triangulate findings from country-level studies/visits and from the survey,</i><br>Key stakeholder - both a key user of evaluation results/ recommendations and likely to be directly  | <i>Country Network Resource People</i><br><i>Call facilitators (Secretariat Staff)</i>   |

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| Stakeholder          | Role in SUN operations   | Role in and implications for the evaluation   | Who  |
|----------------------|--|---|--|
|                      | <p>assistance and/or resources from across the Movement.</p> <p><b>Country-level:</b> Governments are responsible for ensuring delivery of nutrition interventions in response to country-level needs.</p> <p>SUN Countries have responsibility for applying the key principles of the SUN Movement and for ensuring that country programmes are sensitive to nutrition and that coverage of proven interventions to improve nutrition is increased.</p> | <p>affected by findings.</p> <p><i>Individuals (i.e. government officials) will be key informants providing country-context, direct experience and analysis of interaction with the SUN Movement. Also providing information on country-level efforts to scale up nutrition – including experience to date, new/pre-existing multi-stakeholder structures, successes, points of failure, views on future directions, the role of SUN at global/national level. Officials and representatives will be interviewed during country visits – primarily at policy/capital level given time constraints. Where appropriate and possible – sub-national structures will be targeted.</i></p> <p>Various levels of interaction with / interest in evaluation findings – likely more direct interest at focal point/MSP/central ministry level. Potentially affected by evaluation findings.</p> | <p><i>SUN Country Focal Point</i></p> <p><i>Multi-stakeholder Platform representatives (Government ministries, civil society, donors, United Nations and Business)</i></p> <p><i>Other key ministries/agencies if not represented in MSP</i></p> <p><i>SWAp Mechanisms (if active)</i></p> <p><i>Appropriate sub-national level structures</i></p> |
| Direct beneficiaries | <p>Recipients of resources and technical assistance channelled through the SUN Secretariat, the SUN Movement Networks and ‘technical subgroups’ (providers of support and assistance in response to country requests - see sub-category below). Responsible for optimising the use of allocated resources and for sharing best practices, tools and expertise.</p>   | <p><i>Key informants providing context and direct experience and analysis of interaction with the SUN Movement. Included as a sub-category (with each of the targets also falling into and captured in other stakeholder groups) in recognition of the ‘dual role’ of SUN Movement participants as both protagonists in the Movement to scale up nutrition and recipients of resources and support channelled through the Movement (capacity development, technical assistance, funding, communications support etc.).</i></p> <p>Potentially affected by evaluation outcomes if they lead to revisions on resourcing etc.</p>  | <p><i>National governments, national businesses, national civil society organisations etc.</i></p>   |

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| Stakeholder                | Role in SUN operations   | Role in and implications for the evaluation  | Who  |
|----------------------------|--|--|--|
| Final beneficiaries        | Final targets of nutrition interventions associated with the Scaling Up of Nutrition.  | <i>Unlikely to be informants during country visits due to time constraints. The TOR also recognises that it would be premature to measure impact (§10). Opinions to be taken into consideration via 'secondary' sources (interviews, literature etc.).</i><br><br>Affected by evaluation outcomes. Highly unlikely to directly engage with report findings.  | All direct recipients of targeted interventions (especially women and children under 2 years old)    |
| <b>INTERNAL / EXTERNAL</b> |  |  |  |
| Donors                     | <b>Global-level:</b> The Donor Network is responsible for working to align donor funds to national goals, mobilising additional external resources and tracking resources to ensure effectiveness and results. The Network also supports high-level advocacy in international fora.<br><br>Sub-sets of donors provide financial and 'in-kind' support to the Secretariat, MPTF and technical support groups etc. | <i>Key informants and sources of information. Variety of interests and agendas. Information on resourcing for nutrition interventions globally and on coordination of donor investments. Information on future programming and implications for SUN Movement.</i><br><br>Key stakeholders – both as users of evaluation results/recommendations and likely to be affected by findings. Interested in results of the evaluation for programming and future directions and to know if contributing to own strategies/directions. | Network coordinators (GiZ)<br><br>Donor network members  |
|                            | <b>Country-level:</b> Donors provide additional external resources as necessary/required to support national/local efforts to scale up nutrition. Potential to influence direction of nutrition interventions at national level.   | <i>Key informants on decision-making, directions, donor alignment, strategies and targeted nutrition support at country-level. Information on resourcing and coordination of nutrition interventions.</i><br><br>Key stakeholders with a variety of interests and agendas – likely to be interested in results of the evaluation for programming and future directions and to know if contributing to own strategies/directions.   | SUN Donor convenor<br><br>Relevant donors in-country (EU, , DFID, Irish Aid, USAID, World Bank etc.) |

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| <b>Stakeholder</b>   | <b>Role in SUN operations</b>  | <b>Role in and implications for the evaluation</b>   | <b>Who</b>  |
|----------------------|--|--|---|
| <i>UN agencies</i>   | <p><b>Global-level:</b> The UN System Network is responsible for facilitating inter-agency action at global and country level and for ensuring the UN better responds to SUN country needs. The UN System Network is responsible for streamlining and increasing the effectiveness of national and international work (through dialogue, harmonisation, support for nutrition interventions, documenting lessons learnt/knowledge gaps, developing capacity and through international advocacy).</p> <p>UN agencies may be conduits of MPTF funding to recipient bodies.</p> | <p><i>Key informants on UN coordination, priorities and engagement with the SUN Movement. Different agendas and opinions of various agencies to be considered.</i></p> <p>Key stakeholders - both as users of evaluation results/recommendations and likely to be directly interested in findings. Interested in findings on a programmatic level.</p>                         | <p><i>Network Coordinators – UN Standing Committee on Nutrition Secretariat.</i></p> <p><i>UN REACH Partnership Secretariat</i></p> <p><i>UN Technical Group – UNICEF, WHO, WFP, FAO, IFAD</i></p> <p><i>UN Heads of Agency, ADGs/DepDGs.</i></p> <p><i>REACH Steering Committee</i></p> <p><i>Global Nutrition Cluster</i></p> |
|                      | <p><b>Country-level:</b> Support nutrition interventions directly and interact at the policy, norm-setting level.</p> <p>UN agencies may be conduits of MPTF funding to recipient bodies at country-level.</p>   | <p><i>Key informants on coordination, alignment and activity at country level. Interaction with other country-level stakeholders.</i></p> <p>Likely to be interested in results of the evaluation for programming and future directions and to know if contributing to own strategies/directions</p>   | <p><i>UN Agencies operating at country level (involved in nutrition-specific and nutrition-sensitive interventions)</i></p> <p><i>REACH Facilitator (as relevant)</i></p>   |
| <i>Civil Society</i> | <p><b>Global-level:</b> The Civil Society Network is responsible for aligning strategies, efforts and resources of civil society with country plans for scaling up nutrition. The Network works to strengthen the capacities of civil society alliances, amplify the voices of those directly affected by under-nutrition, advocate with all governments and other stakeholders and foster constructive exchanges.</p> <p>May be recipients of MPTF funding.</p>   | <p><i>Key informants and sources of information on coordination of civil society and alignment of civil society activity. Triangulation of country-level findings.</i></p> <p>Key stakeholders – both as users of evaluation results/recommendations and likely to be affected by findings. Interested in results of the evaluation for programming and future directions.</p> | <p><i>Network coordinators (hosted by Save)</i></p> <p><i>Steering Group</i></p> <p><i>Technical Assistance Working Groups</i></p> <p><i>Thematic Working groups</i></p> <p><i>Civil Society Network members (Concern, MSF, etc.)</i></p> <p><i>Civil Society Network ‘friends’ (individuals)</i></p>                           |

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| Stakeholder   | Role in SUN operations  | Role in and implications for the evaluation  | Who   |
|---|---|--|---|
|   | <b>Country-level:</b> Civil society organisations at country-level play different roles in contributing to scaling up nutrition (through their own interventions, by supporting agency/government interventions) and holding the public sector to account on their commitments to nutrition. May be recipients of MPTF funding. | <i>Key informants on activities, priorities, coordination and context at country-level, as well as engagement with the SUN Movement globally.</i><br>Key stakeholder with a variety of interests and agendas – likely to be interested in results of the evaluation for programming and future directions and to know if contributing to own strategies/directions   | <i>Convenors of Country Civil Society Alliances / Platforms</i><br><i>Implementing partners – INGOs, NGOs and CBOs (members of Civil Society Alliances/Platforms)</i> |
| <i>Private businesses</i>                                       | <b>Global-level:</b> The Business Network aims to foster engagement with the private sector by providing innovative tools, identify mutual value propositions, encourage CSR, organise forums in SUN countries  | <i>Key informants on the activities, engagement and coordination of the private sector.</i><br>Key stakeholders – both as users of evaluation results/recommendations and likely to be affected by findings. Interested in findings on a strategic/programmatic level.   | <i>Network manager (hosted by GAIN)</i><br><i>Advisory Group</i><br><i>Operations Committee Members</i><br><i>Member companies</i>                                    |
|   | <b>Country-level:</b> International and local businesses support nutrition interventions in various ways  | <i>Informants on private sector activities and strategies for engagement with nutrition (and reduction of malnutrition) at country-level and interaction with the Global Business Network. Time constraints will limit the potential to interview individuals from all country-level businesses in detail but, where possible, representatives from the business sector participating in MSPs or in SBN activities will be targeted.</i><br>Potential interest in findings of the evaluation (primarily for business engagement purposes). | <i>International businesses with national presence</i><br><i>Local businesses with nutrition/nutrition-related focus</i>  |
| <i>Technical sub groups and sources of technical assistance</i> | Various roles – providing technical assistance and/or resources in response to country-level requests for input/guidance/learning via the SUN Movement to support national efforts to scale up nutrition.   | <i>Key informants and sources of information.</i><br>Potential interest in findings of the evaluation.   | <i>MQSUN Consortium</i><br><i>SPRING</i><br><i>FANTA</i><br><i>Global Social Observatory</i>  |

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| <b>Stakeholder</b>  | <b>Role in SUN operations</b>   | <b>Role in and implications for the evaluation</b>   | <b>Who</b>   |
|---|---|--|--|
|   |   |  | <i>Procasur<br/>EU Nutrition Advisory Service<br/>(Others as appropriate)</i>  |
| <b>EXTERNAL</b>   |   |  |  |
| <i>Global level nutrition-related networks/ partnerships/ initiatives</i>     | Initiatives, networks and partnerships operating globally ‘outside’ the SUN Movement (i.e. not ‘members’ or ‘friends’ of any of the SUN Networks in an active/formal way) but with a mandate to reduce hunger/malnutrition through various efforts and coordinated actions.             | <i>Source of information on global-level activities and efforts to scale up nutrition. Provide perspective of activities taking place ‘outside’ the SUN Movement and comment on the role of the SUN Movement. Can be used to triangulate findings linked to the SUN Movement activity at global level.</i><br><br>Potential interest in findings of the evaluation (primarily for programming purposes). | <i>For example:<br/>World Health Assembly,<br/>Committee on World Food Security<br/><br/>Alliance for Food Security and Nutrition<br/><br/>Alliance Against Hunger and Malnutrition<br/><br/>Feed the Future<br/><br/>IBFAN<br/><br/>Right to Food<br/><br/>Right to Food and Nutrition Watch Consortium<br/><br/>Nutrition Works<br/><br/>(Others as appropriate)</i> |
| <i>National level nutrition-related networks / partnerships / initiatives</i> | National level networks operating ‘outside’ the SUN Movement (i.e. not ‘members’ or ‘friends’ of any of the SUN Networks and / or operating in non-SUN countries) to coordinate national activities related to nutrition. Responsible for coordinating activities to target nutrition / | <i>Source of information on country-level activities and efforts to scale up nutrition. Provide perspective of activities taking place ‘outside’ the SUN Movement. Can be used to triangulate country-level findings linked to the SUN Country</i>   | <i>SWAp mechanisms<br/>Existing multi-agency networks ( sectorally relevant)<br/>Nutrition Cluster</i>   |

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| <b>Stakeholder</b>                                     | <b>Role in SUN operations</b>  | <b>Role in and implications for the evaluation</b>  | <b>Who</b>  |
|--|--|---|---|
|  | malnutrition at country-level.   | <i>Network activities.</i><br>Potential interest in findings of the evaluation (primarily for programming purposes and developing country-level linkages).  | <i>Thematic Groups on Nutrition / Food Security</i><br><i>Others as appropriate</i>   |
| <i>Academic and research institutions<sup>16</sup></i> | Produce and report knowledge and new learning on nutrition interventions. Track countries' nutrition status. Potential to influence global and national-level of commitment to nutrition and to specific nutrition-targeted interventions. | <i>Source of information on priorities and challenges in the global nutrition arena (and at national level), as well as specific data on nutrition status of SUN countries. Potentially valuable as a more objective opinion on the SUN Movement.</i><br>Evaluation findings and recommended future actions may be of interest to academics and researchers focusing on global nutrition partnerships. Findings may feed into academic articles / discussions and debates on the post-2015 goals. | <i>Overseas Development Institute</i><br><i>Centre for Global Development</i><br><i>International Food Policy Research Institute</i><br><i>Universities ( for example Institute of Development Studies, Sussex and Cornell University, New York)</i><br><i>Former Special Rapporteur on the Right to Food</i><br><i>African Nutrition Society</i><br><i>Country-level research institutions</i><br><i>Others as appropriate</i> |

<sup>16</sup> Also selected media representatives.

*SUN Independent Comprehensive Evaluation – Inception Report*

| <b>Stakeholder</b>                                      | <b>Role in SUN operations</b>  | <b>Role in and implications for the evaluation</b>   | <b>Who</b>  |
|---|--|--|---|
| <i>Significant detractors and sceptics<sup>17</sup></i> | Primary critics of the SUN Movement. Simultaneously play various roles in supporting efforts to reduce malnutrition. | <p><i>Key informants providing critical perspectives on the SUN Movement and its modus operandi, its successes and the future of the Movement. Recognising that this 'sub category' - detailing significant known detractors - also encompasses all informants in the evaluation who may critique the Movement. Also capturing 'outsiders' from across the networks (countries, civil society, businesses, etc.) who are critical of SUN Movement.</i></p> <p>Interested in the evaluation outcomes from a critical perspective – to inform future activities.</p> | <p><i>IBFAN<br/>FIAN<br/>Right to Food and Nutrition Watch Consortium<br/>CONSEA<br/>Outsiders (as appropriate)</i></p> |

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<sup>17</sup> The term 'detractors' is used not with the intention of 'typecasting' organisations, but to ensure that during the evaluation different viewpoints are taken into consideration.

## **Annex E Theory of Change**

### **Rationale for a theory of change approach**

1. Theory-based evaluation is not a new technique, and there are many variations on the approach (Carter 2012, Vogel 2012). However, even if a programme has not adopted an explicit theory of change (ToC), it is increasingly recognised that elaborating its implicit ToC can be a valuable foundation for an evaluation. This is especially true for evaluations of complex enterprises such as SUN. Within any one evaluation different theories of change can nest to evaluate different aspects of an initiative, or evaluate the initiative at different levels.
2. There are some similarities between a logical framework and a theory of change, but an important distinction is that the latter also sets out *why it is expected that something will cause something else*. It opens up the black box between programmes and observed changes (or lack of change), and makes explicit the underlying assumptions or conditions on which causal chains depend. This is important for policy-relevant or formative evaluation (Clark & Anderson 2004; Carter 2012).
3. Theories of change consider initiatives in their context, which include the immediate technical environment, but also the social, political and economic context within which the initiative operates. This is useful for evaluating initiatives that operate in many different contexts.
4. In the case of the SUN Independent Comprehensive Evaluation, all of these reasons apply for using a theory of change approach to the evaluation.

### **SUN Movement theory of change**

5. The SUN Movement's early guiding documents (e.g. the 2010 Framework for Action – SUN 2010a) did not formally set out a theory of change, although the term is used in the 2012 Strategy (see Table 4 below). However there are some well-known examples of conceptual diagrams in nutrition, and examples where more explicit theories of change have been developed for elements of SUN, which represent applied programme theory in a similar way – see the appendix to this annex.

**Table 4 Narrative "Theory of Change", from Revised Sun Roadmap 2012**

|                         |  |
|-------------------------|--|
| <b>Theory of Change</b> | <p>6) <b>Achieving Nutritional Impact:</b> To improve nutritional outcomes, and contribute to overall national and global goals, the Movement seeks to promote innovative thinking and best practice in:</p> <ol style="list-style-type: none"> <li>1) Implementing specific nutrition interventions of proven efficacy, equitably and with high coverage;</li> <li>2) Pursuing resilience-centered policies in key sectors that have an impact on under-nutrition.</li> </ol>   |
|                         | <p>A dramatic scale-up of effective actions to improve nutritional outcomes can be achieved:</p> <ol style="list-style-type: none"> <li>1) When policies and actions emphasise the <b>gender dimension</b> to the determinants of under-nutrition they encourage <b>women’s empowerment</b> in designing, implementing, monitoring and evaluating;</li> <li>2) When multiple stakeholders <b>work together</b> - aligning strategies and actions in pursuit of a common purpose that respects national interests, human rights and equity - they collectively achieve far more than they could independently;</li> <li>3) When politicians and other decision makers are <b>galvanised to act</b> on high levels of under-nutrition they take true ownership and responsibility;</li> <li>4) When all stakeholders take <b>collective responsibility</b> for underlying causes of under nutrition <b>and hold each other to account</b> they will maximise their positive impact;</li> <li>5) When countries and their supporters <b>share knowledge</b> they work effectively to build on evidence of what works, particularly on the value of approaches that secure change and deliver impact;</li> <li>6) When Government, Ministries (e.g. Finance/Economic Planning/Health/Agriculture), development partners, and other investors see <b>demonstrated success of this collective effort</b> they mobilise additional national and international resources for nutrition.</li> </ol> |

Source: SMS 2012q – see also the Strategy's Annex 3, on the added value of the movement.

### The SUN ICE Theory of Change

6. The evaluation team has used the theory of change elements present in the SUN Strategy 2012–2015, the SUN Revised Road Map and the SUN Monitoring and Evaluation Framework, and has also drawn on a review of literature and interviews with the SUN's originators, to develop a high-level theory of change to guide the evaluation.

7. This theory of change is intended:

- as a high level guide to reflect (and then check) our understanding of the reasoning on which SUN is based; and
- as an evaluation tool to identify and investigate key links in the logic that the theory of change depicts, both in terms of the internal causal/contributory links it proposes and the key assumptions it sets out.

8. The theory of change is high level in two respects: (i) while SUN’s reasoning may have changed over time in some respects, and while different SUN proponents

may have different viewpoints, the diagrams aim to set out a broad theory of change that would be recognised by most SUN direct stakeholders as describing the intent and reasoning of the SUN Network during the evaluation period; (ii) it represents the foundational reasoning underpinning more or less all SUN Movement actions, whether within a specific network or within any member country.

9. The global theory of change is presented overleaf in two main parts, (i) a foundational diagram (Figure 5), which provides all the main elements and the assumed causal contributory links between dimensions of the programme in one summary diagram but does not provide detail at the context, input and output levels; and (ii) a detailed theory of change diagram (Figure 6) which does provide this detail as well as a more detailed mapping of contributory links. Note that the detailed diagram is also provided at the end of this Annex, as Sub-Annex 1, in two parts for greater legibility.

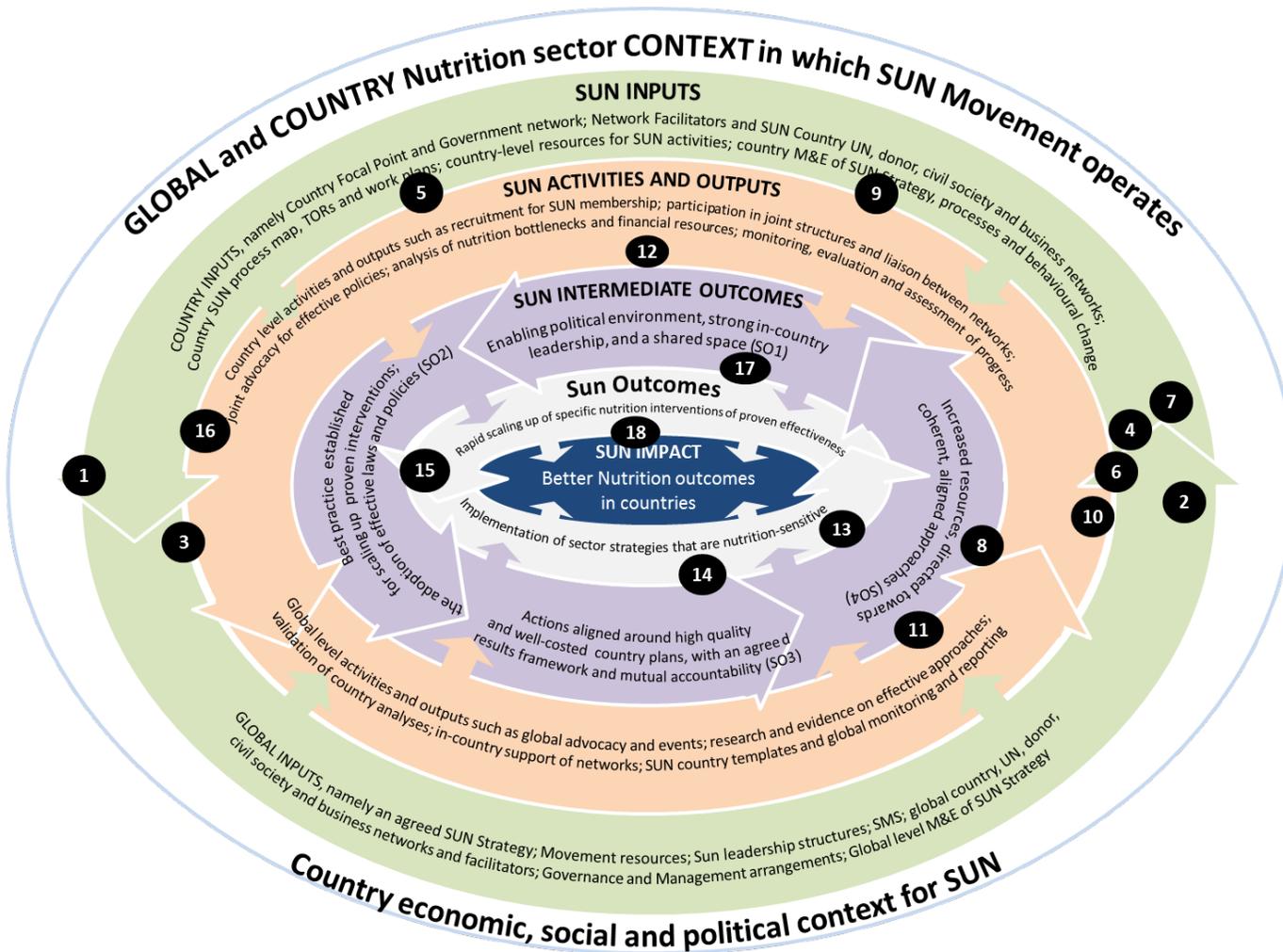
10. The Foundational diagram should be read from the centre outwards, insofar as a theory of change maps out how an initiative will achieve its aim (or desired final impact), starting from that aim and asking questions such as “what do I need to achieve this aim [outcome, intermediate outcome, output]” working backward.

11. The detailed diagram unpacks this reasoning, making clear the scope of what the evaluation will investigate. This diagram is best read from the bottom up (global level to country level contributory links), and then from left to right, to trace the reasoning from a contributory evaluation perspective. Typical questions then would be: were all (or most) of these inputs [outputs, intermediate outcomes] present? and if so, did the next level occur?, and if so, can this occurrence be (at least partly) attributed to the SUN Movement inputs [outputs, intermediate outcomes]?

12. In combination the diagrams set out:

- a) **The scope of the evaluation**, which will investigate the inputs and activities and outputs of the SUN movement relative to the context, and assess the degree to which the combination of inputs, activities and outputs have contributed to the achievement of its strategic objectives. The evaluation will also assess the likelihood of its strategic objectives contributing to the achievement of its outcome of interest (scaled up nutrition interventions and more resources for nutrition interventions), but it will not investigate whether the nutrition interventions likely to be targeted are the right ones to achieve the nutrition impacts at which the SUN Movement is aiming, beyond asking questions about its success in getting countries to consider the balance between nutrition-specific and nutrition-sensitive interventions and programmes.
- b) **How the evaluation will frame its investigation of the context** within which SUN was established and within which it operates, and global and country level. This will focus on understanding whether the Movement realistically interpreted the context at global and country level and/or whether it identified the most critical challenges preventing better nutrition outcomes;

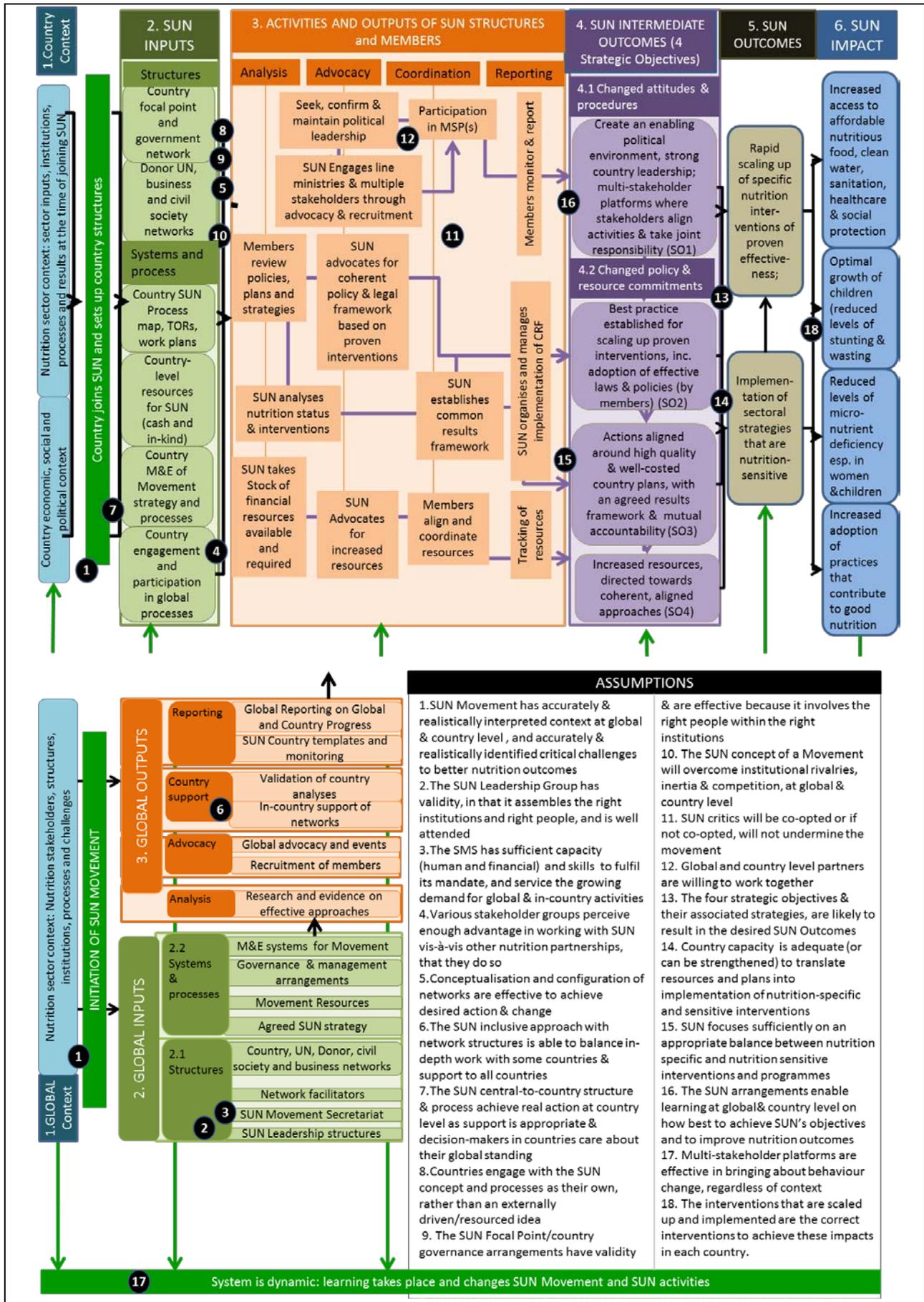
**Figure 5 SUN ICE Global Theory of Change Foundational Diagram (with assumptions)**



**ASSUMPTIONS**

1. SUN Movement has accurately & realistically interpreted context at global & country level, and accurately & realistically identified critical challenges to better nutrition outcomes.
2. The SUN Leadership Group has validity, in that it assembles the right institutions and right people, and is well attended.
3. The SMS has sufficient capacity (human and financial) and skills to fulfil its mandate, and service the growing demand for global and in-country activities.
4. Various stakeholder groups perceive enough advantage in working with SUN vis-à-vis other nutrition partnerships, that they do so.
5. Conceptualisation and configuration of networks are effective to achieve desired action & change.
6. The SUN inclusive approach with network structures is able to balance in-depth work with some countries & support to all countries.
7. The SUN central-to-country structure & process achieve real action at country level as support is appropriate & decision-makers in countries care about their global standing.
8. Countries engage with the SUN concept and processes as their own, rather than an externally driven/resourced idea.
9. The SUN Focal Point/country governance arrangements have validity & are effective because they involve the right people within the right institutions.
10. The SUN concept of a Movement will overcome institutional rivalries, inertia & competition, at global & country level.
11. SUN critics will be co-opted or if not co-opted, will not undermine the Movement.
12. Global and country level partners are willing to work together.
13. The four strategic objectives & their associated strategies, are likely to result in the desired SUN outcomes.
14. Country capacity is adequate (or can be strengthened) to translate resources and plans into implementation of nutrition-specific and sensitive interventions.
15. SUN focuses sufficiently on an appropriate balance between nutrition specific and nutrition sensitive interventions and programmes.
16. The SUN arrangements enable learning at global & country level on how best to achieve SUN's objectives and to improve nutrition outcomes.
17. Multi-stakeholder platforms are effective in bringing about behaviour change, regardless of context.
18. The interventions that are scaled up and implemented are the correct interventions to achieve these impacts in each country..

