



World Food Programme

A Report by the Office of Evaluation



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Evaluation of WFP's Capacity Development Policy and Operations

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Acronyms

| | |
|--------|--------------------------------------------------------------|
| ALNAP | Active Learning Network for Accountability and Performance |
| DAC | Development Assistance Committee |
| EFSRA | Emergency Food Security Reserve Administration |
| MERET | Managing Environmental Resources to Enable Transitions |
| NGO | Non-Governmental Organization |
| ODOC | Other Direct Operational Costs |
| OECD | Organisation of Economic Co-operation and Development |
| PGM | Programme Guidance Manual |
| PSNP | Productive Safety Net Programme |
| SENAIP | Strengthening Emergency Needs Assessment Implementation Plan |
| SPR | Standard Project Report |
| UN | United Nations |
| UNCT | United Nations Country Team |
| UNDAF | United Nations Development Assistance Framework |
| UNDP | United Nations Development Programme |
| VAM | Vulnerability Analysis and Mapping |
| WFP | World Food Programme |

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Executive Summary

Capacity development has been part of development and increasingly emergency assistance for a long time. In recent years, evaluations presented key success factors to capacity development, including a long-term and flexible endogenous process which works at three levels: the individual, institutions, and the enabling environment. For the humanitarian sector, evaluations further demonstrated the need to bridge the gap with development assistance and the additional challenges of: managing the trade-off between immediate assistance and developing long-term capacities, its complexities, funding mechanisms, transparency and impartiality.

WFP has been committed to capacity development for the past 15 years and the latest Strategic Plan (2006-2009) defines it as to “*strengthen the capacity of countries and regions to establish and manage food-assistance and hunger-reduction programmes.*” As of mid-2007, some 75% of WFP operations included capacity development objectives or activities in 71 countries. These operations mainly supported governments (75%) but also contributed to a lesser extent to developing capacities of partners and beneficiaries (40%). The most common areas for capacity development were project management, analysis and assessment, food management, logistics, and supporting decentralisation efforts.

The objective of this evaluation is to determine achievements and shortfalls in WFP’s capacity development work and to learn from these experiences. The evaluation focuses on the quality of the Policy, its implementation and results of operations, and WFP’s capabilities and tools available to implement the Policy. A representative sample of 15 countries was selected for the desk review, of which 5 were visited by evaluation team members.

Quality of the Policy

When comparing the Policy with the good practice the evaluation found that it captured the thinking of the time, which converged towards principles of ownership and endogenous process that drive and determine the capacity development process. WFP’s directions foresaw that capacity development assistance would be provided in the context of the work of others, building on partnership and complementarity of assistance. The evaluation found that WFP’s capacity development policy is in line with directions of its governing bodies, mandate and other WFP policies and strategic plans. In particular, the General Assembly called on Funds and Programmes to use their expertise to develop the capacities of partner countries. WFP committed to providing capacity development assistance in seven areas of technical competence, which is in line with this call of the General Assembly. This approach however presents a few shortcomings: 1) it requires a deliberate shift from providing assistance to enabling others; 2) it assumes that capacities are needed in all seven areas, which may not be the case; and 3) it focuses on WFP expertise rather than capacity development needs of partner countries.

Limitations of the Policy included the lack of a definition of capacity development and logic model, which determines the purpose of WFP’s capacity development assistance and its expected outcomes, which might have contributed to problems in defining corporate indicators for capacity development, particularly at the outcome level. The Policy could also have provided more details about the enabling environment (policies, institutional networks and incentives) and could have explained the systematic approach that it promulgated but without explaining how the process would work and lead to results.

Policy Implementation

There is no doubt that capacities are needed in partner countries for addressing acute and chronic malnutrition and hunger. WFP addresses these needs, but in most cases capacity development requirements are not analyzed systematically – diagnostics, if they are done,

are not documented nor are capacity development strategies prepared with and for partners. However, in some countries, day-to-day interaction of WFP staff with policy-makers and technical staff in counterparts resulted in identifying and filling capacity gaps. WFP's long-term contacts and the confidence of partners in its knowledge and technical expertise have been instrumental in enabling WFP to play its role in developing capacities of others.

The absence of capacity development strategies on WFP's part, coupled with sometimes rather loose national strategies or equally broadly defined approaches of other partners, raises questions about how systematically and strategically assistance can be aligned with the efforts of others. In many countries, capacity development is still seen as an opportunity to supplement shortfalls in counterpart budgets to finance recurrent expenditure; a situation that is not unique to WFP. There are however more positive cases where WFP has worked within governments' broader reform programmes that included capacity development dimensions.

The Policy itself is permissive so that coherence in a general sense can easily be achieved, but it also means that the Policy does not provide strong guidance. Many operations comply with Policy requirements such as working with partners, in coordinated efforts, facilitating south-south cooperation, and strengthening capacities for undertaking advocacy within countries and regions.

The majority of capacity development initiatives are for government and cooperating partners' staff in the area of programme and food management. The aim of these initiatives is mainly to ensure adequate capacities are in place for the smooth implementation of WFP-supported food programmes. Numerically much fewer, but equally if not sometimes more important, are stakeholders at the policy-making level, where WFP works at inter-ministerial and ministerial level, stimulating the adoption of necessary policies (the enabling environment) as a stepping stone in developing organizational capacities.

Results

Advocacy and information-sharing with regional institutions, capital and financial support for government counterparts, and workshops and on-the-job training for partner staff that join WFP-led assessment teams: the capacity development toolbox is varied and experience is growing. This move towards integrating various capacity development tools is important in view of the concept of working at three levels, which was adopted in recognition of the fact that training individuals is insufficient for capacity development and thus ineffective if done in isolation.

Policy influence and information sharing through analysis, advocacy and regional networks were found to be effective in building to political commitment and agreements, which form the basis for adopting national policies and strategies, allocating national resources, and developing organizational and technical capacities for hunger reduction.

Capacity development activities for vulnerability analysis and needs assessments take place in all regions and countries which showed to be an area in which WFP demonstrates a comparative advantage. The country offices initiatives in providing training and capital inputs are complemented by a corporate response with guidance and regional coordination to the need for a coherent and systematic approach to emergency needs assessment.

In the area of risk management, the evaluation observed that the assistance to enable governments to prepare for and to mitigate food crises has been implemented to varying degrees. While little evidence of developing organizational contingency planning capacities transpired, in various instances early warning support appeared effective for timely and relevant information about deteriorating food security situation. Disaster mitigation focused on improving resilience of communities, also with appreciable degree of success.

Strengthening programming capacities is a central part of WFP's capacity development assistance, with the objective of enhancing programme performance. It comprises technical support and awareness to improve targeting, training and capital inputs to boost counterparts and communities capacities for programme implementation and guidance on monitoring. It is also the area in which assistance is at biggest risk of substituting rather than developing capacities.

Food management – the supply and distribution chain of food assistance – is part of WFP's core business and one of its recognized strengths. The final aim is primarily to enable WFP and its counterparts to increase the efficiency of their logistics and ensure food-aid reaches its final destination and is accounted for it. The evaluation found instances of WFP-supported functioning logistics units, however, capacity development activities focused solely on implementing WFP operations raise concerns whether they will result in sustained capacities.

Assistance in food fortification mainly took the form of technical, quality control and management training, but also included the provision of technical expertise and capital assets, as evidenced in the case of salt iodisation. Also, WFP's assistance to develop local capacities for food fortification contributes to the development of local markets. In many locations the private sector produces CSB locally in response to WFP demands for the product for relief operations.

Sustainability and hand over

A key indicator of success of capacity development assistance is when partners are ready to run programmes and systems on their own without external assistance. In some cases, sustainability of capacity development and with that handover was impeded by a number of factors, which are common challenges to capacity development assistance, including: lack of government funding to finance recurrent expenditure, high turnover in political and staff positions, and transparency and credibility to processes.