Figure 6 SUN ICE detailed Global Theory of Change



- c) **What the evaluation considers as SUN movement inputs**, namely the internal systems, processes and structures set up by SUN and funded by SUN resources. The key queries here would relate to the effectiveness and efficiency of these inputs relative to the strategic objectives, given the context, and as investigated through the causal/contributory links in the theory of change. Should there be negative findings on the achievement of the strategic objectives, mapping out the inputs and distinguishing them from SUN Movement and member activities and outputs will assist in determining whether it could be attributed to design or implementation failures.
- d) **What the evaluation considers were the types of SUN movement activities and outputs commonly planned or expected** to result in the multiple stakeholder platforms being established, political leadership, coherent policy and legal frameworks, common result frameworks and increased resources targeted in its strategic objectives. Note however that it is in this column (column 3) that there may be significant divergence between specific networks or countries. A conceptual ambivalence in the SUN documentation that is captured in the theory of change is inherent to its nature as a movement: in some respects the SUN movement expects activities and outputs funded from its internal resources to achieve its objectives. In other respects it expects these actions to be undertaken by its members, and financed by its members, but inspired, assisted or catalysed by the SUN Movement. A key query for the evaluation is therefore whether SUN members would have progressed towards the SUN objectives even in the absence of SUN.
- e) **The intermediate outcomes that the evaluation will measure.** In order to make it recognisable to SUN stakeholders, the theory of change uses the language of the stated SUN strategic objectives. The theory of change also recognises the assumed sequencing between the strategic objectives, with multi-stakeholder platforms and political leadership likely to precede agreement to a common plan, adherence to evidence-based coherent policy frameworks and a common results framework and scaled up resources. Setting out the objectives in a sequence (from changed attitudes and processes, to changed commitments and resources) also allows an assessment of countries at different starting points when joining the SUN movement. In countries where multi-stakeholder platforms and a shared plan were already in place, the evaluation will be able to focus more on the further contribution of SUN to improving policy frameworks and increasing resources to nutrition.
- Note that whereas the activities and output column detailed actions and products by both the movement and its members, the key query for column 4 would be to what degree changes in the behaviour of SUN's members and boundary partners (nutrition stakeholders that are not members of SUN but which SUN expects to influence) can be attributed to the activities of the movement.

- The formulation of the intermediate outcomes is also important to the evaluation. For example, just the existence of a multi-stakeholder platform would not be sufficient to count as an achievement of the intermediate outcome: members and boundary partners also need to use these platforms to align their policies and take joint responsibility for the achievement of nutrition outcomes. In order to achieve this, the contributory chain assumed makes clear that the participation of members in the multi-stakeholder platforms would be necessary.
- f) **How learning is assumed to feed back into the network**, both on the causal links between its outputs and activities to achieving its strategic objectives, and these leading to actual scaling up of resources and nutrition interventions, as well as evidence on the effectiveness of its governance arrangements and structural set-up. The theory of change also makes clear that SUN expects to be a technical learning organisation, insofar as learning on effective nutrition interventions will feed back into the Movement's work.
- g) **Which assumptions the evaluation considers to be critical** to the SUN Movement reasoning on why its approach, inputs and activities would lead to the strategic objectives, and why these strategic objectives were assumed to be necessary and sufficient, or at least the critical missing elements, to achieve the target outcomes.

Figure 7 Detailed Global Theory of Change (large version. upper half)

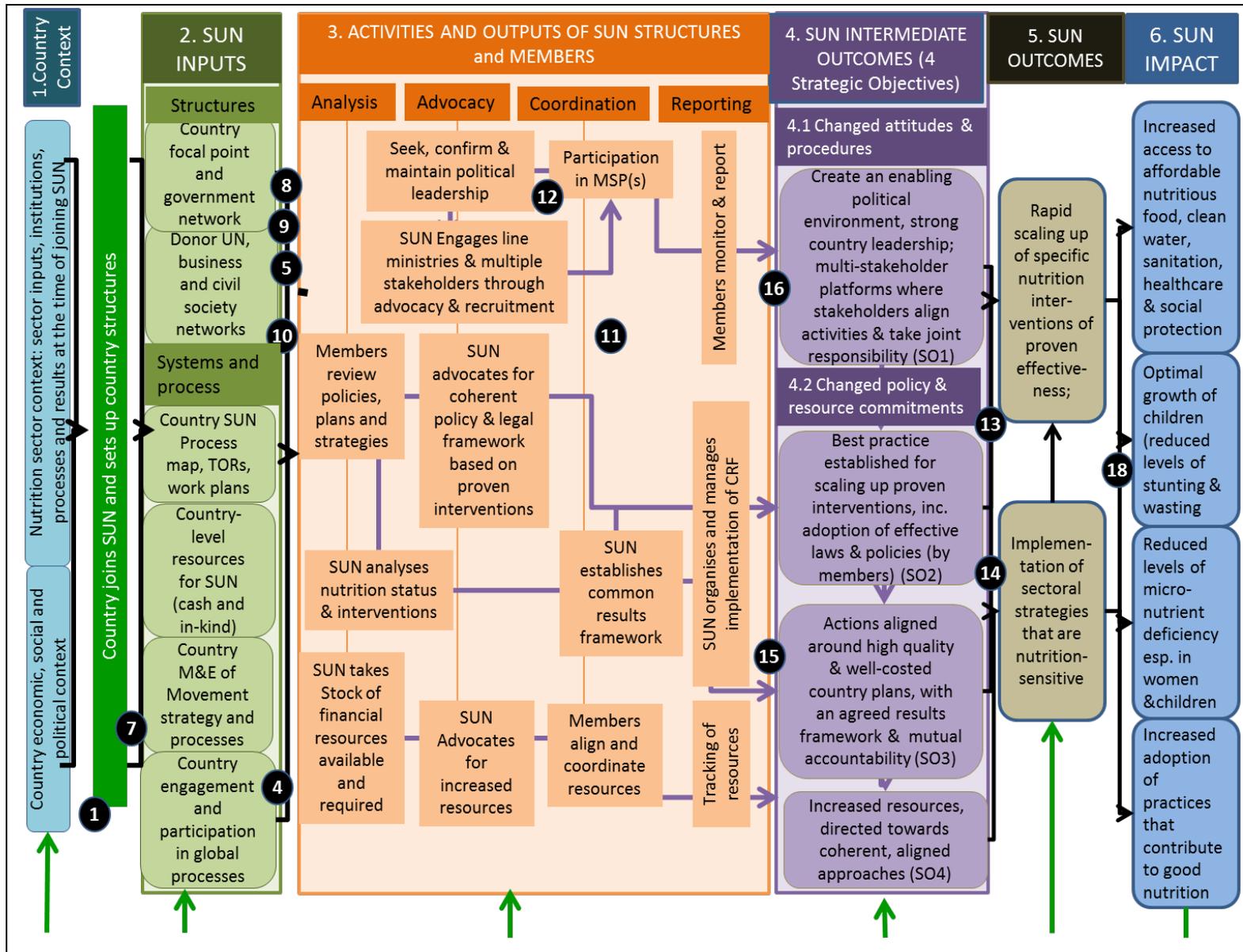
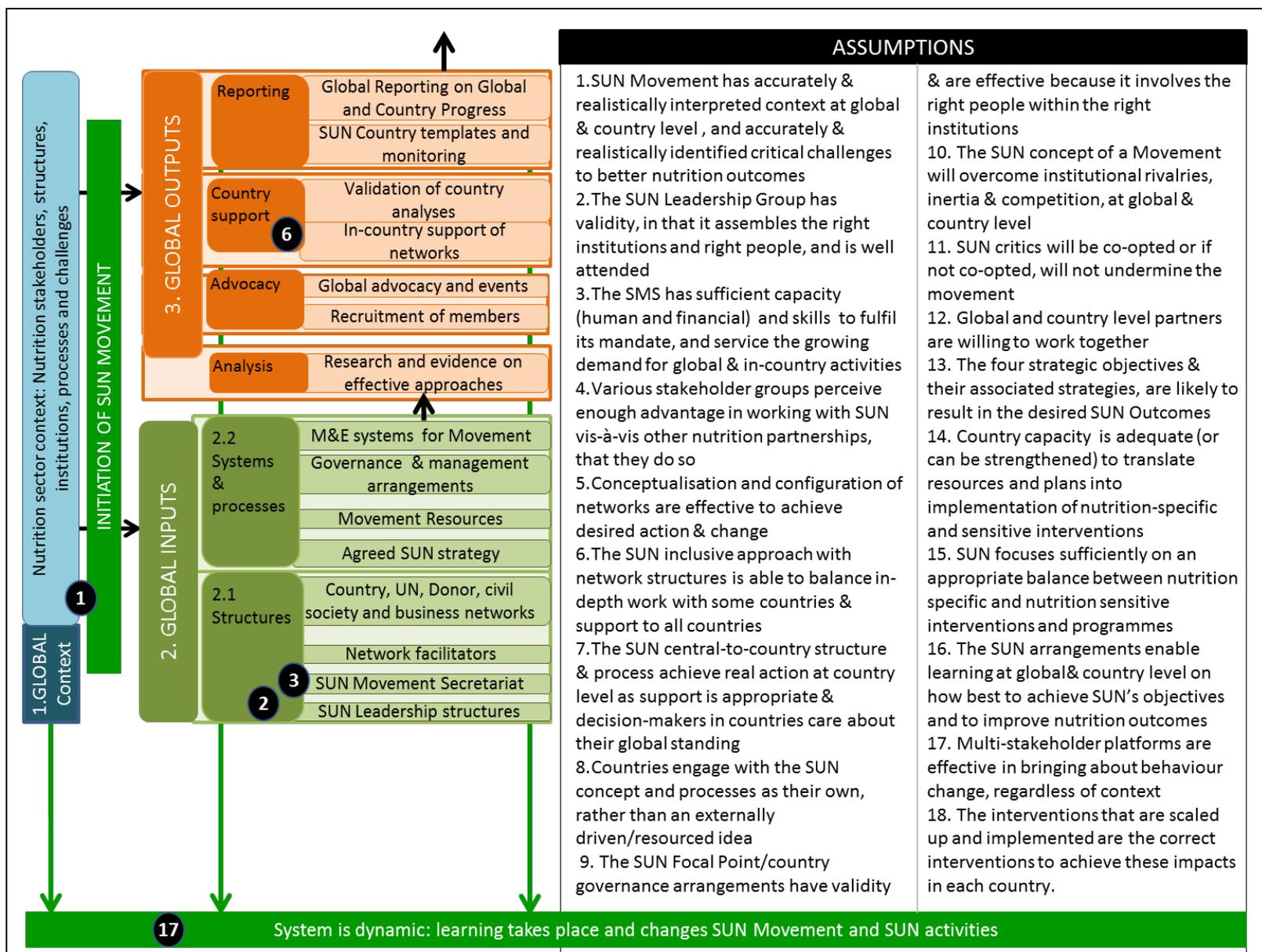


Figure 8 Detailed Global Theory of Change (large version. lower half)

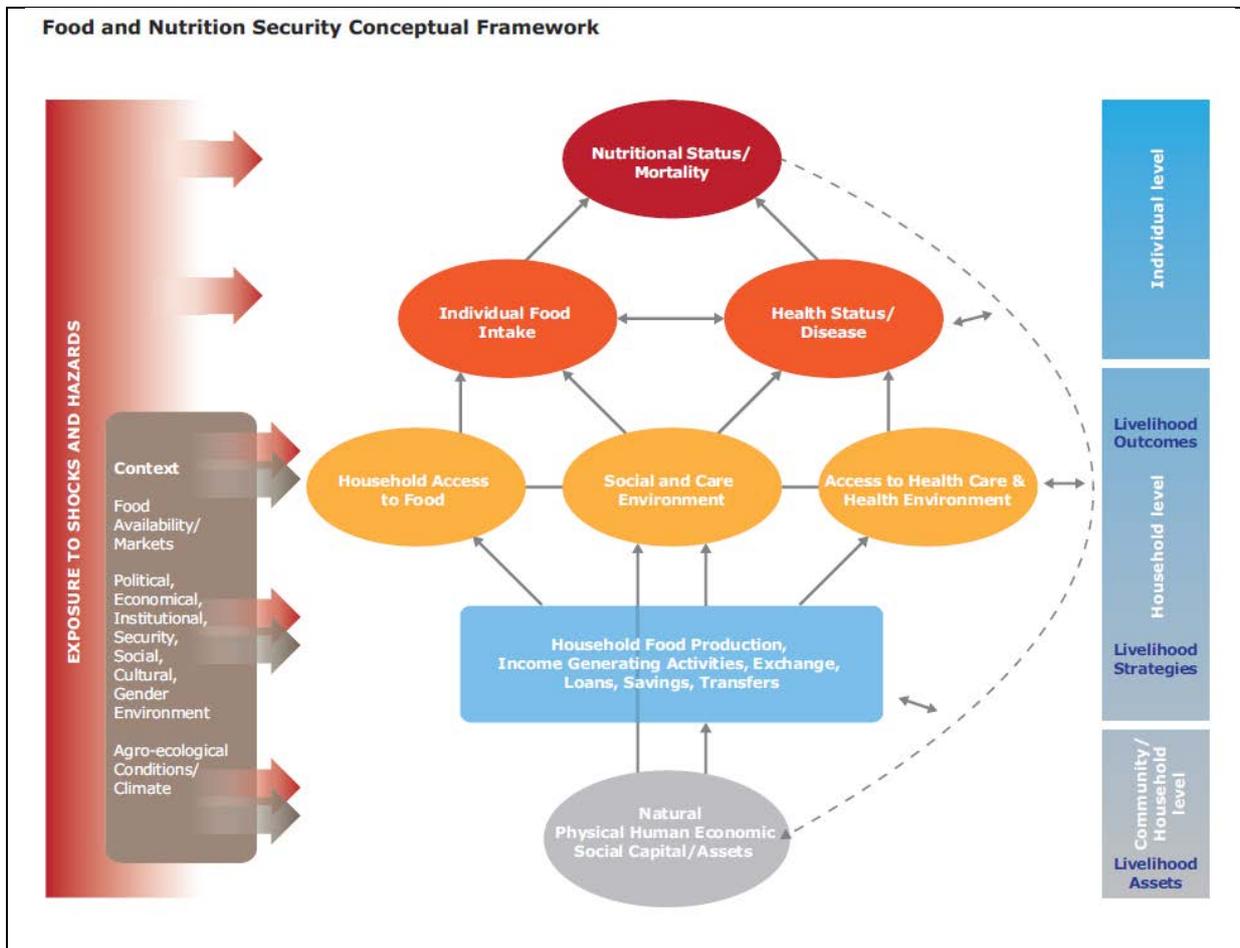


**Appendix: Examples of ToC diagrams for nutrition and SUN components**

*Nutrition examples*

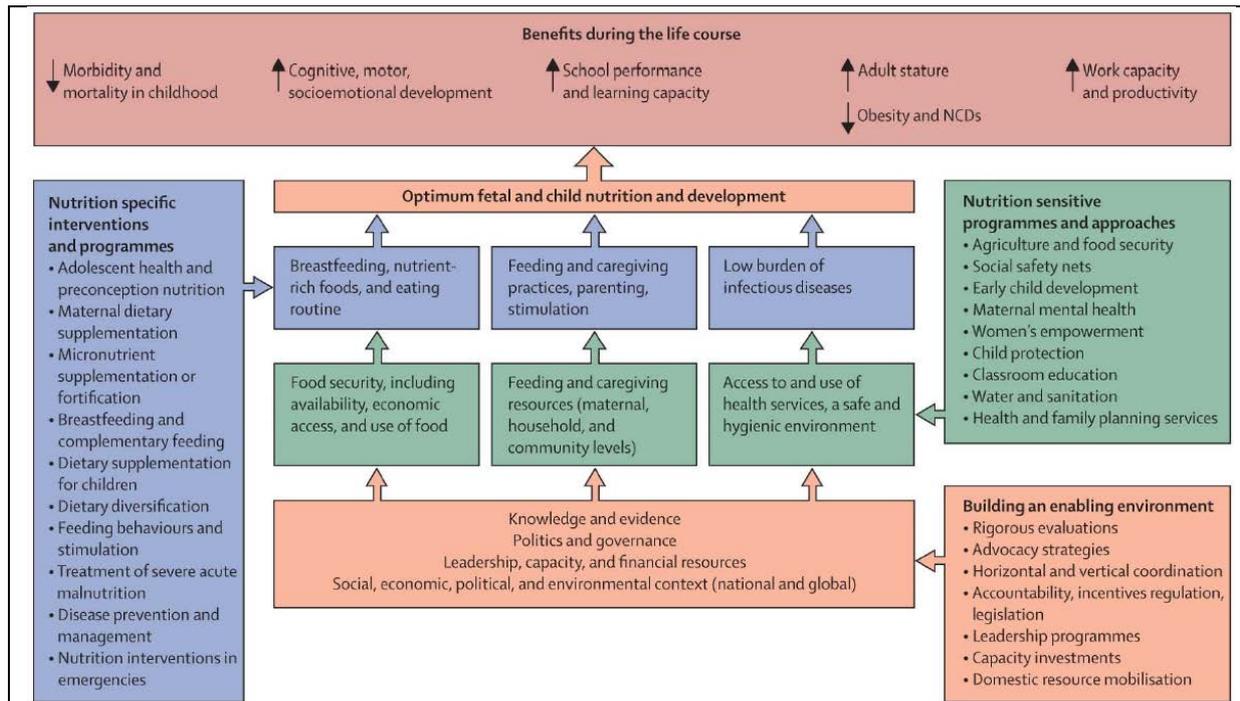
1. The World Food Programme nutrition programming guide (WFP 2012b) includes its expanded version of the UNICEF conceptual framework on the causes of malnutrition to design the most appropriate response (see Figure 9 below). The UNICEF and WFP diagrams are very similar to one offered in the Lancet 2013 series (see Figure 10 below).

**Figure 9 Food and Nutrition Security Conceptual Framework**



Source: WFP 2012b, p. 2

**Figure 10 Framework for actions to achieve optimal fetal and child nutrition and development**

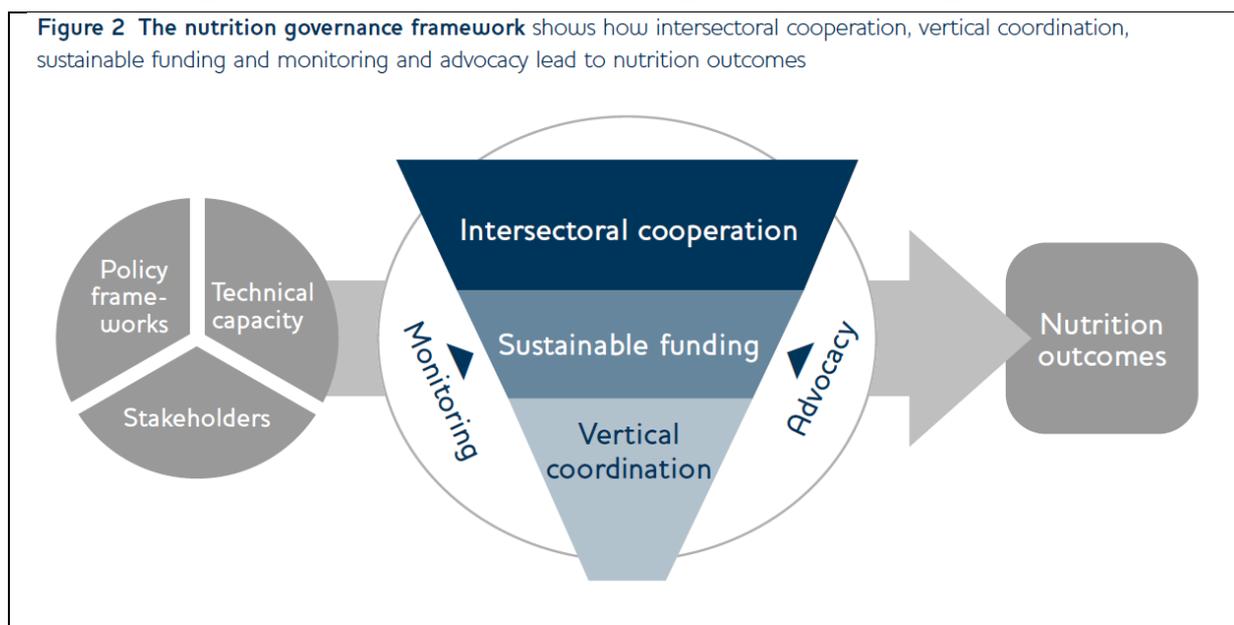


Source: *The Lancet* 2013

2. These theories of change however relate to policies and programmes in nutrition. They map the expected pathway between nutrition specific or nutrition sensitive interventions and programmes to better nutrition outcomes. They are not sufficient for this evaluation, which asks questions about how an intervention like the SUN Movement can achieve the adoption of such interventions and programmes in the first place.

3. The Institute for Development Studies (IDS) work on nutrition governance however, used the programme theory approach to sketch out how improvements in the governance of nutrition programmes can lead to nutrition outcomes, illustrated in the framework below from an IDS Policy Briefing on nutrition governance. While it was not formally presented as a theory of change, it reflects a similar underlying approach.

**Figure 11 A theory of change for nutrition governance**



Source: Haddad, L. and A. Mejia 2012, p2.

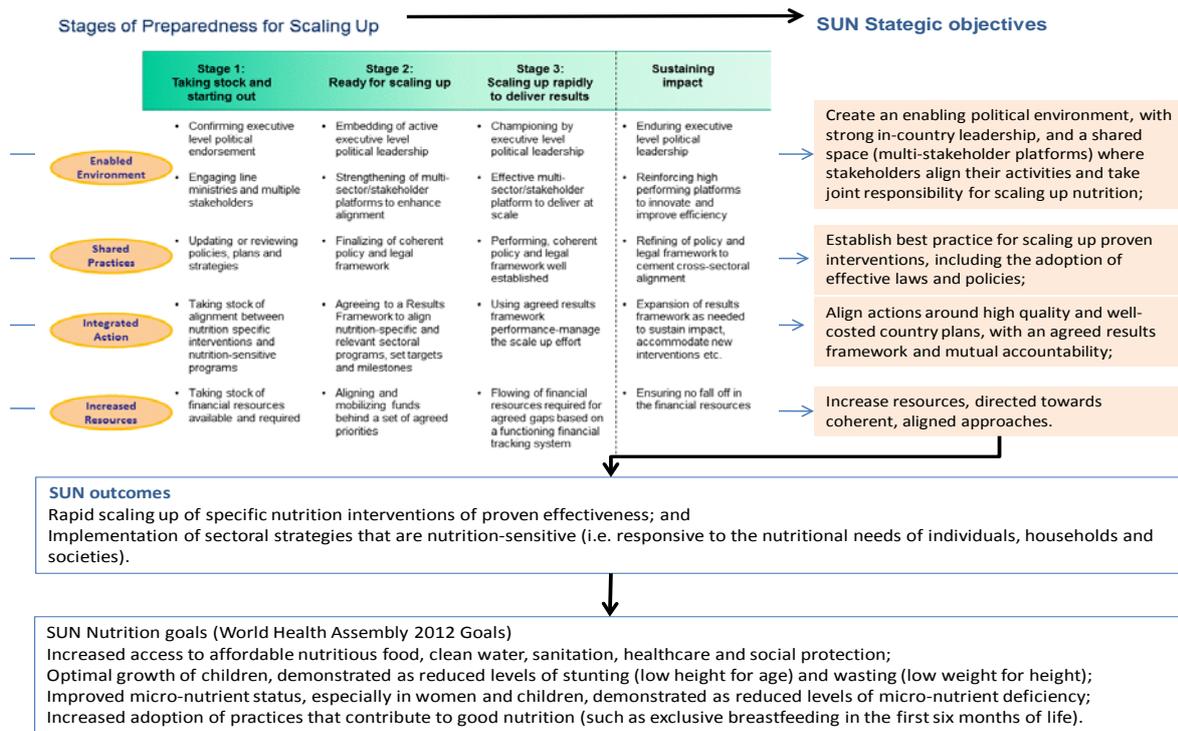
### *SUN examples*

4. The SUN Strategy 2012 to 2015 and Revised Road Map (SMS 2012s and SMS 2012q) contains elements of a theory of change, insofar as it sets out the Movement's aim, objectives and a schema of progression by member countries towards the objectives (see Table 4 above). These elements are presented as a simple diagram in the Figure 12 below, utilising the Strategy's own diagram of the stages of preparedness.

5. The SUN Networks have also used programme theory-based thinking to map out specific actions within their specific context. Figure 13 below, for example, presents the SUN Business Network (SBN) theory of change for its lobbying or advocacy activities.

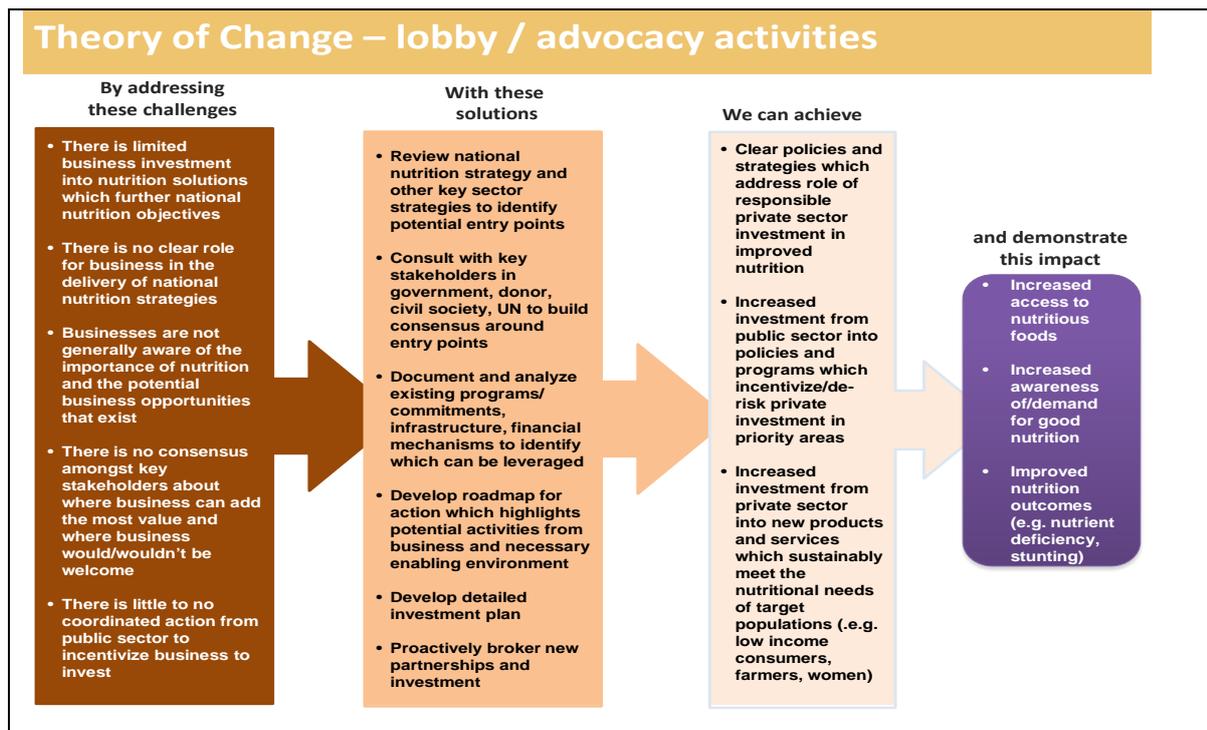
6. Neither of these approaches however, suffices as an underpinning for the current evaluation. They each focus on important parts of what the Movement is attempting to achieve, and help to identify measures of progress, but without spelling out how the Movement from one stage to the next will be achieved.

**Figure 12 SUN Strategy 2012-2015: Theory of change elements**



Source: Adapted from the SUN Movement Strategy 2012-2015 (SMS 2012s)

**Figure 13 SUN Business Network – Advocacy Theory of Change**



Source: SUN Business Network (Undated)

## Annex F Glossary

### Introduction

1. Even familiar evaluation criteria are defined differently by different users (efficiency and impact are two frequent examples). This annex provides a glossary to ensure consistency in the terminology used by the present evaluation team. The glossary:

- defines the standard OECD DAC criteria (relevance, effectiveness, efficiency, sustainability and impact); includes criteria of (internal and external ) coherence; and breaks down relevance in the context of global partnerships;
- defines and distinguishes governance and management;
- includes aid effectiveness criteria (noting the distinction between aid effectiveness and development effectiveness).
- provides additional terms linked to outcome mapping and the evaluation of influence;
- provides a note on the definition of efficiency and the systematic relationship between efficiency and effectiveness.

### Basic evaluation terminology

#### *Standard evaluation criteria*

2. The standard OECD DAC evaluation criteria are relevance, effectiveness, efficiency, sustainability and impact, for which we use the following definitions.

|                       |   |
|-----------------------|---|
| <i>Relevance</i>      | <i>The extent to which the objectives of an intervention are consistent with beneficiaries' requirements, country needs, global priorities and partners' and donors' policies.</i>                    |
| <i>Effectiveness</i>  | <i>The extent to which the intervention's objectives were achieved, or are expected to be achieved, taking into account their relative importance.<sup>18</sup></i>                                   |
| <i>Efficiency</i>     | <i>A measure of how economically resources/inputs (funds, expertise, etc.) are converted to results.</i>  |
| <i>Sustainability</i> | <i>The continuation of benefits from an intervention after major assistance has been completed. The probability of long-term benefits. The resilience to risk of the net benefit flows over time.</i> |
| <i>Impact</i>         | <i>Positive and negative, primary and secondary long-term effects produced by an intervention, directly or indirectly, intended or unintended.</i>  |

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<sup>18</sup> The definition offered in the TOR adds "...and the volume of resources deployed". However, as we discuss below, this mixes effectiveness and efficiency.