WFP's Capabilities for Capacity Development

The evaluation found that capacity development appears to varying degree in about 20 job profiles where competences included: teamwork, partnering, and behavioural flexibility. However, the review of performance report evidenced that few have explicit capacity development outputs in their work programme (10% of management category and 26% of staff). Nevertheless, the staff survey showed that a majority of respondents spent more than 10% of their time on capacity development and that strong incentives existed for engaging in capacity development activities, both in terms of self-motivation and encouragement from peers and supervisors. Survey results also indicated the urgent need to develop WFP's capacities before aiming to develop those of others. Finally, staff recommendations included the need for a clearer definition of capacity development, better institutional arrangements to provide direction in capacity development and eventual handover, clearer directions on the priority of capacity development compared to other priorities and activities, and allocation of more financial resources for this purpose.

Capacity development requires dependable medium-term funding to ensure capacity development activities can be developed systematically and strategically. WFP's financial framework for capacity development foresees that capacity development be mainstreamed in all programme categories, be funded through direct support and other direct operating costs, and supports the use of standalone (cash only) full cost recovery projects. The evaluation found that most capacity development activities have been financed through other direct operating costs, while grants also supported a limited number of capacity development activities. Direct support cost mainly supports WFP staff costs involved in capacity development. To varying degree, recipient governments are also providing funding,

particularly in country programmes with strong capacity development focus. The unpredictability of timing and levels of funding linked to the tonnage-based approach explain, in part, why capacity development activities are conceived and implemented without the necessary medium-term strategy. It was found that WFP's funding mechanisms compare poorly with other organizations.

Key Issues

WFP is following a dual track for capacity development: one for developing local capacities for which there is ownership, an endogenous process and medium-term need, another that emphasize capacities for WFP programme implementation. This duality is implicit in the Strategic Plans and the Capacity Development Policy, but it is not recognized nor are the implications for capacity development needs and approaches fully understood. Greater clarity about policy directions need to go hand-in-hand with systematic efforts to communicate and implement them.

Developing capacities at three levels – individuals, organizations, and enabling environment – requires different performance indicators for each level. While it would be difficult to aggregate indicators to one corporate-level indicator, performance against each of the indicators could be rated and a composite of the ratings established to report on corporate performance. These explicit capacity development objectives would have to be based on a recognition that “enabling others to get a job done” requires something different to “getting the job done” and involve capacity development strategies that go beyond “just training” but draw on the variety of tools and approaches at WFP's disposal.

At the country level, WFP was better positioned to identify and design capacity development assistance when staff had long-standing experience and relationships with counterparts. These skills were used to compensate for a rigorous and structured approach to diagnosing capacity development needs. The challenge will be to introduce such a systematic approach – to ensure needs and opportunities are not overlooked – while maintaining the strengths of the more intuitive and participatory approach that successful country offices and regional bureaus have practiced.

The evaluation showed examples where WFP used its insights from the field – often communities in remote areas – to identify issues where the awareness of decision-makers needed to be raised. These resulted in inter-ministerial commitments to recognize the importance of addressing malnutrition as well as in national resources allocation. However, generally WFP's role in influencing policy debate does not seem well recognized and implemented consistently.

In the absence of dependable funding, WFP uses its long-standing contacts to identify capacity development opportunities whenever funding is available, which may be responsive to needs, but is ad hoc in nature. Alternatively, capacity development to facilitate programme implementation is built into programme design and provides skills that are needed for the operation in question. In either case, capacity development assistance is not conceived from a comprehensive perspective of country needs.

Recommendations

The evaluation recommends that WFP recognize the dual objectives to capacity development, to be presented in an updated Policy that also captures recent thinking in capacity development. The Policy will need to be accompanied by: 1) an action plan that specifies how WFP will operationalize the Policy, 2) clear communication of policy directives, including on level of priority capacity development takes among WFP's strategic priorities; and 3) guidance on the design of operations to minimize the risk of capacity substitution and to ensure handover and sustainability. Guidance materials should continue to be adapted

from other partners. Also, efforts are needed for the development of performance indicators for capacity development based on the results-framework in the action plan for the three levels at which capacity development takes place.