### *Coherence*

3. We employ the additional criterion of coherence as follows:

*Coherence*                      *The consistency of policy/programme elements with each other (do they complement each other in a positive way?)*

This can be applied as internal coherence to the different elements of SUN's activities, and as external coherence to the consistency of the SUN programme with other related programmes.

### *Relevance for global programmes*

4. In evaluating Global and Regional Partnership Programmes, the World Bank Independent Evaluation Group offers a useful breakdown of relevance as follows:

*Relevance is the extent to which the objectives and design of a program are consistent with (a) current global/regional challenges and concerns in a particular development sector and (b) the needs and priorities of beneficiary countries and groups. Each of IEG's reviews assesses four dimensions of relevance arising from the nature of GRPPs as international collective action, plus the relevance of each program's design, as follows:*

- ***Supply-side relevance***—*The existence of an international consensus that global/regional collective action is required.*
- ***Demand-side relevance***—*Consistency with the needs, priorities, and strategies of beneficiary countries and groups.*
- ***Vertical relevance***—*Consistency with the subsidiarity principle, namely, the most appropriate level (global, regional, national, or local) at which particular activities should be carried out in terms of filling gaps, efficient delivery, and responsiveness to the needs of beneficiaries.*
- ***Horizontal relevance***—*The absence of alternative sources of supply of the same goods and services.*
- ***Relevance of the design***—*The extent to which the strategies and priority activities of the program are appropriate for achieving its objectives. (IEG 2011)*

### *Governance and management*

5. The same source also provides useful characterisations of governance and management:

Governance and management are key aspects of all GRPPs. By definition, the partners have established a new organization with a governance and management structure to achieve something collectively that they could not achieve at all, or as efficiently, by acting alone. ***Governance*** concerns the structures, functions, processes, and organizational traditions that have been put in place within the context of a program's authorizing environment "to ensure that the [program] is run in such a way that it achieves its objectives in an effective and transparent manner" (ICSAI, no date, p. 2). It is the "framework of accountability to users, stakeholders and the wider community, within which organizations take decisions, and lead and control their functions, to achieve their objectives" (UKAC 2003, p. 4).

Good governance should add value by improving the performance of the program through

more efficient management, more strategic and equitable resource allocation and service provision, and other such efficiency improvements that lend themselves to improved development outcomes and impacts. It should also ensure the ethical and effective implementation of the program’s core functions.

**Management** concerns the day-to-day operation of the program within the context of the strategies, policies, processes, and procedures that have been established by the governing body. Governance is concerned with “doing the right thing”; management is concerned with “doing things right.”

| <i>Governance</i>         | <i>Management</i>         |
|---------------------------|---------------------------|
| Strategic direction       | Program implementation    |
| Management oversight      | Regulatory compliance     |
| Resource mobilization     | Reviewing and reporting   |
| Stakeholder participation | Administrative efficiency |
| Risk management           | Stakeholder communication |
| Conflict management       | Learning                  |
| Audit and evaluation      | Performance assessment    |

Source: IEG and OECD/DAC 2007, pp. 72–74; adapted from OECD 2004.

*Source: IEG 2011*

*Aid effectiveness and development effectiveness*

6. Successive agreements in Paris, Accra and Busan have supported basic **aid effectiveness** criteria, summarised as follows:<sup>19</sup>

The principles put forward in the Paris Declaration and Accra Agenda for Action have gained support across the development community, changing aid practice for the better. It is now the norm for aid recipients to forge their own national development strategies with their parliaments and electorates (**ownership**); that donors support these plans (**alignment**); and streamline their efforts in-country (**harmonisation**); for development policies to be directed to achieving clear, monitorable goals (**managing for development results**); and for donors and recipients to be jointly responsible for achieving these goals (**mutual accountability**).

7. The SUN ICE will use these criteria and associated guidelines as a point of reference. Aid effectiveness criteria are believed to be associated with **development effectiveness**, but do not guarantee it. Isenman offers a useful further distinction:

Coverage of CEs can usefully be divided into those of organizational (or corporate or institutional) effectiveness and development effectiveness. **Organizational effectiveness** refers, in effect, to how effectively an organization operates – for example in terms of governance, strategy setting, human resources and transaction costs -- in carrying out its objectives. **Development effectiveness** refers to how effectively it accomplishes its objectives. For example, an organization may use resources highly effectively, but have low development effectiveness because what it does is not sustainable or of high development priority. The distinction between the two should not be exaggerated, though. In a broader

<sup>19</sup> from <http://www.oecd.org/dac/effectiveness/thehighlevelforaonaideffectivenessahistory.htm>.

sense organizational effectiveness an important input to development effectiveness. (Isenman 2012b)

*Other basic evaluation terminology*

8. Other basic terms (including a number drawn from the SUN ICE TOR) include:

|                      |  |
|----------------------|--|
| <i>Benchmark</i>     | <i>Reference point or standard against which performance or achievements can be assessed. A benchmark often refers to the performance that has been achieved in the recent past by other comparable organizations or what can be reasonably inferred to have been achieved in the circumstances.</i>                           |
| <i>Conclusion</i>    | <i>A conclusion draws on data collected and analyses undertaken, through a transparent chain of arguments. Conclusions point out the factors of success and failure of an operation, with special attention paid to the intended and unintended results, and more generally with regard to any other strength or weakness.</i> |
| <i>Finding</i>       | <i>A finding is an accumulation of evidence from an assessment, review or evaluation that allows for a factual statement.</i>  |
| <i>Indicator</i>     | <i>Quantitative or qualitative factor or variable that provides a simple and reliable means to verify achievement, to reflect the changes connected to an intervention, or to help assess the performance of an actor.</i>   |
| <i>Outcomes</i>      | <i>The likely or achieved short-term and medium-term effects of an intervention's outputs.</i>   |
| <i>Outputs</i>       | <i>The products, goods and services which result from an intervention.</i>   |
| <i>Performance</i>   | <i>The degree to which an intervention or a partner operates according to specific criteria/standards/guidelines or achieves results in accordance with stated goals or plans.</i>   |
| <i>Results</i>       | <i>The output, outcome or impact of an intervention.<sup>20</sup></i>  |
| <i>Stakeholders</i>  | <i>Agencies, organizations, groups or individuals who have a direct or indirect interest in the intervention or its evaluation.</i>  |
| <i>Triangulation</i> | <i>The use of multiple sources or types of information, or types of analysis to verify and substantiate an assessment, in order to overcome the bias that comes from single informants, single-methods, single observer or single theory studies.</i>  |

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<sup>20</sup> Synonymous with effects.

## **Terminology for Outcome Mapping and Evaluating Influence**

9. An outcome mapping approach underpins SUN's M&E system (SMS 2013a). Three key terms from <http://www.researchtoaction.org/2012/01/outcome-mapping-a-basic-introduction/> are:

- **Behavioural change:** Outcomes are defined as changes in the behaviour, relationships, activities, or actions of the people, groups, and organisations with whom a programme works directly. These outcomes can be logically linked to a programme's activities, although they are not necessarily directly caused by them.
- **Boundary partners:** Those individuals, groups, and organisations with whom the programme interacts directly and with whom the programme anticipates opportunities for influence. Most activities will involve multiple outcomes because they have multiple boundary partners.
- **Contributions:** By using Outcome Mapping, a programme is not claiming the achievement of development impacts; rather, the focus is on its contributions to outcomes. These outcomes, in turn, enhance the possibility of development impacts – but the relationship is not necessarily a direct one of cause and effect.

10. A useful approach to assessing policy influence is provided in an Overseas Development Institute guide (Jones 2011). This distinguishes five successive levels of possible effects:

- a) **Framing debates** and getting issues on to the political agenda: attitudinal change, drawing attention to new issues and affecting the awareness, attitudes or perception of key stakeholders
- b) Encouraging **discursive commitments** from states / policy actors: affecting language and rhetoric.
- c) Securing **procedural change** at domestic or international level: changes in the process whereby policy decisions are made, such as opening new spaces for policy dialogue.
- d) Affecting **policy content**, e.g. legislative change or formally adopted policies.
- e) **Behavioural change** in key actors, i.e. changes in behaviour and implementation (including budgets and expenditures) at various levels.

## **A Note on Efficiency analysis for the SUN ICE<sup>21</sup>**

11. Efficiency analysis inquires whether the transformation of inputs into results delivers sufficient societal advantages to justify the costs involved in an intervention. In the logical chain of an intervention, results can occur at the level of throughputs (“activities” in the terminology of the logical framework), outputs, intermediary or final outcomes (“impact”). Efficiency analysis builds further on, and thus requires, information acquired through prior effectiveness analysis. It adds the costing of inputs (costs) and, in cost-benefit analysis, of results (benefits), and applies a

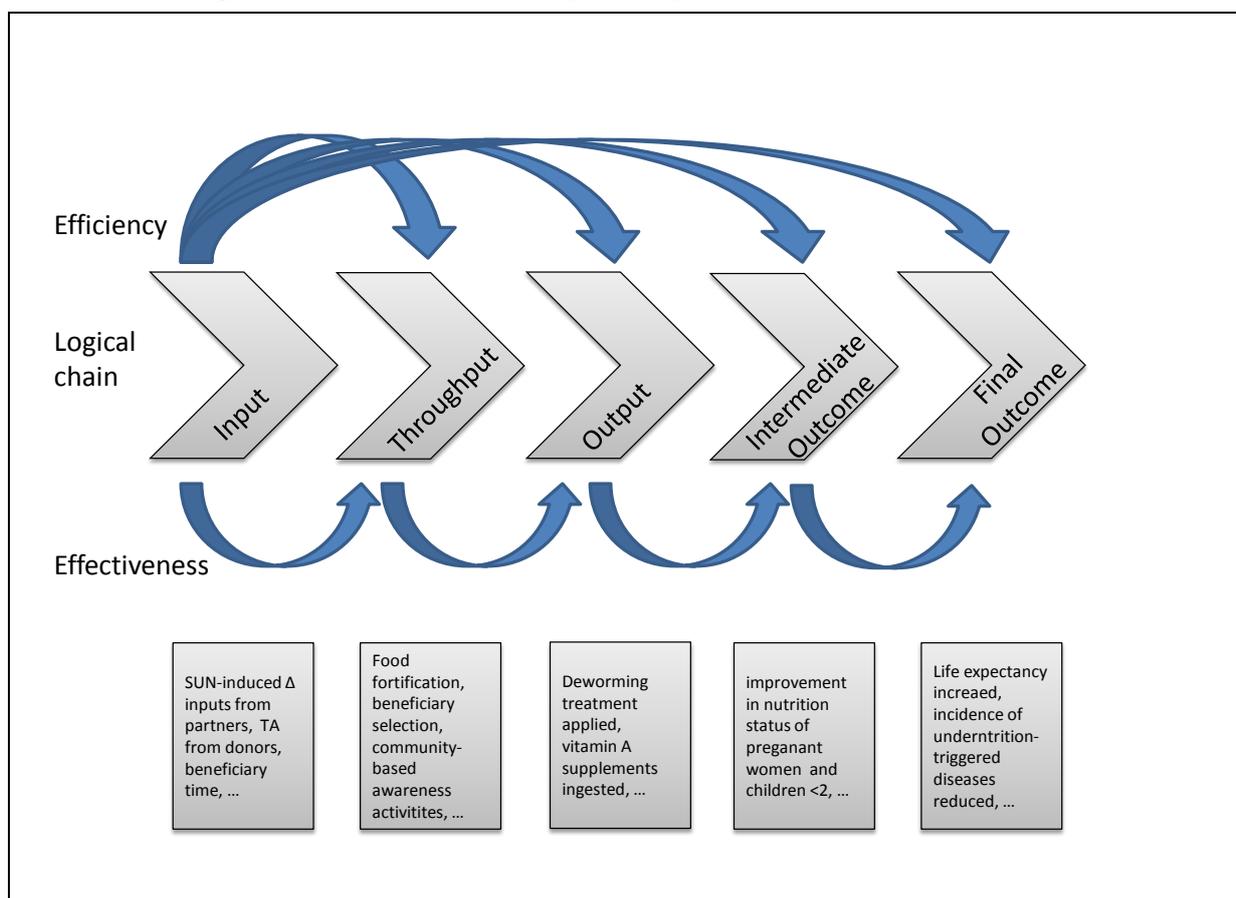
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<sup>21</sup> This section is based on Renard & Lister 2013.

standard methodology for the choice of numéraire, application of time discounting, handling of uncertainty, application and interpretation of decision rules, etc.

12. Efficiency analysis allows to establish whether projects, programmes or policies, for which effectiveness analysis has established that they are (or have a reasonable chance of being or becoming) effective, are also efficient and therefore worth undertaking. See Figure 14 below for a visualization of the relationship between effectiveness and efficiency, with some examples of effectiveness indicators relevant to SUN.

**Figure 14 Efficiency Analysis for the SUN Evaluation**



13. Efficiency analysis at the level of final outcome (impact) would come in the form of cost-benefit analysis (CBA) with all final results, including the extension of life expectancy and improved quality of life, expressed in money terms, or cost-utility analysis (CUA), where the cost per quality-adjusted life year (QALY) saved (or disability-adjusted life year or DALY avoided) is calculated. For reasons noted in the TOR, such calculations are beyond the scope of this evaluation. This leaves us with several analytical tools applicable at lower levels of the logic chain, in particular CBA, cost-effectiveness analysis (CEA), and unit-cost benchmarking (UCB). These are briefly discussed below.

14. CBA can be used to study the efficiency of certain throughputs (activities). An example is when a government decides to support the private sector in the local production of fortified biscuits. The benefit of such an intervention is the foreign exchange saved from no longer having to import the same product, the costs are those actually incurred in its national production. The CBA of such an intervention is straightforward, provided the relevant cost and benefit data are being collected, which should not be too difficult. The field missions will inquire whether such standard applications of CBA were applied where feasible and useful, what was their quality, and what role SUN has played.

15. CEA compares costs per unit of results expressed in some non-monetary metric, such cost per MT of food delivered to central warehouse (activity), cost per MT of food delivered to beneficiaries (output), or cost of estimated change in nutritional status of beneficiaries (intermediate outcome). CEA cannot establish whether interventions are worth undertaking in their own right, but it does allow to rank alternative interventions in order of priority.

16. The higher the denominator is in the logical framework the better. The reason is that rank reversals may occur in cost-effectiveness ratios when we move from a lower to a higher level numerator. For instance sloppy beneficiary targeting may decrease the cost of food delivery, but may also send the cost per change in nutritional status soaring, as some food aid ends up with people who were not undernourished in the first place. The examples here are drawn from food aid, but similar examples can be imagined for a range of other nutrition-specific or nutrition-sensitive interventions. The field missions can verify whether meaningful CEA is being performed and used in nutrition planning, and what the role has been of SUN.

17. UCB can be confused algebraically with CEA, but the interpretation is different. In CEA the denominator is selected so as to express results from the logic chain of the intervention, as close as possible to final outcome, with the aim to rank alternatives. In UCB, the aim is to compare unit costs with some benchmark. As costs vary with the size of the intervention, interventions must be standardised before benchmarking. The unit of standardisation can, but need not be result indicators from the logical chain (an illustration of the latter is the administrative costs per unit of value transferred through a conditional cash transfer programme). A major challenge is to select a relevant benchmark. In cross-country comparisons benchmarks should be net of confounding factors such as size of intervention, stage in life-cycle of intervention, country geography, country political situation, etc. The field missions can again verify whether meaningful UCB is being performed and used in nutrition planning, and what the role has been of SUN.

18. In the above examples, the analysis concerns the micro level of individual projects or programmes. Another relevant level where efficiency analysis can be applied is the macro level. A national nutrition plan consists of a series of individual interventions, and at first sight the overall efficiency is just the sum of the efficiency of these individual interventions. But there is more to this, for the balance between nutrition-specific and nutrition-sensitive interventions, and the combination and

sequencing of individual interventions influences the efficiency of the plan above and beyond the efficiency of the interventions looked at in isolation. The field evaluations will try to understand what the rationale was behind the overall balance between nutrition-specific and nutrition-sensitive interventions, and the combination and sequence of interventions. To what extent were these choices inspired by insight from the scientific literature on nutrition, taking into consideration the specific context of the country in question? And to what extent has the SUN movement been instrumental in helping translate such insights from the scientific literature into the national context?

## **Annex G Evaluation Matrix**

1. The evaluation matrix is an overall guiding framework for the evaluators. It draws on the Theory of Change (Annex E above), it employs the evaluation criteria spelled out in Annex F above, and it draws on the specific questions posed in the TOR (Annex H below maps the TOR questions onto the evaluation matrix).
2. More than most, this is a forward-looking evaluation: lessons from SUN's experience so far are meant to inform the evaluation team's broad suggestions about future options. The evaluators will address all questions with this in mind. At the same time, the evaluation's conclusions and recommendations should be holistic, not piecemeal. The sequence of six main Evaluation Questions is drawn up with this in mind: conclusions for each question may draw on the finding from previous ones, and the final EQ ("How should SUN evolve in the short, medium and longer term?") will prompt the evaluators to draw together the threads from all the preceding questions.
3. The SUN movement is unique. As described in the TOR:

SUN, however, is not a new institution or financial mechanism. It is a very broad multi-stakeholder partnership to support national plans to scale up nutrition. It is a voluntary movement that has no legal charter or legal status. It does not directly furnish financial or technical resources, but seeks to catalyze their availability in response to country needs. SUN is open to all countries whose governments commit themselves to scaling up nutrition and to all stakeholders committed to providing support. (TOR ¶4)
4. This may raise questions about how "SUN" should be construed in the EQs. EQ 2.1a asks "Is it clear what "the SUN movement" consists of? (who are its agents, globally and at country level?)". The answers are likely to be different from different perspectives, and it is important that the evaluators do not impose their own views on how SUN ought to be construed. Some questions are clearly focused on SUN's stewardship bodies, others refer more generally to the movement at global or country level, or to particular elements, such as its networks. The evaluators will be careful to note what stakeholders mean by "SUN" in different contexts, and to make clear how they themselves are using the term in responding to the EQs.

| Key Questions/sub-questions  | Analysis/indicators  | Sources of Information   |
|--|--|--|
| <b>EQ1 Has the SUN movement addressed the right issues?</b>  |  |  |
| <p>1.1 To what extent are the objectives of the SUN movement consistent with the needs, priorities and strategies of beneficiary countries?</p> <p>a) Are they consistent with the evidence base on drivers of malnutrition?</p> <p>b) Was/is there evidence of lack of understanding of priority solutions/lack of priority for nutrition issues</p> <p>c) Are SUN objectives and strategy relevant to the pursuit of key global targets?</p> <p>d) To what extent are they oriented towards supporting country priorities and strategies?</p> <p>e) Do they take sufficient account of gender and equity issues?</p> | <p><i>demand side relevance</i></p> <ul style="list-style-type: none"> <li>• Consistency of SUN advocacy with the scientific consensus (noting also divides in the debate, e.g. between bio-medical approaches and political economy approaches)</li> <li>• Official high level declarations and how these have evolved over time</li> <li>• Baseline number of countries with budgeted nutrition plans</li> <li>• Baseline performance against MDGs, GHA targets</li> <li>• Number of countries reporting against budgeted nutrition plans</li> </ul> | <ul style="list-style-type: none"> <li>• Key documents such as the Lancet series</li> <li>• Documentation/declarations linked to the international debate on nutrition in academia, key international agencies, civil society etc</li> <li>• Interviews with opinion leaders and other stakeholders, including focal points and other key country stakeholders</li> <li>• Interviews with key government, donor and civil society stakeholders on adequacy, coherence, effectiveness and efficiency of resource investment in nutrition-specific and nutrition sensitive interventions at time country joined SUN</li> <li>• Interviews and country studies for insights into the extent to which practice matches the rhetoric of putting countries (country governments?) at the centre</li> </ul> |

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| Key Questions/sub-questions  | Analysis/indicators   | Sources of Information   |
|--|---|--|
| <p>1.2 Has the SUN movement filled a gap in the international and country-level architecture for addressing nutrition?</p> <p>a) In terms of mobilising high level leadership support for nutrition at global and country levels</p> <p>b) In terms of coordination among international agencies?</p> <p>c) In terms of technical support to developing countries in addressing malnutrition?</p> <p>d) In terms of mobilising actors in support of tackling malnutrition that were previously inactive, destructive or marginalised (e.g. some businesses)?</p> <p>e) In terms of financial support to developing countries in addressing malnutrition?</p> | <p style="text-align: center;"><i>supply side relevance and horizontal relevance</i></p> <ul style="list-style-type: none"> <li>• Official high level declarations, and how these have evolved over time</li> <li>• Evidence of overlapping, uncoordinated or inadequate efforts among various kinds of stakeholder groups</li> <li>• What were existing arrangements for providing technical support to nutrition? Were these effective? How were they evolving?</li> <li>• What were existing arrangements (global and country) for tracking financial resources to nutrition? Were these effective (transparency, accountability, resource mobilisation)? How were they evolving?</li> </ul> | <ul style="list-style-type: none"> <li>• Documentary sources</li> <li>• Global interviews</li> <li>• Country interviews (CCSs)</li> <li>• Draw on existing estimates of resources in secondary sources (including forthcoming GNR)</li> <li>• Desirable financial baseline data as follows, but likely to be very incomplete: Trends in investment as share of ODA (global); At country level investment as a share of GDP; Share of investment in nutrition by nutrition-specific and nutrition-sensitive interventions.</li> <li>• Simplified methodology for identifying baseline resources at country level as proxy.</li> </ul> |
| <p>1.3 Did SUN strategies contribute to a stronger focus on nutrition-related gender and gender equity issues?</p>   | <p style="text-align: center;"><i>relevance</i></p> <ul style="list-style-type: none"> <li>• Key gender/equity themes in the evolving nutrition evidence base</li> <li>• Evidence of attention to gender and equity issues in SUN foundational documents and subsequent strategy</li> <li>• Perceptions of key stakeholders</li> </ul>  | <ul style="list-style-type: none"> <li>• Document analysis</li> <li>• Interviews</li> </ul>  |

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| Key Questions/sub-questions  | Analysis/indicators  | Sources of Information   |
|--|--|--|
| <p>1.4 Did the SUN movement's approach strike the right balance between global and country-level actions? e.g.:</p> <ul style="list-style-type: none"> <li>• in advocacy</li> <li>• in mobilising technical resources</li> <li>• in mobilising financial resources</li> </ul>  | <p style="text-align: center;"><i>vertical relevance</i></p> <ul style="list-style-type: none"> <li>• note that this applies generally to the strategy for focusing on the country level; also a specific issue within the CSO network as to the balance between INGOs and country-level CSAs etc; and similar issues of HQ-country office balance for aid agencies etc</li> </ul>   | <ul style="list-style-type: none"> <li>• Documentary sources on different needs and capacities at different levels (including central and decentralised levels within countries)</li> <li>• Interviews with stakeholders at all levels</li> <li>• Country case studies</li> </ul>  |
| <b>EQ2 Has the SUN movement followed a clear, consistent and commonly understood strategy?</b>   |  |  |
| <p>2.1 Are the SUN movement's goals, priorities and strategies clear at the various levels of the movement?</p> <p>a) Is it clear what "the SUN movement" consists of? (who are its agents, globally and at country level?)</p> <p>b) Has its strategy/Theory of Change evolved significantly?</p> <p>c) What are the crucial assumptions on which it is based? [including assumptions about complementary inputs etc]</p> <p>d) Are the strategies (and implicit or explicit ToCs) of SUN's component networks consistent with each other and with the overall ToC? How have they evolved, etc?</p> <p>e) Is there a consensus among stakeholders about the ToC? What if any are the main points of contention?</p> | <p style="text-align: center;"><i>relevance of the design</i></p> <ul style="list-style-type: none"> <li>• The evaluation team has prepared a draft theory of change for the SUN movement [see Annex E] and will systematically test its applicability and assumptions.</li> <li>• This will be done through documentary analysis and interviews. We will not generally ask interlocutors to wrestle with the ToC diagrams per se, but our interview guides for different stakeholders will cover the key elements of the hypothesised ToC.</li> <li>• At network and country level we will seek to identify component ToCs and check the degree of consensus around them and their consistency with the overarching ToC/strategy of the SUN movement. (Examples include the "pathways to change in the SUN Road Map 2012, and the various conceptualisations identified in Annex E above.)</li> </ul> | <ul style="list-style-type: none"> <li>• SUN basic documents and reports, analysed chronologically</li> <li>• Stakeholder mapping [see Annex D]</li> <li>• Interviews with originators of SUN to understand the reasoning behind the strategic choices made, and the strategic alternatives considered but rejected.</li> <li>• Historical documents, interviews with SUN originators and SUN sceptics for original (and possibly continuing) points of difference</li> <li>• M&amp;E documents and practice</li> <li>• Interviews and consultation during the evaluation (taking care not to neglect dissenting voices).</li> </ul> |

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| Key Questions/sub-questions  | Analysis/indicators  | Sources of Information   |
|--|--|--|
| <p>2.2 Have the SUN movement's main inputs, activities and outputs adequately reflected its goals, priorities and strategies?</p> <p>a) At global level</p> <ul style="list-style-type: none"> <li>• Governance and management bodies</li> <li>• Services and support to SUN countries</li> <li>• Donor network</li> <li>• UN Network</li> <li>• CSO network</li> <li>• Business network</li> <li>• MPTF</li> <li>• Complementary activities and inputs (e.g. MQSUN and other programmes aligned with SUN objectives and activities)</li> </ul> <p>b) At country level</p> <ul style="list-style-type: none"> <li>• Country focal point and in-country SUN network</li> <li>• Donor network</li> <li>• UN Network</li> <li>• CSO network</li> <li>• Business network</li> <li>• MPTF</li> <li>• Complementary activities and inputs involving government ministries agencies, civil society, aid agencies, private sector</li> </ul> | <p style="text-align: center;"><i>relevance, effectiveness to output level</i><br/><i>aid effectiveness</i></p> <ul style="list-style-type: none"> <li>• In each case consider whether and to what degree intended inputs have been delivered and intended activities performed, whether individually or collectively, taking account of (direct and indirect) expenditures, staff time, and activities including advocacy, coordination, M&amp;E etc</li> <li>• In each case consider whether and to what degree intended inputs have been delivered and intended activities performed, whether individually or collectively, taking account of (direct and indirect) expenditures, staff time, and activities including advocacy, coordination, M&amp;E etc</li> </ul> | <ul style="list-style-type: none"> <li>• SUN documents, including strategy, TOR, meeting records,, publications for LG, SMS, each network etc</li> <li>• SUN M&amp;E records</li> <li>• MPTF records</li> <li>• Other literature on how nutrition is being or should be addressed at international and country level</li> <li>• Interviews with network coordinators, other principal actors and observers.</li> <li>• Documentation on MQSUN and other complementary/aligned efforts</li> <li>• On aid effectiveness, benchmark against other selected global partnerships (e.g. IHP+ &amp; GPE)</li> <li>• SUN monitoring records on country accession and activities with and within countries; other documentation of activities in individual countries (as available for any SUN country; detailed review for ICE country case studies [see Annex L]</li> <li>• SUN and other M&amp;E records</li> <li>• MPTF records</li> <li>• For Donor, CSO, UN and business networks: centrally available evidence, records of country level activities etc; detailed country-specific activities as part of CCSs.</li> <li>• Global and country level interviews.</li> <li>• Survey [REF Annex QQ] to check applicability of preliminary findings</li> </ul> |

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| Key Questions/sub-questions   | Analysis/indicators  | Sources of Information   |
|---|--|--|
| 2.3 How is SUN seeking to mainstream gender-consciousness throughout its activities, both nutrition-specific and nutrition-sensitive?   | <ul style="list-style-type: none"> <li>• Specific references in the SUN documents and discourse, and links to systematic monitoring of gender dimensions</li> </ul>  | <ul style="list-style-type: none"> <li>• SUN strategic and policy documents</li> <li>• SUN records at global and country level</li> <li>• Stakeholder perspectives</li> </ul>  |
| <b>EQ3 What have been the results of SUN's efforts?</b>   |  |  |
| <p>3.1 To what extent has SUN contributed to changed attitudes and procedures, thereby creating an enabling environment for scaling up nutrition?</p> <p>a) How strategic and effective has the SUN role in advocacy been?</p> <p>b) To what extent has SUN succeeded in making the shift to multi-stakeholder advocacy at country and global levels (vs. seeing advocacy as essentially the responsibility only of civil society)?</p> <p>c) To what extent are the country platforms inclusive and multi-stakeholder based? Do they include balanced participation of different actors, including from civil society and business?</p> <p>d) To what extent has the CSO network been a factor in embedding nutrition within the priorities of CSOs working at the local level as well as in getting nutrition a more prominent place on the political agenda at country and global levels?</p> <p>e) To what extent has the Business Network specifically been able to move from mobilization to action, including responding to the demand from SUN countries for stimulating public-private partnerships?</p> | <p><i>effectiveness to intermediate outcome level</i></p> <ul style="list-style-type: none"> <li>• increased alignment of actions by different stakeholders with national plans</li> <li>• increased attention to women's empowerment and gender equality</li> <li>• development of appropriate Common Results Frameworks</li> <li>• tracking of actions, investments by different actors</li> <li>• results of monitoring feed back into policy design and guidance at country &amp; global levels;</li> <li>• Improved evidence base used to inform decision making (e.g. by CSOs)</li> <li>• Quality of national policies &amp; plans (in relation to internationally agreed best practice i.e. SUN FFA)</li> <li>• Legal framework enables implementation of policies and plans?</li> <li>• Effects of CS advocacy on policies, plans etc?</li> <li>• Evidence of SBN activities and results at country level</li> </ul> | <ul style="list-style-type: none"> <li>• Global data on trends in nutrition policies and expenditures and of increased financial and policy commitments to nutrition (drawing on syntheses such as the forthcoming GNR and the HANCI index)</li> <li>• Case studies of developments in nutrition at country level (including the SUN ICE case studies).</li> <li>• Stakeholder interviews for perceptions of trends in attitudes and policies, and the extent to which SUN has contributed to the changes.</li> <li>• Survey to test preliminary findings on a wider group of respondents.</li> <li>• SBN records on action; SMS records on demands for support</li> <li>• Interviews</li> <li>• Detailed review and in-country interviews for SUN ICE case studies where SBN has been active</li> </ul> |

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| Key Questions/sub-questions  | Analysis/indicators   | Sources of Information  |
|--|---|---|
| <p>3.2 To what extent has SUN brought about changed policies and resource commitments in SUN countries?</p> <p>a) Has SUN contributed to the adoption of policies and laws that reflect best practice for scaling up?</p> <ul style="list-style-type: none"> <li>• Have "best practices" been identified in country networks? Is there evidence that these are helpful in sharing experiences and learning? Is there evidence that they are being successfully transferred?</li> </ul> <p>b) Are actions aligned around high-quality and well-costed country plans, with agreed results frameworks and mutual accountability?</p> <p>c) To what extent has SUN moved (and/or is moving) beyond its initial focus on structures, capacities and processes that can feed into results to a focus on achievement of outcomes and intermediate outcomes?</p> | <p style="text-align: center;"><i>effectiveness to intermediate outcome level</i></p> <ul style="list-style-type: none"> <li>• Evidence of discursive commitments, procedural changes, altered policy content, and behavioural changes (cf. glossary in Annex F above)</li> <li>• Meta-analysis of SUN costed plans</li> <li>• Review of costed plans in case study countries</li> <li>• How operational are the Common Results Frameworks encouraged by SUN?</li> <li>• To what extent is programme coverage in nutrition actually increasing at country level?</li> </ul> | <ul style="list-style-type: none"> <li>• Global data on trends in nutrition policies and expenditures and of increased financial and policy commitments to nutrition (drawing on syntheses such as the forthcoming GNR and the HANCI index)</li> <li>• Case studies of developments in nutrition at country level (including the SUN ICE case studies).</li> <li>• Stakeholder interviews for perceptions of trends in attitudes and policies, and the extent to which SUN has contributed to the changes.</li> <li>• Survey to test preliminary findings on a wider group of respondents.</li> </ul> |
| <p>d) To what extent have donors emphasized effective use of their assistance by following agreed principles of aid effectiveness and given adequate attention to capacity strengthening? And to what extent have they emphasized and helped countries to strengthen the quality of country programs?</p>  | <ul style="list-style-type: none"> <li>• Predictability of funding and alignment of funding and of technical support and capacity development with country policies and plans</li> </ul>  |   |
| <p>e) To what extent has there been a scaling up of current and credibly-projected funding by donors and other external funders?</p>   | <ul style="list-style-type: none"> <li>• current and projected levels of funding against baselines</li> <li>• mechanisms for tracking disbursements vs. commitments and for holding funders to account</li> </ul>   | <ul style="list-style-type: none"> <li>• Draw on existing analyses of aid flows globally.</li> <li>• Donor network and related work on financial tracking.</li> <li>• In SUN ICE case study countries, review of available country-specific evidence and interviews with key stakeholders.</li> </ul>   |

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| Key Questions/sub-questions  | Analysis/indicators  | Sources of Information   |
|--|--|--|
| <p>3.3 Are these changes leading to the scaling up of nutrition..?</p> <p>a) .. in terms of rapid scaling up of specific nutrition interventions of proven effectiveness?</p> <p>b) .. in terms of implementation of sectoral strategies that are nutrition-sensitive?</p> <p>c) in terms of mobilisation of financial resources, to include:</p> <ul style="list-style-type: none"> <li>• better identification and tracking of resource flows supporting nutrition at country level</li> <li>• mobilisation of additional domestic resources and/or better use of existing levels of domestic resources</li> <li>• identification and tracking of international financial flows to support improved nutrition</li> <li>• mobilisation of additional international financial flows to support improved nutrition</li> </ul> | <p style="text-align: center;"><i>effectiveness to outcome level</i></p> <p>evidence of wider implementation of the proven interventions highlighted in the Lancet</p> <p>existence and quality of sectoral strategies that are nutrition sensitive</p> <ul style="list-style-type: none"> <li>• Effectiveness <ul style="list-style-type: none"> <li>○ Improved tracking of spending</li> <li>○ Change in resource trends <ul style="list-style-type: none"> <li>○ Increased multi-year allocation of domestic resources to support national plans</li> <li>○ Financial commitments of governments and donors are met</li> </ul> </li> <li>○ Analysis of change in policy/planning/ budget, PFM and aid management practices – formal and informal – in relation to volume and use of resources for nutrition</li> </ul> </li> <li>• Coherence <ul style="list-style-type: none"> <li>○ Alignment of resources for nutrition to agreed country plan</li> </ul> </li> <li>• Efficiency <ul style="list-style-type: none"> <li>○ Composition of expenditure on nutrition</li> </ul> </li> </ul> | <ul style="list-style-type: none"> <li>• available secondary data from global and country-level monitoring (e.g. GNR)</li> <li>• status and progress reports on SUN countries</li> <li>• review of quality of sector strategies in SUN ICE case study countries; stakeholder interviews on their origins and quality</li> <li>• interviews with expert observers for relevant sectors</li> <li>• Secondary sources (country documentation – e.g. if one of the countries that have tracking methodologies in place)</li> <li>• Primary sources (country budget documentation, AIMS, CRS) for SUN ICE case study countries</li> <li>• Interviews with country stakeholders. If quantitative data not available, then much of efficiency, coherence and effectiveness judgements will depend on triangulation of interviewees</li> </ul> |
| <p>3.4 Are there plausible links between the outcomes to which SUN has contributed and medium to long term impacts for intended beneficiaries?</p>   | <p style="text-align: center;"><i>plausible pathways to impact</i></p> <ul style="list-style-type: none"> <li>• International evidence on effectiveness of different types of intervention (noting the assumptions/ conditions on which effectiveness may depend)</li> </ul>   | <ul style="list-style-type: none"> <li>• Secondary sources from the international literature</li> <li>• Analysis of assumptions on which the realisation of benefits depends</li> </ul>  |

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| Key Questions/sub-questions   | Analysis/indicators   | Sources of Information  |
|---|---|---|
| <b>EQ4 What accounts for these results (or lack of results)?</b>  |   |   |
| <b>Governance and Management</b>  | <i>effectiveness/efficiency</i>   | •   |
| <b>4.1 How effective have SUN's governance and management arrangements been?</b>  |   | •   |
| a) Structure and quality of the SUN Lead group and commitment/time of its members (including communication with other levels of governance)                         | <ul style="list-style-type: none"> <li>• Comparison with best practice for global partnerships</li> <li>• Analysis of follow up of the recommendations of the stewardship report, and of the evolution in membership over time</li> <li>• Time dedicated by members, analysis of meeting records</li> <li>• Network analysis (i.e. who do the lead members interact with globally and does this 'touch' the key structures that need to be involved)</li> </ul> | <ul style="list-style-type: none"> <li>• Records of Lead Group membership and activities</li> <li>• Interviews with LG members and SMS staff</li> <li>• Perceptions of other SUN stakeholders</li> <li>• Literature review on experience of selected comparator partnerships (e.g. IHP+ and GPE).</li> <li>• Perceptions of members of other governance structures</li> </ul> |
| b) Structure and quality of the SMS (incl. communication and capacity to deliver concrete results)  | <ul style="list-style-type: none"> <li>• Comparison with best practice for global partnerships</li> <li>• Analysis of follow up of the recommendations of the stewardship report, and of the evolution of SMS over time</li> <li>• Volume and quality of SMS outputs</li> </ul>   | <ul style="list-style-type: none"> <li>• Review of SMS mandate, staffing and activities over time</li> <li>• Interviews with SMS staff (past and present)</li> <li>• Perceptions of stakeholders with whom SMS has direct dealings</li> <li>• Literature review on experience of selected comparator partnerships (e.g. IHP+ and GPE).</li> </ul>                             |
| c) Structure and quality (including ability to deliver) of the various networks and how they interact together and with other levels of governance.                 | <ul style="list-style-type: none"> <li>• Extent to which networks follow principles of good practice (such as the Paris declaration)</li> </ul>   | <ul style="list-style-type: none"> <li>• Network records</li> <li>• Stakeholder perceptions</li> <li>• Survey to test initial findings</li> </ul>   |
| d) Structure and quality of the coordination/governance at country level, (taking account of starting points), as well as quality and dedicated time by focal point | <ul style="list-style-type: none"> <li>• Level of inclusiveness of country platforms, including how this is perceived by country informants</li> <li>• Country work plans and reporting</li> <li>• Mapping of key characteristics of governance structures at level of selected country level and comparison between them and with best practice</li> </ul>   | <ul style="list-style-type: none"> <li>• Country reports, country fiches and other relevant documentation</li> <li>• Interviews with stakeholders active at country level</li> <li>• SUN ICE country studies</li> </ul>   |

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| Key Questions/sub-questions  | Analysis/indicators  | Sources of Information   |
|--|--|--|
| e) How well does SUN governance follow the principles of aid effectiveness? and the lessons of effective global partnerships?  | <ul style="list-style-type: none"> <li>• <b>Accountability:</b> Is there sufficient accountability built into the SUN movement? Is accountability clearly and appropriately assigned at each level? Who is accountable for what?</li> <li>• <b>Transparency:</b> Are processes sufficiently transparent at all levels, both within the Movement and among its components? [What processes? Does transparency include a financial element, e.g. the finances of the Movement?]</li> </ul>   | <ul style="list-style-type: none"> <li>• drawing on findings from the subquestions above</li> <li>• comparisons with international standards across sectors (e.g. from evaluation of Paris Declaration etc) and across partnerships (literature and stakeholder perceptions on other global and country-level partnerships)</li> </ul>   |
| <b>Efficiency</b>  | <i>efficiency</i>  | •  |
| 4.2 Concerning its own activities, has the SUN movement used its resources efficiently?  | <ul style="list-style-type: none"> <li>• Evidence of predictability of financing and cost-effectiveness in use of resources for direct SUN activities</li> </ul>   | <ul style="list-style-type: none"> <li>• Financial records</li> <li>• Perceptions of key stakeholders</li> <li>• Comparisons with comparable partnerships</li> </ul>   |
| 4.3 Have the transaction costs of SUN been reasonable?   | <ul style="list-style-type: none"> <li>• Qualitative assessment, considering the potential benefits of coordination vs. the opportunity costs</li> </ul>   | <ul style="list-style-type: none"> <li>• Perceptions of key stakeholders</li> <li>• Comparisons with comparable partnerships</li> </ul>  |
| 4.4 Has SUN's advocacy for nutrition solutions taken enough account of efficiency considerations? (e.g. in the balance between nutrition-specific and nutrition-sensitive options) | <ul style="list-style-type: none"> <li>• Do the national and international partners involved in SUN show an awareness of the efficiency question? What meaningful advice has the country received from its international partners in this respect?</li> <li>• More specifically, are data collected on inputs, throughputs (activities) or outputs or relevant nutrition interventions, and also on the costs made in their achievement, so as to allow some simple efficiency analysis to be performed? Have such efficiency calculations been made by the national or international partners either at appraisal stage or during implementation (as part of M&amp;E)? Do the results suggest that the interventions have a chance of achieving the returns that are reported in the literature?</li> </ul> | <ul style="list-style-type: none"> <li>• Review of SUN documentation and advice on the design and selection of nutrition-specific and nutrition-sensitive interventions</li> <li>• Particular attention to budgeting and costing exercises., including the modelling of benefits from nutrition interventions</li> <li>• Review of M&amp;E approaches advocated and implemented</li> <li>• Expert interviews</li> <li>• Qualitative analysis for SUN ICE case study countries</li> </ul> |

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| Key Questions/sub-questions  | Analysis/indicators  | Sources of Information   |
|--|--|--|
| <p>4.5 Has SUN achieved the right balance ...</p> <p>a) ... between global work and attention to countries</p> <ul style="list-style-type: none"> <li>• To what extent has SUN succeeded in putting countries front and centre in all aspects of its efforts? What do countries view as the benefits that they have gained (or the absence of expected gains) from participating in SUN?</li> </ul> <p>b) ... between being inclusive (number of countries involved) and being effective in providing in-depth support to countries?</p>   | <p style="text-align: center;"><i>efficiency / aid effectiveness / development effectiveness</i></p> <ul style="list-style-type: none"> <li>• Time/resources devoted to country support compared to global support</li> <li>• Perceptions of key stakeholders at country level</li> <li>• comparison against other selected international partnerships</li> </ul>  | <ul style="list-style-type: none"> <li>• drawing on findings from earlier EQs</li> <br/> <li>• drawing on findings from earlier EQs</li> </ul>   |
| <b>Coherence</b>   | <i>coherence (internal and external)</i>   |  |
| <p>4.6 Have the SUN movement's various component activities reinforced each other (amounting to more than the sum of their parts)?</p> <p>a) Have the strategies/ToCs of SUN's component entities (e.g. Civil Society, Donor, UN and Business networks) been consistent with the overall ToC and with each other? And has synergy been achieved in practice?</p> <p>b) To what extent have the SUN Movement as a whole and the Business Network been able to address and resolve highly contentious issues relating to the role of business and public-private partnerships within SUN (e.g. concerns over conflicts of interest, on the one hand, and understanding/acceptance of the "double value proposition" (i.e. the social value and the financial value) as prerequisite to the effective mobilization of partnerships with business?</p> | <p style="text-align: center;"><i>internal coherence</i></p> <ul style="list-style-type: none"> <li>• specific examples of positive synergy and complementarity</li> <li>• specific examples of incoherence or missed opportunities for synergy</li> <li>• has coherence improved over time?</li> <br/> <li>• evidence of common understanding of what issues are at stake</li> <li>• evidence of common understanding on whether, and if so how, issues around business COI can be managed</li> </ul> | <ul style="list-style-type: none"> <li>• drawing on findings from earlier EQs</li> <li>• to be considered both globally and at country level (a particular focus of the SUN ICE country cases)</li> <br/> <li>• Review of the conflict of interest work facilitated by GSO and compare with how other nutrition/health bodies and aid partnerships address COI</li> <li>• Review of literature and commentaries on COI within SUN and generally</li> <li>• Interviews with SUN participants and with external critics</li> </ul> |

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| Key Questions/sub-questions  | Analysis/indicators   | Sources of Information  |
|--|---|---|
| <p>c) How well has SUN managed conflict between its stakeholders – e.g. about strategy and about the interpretation of research evidence?</p>  | <ul style="list-style-type: none"> <li>identify controversies around the design and the implementation of SUN; assess whether and how they have been resolved</li> </ul>  | <ul style="list-style-type: none"> <li>Review of literature and commentaries</li> <li>Interviews with SUN participants and with external critics</li> </ul>   |
| <p>4.7 How well have SUN's activities complemented other initiatives at global and country level?</p> <p>a) Has SUN in practice added value to the international nutrition architecture?</p> <ul style="list-style-type: none"> <li>Has it helped to reduce fragmentation at country level?</li> </ul> <p>b) With regard to nutrition-sensitive approaches: Have these been sufficiently defined, especially in terms of scope (e.g., what elements/sectors are relevant? Food security/agriculture, social protection, resilience, etc.?). What is the strategy/planned actions for ensuring coordination and integration with the sectors necessary to address the root causes of under/over nutrition? How has SUN contributed to the evolution of thinking on the latter and how effectively is it contributing to multi-sectoral coordination at country level?</p> | <p style="text-align: center;"><i>external coherence</i></p> <ul style="list-style-type: none"> <li>Follows on from relevance question (1.2 above) to consider how well SUN has filled any gap.</li> <li>Special reference to FTI/GPE and IHP+ as two particular comparators</li> <li>Also consider interaction with other coordinating bodies (e.g.. REACH, SCN for UN network, SWAp arrangements in specific countries, etc)</li> <li>Effectiveness and relevance. Look for clear articulation/definition of a nutrition sensitive approaches and for an understanding of the connection to addressing root causes.</li> <li>Look for overlap with existing processes that are multi-sectoral (e.g. social protection, food security, Disaster Risk Reduction, etc.).</li> <li>Does nutrition sensitive mean imposing upon other sectors (“you shall”), integrating with other sectors, or is it a parallel process?</li> </ul> | <ul style="list-style-type: none"> <li>literature on performance of global partnerships generally and on roles and coordination in the fields of nutrition, health and nutrition-sensitive sectors</li> <li>interviews , especially with people who have an expert perspective across a number of global partnerships</li> <li>SUN ICE county case studies</li> <li>Literature on nutrition sensitive sectors</li> <li>Global stakeholder interviews</li> <li>Detailed qualitative review in SUN ICE country cases</li> <li>Test preliminary findings through survey</li> </ul> |

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| Key Questions/sub-questions   | Analysis/indicators   | Sources of Information   |
|---|---|--|
| <b>Context</b>  | <i>relevance, effectiveness, sustainability</i>   |  |
| 4.8 What contextual factors (anticipated or unanticipated) have positively or negatively affected the achievement of SUN objectives?  | <ul style="list-style-type: none"> <li>To consider which of the contextual assumptions highlighted in the hypothesised Theory of Change [see Annex E] have proved most significant (positively or negatively)</li> </ul>  | <ul style="list-style-type: none"> <li>Draw on findings from previous EQs</li> </ul>   |
| <b>Monitoring, Learning and Adaptation</b>  | <i>effectiveness, efficiency</i>  |  |
| <p>4.9 How well has SUN learned from experience and adapted accordingly?</p> <p>a) Has it established appropriate monitoring and reporting frameworks? (globally and at country level)</p> <p>b) Have monitoring data been collected and used for learning as well as reporting? (globally and at country level)</p> <p>c) Has there been sufficient attention to gender and gender equity in collection and analysis of monitoring data and associated research?</p> <p>d) Has there been adequate attention to risks and risk management?</p> | <ul style="list-style-type: none"> <li>Analysis of the monitoring framework, and how well this covers strategic priorities of the movement</li> <li>Availability and quality of monitoring data</li> <li>Evidence of dissemination and use of monitoring results and other relevant evidence</li> </ul> | <ul style="list-style-type: none"> <li>Documentary record of SUN reporting and review systems</li> <li>Perception of SUN members and of other key actors in nutrition and aid effectiveness fields (based on interviews and available public commentary)</li> <li>Consider at country level in SUN ICE country case studies</li> <li>Test preliminary findings through survey</li> </ul> |

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| Key Questions/sub-questions  | Analysis/indicators   | Sources of Information  |
|--|---|---|
| <b>EQ5 How sustainable is the SUN Movement? And how sustainable are the changes that the SUN movement is helping to bring about?</b>   |   |   |
| <p>5.1 Are the emerging results of SUN likely to be durable?</p> <p>a) To what extent are the institutional changes promoted by SUN likely to persist long enough for them (or their effects) to become embedded?</p> <p>b) To what extent has SUN contributed to moving from mobilization to action and concrete changes at country level -- both by government and other country stakeholders and by donors?</p> <p>5.2 How well is SUN contributing to necessary capacity development (especially at institutional and organisational level)?</p> | <p style="text-align: center;"><i>sustainability</i></p> <ul style="list-style-type: none"> <li>• To be considered both globally and at country level</li> <li>• At country level, look for evidence as to whether SUN approach works better/less well in different contexts</li> <br/> <li>• To include review of the developing "Communities of Practice" approach</li> </ul> | <ul style="list-style-type: none"> <li>• Draw on findings from previous EQs</li> <br/> <li>• SUN records</li> <li>• Evidence form complementary programmes (e.g. MQSUN, SPRING, FANTA)</li> <li>• Stakeholder perceptions at global and country level</li> <li>• Consider at country level in SUN ICE country case studies</li> <li>• Test preliminary findings through survey</li> </ul> |
| <p>5.3 Is the SUN movement itself sustainable?</p>   | <ul style="list-style-type: none"> <li>• Is the demand for SUN from its various stakeholders likely to continue?</li> <li>• Are its governance and management arrangements sustainable?</li> </ul>  | <ul style="list-style-type: none"> <li>• Stakeholder perceptions</li> <li>• Findings from preceding EQs</li> </ul>  |
| <b>EQ6 Based on its performance so far, how, in broad terms, should SUN evolve in the short, medium and longer term?</b>   |   |   |
| <p><i>The sub-questions under this EQ are all formative. The precise questions will be refined in the light of emerging evidence as the evaluation proceeds. The SUN ICE will draw on its summative findings (above) to present alternative options, and will link its recommendations to principles of aid effectiveness and development effectiveness, with reference also to the experience of comparable partnerships.</i></p>   |   |   |
| <p>6.1 Is SUN likely to remain relevant? if so, which aspects/components are likely to remain relevant and for how long?</p> <p>a) in relation to its international architecture</p> <p>b) in terms of continuing relevance to participating countries</p>   |   |   |

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| <b>Key Questions/sub-questions</b> | <b>Analysis/indicators</b>   | <b>Sources of Information</b> |
|------------------------------------|--|-------------------------------|
| 6.2                                | What are SUN's relevant strategic options in the short, medium and longer term?  |                               |
| 6.3                                | What are the corresponding implications for SUN's governance and management arrangements?<br>a) Lead Group: Is the Lead Group the most appropriate governance arrangement for SUN? Might its role and modus operandi be made more effective through, for example, some form of small Executive Committee with agreed TOR?<br>b) Secretariat: What are the implications of the changing needs of countries, as SUN moves its emphasis from mobilization to action, for the role, size, and structure of the Secretariat? Regarding structure, would the Secretariat be more, or less, effective if it were to become formalized as a UN structure?<br>c) Is the SUN networks structure appropriate for moving ahead?<br>d) How should the mandates, roles and modalities of the different SUN networks evolve?<br>e) What should be the framework for future monitoring and evaluation? |                               |

## Annex H Mapping TOR Questions to Evaluation Matrix

The evaluation's Terms of Reference (Annex A above) include an annex of priority questions that stakeholders wished this evaluation to answer. In a number of cases, these questions appear more or less verbatim in the ICE evaluation matrix (Annex G above); in others they are implicit. The table below shows where each of the TOR questions is addressed in the evaluation matrix, and notes cases where the scope of the IV+CE response to a particular question may be limited.

| TOR Issue/Question  | Where/how dealt within evaluation matrix   |
|---|--|
| <b>THE OVERARCHING ISSUES</b>   |  |
| <p>1. To what extent is there evidence of a real and shared understanding of and commitment to the idea of SUN as a "movement", rather than as a single entity, which is not operational itself but whose multiple components all support and encourage the country efforts to scale up nutrition that are at its core?</p> | <p>EQ2.1 :<br/><i>Are the SUN movement's goals, priorities and strategies clear at the various levels of the movement?</i></p> <p>a) <i>Is it clear what "the SUN movement" consists of? (who are its agents, globally and at country level?)</i></p> <p>b) <i>Has its strategy/Theory of Change evolved significantly?</i></p> <p>c) <i>What are the crucial assumptions on which it is based? [including assumptions about complementary inputs etc]</i></p> <p>d) <i>Are the strategies (and implicit or explicit ToCs) of SUN's component networks consistent with each other and with the overall ToC? How have they evolved, etc?</i></p> <p>e) <i>Is there a consensus among stakeholders about the ToC? What if any are the main points of contention?</i></p> |
| <p>1a. Does it provide significant differences and added value (e.g. in mobilization and in action) from other multi-stakeholder global partnerships?</p> <p>1b. Has this been/is it proving to be a helpful concept in establishing multi-stakeholder and multi-sectoral approaches to nutrition?</p>                      | <p>EQ1.2:<br/><i>Has the SUN movement filled a gap in the international and country-level architecture for addressing nutrition?</i></p> <p>a) <i>In terms of mobilising high level leadership support for nutrition at global and country levels</i></p> <p>b) <i>In terms of coordination among international agencies?</i></p> <p>c) <i>In terms of technical support to developing countries in addressing malnutrition?</i></p> <p>d) <i>In terms of mobilising actors in support of tackling malnutrition that were previously inactive, destructive or marginalised (e.g. some businesses)?</i></p> <p>e) <i>In terms of financial support to developing countries in addressing malnutrition?</i></p>  |

| TOR Issue/Question  | Where/how dealt within evaluation matrix  |
|---|---|
|   | <p>EQ4.6 – coherence:<br/> <i>How well have SUN's activities complemented other initiatives at global and country level?</i><br/>                     a) <i>Has SUN in practice added value to the international nutrition architecture?</i></p>  |
| <p>2. If the SUN Movement it to continue after 2015, does it have an appropriate structure as an informal partnership under the aegis of the UN Secretary General?</p>  | <p>To be considered under EQ6:<br/> <i>Based on its performance so far, how, in broad terms, should SUN evolve in the short, medium and longer term?</i></p>  |
| <p>3. How effective has the overall SUN Movement model and its governance been? This question applies to the Movement as a whole and to its key components --the Lead Group, Secretariat and five networks -- carrying out their respective roles? Should that structure or the roles of those components be changed?</p> | <p>EQ4.1 :<br/> <i>How effective have SUN's governance and management arrangements been?</i><br/>                     a) <i>Structure and quality of the SUN Lead group and commitment/time of its members (including communication with other levels of governance)</i><br/>                     b) <i>Structure and quality of the SMS (incl. communication and capacity to deliver concrete results)</i><br/>                     c) <i>Structure and quality (including ability to deliver) of the various networks and how they interact together and with other levels of governance.</i><br/>                     d) <i>Structure and quality of the coordination/governance at country level, (taking account of starting points), as well as quality and dedicated time by focal point.</i><br/>                     e) <i>How well does SUN governance follow the principles of aid effectiveness? and the lessons of effective global partnerships?</i></p> <p>Under EQ6 we will consider whether changes may be required:<br/> <i>Based on its performance so far, how, in broad terms, should SUN evolve in the short, medium and longer term?</i></p> |
| <p>4. Has there been sufficient transparency and accountability within the Movement and among its components?</p>   | <p>(a) transparency and accountability are among our general performance standards (see Annex F)<br/>                     (b) e.g. 4.1e (see previous row) asks for summary of governance and management findings against aid effectiveness criteria</p>  |
| <p>5. To what extent have the necessary foundations been laid for sustainability of the objectives and progress of the SUN Movement? What structural changes are indicated to increase its sustainability as well as effectiveness?</p>   | <p>EQ5 on sustainability:<br/> <i>How sustainable is the SUN Movement? And how sustainable are the changes that the SUN movement is helping to bring about?</i><br/>                     EQ6 on future options and recommendations:<br/> <i>Based on its performance so far, how, in broad terms, should SUN evolve in the short, medium and longer term?</i></p>   |

| TOR Issue/Question  | Where/how dealt within evaluation matrix  |
|---|---|
| GENERAL   |   |
| [Priorities] How effectively has SUN made progress on each of its "strategic priorities" -- mobilization of political support, supportive policies and laws and spread of good practice, alignment around well-costed and high quality country plans, and increased domestic and external financing?  | <p>EQ3.1:<br/><i>To what extent has SUN contributed to changed attitudes and procedures, thereby creating an enabling environment for scaling up nutrition?</i></p> <p>EQ3.2:<br/><i>To what extent has SUN brought about changed policies and resource commitments in SUN countries?</i></p> <p>a) <i>Has SUN contributed to the adoption of policies and laws that reflect best practice for scaling up?</i></p> <p>b) <i>Are actions aligned around high-quality and well-costed country plans, with agreed results frameworks and mutual accountability?</i></p> <p>EQ3.3:<br/><i>Are these changes leading to the scaling up of nutrition..?</i></p> <p>c) <i>in terms of mobilisation of financial resources...</i></p> |
| [Priorities] Are the four strategic priorities the right ones to help countries achieve the overall objective of SUN of accelerating reduction in undernutrition in order to meet their national targets as well as the global targets established by the 2012 World Health Assembly? If they are not sufficient, what changes in areas of emphasis should be considered? | <p>EQ 1.1c: on relevance to global targets:<br/>c) <i>Are SUN objectives and strategy relevant to the pursuit of key global targets?</i></p> <p>Under EQ6 we will consider whether changes may be required in the light of performance to date.</p>   |
| [Country Focus] To what extent has SUN succeeded in putting countries front and centre in all aspects of its efforts? What do countries view as the benefits they have gained (or the absence of expected benefits) from participating in SUN?  | <p>EQ4.5:<br/><i>Has SUN achieved the right balance ... between global work and attention to countries</i></p> <ul style="list-style-type: none"> <li>• <i>To what extent has SUN succeeded in putting countries front and centre in all aspects of its efforts? What do countries view as the benefits that they have gained (or the absence of expected gains) from participating in SUN?</i></li> </ul>  |
| [Country Focus] To what extent has SUN contributed to moving from mobilization to action and concrete changes at country level -- both by government and other country stakeholders and by donors? How can it do so better, and, in so doing, also keep nutrition high on the country and global political agenda?  | <p>EQ3.2:<br/><i>To what extent has SUN brought about changed policies and resource commitments in SUN countries?</i></p> <p>c) <i>To what extent has SUN moved (and/or is moving) beyond its initial focus on structures, capacities and processes that can feed into results to a focus on achievement of outcomes and intermediate outcomes?</i></p> <p>Under EQ6 we will consider whether changes may be required in the light of performance to date.</p>  |

| TOR Issue/Question  | Where/how dealt within evaluation matrix  |
|---|---|
| <p>[Quality] To what extent has SUN contributed to helping countries improve the quality of their plans and programs in terms of, e.g., focus on proven direct nutrition interventions and the first 1000 days, balance of direct and nutrition-sensitive activities, prioritization of activities, resource allocations, addressing capacity and implementation issues, and a sharper focus on achievement of results?</p> | <p>EQ 3.2:<br/><i>To what extent has SUN brought about changed policies and resource commitments in SUN countries?</i></p> <p>a) <i>Has SUN contributed to the adoption of policies and laws that reflect best practice for scaling up?</i></p> <p>c) <i>To what extent has SUN moved (and/or is moving) beyond its initial focus on structures, capacities and processes that can feed into results to a focus on achievement of outcomes and intermediate outcomes?</i></p> |
| <p>[Quality] Regarding resource allocations, are the governments of SUN countries assigning increases from their own fiscal resources to nutrition?</p>   | <p>EQ 3.3:<br/><i>Are these changes leading to the scaling up of nutrition..?</i></p> <p>c) <i>in terms of mobilisation of financial resources, to include:</i></p> <ul style="list-style-type: none"> <li>• <i>better identification and tracking of resource flows supporting nutrition at country level</i></li> <li>• <i>mobilisation of additional domestic resources and/or better use of existing levels of domestic resources</i></li> </ul>                          |
| <p>[Quality] What should be done to increase the focus on quality? Would good practice principles, such as those found in the case of IHP+, be merited?</p>   | <p>Under EQ2.2 (<i>Have the SUN movement's main inputs, activities and outputs adequately reflected its goals, priorities and strategies?</i>), we propose to benchmark the donor network against IHP+ and one or two other partnerships .</p> <p>Under EQ6 we will consider whether changes may be required in the light of performance to date.</p>   |
| <p>[The Right Balance] Has SUN struck the right balance between being inclusive (number of countries involved) and being effective in providing in depth support to countries? Is there a need to place greater emphasis on showing success stories ("proof of concept") in several countries of what difference SUN has made?</p>  | <p>EQ4.5:<br/><i>Has SUN achieved the right balance ...</i></p> <p>a) <i>... between global work and attention to countries</i></p> <p>b) <i>... between being inclusive (number of countries involved) and being effective in providing in-depth support to countries?</i></p> <p>Under EQ6 we will consider whether changes may be required in the light of performance to date.</p>  |

| TOR Issue/Question  | Where/how dealt within evaluation matrix  |
|---|---|
| <p>[The Right Balance] Has SUN focussed adequately on the need to strike a reasonable balance between direct nutrition interventions and nutrition-sensitive interventions? How has SUN contributed to the evolution of thinking on the latter and how effectively is it contributing to multisectoral coordination at country level?</p> | <p>EQ4.4:<br/><i>Has SUN's advocacy for nutrition solutions taken enough account of efficiency considerations? (see Annex F for explanation of our approach to efficiency)</i></p> <p>EQ4.6:<br/><i>How well have SUN's activities complemented other initiatives at global and country level?</i></p> <p>b) <i>With regard to nutrition-sensitive approaches:<br/>Have these been sufficiently defined, especially in terms of scope (e.g., what elements/sectors are relevant? Food security/agriculture, social protection, resilience, etc.?). What is the strategy/planned actions for ensuring coordination and integration with the sectors necessary to address the root causes of under/over nutrition? How has SUN contributed to the evolution of thinking on the latter and how effectively is it contributing to multi-sectoral coordination at country level?</i></p> |
| <p>[The Right Balance] Has SUN given sufficient attention to issues of gender equity and women's empowerment?</p>   | <p>EQ1.1:<br/><i>To what extent are the objectives of the SUN movement consistent with the needs, priorities and strategies of beneficiary countries?</i></p> <p>e) <i>Do they take sufficient account of gender and equity issues?</i></p> <p>EQ1.3:<br/><i>Did SUN strategies contribute to a stronger focus on nutrition-related gender and gender equity issues?</i></p> <p>EQ2.3:<br/><i>How is SUN seeking to mainstream gender-consciousness throughout its activities, both nutrition-specific and nutrition-sensitive?</i></p> <p>EQ4.9:<br/><i>How well has SUN learned from experience and adapted accordingly?</i></p> <p>c) <i>Has there been sufficient attention to gender and gender equity in collection and analysis of monitoring data and associated research?</i></p>  |

| TOR Issue/Question   | Where/how dealt within evaluation matrix   |
|--|--|
| [Mandate and Role] Are SUN's mandate and role appropriate, in relation to the numerous international organizations and global partnerships involved in closely related areas (e.g. food security and maternal and child health)? To what extent have the Movement and its Secretariat been effective in creating a 'magnetic field' to collaborative, complementary and common effort at country and global levels to reduce undernutrition? | EQ4.6:<br><i>How well have SUN's activities complemented other initiatives at global and country level?</i><br>a) <i>Has SUN in practice added value to the international nutrition architecture?</i>  |
| [Mandate and Role] To what extent has SUN contributed to increasing coordination and complementarity, and reducing fragmentation of externally-funded programs at country level?   | EQ4.6:<br><i>How well have SUN's activities complemented other initiatives at global and country level?</i><br>a) <i>Has SUN in practice added value to the international nutrition architecture?</i><br><ul style="list-style-type: none"><li>• <i>Has it helped to reduce fragmentation at country level?</i></li></ul>  |
| [Mandate and Role] Should SUN broaden its overall objective of accelerating reduction in undernutrition to include reduction in overnutrition, with its consequences for Non-Communicable Diseases, as well?   | We will note this as a strategic option in addressing EQ6 ( <i>Based on its performance so far, how, in broad terms, should SUN evolve in the short, medium and longer term?</i> ), and we will examine whether and how obesity is being addressed in the policies and strategies of our case study countries. But it is beyond the scope of this evaluation to undertake a full and thorough review of this topic.  |
| [Achieving and measuring concrete outcomes] To what extent has SUN moved (and/or is moving) beyond its initial focus on structures, capacities and processes that can feed into results to a focus on achievement of outcomes and intermediate outcomes? To what extent is program coverage in nutrition actually increasing at country level?   | Several of the subquestions under EQ3 address this. Note, however, that our ability to determine whether programme coverage in nutrition is actually increasing at country level, will depend on the ready available of secondary data. This is known to be, at best, patchy. We expect the Global Nutrition Report will assemble the best available global data; we will focus our efforts on the case study countries, and recognise that we may have to fall back on qualitative or impressionistic judgements. |
| [Achieving and measuring concrete outcomes] To what extent are the tracking and monitoring systems reporting on evidence of actions and investments as well as on statements and pledges?  | EQ4.8:<br><i>How well has SUN learned from experience and adapted accordingly?</i><br>a) <i>Has it established appropriate monitoring and reporting frameworks? (globally and at country level)</i>  |
| [Achieving and measuring concrete outcomes] Is there reliable evidence of increased financial flows?   | EQ3.3:<br><i>Are these changes leading to the scaling up of nutrition..?</i><br>c) <i>in terms of mobilisation of financial resources.....</i>   |
| [Advocacy] How strategic and effective has the SUN role in advocacy been?  | EQ3.1:<br><i>To what extent has SUN contributed to changed attitudes and procedures, thereby creating an enabling environment for scaling up nutrition?</i><br>a) <i>How strategic and effective has the SUN role in advocacy been?</i>  |

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| TOR Issue/Question  | Where/how dealt within evaluation matrix  |
|---|---|
| [Advocacy] To what extent has SUN succeeded in making the shift to multi-stakeholder advocacy at country and global levels (vs. seeing advocacy as essentially the responsibility only of civil society)?   | EQ3.1:<br><i>To what extent has SUN contributed to changed attitudes and procedures, thereby creating an enabling environment for scaling up nutrition?</i><br>b) <i>To what extent has SUN succeeded in making the shift to multi-stakeholder advocacy at country and global levels (vs. seeing advocacy as essentially the responsibility only of civil society)?</i> |
| [Trust Fund] Should the Multi-Partner Trust Fund -- for catalytic financing at country level when other financing is not available -- be continued? If so, what is the evidence and justification and should its volume or scope be expanded?   | Under EQ2.2 ( <i>Have the SUN movement's main inputs, activities and outputs adequately reflected its goals, priorities and strategies?</i> ) we will broadly review the performance of the MPTF. However it is beyond our scope to undertake a full evaluation of the MPTF.  |
| <b>INDIVIDUAL COMPONENTS OF SUN</b>   |   |
| [Lead Group] What role has the SUN Lead Group exercised in providing strategic direction and oversight to the SUN Movement and in mobilizing support at country and global level?   | EQ4.1:<br><i>How effective have SUN's governance and management arrangements been?</i><br>a) <i>Structure and quality of the SUN Lead group and commitment/time of its members (including communication with other levels of governance)</i>  |
| [Lead Group] Are Lead Group members kept adequately informed of what it going on in all parts of SUN? Have they been adequately equipped to provide oversight and effective strategic direction?  |   |
| [Lead Group] Has the Lead Group been able to get commitment and active participation from its members? Is its very senior membership able to provide the time and leadership needed to scaling up nutrition?  |   |
| [Lead Group] Is the Lead Group the most appropriate governance arrangement for SUN? Might its role and modus operandi be made more effective through, for example, some form of small Executive Committee with agreed TOR?  | Under EQ6 we will consider whether changes may be required in the light of performance to date.   |
| [SUN Networks] How well is the SUN Network structure functioning – overall and by network? To what extent does it have an impact on actions by its members?   | EQ4.5:<br><i>Have the SUN movement's various component activities reinforced each other (amounting to more than the sum of their parts)?</i>  |
| [SUN Networks] Is this structure appropriate for moving ahead? How should the mandates, roles and modalities of the different SUN networks evolve?  | Under EQ6 we will consider whether changes may be required in the light of performance to date.   |
| [Country Network and Country-Level Governance] How effective is governance of SUN at country level (recognizing the country specificity of that governance)? What impact has the SUN Movement had on that governance? What more could be done by the different components of the SUN Movement to increase that impact, for example in getting stronger commitment from heads of government and finance ministers? | EQ4.1:<br><i>How effective have SUN's governance and management arrangements been?</i><br><br>Under EQ6 we will consider whether changes may be required in the light of performance to date.   |

| TOR Issue/Question   | Where/how dealt within evaluation matrix   |
|--|--|
| [Country Network and Country-Level Governance] To what extent are the country platforms inclusive and multi-stakeholder based? Do they include balanced participation of different actors, including from civil society and business?  | EQ3.1:<br><i>To what extent has SUN contributed to changed attitudes and procedures, thereby creating an enabling environment for scaling up nutrition?</i><br>c) <i>To what extent are the country platforms inclusive and multi-stakeholder based? Do they include balanced participation of different actors, including from civil society and business?</i>  |
| [Country Network and Country-Level Governance] Have "best practices" been identified in country networks? Is there evidence that these are helpful in sharing experiences and learning? Is there evidence that they are being successfully transferred? What changes in role and modality would increase the effectiveness of the Country Network? For example, do country focal points have the seniority and „convening power“ required for country networks to function effectively? Would it be useful to give more emphasis to the regional level, or is learning from good practice across regions more important? | EQ3.3:<br><i>To what extent has SUN brought about changed policies and resource commitments in SUN countries?</i><br>a) <i>Has SUN contributed to the adoption of policies and laws that reflect best practice for scaling up?</i><br><ul style="list-style-type: none"> <li>• <i>Have "best practices" been identified in country networks? Is there evidence that these are helpful in sharing experiences and learning? Is there evidence that they are being successfully transferred?</i></li> </ul> <p>Under EQ6 we will consider whether changes may be required in the light of performance to date.</p> |
| [Civil Society Network] To what extent has the CSO network been a factor in embedding nutrition within the priorities of CSOs working at the local level as well as in getting nutrition a more prominent place on the political agenda at country and global levels?  | EQ3.1:<br><i>To what extent has SUN contributed to changed attitudes and procedures, thereby creating an enabling environment for scaling up nutrition?</i><br>d) <i>To what extent has the CSO network been a factor in embedding nutrition within the priorities of CSOs working at the local level as well as in getting nutrition a more prominent place on the political agenda at country and global levels?</i>   |
| [Business Network] To what extent has the Business Network specifically been able to move from mobilization to action, including responding to the demand from SUN countries for stimulating public-private partnerships?  | EQ3.1:<br><i>To what extent has SUN contributed to changed attitudes and procedures, thereby creating an enabling environment for scaling up nutrition?</i><br>e) <i>To what extent has the Business Network specifically been able to move from mobilization to action, including responding to the demand from SUN countries for stimulating public-private partnerships?</i>  |

| TOR Issue/Question   | Where/how dealt within evaluation matrix  |
|--|---|
| [Business Network] To what extent have the SUN Movement as a whole and the Business Network been able to address and resolve highly contentious issues relating to the role of business and public-private partnerships within SUN (e.g. concerns over conflicts of interest, on the one hand, and understanding/acceptance of the "double value proposition" (i.e. the social value and the financial value) as prerequisite to the effective mobilization of partnerships with business? | EQ4.5:<br><i>Have the SUN movement's various component activities reinforced each other (amounting to more than the sum of their parts)?</i><br>b) <i>To what extent have the SUN Movement as a whole and the Business Network been able to address and resolve highly contentious issues relating to the role of business and public-private partnerships within SUN (e.g. concerns over conflicts of interest, on the one hand, and understanding/acceptance of the "double value proposition" (i.e. the social value and the financial value) as prerequisite to the effective mobilization of partnerships with business?</i>   |
| [Donor Network] To what extent has there been a scaling up of current and credibly-projected funding by donors and other external funders?   | EQ3.2:<br><i>To what extent has SUN brought about changed policies and resource commitments in SUN countries?</i><br>e) <i>To what extent has there been a scaling up of current and credibly-projected funding by donors and other external funders?</i>   |
| [Donor Network] To what extent have donors emphasized effective use of their assistance by following agreed principles of aid effectiveness and given adequate attention to capacity strengthening? And to what extent have they emphasized and helped countries to strengthen the quality of country programs?  | EQ3.2:<br><i>To what extent has SUN brought about changed policies and resource commitments in SUN countries?</i><br>d) <i>To what extent have donors emphasized effective use of their assistance by following agreed principles of aid effectiveness and given adequate attention to capacity strengthening? And to what extent have they emphasized and helped countries to strengthen the quality of country programs?</i>  |
| [UN Network] To what extent has the UN Network been able to achieve better coordination and alignment of activities of UN agencies at country level?   | EQ2.2: [for each network]<br><i>Have the SUN movement's main inputs, activities and outputs adequately reflected its goals, priorities and strategies?</i><br>EQ4.1:<br><i>How effective have SUN's governance and management arrangements been?</i><br>c) <i>Structure and quality (including ability to deliver) of the various networks and how they interact together and with other levels of governance.</i><br>EQ4.6:<br><i>How well have SUN's activities complemented other initiatives at global and country level?</i><br>a) <i>Has SUN in practice added value to the international nutrition architecture?</i><br><ul style="list-style-type: none"> <li>• <i>Has it helped to reduce fragmentation at country level?</i></li> </ul> |

| TOR Issue/Question   | Where/how dealt within evaluation matrix   |
|--|--|
| [Secretariat]  |  |
| [Secretariat] See Annex D for other important questions for the Secretariat from the log frame agreed with donors to the Secretariat   | see Annex Q in this Inception Report   |
| [Secretariat] Is the size and financing of the Secretariat commensurate with its appropriate role at global and country levels?  | Under EQ6 we will consider whether changes may be required in the light of performance to date.  |
| [Secretariat] What are the implications of the changing needs of countries, as SUN moves its emphasis from mobilization to action, for the role, size, and structure of the Secretariat? Regarding structure, would the Secretariat be more, or less, effective if it were to become formalized as a UN structure? | Under EQ6 we will consider whether changes may be required in the light of performance to date.  |
| [Secretariat] Is the system of monitoring and evaluation coordinated by the Secretariat adequate? How should it be improved, taking account of ongoing work by consultants to be completed in June? (See the question above on intermediate indicators.)   | <p>EQ4.8:<br/> <i>How well has SUN learned from experience and adapted accordingly?</i></p> <p>a) <i>Has it established appropriate monitoring and reporting frameworks? (globally and at country level)</i></p> <p>b) <i>Have monitoring data been collected and used? (globally and at country level)</i></p> <p>Under EQ6 we will consider whether changes may be required in the light of performance to date.</p> |

## **Annex I      Data Availability**

Given the limited time and resources available for this evaluation, the TOR rightly stress the need to maximise the use of existing data and to draw as much as possible on existing information. No primary quantitative data collection, apart from perceptions data amassed through the survey, is envisaged. Rather, the evaluation will make full use of the large volume of exiting information about nutrition and the SUN Movement.

The below data mapping was undertaken to assist team members in identifying what information is readily available, from which sources and for what years and countries, and where this could be located in the evaluation library. It is not intended as an exhaustive list, but rather focuses on key resources that are expected to feature prominently in the global analysis and in the preparation of country dossiers.

| Source                              | Content   | Year                            | Ref. |
|-------------------------------------|---|---------------------------------|------|
| <b>Country Level: SUN documents</b> |   |                                 |      |
| Country Fiches                      | <p>The country fiches are prepared annually by SUN countries and their partners, according to a template developed by SMS. They provide information on progress on SUN of individual countries. The SMS puts them together in a compendium and also uses them as an input into the SUN annual progress report.</p> <p>Focus of the country fiches is:</p> <ul style="list-style-type: none"> <li>• Tracking country-level progress against the <b>4 SUN processes</b> (I: Bringing people into a shared space for action; II: Ensuring a coherent policy and legal framework; III: Aligning programmes around a Common Results Framework; IV: Financial Tracking and Resource Mobilisation). In 2013, post the approval for the M&amp;E framework this became more detailed, to begin tracking a range of sub-markers under each of the four process indicators.</li> <li>• The overall status of all four processes is then used to indicate the country's <b>stage of country preparedness</b> (Stage 1: Taking stock; Stage 2: Preparing for scaling-up; Stage 3: Scaling up rapidly to deliver results.)</li> </ul> | 2010,<br>2011,<br>2012,<br>2013 | FO.2 |

| Source  | Content  | Year              | Ref.  |
|---|--|-------------------|-------|
|   | <ul style="list-style-type: none"> <li>Additional information (populated from other sources e.g. surveys (DHS, MICS, SMART), WB, UN statistics), including basic country data (demography etc), nutritional outcomes monitoring – child growth, micronutrient status and good nutritional practices, estimation of population coverage of specific nutrition interventions and nutrition-sensitive interventions, and additional indicators measuring a country’s legal framework, human resource capacity, WASH and other “nutrition relevant factors” (e.g. female empowerment).</li> <li>A composite score on nutrition governance (h/m/l)</li> <li>Commitments and Expectations of Country Government Focal Points: tabulates the commitments expressed by SUN country Government Focal Points as well as their expectations of the SUN Movement (not quantified) – 2012 only</li> </ul> |                   |       |
| Self-assessment of National Multi-Stakeholder Platforms | <p>New methodology introduced in 2014 to review country-level progress against the four SUN processes with a new emphasis on MSPs.</p> <p>For each of the progress markers under the 4 processes, gives a ranking of 0-4 (0 (not applicable); 1 (started); 2 (on-going); 3 (nearly completed); 4 (completed)) <b>for each of the stakeholder networks</b> (Government, CSO, United Nations, Donor and Business), and overall.</p> <p>Completed 34 countries for 2013/14.</p> <p>Not yet published but will feed into the 2014 SUN Movement Progress Report</p>   | 2013/14           | F0.62 |
| Baseline survey of National Multi-Stakeholder Platforms | For newly joined countries not completing the above self-assessment. A survey, establishing baseline against the process markers.  | 2013/14           | F0.62 |
| Country nutrition plans                                 | Additional data available in country nutrition plans, some costed.   | various           | f.0.9 |
| <b>Country-level: other</b>                             |  |                   |       |
| WB Nutrition Country Profiles                           | <p>nutrition profiles of the (c. 70) countries with the highest burden of under-nutrition</p> <p>Provides summary information for country leaders, development partners, and stakeholders about the extent, costs, and causes of malnutrition, as well as potential solutions to malnutrition.</p> <p>Employs Horton et al 2010 (WB) costing methodology</p>   | Last updated 2011 | f1.7  |

| Source                            | Content  | Year                   | Ref.       |
|-----------------------------------|--|------------------------|------------|
| UNICEF nutrition country profiles | Annex to global nutrition report, country profiles of 24 countries with the largest burden and highest prevalence of stunting.<br>Presents: <ul style="list-style-type: none"> <li>• Various health and nutrition outcome indicators,</li> <li>• Prevalence of nutrition specific and nutrition sensitive interventions</li> </ul>   | 2013                   | F1.4<br>D2 |
| <b>Global: SUN documents</b>      |  |                        |            |
| SUN Movement – Progress Reports   | Annual report developed as a collaborative effort with SUN country focal points and SMS. Provides an overview of progress in SUN countries over the year, and consolidated data on: <ul style="list-style-type: none"> <li>• Compilation of global achievements against the progress markers for this process</li> <li>• Country nutrition targets</li> <li>• nutritional outcomes monitoring – child growth, micronutrient status and good nutritional practices</li> <li>• estimation of population coverage of specific nutrition interventions and nutrition-sensitive interventions</li> <li>• Additional indicators measuring a country’s legal framework, human resource capacity, WASH and other “nutrition relevant factors” (e.g. female empowerment)</li> <li>• A composite score on nutrition governance (h/m/l)</li> <li>• Indicators of donor partner behaviour against benchmarks identified in 24th September 2010 Development Partner Statement of Intent (2011)</li> </ul> | 2011,<br>2012,<br>2013 | F0.2       |
| 2012 Baseline report              | This report provides baseline information (for 2012) against the SUN M&E framework as a reference point for the monitoring and evaluation of the progress and achievements of the SUN Movement. It presents consolidated country data including: <ul style="list-style-type: none"> <li>• Secondary data to assess the status of the agreed nutrition indicators by country, region, age and gender for information on Impact level</li> <li>• Outcome Mapping using existing data complemented by a survey to capture behavioural characteristics of the constituent parts that make up the SUN Movement, i.e. information on Outcome level.</li> <li>• Data collected by the SMS to determine the baseline situation in terms of contributions/services provided by the Lead Group and the SMS at Output level.</li> </ul>   | 2012                   | F0.6<br>D5 |

| Source   | Content  | Year | Ref.       |
|--|--|------|------------|
| <b>Global: other documents</b>   |  |      |            |
| Scaling up Nutrition – what will it cost?  | <p>A World Bank report giving the first estimates of the costs of implementing direct nutrition interventions.</p> <p>The report estimates the cost of scaling up a minimal package of 13 proven nutrition interventions from current coverage levels to full coverage of the target populations in the 36 countries with the highest burden of undernutrition.</p>  | 2010 | F0.7<br>D3 |
| The Lancet Series 2008   | <p>Series of papers on Maternal and Child Undernutrition. The papers bring evidence on the critical role of early nutrition in the health of children, making clear that the golden period of intervention for nutrition is between minus 9 months and 24 months.</p> <p>They give systematic evidence of the impact of under-nutrition on infant and child mortality and its largely irreversible long-term effects on health and on cognitive physical development.</p> <p>The papers also demonstrate the availability of proven interventions that could address these problems and save millions of lives.</p> <p>The papers were considered by many as the catalyser for change.</p> | 2008 | F5.3<br>D1 |
| The Lancet Series 2013   | <p>The 2013 series follow up from the 2008 series bringing new data and policy recommendations on global nutrition. The new Lancet series examines the current and expected extent of maternal and child undernutrition and also examines the growing problems of overweight and obesity.</p> <p>Provides refinements in the estimated costs of specific nutrition interventions.</p>  | 2013 | F5.2<br>D2 |
| MQSUN: Planning and costing for the acceleration of actions for nutrition: experiences of countries in the Movement for Scaling Up Nutrition | <p>Sun costing synthesis. For the c.20 countries with plan provides:</p> <p>Composition of plans (specific, sensitive, governance) and activities under each category</p> <p>Total and per capita programme costs by type (specific/sensitive/governance) for each country</p> <p>Summary of assumptions made during costing under each plan.</p>  | 2014 | F8.3<br>D1 |

| <b>Source</b>   | <b>Content</b>  | <b>Year</b>       | <b>Ref.</b> |
|---|---|-------------------|-------------|
| Hunger and Nutrition Commitment Index: Annual reports | The Hunger And Nutrition Commitment Index (HANCI) is a project of the Institute of Development Studies' (IDS) which produces an annual that ranks governments on their political commitment to tackling hunger and undernutrition. The index was created to provide greater transparency and public accountability by measuring what governments achieve, and where they fail, in addressing hunger and undernutrition.   | 2012, 2013        | F5.5        |
| Global Nutrition Report                               | <p>Global Nutrition Report due to be published at the second International Conference on Nutrition in November 2014.</p> <p>The Report will track progress in outcomes, outputs and inputs against targets and commitments. There will be 5 domains of monitoring: commitments, resources, underlying determinants, programme coverage and nutrition status outcomes.</p> <p>The report will bring together comprehensive nutrition data for over 70 indicators from multiple sources, filling in gaps and constructing and estimated 190 country profiles.</p> <p>The lead author has agreed to share the specification of the profiles and a list of indicators with the evaluation team, and to share an early draft of the report as soon as it is available.</p> | Forthcoming, 2014 | F0.6.1      |

## **Annex J Interview Guidelines**

1. Stakeholder interviews will be a major set of data generated by this evaluation. They will serve as a means to draw evidence from informants, but are also important for consultation and to generate buy-in for the evaluation process.
2. All interviews will be conducted on confidential terms, to facilitate candid responses. Reports will not include direct quotation or attribution without prior consent. It is likely that the majority of interviews will be carried out on an individual basis, but group interviews may be considered where the quality of responses is unlikely to be compromised. Most will take place using telephone or e-conferencing facilities, with the exception of country-level interviews or in instances when the Evaluation Team is attending relevant forums (such as SUN meetings and events), when we shall look to capitalise on the presence of key informants through face to face interviews.
3. We will employ an interview targeting strategy that is being developed based on the stakeholder analysis presented in Annex D, and will report transparently on the names of people consulted,<sup>22</sup> their principal organisational affiliation and gender. A stocktake of respondents to date at regular intervals during the evaluation process will help identify any gaps or underserved constituent groups, and the interview targeting strategy will be adjusted accordingly.
4. The evaluation team has adopted a protocol and standard format for writing up and sharing interview notes among team members (in confidence). The basic standard template is illustrated in Figure 15 below. The format is designed to strike a balance between standardisation and flexibility (given that the interviews are only semi-structured conversations). Interviewers will use the six Evaluation Questions as guideline questions, and in advance of the interview itself, will refer to the Evaluation Matrix and select from the detailed issues and questions the ones that seem most pertinent to the interview (bearing in mind that in-depth responses to more than a few such questions are beyond the scope of most interviews, so that prioritisation is extremely important). At the end of every interview, respondents' suggestions on contacts to interview and documentation for follow-up, will be noted.
5. Standardised interview notes are being consolidated into a compendium that is accessible to team members. This format enables the evaluators to search by theme, country, or issue, to draw responses from across the full set of interviews.

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<sup>22</sup> Unless they ask for them to be withheld.

**Figure 15 Interview Notes Format**

■ CONFIDENTIAL SUN ICE – Interview Notes CONFIDENTIAL

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**Date (e.g. 2014-06-22): Interviewee Name/Organisation**

*Please use above format for interview title; include as many interviews as convenient in the same draft document (we don't need a separate file for each); when finalised, all interview notes will be added to the Interview Compendium. Use the unshaded cells in the table below.*

|                       |   |                                  |      |
|-----------------------|---|----------------------------------|------|
| <b>GENERAL</b>        |   |                                  |      |
| Date:                 | Location of Interview:                      | Evaluation Team Members Present: |      |
| <b>INTERVIEWEE(S)</b> |   |                                  |      |
| Name: [gender?]       | Designation: [organisation, job title, etc] | Contacts: [phone / e-mail, etc]  |      |
| <b>NOTE TAKING</b>    |   |                                  |      |
| Name:                 | Date completed:                             | Recorded (Y/N):                  | Ref: |

**Background and Links to SUN**

*Interviewee's general background; Nature and dates of interviewee's involvement with SUN Movement*

**Topics**

*Record responses by topic with clear headings, not necessarily in chronological sequence of discussion. Make clear when a direct quote is recorded. Add headings and sub-headings as needed.*

**[To draw from Evaluation Matrix questions and sub-questions]**

Topic A

Topic B

**Data/documents provided/recommended**

*Seek full references for documents not already in study library.*

**Other proposed follow-up**

*e.g. other interviewees recommended / proposals on consultation and dissemination*

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## **Annex K     Selection of Country Cases**

### **Selection requirements**

1.     SUN is active in about 50 countries globally. The TOR indicate that the evaluation country case studies ‘should be selected on the basis of clearly defined and transparent criteria’ (¶28). The TOR also note that ‘it will not be possible to arrive at a truly representative sample of SUN countries’ given the diversity in terms of economic development, degree of preparedness for scaling up nutrition, length of involvement in the SUN movement and other divergent factors (¶29). The TOR require that the evaluation takes these differences into consideration and that countries selected are representative of this diversity.
2.     We note that the pursuit of statistical representativeness is not a realistic or necessary requirement. The case studies will be analytical, drawing on the evaluation's theory of change approach to assess whether and how SUN has been influential in different contexts (cf. Woolcock 2013). A theory-based approach is the key to judicious extrapolation of case study findings, and the evaluation matrix (Annex G) has been designed to serve as a basis for country-level as well as global analysis of how SUN operates. The case studies will explore how well the SUN support is tailored to the specific nutritional constraints and priorities in each country, and the influence of different contexts on SUN's performance. This approach to case studies informs our selection criteria.
3.     The available budget for the evaluation allows for a maximum of eight case studies; we explain below which countries have been selected (subject to confirmation with Focal Points and other stakeholders in each case) and on what criteria.

### **Decision criteria and rationale**

4.     Table 8 at the end of this Annex shows a range of relevant data for all SUN countries. It captures key indicators of the countries’ development status, nutrition status and nutrition preparedness as well as involvement in the SUN movement. Table 5 below explains the selection criteria adopted. For all criteria, the overarching rationale is to ensure that the focus of the evaluation is on SUN's added value beyond what countries are able to achieve independently (TOR ¶19). The evaluation team has drawn up the selection independently, although it has taken account of interviews with SMS and others. Table 7 shows the countries selected and how they compare on key dimensions of the selection criteria.

**Table 5 Selection criteria for case study countries**

| criteria   | Rationale   |
|--|---|
| Choose countries which joined SUN not later than 2012  | Likely to learn more from these than from more recent joiners. The verification survey (see Annex M) will test case study findings in countries which joined the movement more recently.  |
| Include countries with largest vulnerable populations (hence Indonesia, Bangladesh and Ethiopia) | To link analysis to numbers of potential beneficiaries. This selection to be balanced by smaller countries in the rest of the sample.   |
| A balance of countries of different income status  | To ensure coverage which reflects the different level of economic development in SUN countries (as per the TOR).  |
| Geographical variety   | Ensures regional coverage in response to the TOR requirement for countries to be selected from across different areas.  |
| Fragility status   | To ensure SUN is evaluated in both fragile and stable-state contexts  |
| State of nutrition preparedness  | To ensure that countries across the range of preparedness levels are assessed in order to understand how SUN adds value in countries at different ends of the preparedness scale.   |
| Whether REACH is active in the country or not  | To evaluate countries where REACH is active and not active to understand how REACH interacts with SUN.  |
| Whether SUN business network is active   | To include SBN activity among the detailed studies  |
| Whether SUN MPTF is active.  | To include MPTF activity among the detailed studies   |
| Draw on existing team expertise and country experience   | The time available for studies is compressed, and better value will be achieved if it is possible to deploy consultants already familiar with the country or region concerned. Similarly, making full use of the core members of the evaluation team will maximise cross-learning and consistency in the approach to the studies. |

5. Based on these criteria, the proposed set of case study countries is shown in Table 6 below, along with tentative timing and proposed international consultants. Table 7 below demonstrates that the proposed countries, as a group, satisfy the selection criteria.

**Table 6 Country Case Studies Proposed<sup>23</sup>**

| Country         | Team members/consultants                            | week of...   |
|-----------------|---|--------------|
| 1. Guatemala    | Muriel Visser (+ national/regional consultant tbc)  | 8 September  |
| 2. Ethiopia     | Stephen Lister, Stephen Anderson                    | 15 September |
| 3. Burkina Faso | Mirella Mokbel Genequand, Robrecht Renard           | 15 September |
| 4. Mozambique   | Muriel Visser, <i>Chris Tanner</i>                  | 22 September |
| 5. Senegal      | Robrecht Renard, <i>Liv Bjørnstad</i>               | 22 September |
| 6. Tanzania     | Alta Fölscher, Chris Leather                        | 6 October    |
| 7. Indonesia    | Stephen Turner (+ national/regional consultant tbc) | 13 October   |
| 8. Bangladesh   | Stephen Turner, <i>Ray Purcell</i>                  | 20 October   |

Note: Names in italics are not members of the core evaluation team, but are senior experts with previous experience of Mokoro case studies as well as relevant country/regional experience.

<sup>23</sup> Guatemala and Ethiopia have not yet confirmed their participation.

**Table 7 Summary data on countries selected for case studies**

|              | Joined SUN Not Later Than 2012 | Population (in millions) | Income Status (World Bank) | Region | Fragile State | Stage of Nutrition Preparedness | REACH Active | MPTF active | SBN active | Existing Team Expertise and Experience | Represented on Lead Group |
|--------------|--------------------------------|--------------------------|----------------------------|--------|---------------|---------------------------------|--------------|-------------|------------|--|---------------------------|
| Bangladesh   | ✓                              | 151.1                    | LIC                        | SA     | ✓             | 3                               | ✓            | ✓           |            | ✓                                      | ✓                         |
| Burkina Faso | ✓                              | 15.5                     | LIC                        | FWA    | ✓             | 2                               |              |             |            | ✓                                      |                           |
| Ethiopia     | ✓                              | 87.1                     | LIC                        | SEA    | ✓             | 3                               | ✓            |             |            | ✓                                      |                           |
| Guatemala    | ✓                              | 14.3                     | LMIC                       | LAC    |               | 3                               |              | ✓           |            | Regional                               |                           |
| Indonesia    | ✓                              | 240.7                    | LMIC                       | ECA    |               | 3                               |              |             | ✓          | ✓                                      | ✓                         |
| Mozambique   | ✓                              | 24                       | LIC                        | SEA    |               | 3                               | ✓            | ✓           |            | ✓                                      | ✓                         |
| Senegal      | ✓                              | 13                       | LMIC                       | FWA    |               | 3                               |              | ✓           |            | ✓                                      |                           |
| Tanzania     | ✓                              | 44.9                     | LIC                        | SEA    |               | 2-3                             | ✓            |             | ✓          | ✓                                      | ✓                         |

Source: Table 8 below.

**Table 8 Summary data on SUN countries.**

*Part 1 – Bangladesh to Malawi*

|   | End note/ref | Bangladesh | Benin | Burkina Faso | Burundi | Cameroun | Chad | Comoros | Cote D'Ivoire | Costa Rica | DR Congo | Republic of Congo | El Salvador | Ethiopia | Ghana | Guatemala | Guinea | Guinea Bissau | Haiti | India (Maharashtra) | Indonesia | Kenya | Kyrgyz Republic | Lao PDR | Liberia | Madagascar | Malawi |
|---|--------------|------------|-------|--------------|---------|----------|------|---------|---------------|------------|----------|-------------------|-------------|----------|-------|-----------|--------|---------------|-------|---------------------|-----------|-------|-----------------|---------|---------|------------|--------|
| <b>SUN Status</b>   |              |            |       |              |         |          |      |         |               |            |          |                   |             |          |       |           |        |               |       |                     |           |       |                 |         |         |            |        |
| Region  | 1            | SA         | FWA   | FWA          | SEA     | FCA      | ?    | ?       | FWA           | LAC        | ?        | ?                 | LAC         | SEA      | ?     | LAC       | FWA    | ?             | LAC   |                     | ECA       | SEA   | ?               | ECA     | ?       | SEA        | SEA    |
| Date of accession   | 2            | ?          | 2011  | 2011         | 2013    | 2013     | 2013 | 2013    | 2013          | 2014       | 2013     | 2013              | 2012        | 2012     | 2011  | 2010      | 2013   | 2014          | 2012  |                     | 2011      | 2012  | 2011            | 2011    | 2014    | 2012       | 2011   |
| <b>General indicators</b>                                   |              |            |       |              |         |          |      |         |               |            |          |                   |             |          |       |           |        |               |       |                     |           |       |                 |         |         |            |        |
| Population (in millions)                                    | 3            | 151.1      | 9.5   | 15.5         | 9.3     | 20.6     | 11.7 | 0.7     | 19.0          | 4.8        | 62.2     | 4.4               | 6.2         | 87.1     | 24.3  | 14.3      | 10.9   | 1.7           | 9.9   | 1.24 bn             | 240.7     | 40.9  | 5.3             | 6.4     | 4.2     | 21.1       | 15.0   |
| Per capita Income (in USD)                                  | 4            | 752        | 752   | 652          | 251     | 1167     | 1035 | 831     | 1244          | 9386       | 262      | 3154              | 3790        | 455      | 1605  | 3331      | 492    | 494           | 771   | 1503                | 3557      | 943   | 1155            | 1417    | 414     | 447        | 268    |
| World Bank income status                                    | 5            | LIC        | LIC   | LIC          | LMIC    | LMIC     | LIC  | LIC     | LMIC          | UMIC       | LIC      | LMIC              | LMIC        | LIC      | LMIC  | LMIC      | LIC    | LIC           | LIC   | LMIC                | LMIC      | LIC   | LIC             | LMIC    | LIC     | LIC        | LIC    |
| Fragile State   | 6            | Yes        |       | Yes          | Yes     | Yes      | Yes  | Yes     | Yes           |            | Yes      | Yes               |             | Yes      |       |           | Yes    | Yes           | Yes   |                     |           | Yes   |                 |         | Yes     | Yes        | Yes    |
| <b>Nutrition indicators</b>                                 |              |            |       |              |         |          |      |         |               |            |          |                   |             |          |       |           |        |               |       |                     |           |       |                 |         |         |            |        |
| Percentage of under five stunting                           | 7            | 41.3       | 38    | 34.6         | 58      | 32.5     | 38.7 | 46.9    | 29.8          | 5.6        | 43.3     | 31.2              | 19.2        | 44.4     | 28    | 43.3      | 31     | 27.7          | 22    | 47.9                | 37        | 35    | 17.7            | 44.2    | 39.4    | 50.1       | 47.1   |
| Global ranking of stunting prevalence                       | 8            | 6          | 50    | 31           | 51      | 30       | 39   | 103     | 26            | 114        | 8        | 76                | 83          | 7        | 34    | 28        | 49     | 82            | 59    | 1                   | 5         | 16    | 87              | 58      | 72      | 21         | 25     |
| Global Hunger Index score (2013)                            | 9            | 19.4       | 13.3  | 22.2         | 38.8    | 14.5     | 26.9 | 33.6    | 16.1          | <5         |          | 20.5              | 6.8         | 25.7     | 8.2   | 15.5      | 16.9   | 14.3          | 23.3  | 21.3                | 10.1      | 18    | <5              | 18.7    | 17.9    | 25.2       | 15.1   |
| Global Hunger Index rank (2013)                             | 10           | 58         | 30    | 65           | 78      | 36       | 73   | 76      | 44            |            |          | 61                | 13          | 71       | 18    | 42        | 48     | 34            | 67    | 63                  | 23        | 51    |                 | 54      | 50      | 70         | 40     |
| HANCI Ranking (2013)  | 11           | 16         | 21    | 9            | 32      | 38       |      |         | 33            |            | 41       |                   |             | 22       | 10    | 1         |        | 45            |       |                     | 12        | 27    |                 |         | 31      | 5          | 3      |
| Nutrition Governance Indicator                              | 12           | W          |       | S            | S       | M        |      |         | M             |            | M        |                   |             | M        | W     | M         |        |               |       | S                   | M         | W     |                 |         |         | M          | S      |
| <b>SUN/Nutrition information and activity</b>               |              |            |       |              |         |          |      |         |               |            |          |                   |             |          |       |           |        |               |       |                     |           |       |                 |         |         |            |        |
| Included in SUN 2013 country fiches                         | 13           | X          | X     | X            | X       | X        | X    |         | X             |            | X        |                   | X           | X        | X     | X         | X      |               | X     |                     | X         | X     | X               | X       |         | X          | X      |
| World Bank Nutrition Profile                                | 14           | X          |       | X            | X       | X        |      | X       | X             |            | X        | X                 | X           | X        | X     | X         | X      | X             | X     | X                   | X         | X     |                 | X       |         | X          | X      |
| MPTF funding  | 15           | X          |       |              | X       |          |      |         |               |            |          |                   | X           |          | X     | X         | X      |               |       |                     |           | X     | X               | X       |         | X          | X      |
| REACH active  | 16           | X          |       |              | X       |          | X    |         |               |            |          |                   |             | X        | X     |           |        |               |       |                     |           |       |                 |         |         |            |        |
| Represented on Lead Group                                   | 17           | X          |       |              |         |          |      |         |               |            |          |                   |             |          |       |           |        |               |       |                     |           |       |                 |         |         |            |        |
| Business Network Active (incomplete)                        | 18           |            |       |              |         |          |      |         |               |            |          |                   |             |          |       |           |        |               |       |                     | X         | X     |                 |         |         |            | X      |
| Recent national nutrition plan                              | 19           | X          | X     |              |         |          |      |         |               |            |          |                   |             | X        |       | X         |        |               | X     |                     | X         | X     |                 |         |         | X          | X      |
| Nutrition plan reviewed by MQSUN                            | 20           | X          | X     | X            |         |          |      |         |               |            |          |                   |             |          | X     |           |        | X             |       | X                   | X         | X     |                 |         |         | X          | X      |
| Nutrition plan assistance requested                         | 21           |            |       |              | X       | X        | X    |         |               |            |          |                   |             |          | X     |           |        |               |       | X                   |           | X     |                 |         |         |            | X      |
| Stage of readiness according to progress markers (SUN 2013) | 22           | 3          | 2>3   | 2            | 2>3     | b/l      | b/l  |         | b/l           |            | b/l      |                   | b/l         | 3        | 2     | 3         | b/l    |               | 3     |                     | 3         | b/l   | 2               | 2       |         | 3          | 3      |

*SUN Independent Comprehensive Evaluation – Inception Report*

*Part 2 – Mali to Zimbabwe*

|   | End note ref | Mali | Mauritania | Mozambique | Myanmar | Namibia | Nepal | Niger | Nigeria | Pakistan | Peru | Rwanda | Senegal | Sierra Leone | South Sudan | Sri Lanka | Swaziland | Tajikistan | Tanzania | Togo | The Gambia | Uganda | Vietnam | Yemen | Zambia | Zimbabwe |
|---|--------------|------|------------|------------|---------|---------|-------|-------|---------|----------|------|--------|---------|--------------|-------------|-----------|-----------|------------|----------|------|------------|--------|---------|-------|--------|----------|
| <b>SUN Status</b>   |              |      |            |            |         |         |       |       |         |          |      |        |         |              |             |           |           |            |          |      |            |        |         |       |        |          |
| Region  | 1            | FWA  | FWA        | SEA        | ECA     | SEA     | SA    | FWA   | ?       | SA       | LAC  | SEA    | FWA     | ?            | SEA         | SA        | SEA       | ECA        | SEA      | FWA  | ?          | SEA    | ECA     | ?     | SEA    | SEA      |
| Date of accession   | 2            | 2011 | 2011       | 2011       | 2013    | 2011    | 2011  | 2011  | 2011    | 2013     | 2010 | 2011   | 2011    | 2012         | 2013        | 2012      | 2013      | 2013       | 2013     | 2011 | 2014       | 2011   | 2014    | 2012  | 2010   | 2011     |
| <b>General indicators</b>                                   |              |      |            |            |         |         |       |       |         |          |      |        |         |              |             |           |           |            |          |      |            |        |         |       |        |          |
| Population (in millions)                                    | 3            | 14.0 | 3.6        | 24.0       | 51.9    | 2.2     | 26.8  | 15.9  | 159.7   | 173.1    | 29.3 | 10.8   | 13.0    | 5.8          | 10.8        | 20.8      | 1.2       | 8.0        | 44.9     | 6.6  | 1.7        | 34.0   | 88.8    | 22.8  | 13.2   | 13.1     |
| Per capita Income (in USD)                                  | 4            | 699  | 1106       | 565        |         | 5786    | 690   | 395   | 2722    | 1257     | 6796 | 620    | 1023    | 635          | 943         | 2923      | 3042      | 953        | 609      | 574  | 507        | 551    | 1755    | 1498  | 1463   | 714      |
| World Bank income status                                    | 5            | LIC  | LMIC       | LIC        | LIC     | UMIC    | LIC   | LIC   | LMIC    | LMIC     | UMIC | LIC    | LMIC    | LIC          | LIC         | LMIC      | LMIC      | LIC        | LIC      | LIC  | LIC        | LIC    | LMIC    | LMIC  | LMIC   | LIC      |
| Fragile State   | 6            | Yes  | Yes        |            | Yes     |         | Yes   | Yes   | Yes     | Yes      |      |        |         | Yes          | Yes         | Yes       |           |            |          | Yes  |            | Yes    |         | Yes   |        | Yes      |
| <b>Nutrition indicators</b>                                 |              |      |            |            |         |         |       |       |         |          |      |        |         |              |             |           |           |            |          |      |            |        |         |       |        |          |
| Percentage of under five stunting                           | 7            | 38.5 | 18         | 42.6       | 35.1    | 29      | 40.5  | 43.9  | 35.8    | 43.7     | 18.1 | 44.2   | 15.5    | 34.1         | 36.2        | 19.2      | 31        | 26.8       | 42       | 29.8 | 23.4       | 33.4   | 23.3    | 57.7  | 45.4   | 32       |
| Global ranking of stunting prevalence                       | 8            | 38   | 77         | 20         | 18      | 89      | 19    | 23    | 3       | 4        | 36   | 37     | 57      | 61           | NR          | 65        | 100       | 63         | 10       | 71   | 91         | 14     | 13      | 176   | 32     | 52       |
| Global Hunger Index score (2013)                            | 9            | 14.8 | 13.2       | 21.5       |         | 18.4    | 17.3  | 20.3  | 15      | 19.3     | 5.5  | 15.3   | 13.8    | 22.8         |             | 15.6      | 14.4      | 16.3       | 20.6     | 14.7 | 14         | 19.2   | 7.7     | 26.5  | 24.1   | 16.5     |
| Global Hunger Index rank (2013)                             | 10           | 38   | 28         | 64         |         | 53      | 49    | 60    | 39      | 57       | 6    | 41     | 31      | 66           |             | 43        | 35        | 45         | 62       | 37   | 33         | 56     | 16      | 72    | 69     | 46       |
| HANCI Ranking (2013)  | 11           | 24   | 37         | 25         | 43      |         | 6     | 23    | 34      | 28       | 2    | 12     | 14      | 29           |             |           |           |            | 7        | 36   | 8          | 17     | 15      | 40    | 30     |          |
| Nutrition Governance Indicator                              | 12           | W    |            | W          | M       |         | M     | M     | S       | W        | S    |        |         |              |             |           |           |            | W        |      |            | S      | S       | W     | M      |          |
| <b>SUN/Nutrition information and activity</b>               |              |      |            |            |         |         |       |       |         |          |      |        |         |              |             |           |           |            |          |      |            |        |         |       |        |          |
| Included in SUN 2013 country fiches                         | 13           |      | X          | X          | X       | X       | X     | X     | X       | X        | X    | X      | X       | X            | X           | X         | X         | X          | X        | X    | X          | X      | X       | X     | X      | X        |
| World Bank Nutrition Profile                                | 14           | X    | X          | X          | X       | X       | X     | X     | X       | X        | X    | X      | X       | X            | X           | X         | X         | X          | X        | X    | X          | X      | X       | X     | X      | X        |
| MPTF funding  | 15           | X    | X          | X          | X       |         | X     | X     |         | X        |      |        | X       | X            |             | X         |           |            | X        | X    |            |        |         |       |        | X        |
| REACH active  | 16           | X    | X          | X          |         |         | X     | X     |         |          |      | X      |         | X            |             |           |           |            | X        |      |            | X      |         |       |        |          |
| Represented on Lead Group                                   | 17           |      |            | X          |         | X       |       |       | X       |          | X    |        |         |              |             |           |           |            | X        |      |            |        |         |       |        |          |
| Business Network Active (incomplete)                        | 18           |      |            |            |         |         |       |       | X       |          |      |        |         |              |             |           |           |            | X        |      |            |        |         |       |        |          |
| Recent national nutrition plan                              | 19           |      | X          | X          |         |         | X     |       |         |          |      |        |         | X            |             |           |           | X          |          |      |            | X      | X       |       |        |          |
| Nutrition plan reviewed by MQSUN                            | 20           |      |            | X          |         |         | X     | X     |         |          | X    | X      | X       | X            |             |           |           |            | X        |      |            | X      | X       |       | X      |          |
| Nutrition plan assistance requested                         | 21           | X    | X          |            |         |         | X     |       |         |          |      |        |         | X            |             |           |           |            |          |      |            |        |         | X     |        |          |
| Stage of readiness according to progress markers (SUN 2013) | 22           | 2    | 2          | 3          | b/l     | 2>3     | 3     | 2>3   | 1>2     | b/l      | 3    | 3      | 3       | 3            | b/l         | b/l       |           |            |          | 2>3  |            | 3      | 3       |       | b/l    | 2>3      |

### *Explanatory Notes*

1. Regions as described in the TOR (p.8). These definitions leave the region of some countries (e.g. Anglophone West African countries) undetermined.
2. Taken from SUN website country profiles. Bangladesh has two members on the Lead Group and was appointed focal point in 2012, but ACF 2012 study indicates no official letter of accession sent. Ethiopia may also lack an official dated letter of accession.
3. Population data taken from SUN 2013 Country Fiches for those countries included and, for those countries not included, from the World Bank data bank (available at: <http://databank.worldbank.org/data/views/reports/tableview.aspx?isshared=true>)
4. Source: World Bank data bank (available at: <http://data.worldbank.org/indicator/NY.GDP.PCAP.CD>).
5. World Bank definitions used (LIC - Low Income Country, LMIC - Lower-middle Income Country, UMIC – Upper-middle Income Country). Source: World Bank data bank (available at: <http://data.worldbank.org/about/country-classifications/country-and-lending-groups>)
6. Source: OECD Fragile States 2014 Report (available at: <http://www.oecd.org/dac/incaf/FSR-2014.pdf>).
7. Stunting data taken from SUN 2013 Country Fiches for those countries included and, for those not included, from the WHO NLiS data source (available at: <http://apps.who.int/nutrition/landscape/report.aspx?rid=161&template=nutrition>).
- 8 The global rank is based on the number of stunted children in each country. Source: UNICEF Tracking Progress on Child and Maternal Nutrition 2009 Report (pp. 102-103). NR indicates that the country has not been ranked.
9. Source: IFPRI, 2013 Global Food Policy Report, pp. 114-115). ND indicates that there is no data available.
10. Rank is taken from the World Bank Country Nutrition Profiles (available at: <http://www.worldbank.org/en/topic/health/publication/nutrition-country-profiles>).
11. Hunger and Nutrition Commitment Index (HANCI) ranking. Source: HANCI 2013 Report
12. Nutrition Governance scored as Weak (W), Medium (M) or Strong (S). Source: UN Standing Committee on Nutrition, Landscape Analysis on countries' readiness to accelerate action in nutrition, 2009 (p. 14).
13. Source: SUN Compendium of SUN Country Fiches, September 2013.
14. World Bank Country Nutrition Profiles (follow link in ref.10 above).
15. Source: UNDP Multi-Partner Trust Fund website (available at: <http://mptf.undp.org/portfolio/fund>).
16. Taken from the REACH website.
17. Brazil is also represented on the Lead Group.
18. Sporadic mentions on the SUN Business Network and SUN websites. TOR states on page 6: "As of March 14, eight developing countries had signed up for specific activities that the network is facilitating at country level and discussions are underway with several others".
19. Drawing on information available on the SUN website country profiles. Excluded countries are Rwanda (2005 policy) and Malawi (only flyers).
20. Source: Lead Group State of the SUN Movement Progress Report, 2014 (p. 10).
21. Lead Group State of the SUN Movement Progress Report, 2014 (p. 11).
22. Taken from the SUN Movement Progress Report, September 2013 (pp. 54-55). Countries marked b/1 (baseline) were completing baseline surveys.

## Annex L Country Case Study Guidelines

1. Table 9 below shows the main steps for each country case study (CCS). Templates for the various documents involved will be developed and shared with the team during August (in most cases they will be adapted from similar instruments Mokoro has used in recent and ongoing case study work).

2. Table 10 below indicates potential interviewees at country level. This list has been broadly based on the stakeholder analysis in Annex D. The column which provides details on the information sought/aim of meeting will be guided by the evaluation matrix – therefore the areas included are very much high-level aims.

3. It is highly unlikely that during the limited time available for country visits consultants will be able to meet with all of these stakeholders. Rather the country teams, with support from the research team and advice from the SMS and country focal points will identify key stakeholders to focus on. When practical (without undermining the quality and frankness of the discussion) group interviews/focus group discussions may be arranged.

**Table 9 Country Case Studies step by step**

| Steps for Each Country Case Study  | Who/when   |
|--|--|
| <p><b>1. Prepare country dossier</b></p> <p>The dossier will include:</p> <ul style="list-style-type: none"> <li>➤ a <b>country folder</b> in the team's e-library where key country-specific documents are systematically gathered; these will include: <ul style="list-style-type: none"> <li>○ country nutrition profiles, fiches etc. (cf. Annex I)</li> <li>○ country nutrition plans, policies etc.</li> <li>○ overarching country planning documents, and key documents from nutrition-sensitive sectors</li> <li>○ programme documents, reports, evaluations on nutrition related interventions</li> <li>○ relevant case studies involving the country (including those mentioned in Annex K, Table 8)</li> <li>○ documents on in-country partnerships and aid management (e.g. SWAps, Paris declaration evaluation etc.)</li> </ul> </li> </ul> | <p>Research team, ongoing</p> <p>(will liaise with SMS country team)</p> <p>briefing paper will be started in July; it will be kept in a shared folder and built up progressively; it will be substantially complete at least two weeks before the country visit is scheduled.</p> |
| <ul style="list-style-type: none"> <li>➤ a <b>country briefing paper</b> to include: <ul style="list-style-type: none"> <li>○ a chronology of key nutrition events and of SUN's engagement with the country</li> <li>○ a stakeholder map, together with names and contacts for potential interviewees (cf. Table 10 below)</li> <li>○ a succinct guide to key documents in the country folder</li> <li>○ the most recent summary data from country fiche etc.</li> <li>○ mentions of the country concerned extracted from the ICE interview compendium, and from other SUN</li> </ul> </li> </ul>  |  |

| Steps for Each Country Case Study  | Who/when  |
|--|---|
| <p>documents such as annual reports or thematic studies</p> <ul style="list-style-type: none"> <li>○ relevant extracts from the records of SUN country network calls and from other networks' records</li> </ul>   |   |
| <p><b>2. Advance planning of country visit</b></p> <p>As soon as the CCS selections are approved in principle, country focal points will be contacted to confirm the country's willingness to participate and the timing of the visit.</p> <p>Develop visit timetable and inform all stakeholders with whom the study team intends to engage. Arrange travel and other logistics.</p> <p>[The research team, with the TL, will prepare generic materials to brief country stakeholders about the evaluation and the role in it of the CCSs.]</p>   | <p>Mokoro assignment manager, coordinating with research team and CCS leader.</p> <p>Communications to be facilitated by SMS.</p> |
| <p><b>3. Advance interviews</b></p> <p>As well as visit planning with the country focal point, seek advance discussion with donor convenor; if key players are not currently in-country, seek advance interview.</p> <p>Also, for understanding and flavour, listen to relevant segments of SUN country network teleconference.<sup>24</sup></p>   | <p>CCS team and research support (along with other team members where appropriate)</p>  |
| <p><b>4. CCS issues paper</b></p> <p>A very brief note (internal to the team) setting out:</p> <ul style="list-style-type: none"> <li>○ The proposed CCS programme/schedule (particularly which stakeholders the team will prioritise).</li> <li>○ The main themes this particular CCS is expected to illustrate and the topics the team will therefore concentrate on. (Generic questions will be common to all CCSs, but some will focus particularly on, for example, business network, REACH and MPTF activities where these exist, or on aspects of decentralisation, etc.)</li> </ul> <p>The issues paper will be circulated for comment to all evaluation team members, who will thus have an opportunity to ensure that questions related to their specialist topics are not overlooked.</p> | <p>CCS leader, at least one week before the visit.</p>  |
| <p><b>5. Country visit</b></p> <p>a) <b>Initial briefing</b></p> <p>Schedules will be developed pragmatically in discussion between the CCS leader and country focal point. Ideally, however, there will be an early meeting with the focal point and other key actors; to start with a briefing on the evaluation, the purpose of the CCS, the proposed CCS schedule, and the key issues the CCS team has identified.</p>   | <p>CCS team (visits staggered in September and October)</p>   |

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<sup>24</sup> Recordings are available from SMS.

| Steps for Each Country Case Study   | Who/when   |
|---|--|
| <p>b) <b>Programme of meetings</b></p> <p>To be drawn up on the basis of the stakeholder mapping, and to include individual interviews, focus groups, participation in scheduled SUN and other relevant events.</p> <p>c) <b>In-country feedback</b></p> <p>Ideally the team will meet again with the same group briefed at the outset; to provide a concise oral/PowerPoint presentation to cover:</p> <ul style="list-style-type: none"> <li>○ activities undertaken during the visit</li> <li>○ emerging issues/findings, structured according to (a relevant subset of) the main evaluation questions (cf. Table 2 of this Inception Report)</li> <li>○ points for follow-up and further consideration</li> </ul> |  |
| <p><b>6. CCS aide memoire /reporting grid</b></p> <p>A concise report, for internal team purposes, covering main findings and lessons. This will include a standard grid in which CCS teams will enter their findings/conclusions against specific EQs, noting the evidence on which the conclusions are based.</p> <p>The aide memoire will highlight tentative findings about why certain things worked or did not work in this country context.</p> <p>CCS team's notes of interviews will be added to the interview compendium.</p>   | <p>Within one week of returning from the field.</p>            |
| <p><b>7. Additional interviews (if required)</b></p> <p>Follow-up interviews with additional informants on crucial issues arising from the country visit.</p>   | <p>CCS team/research support; as early as convenient</p>       |
| <p><b>8. Synthesis of CCS findings / input to survey</b></p> <p>A consolidated grid of CCS findings will be a key input to the design of the survey (see Annex M) which will test hypotheses developed during the CCSs.</p>   | <p>TL, research coordinator and team</p> <p>Early November</p> |

**Table 10 Potential case study interviewees (preliminary listing)**

| Potential interviewee         | Information sought/Aim of meeting  |
|-------------------------------|--|
| <p><b>SUN Focal Point</b></p> | <p>Focal Point own personal background, overview of SUN in country, context, direct experiences, key personnel. Also providing information on country-level efforts to scale up nutrition –including experience to date, new/pre-existing multi-stakeholder structures, successes, points of failure, views on future directions, the role of SUN at global/national level, relationships with and between Government stakeholders and other international and national organisations.</p> |

| Potential interviewee   | Information sought/Aim of meeting   |
|---|---|
| <p><b>Government ministries:</b> Key Government ministries represented on Multi-stakeholder Platform, as well as other key ministries, representatives from SWAp mechanisms (where active), relevant sub-national level structures (where appropriate and possible)</p>   | <p>Government officials will be key informants providing country-context, direct experience and analysis of interaction with the SUN Movement. Also providing information on country-level efforts to scale up nutrition – including experience to date, new/pre-existing multi-stakeholder structures, successes, points of failure, views on future directions, the role of SUN at global/national level. Provide information on support received through the Movement.</p> |
| <p><b>Donors:</b> interviewees will include the SUN Donor Convenor and relevant donor representatives in country. Multi-stakeholder Platform representatives (where relevant.)</p>  | <p>Key informants on decision-making, directions, donor alignment, strategies and targeted nutrition support at country-level. Information on resourcing and coordination of nutrition interventions.</p>   |
| <p><b>UN Agencies operating at country level</b> (involved in nutrition-specific and nutrition-sensitive interventions): interviewees will include agency representatives, the REACH Facilitator (as relevant) and Multi-stakeholder Platform representatives (where relevant).</p>                             | <p>Key informants on coordination, alignment and activity at country level. Interaction with other country-level stakeholders. UN agencies may be conduits of MPTF funding to recipient bodies at country-level.</p>  |
| <p><b>Civil Society Organisations:</b> Will include Convenors of Country Civil Society Alliances / Platforms and implementing partners – INGOs, NGOs and CBOs (members of Civil Society Alliances/Platforms) and Multi-stakeholder Platform representatives (where relevant).</p>                               | <p>Key informants on activities, priorities, coordination and context at country-level, as well as engagement with the SUN Movement globally. Provide information on support received through the Movement (may be recipients of MPTF funding).</p>   |
| <p><b>Businesses</b> – Representatives (heads of business / business partners) from international businesses with national presence and local businesses, both with nutrition/nutrition-related focus –and Multi-stakeholder Platform representatives (where relevant).</p>                                     | <p>Informants on private sector activities and strategies for engagement with nutrition (and reduction of malnutrition) at country-level and interaction with the Global Business Network. Provide information on support received through the Movement.</p>  |
| <p><b>National level nutrition-related networks / partnerships / initiatives:</b> National level networks operating ‘outside’ the SUN Movement (i.e. not ‘members’ or ‘friends’ of any of the SUN Networks and / or operating in non-SUN countries) to coordinate national activities related to nutrition.</p> | <p>Source of information on country-level activities and efforts to scale up nutrition. Provide perspective of activities taking place ‘outside’ the SUN Movement.</p>  |

| <b>Potential interviewee</b>   | <b>Information sought/Aim of meeting</b>  |
|--|---|
| <p><b>National level Academic and Research Institutions / selected media representatives:</b><br/>interviewees will include identified individuals from relevant institutions and key media representatives (if appropriate) with a focus on nutrition</p> | <p><i>Source of information on priorities and challenges at national level in the nutrition arena, as well as specific data on nutrition status of the country. Potentially valuable as a more objective opinion on the SUN Movement and specific contributions to nutrition activities in-country.</i></p> |
| <p><b>Local detractors / sceptics:</b><br/>Specific groups/individuals within the country and (potentially) all groups/individuals from those groups already detailed above.</p>   | <p><i>Key informants providing critical perspectives on the SUN Movement and its modus operandi, its successes and the future of the Movement – with specific information of SUN Movement activity at country-level.</i></p>  |

## **Annex M Survey Approach and Methods**

### **Survey Objectives**

1. The primary purpose of the validation survey instrument will be to test the wider relevance and comprehensiveness of the preliminary findings emerging from country case studies and other data collection tools. A survey presents the distinct advantage of being capable of reaching a wider set of stakeholders than it is possible to interview directly. Emulating and learning from the survey methodology adopted in the SUN stewardship study (Isenman et al 2011), participants will be requested to validate (or otherwise) selected findings, weigh them in line with their perceived importance, and will also have the opportunity to elaborate on their evidence base for agreeing or otherwise. The survey will furthermore allow for the discovery of additional insights or overlooked lines of enquiry.
2. A survey at this stage in the evaluation has the added advantage of providing an indication of the likely stakeholder reception to the preliminary findings and recommendations, allowing the evaluation team to “road test” their feasibility and political acceptability.

### **Issues to be tested**

3. The survey will be designed to validate and affirm the specific evaluation findings, and as such it is not possible to predetermine the exact issues to be tested at this inception phase. Formulation of survey questions will be led by the Team Leader, and a draft list will be shared with the Evaluation Manager for comment in advance of circulation.
4. It is expected that by and large the issues to be tested will be the same across all categories of respondents to enable the systematic collection of perceptions data from different types of stakeholder. However the wording of the questions may be tailored to the respondent; for example, individuals engaging in SUN at country level may be given subtly different questions to those working at regional or global level, in an effort to focus responses on their experience in a specific country for the former and more generally/cross-country for the latter.

### **Structure and design**

5. Parsimony will be a key design principle for the survey; our experience has shown that response rates are greatly affected by the length of the survey and as such we will prioritise what issues are addressed in the survey to limit the number of questions and completion time requirement.
6. The survey will consist of largely multiple choice questions, the responses to which may be dichotomous (e.g. Y/N; agree/disagree), likert-scale (providing a weighted opinion across a scale – e.g. strongly disagree/ disagree/ neutral/ agree/ strongly agree), or ordinal (providing ranking of a series of statements). In addition most of the questions will be accompanied by a comment box, enabling those

respondents who wish to provide further qualitative explanation to do so, without compromising the minimum requirement response time. As an indicative target, the core survey (excluding comment boxes) should not take longer than 30 minutes to complete (ideally less), which implies a ballpark of maximum 25 questions.

7. The survey will be designed in a way to avoid the perception of being too leading (a criticism levied on the SUN stewardship report), by, for example, varying the position statements so that some are the inverse of emerging findings (and as such to “disagree” would be to endorse the finding).

8. The survey will be available in English, French and Spanish, and will be anonymous to promote frank assessment.

9. Two potential survey development packages have been identified as potentially suitable, SurveyMonkey and Adobe FormsCentral, each of which has advantages and drawbacks. SurveyMonkey is an online, cloud based service which records the URL and e-mail address of respondents, and as such has the ability to track respondents and automatically generate reminder e-mails. Whilst its web-based nature is not ideal for those in countries with intermittent internet connectivity, it has the ability to allow respondents to save incomplete survey and return to it later. It has useful functionality, such as skip logic, and has substantial inbuilt analysis capability, but results can also be exported to excel and SPSS. Adobe FormsCentral provides respondents with the option of filling in the survey through a PDF or online, which is ideal for those with internet connectivity issues. However, with no save functionality the web-based form needs to be completed in one sitting, underlining the importance of brevity. Skip logic functionality is also only available in the online format and not on the PDFs. Results from Adobe FormsCentral can be exported into Excel for analysis. It is probable that the Evaluation Team will test the functionality of both the systems once the questions have been developed, before a final decision is made.

10. The team leader will supervise the survey design, with support from the Research Coordinator and input from the Evaluation Team members.

### **Sample Frame**

11. Given that the purpose of the verification survey is to help to ensure that voices are heard from non-case-study countries as well case-study countries, and to capture the views of a broader set of stakeholders than could feasible be collected through interviews, the survey will be distributed to a wide audience covering all the main stakeholder groups in the stakeholder analysis at Annex D (with the exception of direct beneficiaries). This includes representation from:

- *Government:* the survey will be sent to all SUN country focal points (including those covered by country case studies and those not), and previous focal points where possible. The inclusions of relatively new SUN countries (i.e. those that joined since 2012) will be important here as they are not represented in country studies. Country Network resource people and

representatives from key non-SUN country Governments (e.g. Brazil) working on nutrition will also be surveyed.

- *SUN governance bodies*: to include representatives from the Lead Group, Visioning Sub Group and Secretariat.
- *Donors*: to include current and former donor conveners in all SUN countries (including case study countries, and non-case study countries), representatives from the Global Donor Network, and lead nutrition donors in key non-SUN countries will be included.
- *Civil society*: Civil Society Network members, members of civil society country alliances.
- *UN*: nutrition leads within key agencies (UNICEF, WHO, WFP, FAO, IFAD), representatives from UN Standing Committee on Nutrition Secretariat, UN REACH Partnership Secretariat and Steering Committee.
- *Business*: Network coordinators, representatives from the Advisory Group and Operations Committee members, and member companies.
- Other nutrition related global networks and research institutes with a nutrition focus.

12. Within the above categories, efforts will be made to ensure the survey reaches known sceptics of SUN as well as those closely involved with the movement.

13. The Sun Movement Secretariat and the SUN networks (donor, civil society, UN and private sector) will be relied on to provide the bulk of these contacts. It is expected that a lot of follow-up by phone and email will be required, which will be the responsibility of the Research Coordinator. She will keep track of responses as they come in, in order to focus follow-up efforts on under-represented constituency groups.

14. For similar sorts of surveys, a 30-35% overall response rate is normally considered acceptable.

### **Analysis**

15. Analysis of survey data will likely include basic statistics on percentage of respondents agreeing and disagreeing as well as statistical means. We will be wary of selection bias, and will seek to disaggregate results according to stakeholder grouping, and for those working at the country level, by region, and country income status. Other potential disaggregation will be explored, for example by duration of SUN country membership.

16. Qualitative responses will be recorded and analysed in a similar format to the interview notes, through a thematically arranged searchable compendium.

17. All reporting on survey results will be anonymised.

### **Timing and administration**

18. The survey is scheduled to be circulated to stakeholders in early November, following the completion of the country case studies. From the time the notification for participation in the survey is sent out, preferably in a single mail shot, the participants will have five working days to respond. A reminder will be sent out 24 hours before the deadline, and there will be an unadvertised grace period of 24 hours following the deadline for late responses to allow for time differences in time zones. The time schedule for completing the survey must be respected in order that the results can be analysed sufficiently and reflected in the final Evaluation Report.

19. For the survey to secure a reasonable response within the short time period available, it would be helpful if the participants are briefed in advance of receiving the survey. The Evaluation Team will look to the SMS to facilitate this, and if feasible will schedule the survey distribution to follow planned secretariat communications or conference calls.

20. The administration of the survey will be overseen by the Research Coordinator.

## **Annex N Evaluation Progress**

1. Mokoro was informed of the selection outcome on 10 June 2014 and the contract was awarded on 20 June 2014. Following a series of preliminary calls with the Bill & Melinda Gates Foundation (BMGF) (on contractual issues) and with the SUN Secretariat (on scheduling the Geneva visit), the evaluation team have undertaken a series of activities, adhering to the timeline in Mokoro's technical proposal. The key activities undertaken to date are summarised below:

- **Observation of Country Network Calls (week of 16 June):** *Some team members were able to listen in to a sample of SUN's bimonthly conference calls with groups of SUN countries.*
- **Inception visit to Geneva (23–25 June):** *Stephen Lister (team leader), alongside Muriel Visser and Mirella Mokbel Genequand (core team members) and Lilli Loveday (research support/assignment manager) travelled to Geneva for a three-day series of meetings with the SUN Secretariat. Interviews conducted during the period are summarised in the table below. The visit was primarily a 'fact-finding' mission and opportunity to learn the history, structure and operations of the SUN Movement to form the basis of subsequent work and, importantly, to inform the team workshop. Interviews were also arranged with available agencies (Global Social Observatory and the SCN) based in Geneva.*
- **Appointment of Evaluation Manager:** *Following recommendations from the QAA panel, the BMGF identified and hired an Evaluation Manager to oversee the evaluation and facilitate communication between the evaluation team and relevant stakeholders (especially the Visioning Sub Group, the BMGF and the Secretariat). The team travelling to Geneva met with the Evaluation Manager (Ruwan de Mel) during the visit and he joined the team workshop in Oxford.*
- **Document assembly / review (10 June – on-going):** *Key documents have been collected and systematically filed in a Team Dropbox folder. Simultaneously, gaps in documentation and data have been identified and requested (where possible) or listed as follow-up activity as Global Analysis phase. This is an on-going task.*
- **Team workshop in Oxford (08-10 July):** *All core team members gathered at the Mokoro Headquarters in Oxford for a three-day workshop. (The Evaluation Manger also attended as an observer.) The workshop was primarily utilised to:*
  - *Ensure a common understanding of SUN and the SUN ICE requirements.*

- *Discuss evaluation methodology –evaluation matrix / theory of change; case study country selection and CCS methodology; stakeholder mapping.*
  - *Plan next phases of work for team members.*
  - **Interviews (between 25 June – 18 July):** *initial interviews with key individuals from SUN Networks and the Visioning Sub Group arranged. Intended to provide further context of and insight into the SUN Movement as well as understanding/ clarification of the requirements of the SUN ICE from key perspectives. Not intended as ‘in-depth’ interviews, which will be arranged as required in due course.*
2. Table 11 below lists interviews conducted throughout the inception period in chronological order.

**Table 11 Interviews conducted**

| <b>Name</b>             | <b>Position Title</b>   | <b>Organisation</b>             | <b>Interview date</b> |
|-------------------------|---|---------------------------------|-----------------------|
| David Nabarro           | SUN Coordinator   | SUN Secretariat                 | 23/06/2014            |
| Florence Lasbennes      | Chief of Staff / SRSG Office                                  | SUN Secretariat                 | 24/06/2014            |
| Delphine Babin-Pelliard | Country Liaison Officer                                       | SUN Secretariat                 | 24/06/2014            |
| Pau Blanquer            | Country Liaison Officer                                       | SUN Secretariat                 | 24/06/2014            |
| Fanny Granchamp         | Support Officer to the Country Liaison Officers               | SUN Secretariat                 | 24/06/2014            |
| Patrizia Fracassi       | Senior Nutrition Analyst and Policy Advisor                   | SUN Secretariat                 | 24/06/2014            |
| Martin Gallagher        | Network Adviser   | SUN Secretariat                 | 24/06/2014            |
| Fiona Watson            | Advisory on Advocacy and Communication                        | SUN Secretariat                 | 24/06/2014            |
| Elena Gaino             | Administrator   | SUN Secretariat                 | 24/06/2014            |
| Matthew Cousins         | Advisor to the Lead Group                                     | SUN Secretariat                 | 25/06/2014            |
| Maria Pizzini           | Advisor on Website and Communication                          | SUN Secretariat                 | 25/06/2014            |
| Thuy Nguyen             | Advisor on Branding   | SUN Secretariat                 | 25/06/2014            |
| Ralph M Doggett         | Secretary Treasurer   | Global Social Observatory       | 25/06/2014            |
| Katherine A Hagen       | Executive Director  | Global Social Observatory       | 25/06/2014            |
| Marcella Wüstefeld      | Technical Officer   | UNSCN Secretariat               | 25/06/2014            |
| Lina Mahy               | Technical Officer   | UNSCN Secretariat               | 25/06/2014            |
| Leslie Elder            | Senior Nutritionist   | World Bank                      | 07/07/2014            |
| Shawn Baker             | Head of Nutrition   | Bill & Melinda Gates Foundation | 07/07/2014            |
| Jean Pierre Halkin      | Head of Unit (Rural Development, Food and Nutrition Security) | European Commission             | 08/07/2014            |
| Claire Blanchard        | Coordinator, SUN CSO Network                                  | SAVE UK                         | 08/07/2014            |
| Jonathan Tench          | Coordinator, SUN Business Network                             | GAIN                            | 09/07/2014            |
| Lawrence Haddad         | Senior Research Fellow  | IFPRI                           | 09/07/2014            |
| Paul Isenman            | Independent Consultant  | Self-employed                   | 15/07/2014            |
| Keith Bezanson          | Independent Consultant  | Self-employed                   | 15/07/2014            |
| Anthony Lake            | Chair of Lead Group / Executive Director UNICEF               | UNICEF                          | 16/07/2014            |

## Annex O Team Roles and Responsibilities

| Team member and inputs by phase  | Roles and responsibilities   |
|--|--|
| <b>Core Team</b>   |  |
| <p><b>Stephen Lister</b><br/>Evaluation Team Leader<br/><i>Inception phase: 18</i><br/><i>Desk and Global research: 13</i><br/><i>Synthesis and final reporting: 29</i><br/><i>Country case study<sup>25</sup> – Ethiopia</i></p>      | <p>Team Leader with overall responsibility for all aspects of the evaluation and the supervision and support of other team members. Thematic lead on evaluation methodology, aid effectiveness and the donor network.</p> <p>Responsible for the overall design, implementation, reporting and timely delivery of the evaluation products (Inception Report, Interim Progress Report and Final Evaluation Report).</p> <p>Principal liaison with the VSG and the SUN Lead Group (via the Evaluation Manager) as well as with internal QS.</p> <p>Leads the team workshop in Oxford and the initial visit to Geneva.</p> <p>Leads the elaboration of the methodology and approach in the inception phase.</p> <p>Oversees the data and document review, participates in key stakeholder interviews, leads the desk study and global research design (with focus on meta-review of lessons from other GRPs). Reviews all desk studies for additional quality assurance.</p> <p>Joins the SUN Global Gathering in Rome.<sup>26</sup> Participates in country study and supervises/oversees the survey design.</p> |
| <p><b>Alta Fölscher</b><br/>Senior Evaluator<br/>(Aid Flows and Budgets)<br/><i>Inception phase: 6</i><br/><i>Desk and Global research: 8</i><br/><i>Synthesis and final reporting: 5</i><br/><i>Country case study – Tanzania</i></p> | <p>Takes lead responsibility for tracking financial and budgetary support for nutrition and assists in guiding evaluation methodology development, including inputs during the Oxford workshop.</p> <p>Takes lead responsibility for global analysis of trends in support to nutrition.</p> <p>Participates in country case study and contributes to the final report.</p>   |

<sup>25</sup> A total of 136 days for country case study visits are budgeted. Once case study countries are confirmed, these will be assigned to members of the team. This flexibility will ensure that countries are assigned to the most experienced individual. An additional case study panel are also available for inputs.

<sup>26</sup> Budget allows up to five participants from the evaluation team; other participants to be finally decided in the light of detailed planning for the event.

| <b>Team member and inputs by phase</b>   | <b>Roles and responsibilities</b>   |
|--|---|
| <p><b>Stephen Turner</b><br/>Senior Evaluator<br/>(Social Protection, SUN Business Network)<br/><i>Inception phase: 6</i><br/><i>Desk and Global research: 8</i><br/><i>Synthesis and final reporting: 7</i><br/><i>Country case studies – Bangladesh, Indonesia</i></p> | <p>Takes lead responsibility for addressing the social protection / food security dimension of the evaluation. Leads on assessing the SUN Business Network.</p> <p>Participates in the Oxford workshop.</p> <p>During the global analysis phase, works with other team members on analysis of nutrition-sensitive approaches and leads on conflict of interest issues. Supports the design of the country case study approach.</p> <p>Participates in country case study/ies and contributes to the final report.</p>   |
| <p><b>Muriel Visser</b><br/>Senior Evaluator<br/>(Governance, Gender)<br/><i>Inception phase: 9</i><br/><i>Desk and Global research: 8</i><br/><i>Synthesis and final reporting: 7</i><br/><i>Country case studies – Guatemala, Mozambique</i></p>                       | <p>Takes lead responsibility for governance issues and for analysing the role of the SMS. Leads on the thematic areas of gender and HIV/AIDS and forms part of the core evaluation methodology team contributing to the evaluation design.</p> <p>Joins the Geneva visit and the Oxford workshop.</p> <p>During the global analysis phase, leads on governance and is primary author of the SMS analysis.</p> <p>Joins the SUN Global Gathering in Rome. Participates in country case study/ies and contributes to the final report.</p>  |
| <p><b>Chris Leather</b><br/>Senior Evaluator<br/>(Civil Society, Food Security)<br/><i>Inception phase: 4</i><br/><i>Desk and Global research: 8</i><br/><i>Synthesis and final reporting: 4</i><br/><i>Country case study – Tanzania</i></p>                            | <p>Take lead responsibility for food security and civil society role and at the global analysis phase undertakes a global review of civil society issues to feed into the IPR.</p> <p>Joins the Oxford workshop.</p> <p>Supports the design of the country case study approach.</p> <p>Participates in country case study/ies and contributes to the final report.</p>  |
| <p><b>Robrecht Renard</b><br/>Senior Evaluator<br/>(Economics, CBA)<br/><i>Inception phase: 4</i><br/><i>Desk and Global research: 8</i><br/><i>Synthesis and final reporting: 4</i><br/><i>Country case studies – Burkina Faso, Senegal</i></p>                         | <p>Takes lead responsibility for economic analysis and nutrition intervention selection approaches, including reviewing of the scope for using empirical methods in the evaluation.</p> <p>Joins the Oxford workshop.</p> <p>During the global analysis phase, undertakes a review of evidence on the effectiveness of the nutrition interventions advocated by SUN (both in principle and in practice) to feed into the IPR.</p> <p>Supports the design of the country case study approach.</p> <p>Participates in country case study/ies and contributes to the final report.</p> |

| <b>Team member and inputs by phase</b>   | <b>Roles and responsibilities</b>   |
|--|---|
| <p><b>Mirella Mokbel Genequand</b><br/>Nutritionist<br/>(and UN Network)<br/><i>Inception phase: 7</i><br/><i>Desk and Global research: 8</i><br/><i>Synthesis and final reporting: 4</i><br/><i>Country case study – Burkina Faso</i></p> | <p>Takes lead responsibility for nutrition issues and for assessing the UN donor system. Takes responsibility for assessing the nutrition-relevance of the SUN approach and addresses the scope of the UN system and donor evaluation throughout the evaluation.</p> <p>Joins the Oxford workshop and the initial briefing in Geneva.</p> <p>During the global analysis phase, reviews the UN system architecture to feed into the IPR.</p> <p>Supports the design of the country case study approach.</p> <p>Participates in country case study/ies and contributes to the final report.</p>   |
| <b>Research Coordination and Support</b>   |   |
| <p><b>Stephanie Allan</b><br/>Research Coordinator<br/><i>Inception phase: 5</i><br/><i>Desk and Global research: 12</i><br/><i>Synthesis and final reporting: 23</i></p>  | <p>As Research Coordinator, supports the team leader and team members throughout the duration of the evaluation.</p> <p>Coordinates data gathering and team logistics, including the organisation and scheduling of interviews.</p> <p>Supports drafting and editing of the IR, the IPR the ER.</p> <p>Manages the team’s e-library, the (confidential) interview database and other team data sets and interim working papers.</p> <p>Undertakes a comprehensive literature review. Collaborates with the evaluators and research support on the systematic collection and analysis of data and documentation.</p> <p>Joins the Oxford workshop and the initial team trip to Geneva.</p> <p>At global analysis phase, supports the thematic studies feeding into the IPR. with additional research for team members.</p> <p>Participates in stakeholder interviews.</p> <p>Supports country visits including through:</p> <ul style="list-style-type: none"> <li>• preparation of country dossiers</li> <li>• support to the country study team leader in liaison with focal point and donor convenor in each country.</li> </ul> <p>Supports team leader with the survey design and takes responsibility for survey administration and response collection.</p> |
| <p><b>Lilli Loveday</b><br/>Research Support<br/><i>Inception phase: 5</i><br/><i>Desk and Global research: 2</i><br/><i>Synthesis and final reporting: 6</i></p>  | <p>Provides additional support to the team and the research coordinator as required throughout the evaluation, to include:</p> <ul style="list-style-type: none"> <li>• literature reviews</li> <li>• data and document management</li> <li>• data analysis</li> <li>• document editing</li> </ul>  |
| <p><b>Zoe Driscoll</b><br/>Research Support<br/><i>Inception phase: 5</i><br/><i>Desk and Global research: 2</i><br/><i>Synthesis and final reporting: 6</i></p>   | <p>Provides additional support to the team and the research coordinator as required throughout the evaluation, to include:</p> <ul style="list-style-type: none"> <li>• literature reviews</li> <li>• data and document management</li> <li>• data analysis</li> <li>• document editing</li> </ul>  |

| <b>Team member and inputs by phase</b>  | <b>Roles and responsibilities</b>   |
|---|---|
| <b>Quality Support and advisory (QS)</b>  |   |
| <p><b>Alistair Hallam</b><br/>Quality Support<br/>(Evaluation methods and nutrition)<br/><i>Inception phase: 1</i><br/><i>Desk and Global research: 1</i><br/><i>Synthesis and final reporting: 2</i></p>                                 | <p>As Quality Support Advisor, reviews deliverables and advises on the relevance, credibility and practicality of the evaluation’s approach (at inception report stage) and of its findings, conclusions and recommendations (at the evaluation report stage). Also reviews the IPR.</p> <p>In particular draws on nutrition, evaluation and evaluation methodology expertise when reviewing methodology and deliverables.</p>  |
| <p><b>Kate Sadler</b><br/>Quality Support<br/>(Nutrition)<br/><i>Desk and Global research: 2</i><br/><i>Synthesis and final reporting: 2</i></p>  | <p>As Quality Support Advisor, reviews deliverables and advises on the relevance, credibility and practicality of the evaluation’s approach and of its findings, conclusions and recommendations (at the evaluation report stage). Also reviews the IPR.</p> <p>In particular draws on nutrition expertise when reviewing methodology and deliverables.</p>   |
| <p><b>Stephen Anderson</b><br/>Quality Support<br/>(Food security, methods)<br/><i>Inception phase: 3</i><br/><i>Desk and Global research: 1</i><br/><i>Synthesis and final reporting: 2</i><br/><i>Country case study – Ethiopia</i></p> | <p>As Quality Support Advisor, reviews deliverables and advises on the relevance, credibility and practicality of the evaluation’s approach (at inception report stage) and of its findings, conclusions and recommendations (at the evaluation report stage). Also reviews the IPR.</p> <p>Joins the Oxford workshop.</p> <p>In particular draws on food security and social protection expertise when reviewing methodology and deliverables.</p> <p>May participate in a country case study.</p> |
| <b>Additional country case study panel</b>  |   |
| <p><b>Ray Purcell</b> (Bangladesh)<br/><b>Christopher Tanner</b> (Mozambique)<br/><b>Liv Bjørnstad</b> (Senegal)</p>  | <p>Participants in country case study teams</p> <p>Undertake country case study mission, and contribute to country case study analysis and documentation to feed into the final evaluation report</p>   |
| <b>Backstopping support</b>   |   |
| <p><b>Philip Lister</b><br/>(Editorial)<br/><b>Erika Wise</b><br/>(Finance Manager)</p>   | <p>Mokoro's office team, including Philip Lister (Editor/Programme Manager) and Erika Wise (Finance Manager), will provide additional editorial and administrative support at all stages.</p>   |

## Annex P Detailed Evaluation Timetable

| Date   | Activity   | Comment   |
|--|--|---|
| <b>Phase 1 – Inception (16 June - 18 July)</b>                           |  |   |
| For actual timing to date, see Annex N above.                            |  |   |
| 20 July  | Submission of v1 Inception Report to EM and QAA panel              | The team leader will take responsibility for finalising the draft Inception Report and this will take into account comments of internal QA personnel prior to submission.<br><br>EM will forward the IR to the QAA panel.   |
| 22 July  | Provision of comments from EM and QAA panel on v1 Inception Report | EM will have responsibility for returning consolidated comments to the team leader  |
| 25 July  | Submission of v2 Inception Report to VSG                           | Alongside the revised IR, the Evaluation Team will need to demonstrate systematically if and how they have responded to each comment from the EM and QAA panel, with justification.<br><br>May include a call with VSG and Evaluation Team Leader, if requested.                    |
| 1 August   | Provision of comments from VSG on v2 of the Inception Report       | EM will have responsibility for returning consolidated comments to the team leader.   |
| 5 August   | Submission of v3 (Final) Inception Report                          | Alongside the revised IR, the Evaluation Team will need to demonstrate systematically if and how they have responded to each comment from the VSG, with justification.<br><br>This version of the IR is to be published on the SUN website, alongside the first report from the EM. |
| <b>Phase 2 – Desk Review and Global Research (18 July to end August)</b> |  |   |
| August   | Stakeholder interviews   | Numerous interviews will be carried out by members of the core team with key stakeholders. These will mostly be conducted by phone.   |
| August   | Global analysis  | Core team members will undertake global analysis of key areas (including trends in support to nutrition, evidence of SUN effectiveness and civil society issues).   |

| <b>Date</b>  | <b>Activity</b>   | <b>Comment</b>  |
|--|---|---|
| Mid-end August   | Preparation of draft Interim Progress Report (IPR)                        | Evidence from the global analysis will feed into the IPR.<br><br>The evaluation team leader, supported by the research coordinator, will take responsibility for incorporating inputs from the core team into the draft IPR.  |
| 29 August  | Submission of v0 draft Interim Progress Report to internal QA panel       | Will include draft of accompanying report on SMS (see Annex Q)  |
| 2 September  | Submission of v1 Interim Progress Report to EM and QAA panel              | The team leader will take responsibility for finalising the draft IPR and this will take into account comments internal QA personnel prior to submission.<br><br>EM will forward the IPR to the QAA panel.  |
| 4 September  | Provision of comments from EM and QAA panel on v1 Interim Progress Report | EM will have responsibility for returning consolidated comments to the team leader  |
| 8 September  | Submission of v2 Interim Progress Report to VSG                           | The TOR (¶36b) indicates that the IPR is due to be submitted to the VSG 'at the beginning of September'<br><br>Alongside the revised IPR, the Evaluation Team will need to demonstrate systematically if and how they have responded to each comment from the EM and QAA panel, with justification. |
| 12 September   | Provision of comments from VSG on v2 of the Interim Progress Report       | EM will have responsibility for returning consolidated comments to the team leader.   |
| 17 September   | Submission of v3 (Final) Interim Progress Report                          | Alongside the revised IPR, the Evaluation Team will need to demonstrate systematically if and how they have responded to each comment from the VSG, with justification.<br><br>This version of the IPR is to be published on the SUN website.   |
| <b>Phase 3 – Country Studies and Synthesis (September to December)</b> |   |   |
| September and October (see Annex K, Table 6 for tentative dates)       | Staggered country studies   | Country case studies will take place following completion of the comprehensive desk review and global research.   |

| <b>Date</b>                  | <b>Activity</b>  | <b>Comment</b>  |
|------------------------------|--|---|
| Early November               | Survey   | <p>To further test findings, a wider survey will take place following completion of the country case studies. This will take place early November to allow time for collection and analysis of results to feed into the final Evaluation Report.</p> <p>The team leader will supervise the survey design, with support from the research coordinator, who will also oversee administration of the survey.</p>                                       |
| 16-18 November               | SUN Global Gathering in Rome                                   | To maximise opportunity to interact with relevant stakeholders, core team members will attend the SUN Global Gathering in Rome. Our budget provides for attendance by the TL, the research coordinator and up to three other team members.  |
| Late November – end December | Translations (French and Spanish)                              | To allow sufficient time for translation of the final evaluation report into French and Spanish, time will be scheduled from early November. Translators will begin translation of sections of the Final Evaluation Report ahead of submission of the draft. Translation can be reviewed in response to any comments received on the draft report. (Realistically, final French and Spanish version may not be available until early January 2015.) |
| 1 December                   | Submission of v0 draft Final Report to internal QA panel       |   |
| 5 December                   | Submission of v1 Final Report to EM and QAA panel              | <p>Noting the deadline indicated in the TOR, (¶36c) that ‘a draft should be made available for comment [...] by the end of the first week of December’.</p> <p>The team leader will take responsibility for finalising the draft final report and this will take into account comments internal QA personnel prior to submission.</p> <p>EM will forward the report to the QAA panel.</p>   |
| 10 December                  | Provision of comments from EM and QAA panel on v1 Final Report | EM will have responsibility for returning consolidated comments to the team leader  |
| 15 December                  | Submission of v2 Final Report to VSG                           | Alongside the revised Final Report, the Evaluation Team will need to demonstrate systematically if and how they have responded to each comment from the EM and QAA panel, with justification.   |

| <b>Date</b>    | <b>Activity</b>  | <b>Comment</b>   |
|----------------|--|--|
| By 19 December | Provision of comments from VSG on v2 of the Final Report | <p>In order to meet the end-December deadline indicated (TOR (¶36c) , all comments on the draft report must be received by Friday 19 December to allow sufficient time for response and incorporation.</p> <p>This is noting that finalisation of the report falls over a holiday season.</p> <p>EM will have responsibility for returning consolidated comments to the team leader.</p>   |
| 19-31 December | Incorporation of final comments                          | <p>All comments received will be incorporated into the final document.</p> <p>Alongside the revised Final Report, the Evaluation Team will need to demonstrate systematically if and how they have responded to each comment from the VSG, with justification.</p> <p>During this period, the QAA will also have sight of the final report, as revised in the light of VSG comments. On the basis of this version the QAA will draft a letter for publication with the final report, commenting on its independence and quality.</p> |
| 31 December    | Submission of v3 Final Report                            | <p>Definitive version submitted, and feeds into the continuation of the visioning exercise in early 2015. This version of the Final Report is to be published on the SUN website, alongside a statement from the QAA commenting on the independence and quality of the evaluation.</p>   |
| January 2015   | Note on Approach and Methods                             | <p>Evaluation team's description of, and reflections on, how the evaluation was carried out.</p>   |

## Annex Q Approach to Interim SMS Assessment

### Introduction

1. The SUN ICE TOR include specific requirements for an interim assessment of the SUN secretariat (SMS), which are reproduced in Table 12 below. Part of the specification for the Interim Progress Report (IPR) is:

The section of the Interim Report assessing the work of the Secretariat will include material, complemented by a separate covering note to the relevant donors, sufficient to meet the Secretariat's contractual obligations to those donors. (TOR ¶36b)

This annex explains how the evaluation team will approach this part of the assignment.

2. Apart from the contractual obligations to the SMS donors, there is a deeper issue. The current mandate of the SMS (along with that of the Lead Group) extends only to the end of 2015. This is already starting to affect the management of the SMS (staff contracts cannot extend beyond 2015, for example), and the future efficiency of SUN depends on clarifying its future, and that of the SMS as soon as possible. On the other hand, an assessment of SMS performance cannot be completely detached from that of SUN as a whole, and it is acknowledged that the ICE schedule is already undesirably compressed. We aim to reconcile this dilemma by conducting a rapid but systematic review of SMS's role and performance as part of the preliminary review of SUN governance that will feed into the IPR. We note that it should be possible to reach some fairly robust conclusions about the SMS *management* performance even while our assessment of SUN's overall *governance* arrangements is very tentative.<sup>27</sup>

### Approach

3. Our approach is designed to yield sufficient detail about SMS to include in (and alongside) the IPR, but within the context of an efficient approach to summative and formative governance questions for the evaluation as a whole. This will involve the following elements:

- a) **Comprehensive mapping of the SUN governance and management structures and how they have evolved**, including responsibilities, linkages, key persons, lines of accountability, staffing, and sources of funding (and changes over time). Compare the structures and staffing to the goals of the movement and the manner in which the SUN movement has evolved.
- b) Review of documentation and of evidence from interviews to **map the decisions from the stewardship report and how these were followed up**.

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<sup>27</sup> See the definitions of governance and management in Annex F.

**Table 12 Requirements for a Mid-Term Evaluation of SMS within the ICE**

The agreements (Memoranda of Understanding) between several donors which have provided financial support to the work of the SUN Secretariat (SMS) require a mid-term evaluation of the SMS. That evaluation, which has been integrated into the Independent Comprehensive Evaluation (ICE), however, requires a report in September in order to fulfil the Secretariat's contractual obligations to its donors. Thus, the Interim Progress Report of the ICE (to be submitted in early September) must include material sufficient to respond to the mid-term evaluation obligations of the SMS to its donors. Those obligations, as set out in (exact title of document), require an evaluation of SMS performance and progress on 12 SMS activity indicators in three results areas. These are summarized in the following table:

| <b>Result Area</b>  | <b>SMS Activity Indicator</b>   |
|---|---|
| <b>Result Area 1</b><br>The SUN Movement Lead Group is able to exercise stewardship over the Movement, sustain the political attention to under-nutrition and increase investments in direct nutrition interventions and nutrition sensitive development. | 1.1- Provide assistance to Lead Group so that it can exercise accountable stewardship over the Movement in line with its Strategy and Roadmap   |
|   | 1.2- Provide assistance to Lead Group Members and the Movement as a whole to undertake effective resource mobilization for addressing undernutrition  |
|   | 1.3- Provide assistance to Lead Group Members to oversee the accountability of the overall SUN Movement   |
|   | 1.4- Enable Lead Group members to undertake effective High Level Advocacy   |
|   | 1.5- Foster greater understanding of the SUN Movement and its progress  |
| <b>Result Area 2</b><br>Provide assistance to Lead Group Members – and the Movement as a whole - to undertake effective resource mobilization for addressing under- nutrition.  | 2.1. Support SUN Countries to ensure they have timely access to the technical expertise they need   |
|   | 2.2. Track progress in SUN Countries  |
|   | 2.3. Empower stakeholder advocacy and communication   |
| <b>Result Area 3</b><br>Stakeholders from self-governing and mutually accountable SUN Networks respond to needs of SUN Countries in a timely and effective way and contribute to responsive and aligned assistance to SUN Countries.                      | 3.1. Ensure that the four SUN stakeholder networks provide an optimal service when receiving and responding to requests identified by governments and other stakeholders within SUN Countries |
|   | 3.2. Ensure that strategies and actions of SUN Networks are in synergy with the overall SUN Movement strategy, and that they are monitored, reviewed and updated regularly                    |
|   | 3.3. Provide support to the functioning of the SUN Multi-Partner Trust Fund   |
|   | 3.4. Facilitate communication, learning and engagement across the Movement  |

Source: Reproduced from TOR Annex D.

- c) Review of **recent reports on global partnerships** for additional findings with respect to the factors that feed into the success and challenges which partnerships face and to identify lessons/suggestions of relevance to the SUN governance. (With respect to the roles of secretariats we will use the GPE and the IHP+ partnerships as principal comparators.)
- d) Review, analysis and synthesis of data collected and compiled by the SMS (SUN progress reports, including scorecards) as well as external data (Global Nutrition Report and other data etc.) which **document baselines and progress in SUN countries, and identify outstanding areas.** (For the purposes of interim findings, we will consider particularly what these reveal about the volume and quality of SMS's work.)
- e) Carry out an **analysis of requests for technical (and other) support** from SUN countries and response and follow-up (examining nature, timeliness and adequacy of support). Interviews (and, at a later stage, the survey – see Annex M) will provide a sense of the quality/stakeholder assessment of this support.
- f) **Analysis of funding and other support to the SMS, together with SMS budgets,** to understand resources mobilisation and usage.
- g) Conduct a careful selection of **in-depth phone interviews** with:<sup>28</sup>
  - SMS staff (senior and operational) for additional insights into the evolution of the governance structures, and their perceptions of the success and challenges.
  - Members of the SUN movement Lead Group for insights into questions around governance and to assess how and to what extent the SMS has supported the Lead Group in its key tasks.
  - Members of Visioning Sub Group, similarly.
  - Focal points in a selection of countries (not limited to countries that will be the focus of country visits) – with questions to explore:
    - SMS response to country requests for technical assistance
    - SMS support to advocacy and communication efforts at country level
    - SMS support to country planning and reporting processes
    - Quality of communication and support overall
  - Other country level observers (such as donor convenors) from a selection of countries (not limited to countries that will be the focus of country visits)
  - Key informants from the various SUN Networks (donor, CSO, business, UN) to review how the SMS has supported the networks
  - The donors who have directly supported the SMS.

4. Our aim is to ensure that we rapidly gather enough information both to provide donors with sufficient data to meet their reporting requirements, and to support early recommendations as to whether and in what shape the SMS will continue to operate, at least in the short to medium term. It needs to be understood, however, that on all accounts this will be a preliminary response to these issues, to be

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<sup>28</sup> In addition, other interviews carried out by the team will include selected questions to elicit views on the SMS's performance and on future governance options for SUN.

further elaborated on, and if necessary revised, based on the country case studies which follow after the submission of the interim report. Care therefore needs to be taken to ensure that the precise nature of the interim product is understood, and that this is well communicated to those that engage with the product so as not to pre-empt the conclusions and recommendations that the final evaluation report will be putting forward at the end of the year.

5. The time-line for this product is very tight. The evaluation team will therefore need to use its resources to maximum effect. Early identification of key persons to interview, and support by the SMS to schedule these interviews, is critical given the holiday period in the northern hemisphere which may make access to these informants difficult.

6. Table 13 below shows how each of the SMS indicators from Table 12 above will be addressed. In addition to the lead consultant on governance, Mokoro will make full use of its team of researchers to mine and analyse the various data sources. This will start immediately as preliminary findings from the data analysis will feed into the questioning during phone interviews . For the schedule of governance and SMS research activities see Table 14 below.

**Table 13 Addressing SMS Indicators**

| SMS activity indicator  | Areas of examination   | Indicators/sources  | Observations   |
|---|--|---|--|
| <i>Result Area 1 – The SUN Movement Lead Group is able to exercise stewardship over the Movement, sustain the political attention to under-nutrition and increase investments in direct nutrition interventions and nutrition sensitive development</i> |  |   |  |
| 1.1 Provide assistance to the Lead Group (LG) so that it can exercise accountable stewardship over the Movement in line with its Strategy and Roadmap   | Nature and quality of support provided by the SMS to the Lead Group and coverage of main areas of the strategy and road map  | <p>Review minutes of Lead Group meetings (and recommendations for the Lead Group arising from meetings) and review SUN SMS inception report and annual reports to establish how the SMS has supported the LG and what issues have arisen.</p> <p>Review notes from informal meeting with the Lead Group on advocacy opportunities (May 2013)</p> <p>Phone interviews with a selection of Lead Group members</p> <p>Phone interviews with SMS staff who have linked directly with the Lead Group</p> <p>Review annual operating plans for the Movement</p> | To be followed up at country level later to assess how stewardship is perceived at country level   |
| 1.2 Provide assistance to Lead Group Members and the Movement as a whole to undertake effective resource mobilization for addressing under nutrition  | <p>Identify and assess the quality and pertinence of SMS endeavors to support resource mobilization</p> <p>Examine funding patterns to the SMS over time in relation to funding needs, budgets</p> | <p>Review minutes of Lead Group</p> <p>Analyze internal reports of the SMS on financing requests and financial investments. Map the funding trends to the Secretariat (through Annual Financial reports and proposals developed for funding)</p> <p>Map engagement with activities to promote resource mobilization (namely the Nutrition for Growth event in London, 2013 and commissioning of a Columbia University study on nutrition sensitive investments) through documentation and interviews.</p>   | Provided data can be assembled relatively easily the analysis of SUN’s fund raising success needs to be examined against the context of overall funding patterns to nutrition and other development issues (but this work will not be complete at IPR stage) |

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| <b>SMS activity indicator</b>   | <b>Areas of examination</b>   | <b>Indicators/sources</b>  | <b>Observations</b> |
|---|---|--|---------------------|
|   |   | <p>Review status and development of the investment case for nutrition.</p> <p>Phone interviews with a small selection of LG members</p> <p>Phone interviews with SMS staff that have linked directly with the Lead Group</p> <p>Phone interviews with selected focal points to understand how funding has evolved</p>  |                     |
| <p>1.3 Provide assistance to the Lead Group members to oversee the accountability of the overall SUN movement</p> | <p>Assess the level of satisfaction of the lead group with SMS support/inputs into accountability</p>   | <p>Phone interviews with selected members of the Lead Group</p> <p>Phone interviews with donors</p> <p>Review of documentation for issues related to the interaction between SMS and Lead Group (Lead Group meeting minutes, progress reports, email exchanges, monitoring reports)</p> <p>Review the Accountability Framework and M&amp;E Framework.</p>  |                     |
| <p>1. 4 Enable Lead Group members to undertake high level advocacy</p>  | <p>Map high level advocacy engagement of Lead Group over evaluation period (type of events, audience, and evidence of follow up?)</p> <p>Identify and assess the quality and pertinence of the inputs that the SMS has provided into high level advocacy events</p> | <p>Phone interviews with selected members of the Lead Group</p> <p>Phone interviews with donors</p> <p>Phone interviews with other networks</p> <p>Review records of Lead Group member attendance at high level advocacy events and key messages delivered by the SMS (press releases, communications etc.) as well as follow-up communications (blogs, twitter activity etc.). Primarily through Secretariat reports and internet scanning.</p> |                     |

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| <b>SMS activity indicator</b>   | <b>Areas of examination</b>  | <b>Indicators/sources</b>  | <b>Observations</b>   |
|---|--|--|---|
| 1. 5 Foster greater understanding of the SUN movement and its progress  | Assess a selection of communication materials from the beginning of the evaluation period against a selection of more recent documentation | <p>Review SUN communication materials (briefs, press releases, progress reports, discussion briefs etc.).</p> <p>Review SUN website development activities and map availability of documentation in different languages (through website scans and interviews)</p> <p>Review concept notes, plans for Global Gathering in Rome and ICN2 through interviews and documentation</p> <p>SMS reports to Lead Group/donors</p> <p>Phone interviews with donors and network leads</p> |   |
| <b>Result Area 2: Provide assistance to the Lead Group Members – and the Movement as a whole – to undertake effective resource mobilization</b> |  |  |   |
| 2.1 Support SUN countries to ensure they have timely access to the technical expertise they need  | Analysis of requests for technical support from SUN countries and response and of extent and quality of follow-up by SMS                   | <p>Review of country focal point call schedules and call minutes, and review country briefs prepared and shared.</p> <p>Review of the number of requests that were responded to versus those made to assess the nature, timeliness and adequacy of support.</p> <p>Review country Learning Route activities and reports and activities connected with Conflict of Interest.</p> <p>Selected phone interviews, including with focal points on quality of support etc.</p>       | To be further explored in-depth through the country studies |

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| <b>SMS activity indicator</b>   | <b>Areas of examination</b>   | <b>Indicators/sources</b>   | <b>Observations</b>   |
|---|---|---|---|
| 2.2 Track progress in SUN countries   | Review, analyze and prepare a synthesis of data collected and compiled by the SMS as well as external data on base lines and progress in SUN countries<br><br>Perceptions of key parties/stakeholders on progress | Documentation review(country fiches, country table progress update tables, SUN Movement Annual Progress Reports, minutes of calls), for comparison between base-lines and progress to date in a selection of countries<br><br>Focal point interviews<br><br>Phone interviews with various, including Secretariat Country Team staff | Perceptions from a range of countries will be gathered through interviews by the time of the IPR, but detailed analysis of the experience of specific countries will not be available until after the CCSs. |
| 2.3 Empower stakeholder advocacy and communication  | Analysis of the nature, frequency, quality and if possible outcomes of a selection of stakeholder advocacy efforts  | Perceptions of selected stakeholders as expressed in interviews<br><br>Documentation and report review for advocacy efforts (including communications shared on the website, details of visits to SUN Countries, learning events organized and Advocacy and Communication Team meetings organised)                                  | Also to be followed up at country level   |
| <b>Result Area 3: Stakeholders from self-governing and mutually accountable SUN networks respond to the needs of SUN countries in timely and effective way and contribute to responsive and aligned assistance to SUN countries</b> |   |   |   |
| 3.1 Ensure that the four SUN stakeholder networks provide an optimal service when receiving and responding to requests identified by governments and other stakeholders within SUN Countries  | Analysis of the nature, timeliness and quality of responses provided by the networks  | Documentation reviews (network progress reports, network terms of reference and strategies)<br><br>Selection of cases, from the documentation, and analysis of follow-up<br><br>Phone interviews  | To be followed up during the field visits   |

| <b>SMS activity indicator</b>   | <b>Areas of examination</b>   | <b>Indicators/sources</b>   | <b>Observations</b>   |
|---|---|---|---|
| 3.2 Ensure that strategies and actions of SUN networks are in synergy with the overall SUN movement strategies, and that they are monitored, reviewed and updated regularly | Mapping of the strategies and actions of individual networks against the overall strategies for SUN and analysis for coherence and completeness | Documentation analysis (especially network progress reports; network terms of reference and strategies)   |   |
| 3.3 Provide support to the functioning of the SUN Multi-Partner Trust Fund  | Analysis of the type and adequacy of support to the MPTF  | Selected phone interviews<br>Review of reports as available on MPTF produced by the Secretariat– including comments by the SMS on proposals and briefing materials for the Lead Group.<br>Review MPTF narrative and financial reports   | Full verdict on the MPTF will not be available at IPR stage.                                      |
| 3.4 Facilitate communication, learning and engagement across the movement   | Analysis (partial) of the extent to which SUN has contributed to improved communication across movement   | Interviews with selected stakeholders for perceptions on progress on communication and learning<br>Mapping of type and frequency of key global communication and learning efforts that were supported by the SMS<br>Review of development of SUN Network online spaces (Business Development) and other online activities – through interviews and internet scanning. | Country level communication and learning to be further assessed through the country case studies. |

**Table 14 Schedule of Governance/SMS Research for Interim Report**

| <b>Dates</b>                    | <b>Activity</b>   | <b>Comments</b>   |
|---------------------------------|---|---|
| In progress (beginning 07 July) | Identification of key documentation<br><br>Interview scheduling | Compiling key documents available<br>Identifying ‘gaps’ in documentation<br>Requesting further documentation as required<br>Contact interview targets and set-up interviews |
| 23 July – mid August            | Data analysis   | Drawing out key information from documents<br>Analysing information against indicators<br>Analysing funding sources   |
| 21 July – mid August            | Conduct phone interviews  | In-depth interviews with key stakeholders<br>Standardised questions on governance to be asked   |
| 28 July – mid/late August       | Analysis of phone interviews                                    | Compile interviewee analysis document<br>Draw out key details from interviews to feed into analysis   |
| Mid-end August                  | Drafting  | Evidence from analysis and interviews to feed into the progress report  |
| 29 August                       | Submission of v0 for internal QA review                         |   |
| 02 September                    | Submission of v1 to EM etc and respond to comments              |   |
| 17 September                    | Finalisation  | Final version with responses to comments / revisions incorporated   |

## **Annex R Outline of Interim Progress Report (IPR)**

1. The IPR is described in the TOR as follows:

An **interim progress report** to be submitted to the VSG at the beginning of September, so that they may inform the Lead Group of the evaluation's status and any major issues for their meeting mid-September. The interim report would outline the principal findings to date, hypotheses and options for broad recommendations being explored for the evolution of the SUN Movement. The section of the Interim Report assessing the work of the Secretariat will include material, complemented by a separate covering note to the relevant donors, sufficient to meet the Secretariat's contractual obligations to those donors. It is understood that any recommendations or options in the Interim Report on future changes to the Secretariat may be subject to further analysis and the conclusions of the final report. The VSG would at that time also recommend to the Lead Group the process for planning the visioning review for which the evaluation results and recommendations will comprise a principal component.

2. At technical proposal stage, we envisaged the IPR as a substantial document that would present our compilation of global data, and use this as a basis for preliminary findings that would be further informed by the subsequent country case studies. We no longer consider this practical or appropriate for the following reasons:

- The preparation time is too short, and the Lead Group, as its immediate recipients, would not have time to absorb a hefty document.
- Our review of data availability (Annex I) shows that a better strategy is to draw on the data from the SUN annual report and from the GRN; these – particularly the latter – will not be fully available until later.
- Our early research and discussions with SUN principals emphasise the importance of (a) putting broad options for SUN's strategy and governance over the short, medium and long term on the table; and (b) agreeing with the LG and VSG a strategy that allows for as much consultation as possible around these options to feed into our final report.

3. We therefore envisage a short IPR (accompanied by a more detailed SMS paper), which would have the following main sections:

- I. BACKGROUND** – brief context on the history of SUN, the purposes of the ICE, the work that the evaluation team has conducted so far and the further work that is in the pipeline.
- II. PRELIMINARY PERCEPTIONS OF SUN** – set against our understanding of the SUN theory of change, what is the range of views about SUN's success, or not, in achieving its main objectives? And what are the various perceptions about possible future roles for SUN or for successor programmes?
- III. ALTERNATIVE FUTURES FOR SUN** – based on the evaluation team's findings so far, including broad comparisons with other global partnerships, what broad strategy and governance options (short, medium

and long term) is the ICE considering? Offer (most likely in matrix format) a summary of possible strengths and weaknesses of different options.

- IV. NEXT STEPS** – the purpose of the IPR is to stimulate thinking among SUN stakeholders and facilitate the consultative process of the evaluation; set out the timetable for the rest of the evaluation and the specific opportunities for input stakeholders will have, both through the ICE and during the visioning exercise commencing in 2015. *(Note this will require prior liaison between the ICE team and VSG to develop an integrated narrative of how the two exercises will work.)*
- V. ANNEXES** – the minimum necessary to share analysis (such as the basic Theory of Change) and preliminary findings of particular interest. (We expect to attach the more detailed SMS review as a separate document.)

## Annex S Bibliography

"Location" in the listing below refers to folder and document numbers in the evaluation team's electronic library.

| short ref               | full ref   | location  |
|-------------------------|--|-----------|
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| Acosta 2011             | <i>Analysing Nutrition Governance: Brazil Country Report</i> . Andrés Mejía Acosta. Institute of Development Studies, September 2011.  | 8.1-3     |
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| Bhutta 2008             | <i>Maternal and Child Undernutrition 3. What works? Interventions for maternal and child undernutrition and survival</i> in <i>'The Lancet'</i> Vol. 371 February 2, 2008, pp. 417–440. Zulfiqar A Bhutta, Tahmeed Ahmed, Robert E Black, Simon Cousens, Kathryn Dewey, Elsa Giugliani, Batool A Haider, Betty Kirkwood Saul S Morris, H P S Sachdev, Meera Shekar, for the Maternal and Child Undernutrition Study Group. The Lancet, 2 February 2008.                                  | 5.3-5     |
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| <b>short ref</b>                                | <b>full ref</b>   | <b>location</b> |
|---|---|-----------------|
| Black et al.<br>2008                            | <i>Maternal and Child Undernutrition 1. Maternal and child undernutrition: global and regional exposures and health consequences</i> in 'The Lancet' Vol. 371 January 19, 2008, pp. 243–260. Robert E Black, Lindsay H Allen, Zulfiqar A Bhutta, Laura E Caulfield, Mercedes de Onis, Majid Ezzati, Colin Mathers, Juan Rivera, for the Maternal and Child Undernutrition Study Group. The Lancet, 19 January 2008.                                     | 5.3-3           |
| Black et al.<br>2013                            | <i>Maternal and Child Undernutrition 1. Maternal and child undernutrition and overweight in low-income and middle-income countries</i> in 'The Lancet' Vol 382 August 3, 2013 . Robert E Black, Cesar G Victora, Susan P Walker, Zulfiqar A Bhutta, Parul Christian, Mercedes de Onis, Majid Ezzati, Sally Grantham-McGregor, Joanne Katz, Reynaldo Martorell, Ricardo Uauy, and the Maternal and Child Nutrition Study Group. The Lancet, August 2013. | 5.2-3           |
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| SMS 2013f        | <i>Summary Note (draft): SUN Country Focal Points Network: Teleconferences held 28<sup>th</sup> February – 5<sup>th</sup> March 2013</i>   | 0.5.3-4         |
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## **Acronyms**

|          |  |
|----------|--|
| ACF      | Action Against Hunger  |
| CABRI    | Collaborative Africa Budget Reform Initiative                  |
| CBA      | Cost-Benefit Analysis  |
| CE       | Comprehensive Evaluation                                       |
| CEPKE    | Comprehensive Evaluation Platform for Knowledge Exchange       |
| CFS      | Committee on World Food Security                               |
| CGIAR    | Consultative Group on International Agricultural Research      |
| CMAM     | Community-based management of acute malnutrition               |
| COI      | Conflict of Interest   |
| COP      | Community of Practice  |
| CSO      | Civil Society Organisation                                     |
| CCS      | Country Case Study   |
| CTC      | Community-based Therapeutic Care                               |
| DAC      | Development Assistance Committee (of the OECD)                 |
| DFID     | UK Department for International Development                    |
| DRM      | Disaster Risk Management                                       |
| EC       | European Commission  |
| EFA      | Education For All  |
| EM       | Evaluation Manager   |
| EO       | Evaluation Office  |
| EQ       | Evaluation Question  |
| ER       | Evaluation Report  |
| ET       | Evaluation Team  |
| FAO      | Food and Agriculture Organization                              |
| FTI      | Fast Track Initiative (Education for All)                      |
| GAIN     | Global Alliance for Improved Nutrition                         |
| GDP      | Gross Domestic Product   |
| GEF      | Global Environment Facility                                    |
| GPE      | Global Partnership for Education (previously FTI)              |
| GPR      | Global Program Review  |
| HIV/AIDS | Human Immunodeficiency Virus / Acquired Immunodeficiency Virus |
| HQ       | Headquarters   |
| IASC     | Inter-Agency Standing Committee                                |
| IATI     | International Aid Transparency Initiative                      |
| ICE      | Independent Comprehensive Evaluation                           |
| IEG      | Independent Evaluation Group (of the World Bank)               |
| IFAD     | International Fund for Agricultural Development                |
| IHP+     | The International Health Partnership                           |
| IR       | Inception Report   |
| IPR      | Interim Progress Report  |

|        |   |
|--------|---|
| LG     | Lead Group  |
| LICs   | Low Income Country  |
| LMIC   | Lower Middle Income Country   |
| M&E    | Monitoring and Evaluation   |
| MDG    | Millennium Development Goal   |
| MO     | Multilateral Organisation   |
| MPTF   | Multi-Partner Trust Fund  |
| MQSUN  | Maximising the Quality of Scaling-up Nutrition  |
| NGO    | Non-Governmental Organisation   |
| OCHA   | Office for the Coordination of Humanitarian Affairs   |
| ODI    | Overseas Development Institute  |
| OECD   | Organisation for Economic Co-operation and Development  |
| QAA    | Quality Assurance Advisor   |
| QS     | Quality Support   |
| REACH  | Renewed Effort Against Child Hunger and Undernutrition – Ending Child Hunger and Undernutrition Partnership (FAO, WHO, UNICEF, WFP) |
| SBN    | SUN Business Network  |
| SCN    | (UN) Standing Committee on Nutrition  |
| SEGRPP | Sourcebook for Evaluating Global and Regional Partnership Programs  |
| SFP    | School Feeding Policy   |
| Sida   | Swedish International Development Agency  |
| SMS    | Sun Movement Secretariat  |
| SO     | Strategic Objective   |
| SUN    | Scaling Up Nutrition movement   |
| SWOT   | Strengths, weaknesses, opportunities and threats  |
| TL     | Team Leader   |
| ToC    | Theory of Change  |
| TOR    | Terms of Reference  |
| UMIC   | Upper-middle Income Country   |
| UN     | United Nations  |
| UNAIDS | The joint United Nations Program on HIV/AIDS  |
| UNDP   | United Nations development Program  |
| UNEG   | United Nations Evaluation Group   |
| UNICEF | United Nations Children’s Fund  |
| UNSCN  | UN Standing Committee on Nutrition  |
| VSG    | Visioning Sub-Group   |
| WASH   | Water, Sanitation and Hygiene   |
| WB     | World Bank  |
| WFP    | World Food Programme  |
| WHO    | World Health Organisation   |