Good practice in capacity development and approaches should be shared amongst WFP capacity development practitioners in Regional Bureaus, Country Offices and headquarters units. Job profiles need to include the requirements for capacity development experience. Given the importance of long-term relationships these skills might be sought in experienced national officers, who should be recognized for their knowledge and skill in this area.

Finally, funding arrangements for capacity development (other than in support of programme implementation) should be reviewed to take into account the specific needs of capacity development. Such a review should take place in the context of any overall review of funding arrangements for WFP.

Preamble

1. The evaluation adopted the term *capacity development*, rather than *capacity building* throughout this report, unless quoting text that uses other terminology. This choice was made in view of good practice of capacity development practitioners, as discussed in section II.A and latest use of terminology in WFP's Programme Guidance Manual (PGM).

2. The report is structured into an introduction, which provides information on the context, WFP's capacity development policy and operations and the evaluation (Chapter I), followed by the evaluation findings that correspond to the three main questions the evaluation set out to answer (Chapter II), and conclusions that provide an overall assessment, highlight key issues for the future, and recommendations (Chapter III).

I. Introduction

I.A. Context

3. Capacity development has been part of development and increasingly emergency assistance for a long time. In recent years syntheses of evaluation findings were published by the Active Learning Network for Accountability and Performance (ALNAP) in *Humanitarian Action*¹ and the Development Assistance Committee (DAC).² In both cases, evaluations served as the basis to generate lessons. The ALNAP review concluded that a longer-term perspective was needed to resolve issues around funding, partnerships, the process of engagement in capacity development, and measures to bridge the gap between humanitarian and development assistance. The lessons in the DAC paper are part of an attempt to articulate good practices for capacity development.

4. From both publications and others it is apparent that the humanitarian and development sectors have struggled with similar capacity development issues. In particular assistance tended to place too much emphasis on training and the "right" solution in a North-South transfer and to lack sufficient ownership. The DAC paper identified a number of factors that are increasingly considered important for success, but not necessarily found consistently in past capacity development efforts. These include (i) the necessity to build on endogenous process, have strong leadership and ownership from within the country; (ii) the importance of potentially working simultaneously at individual, organizational, and contextual levels and recognition that these three levels are inter-related; (iii) the use of a flexible and process approach rather than attempting to apply a blue-print, but at the same time having agreed and clearly stated objectives; and (iv) the effectiveness of using a systematic approach that involves understanding the international context, the endogenous factors of support or hindrance, the delivery of external support, and the learning process.

5. The humanitarian sector faces additional challenges, as summarized in the ALNAP review: (i) the necessity to manage the trade-off between providing immediate relief and developing longer-term capacities; (ii) the complexity of developing capacities before, during and after emergencies, which present diverse opportunities and challenges for capacity development and often pose a dilemma in balancing different priorities; (iii) the existing funding mechanisms that generate resources for high-profile emergencies during which addressing immediate humanitarian needs takes precedence over capacity development; (iv) the gap in funding for capacity development, as humanitarian assistance is often tied to volume rather than recognizing the need for a different funding approach to capacity development; and (v) inherent questions of trust, transparency and impartiality, which are necessary to ensure humanitarian assistance reaches those in need.

¹ ALNAP Review of Humanitarian Action in 2004 – Capacity Building.

² *The Challenge of Capacity Development – Working Towards Good Practice*, Organisation of Economic Co-operation and Development (OECD)/Development Assistance Committee (DAC), 2006.

I.B. WFP's Capacity Development Policy and Operations

6. **Mission Statement and Strategic Plans.** WFP's commitment to capacity development dates back to 1994 when the Mission Statement³ mentions that all assistance – whether relief, recovery or development – would aim to develop capacities for self-reliance. Women were singled out as a specific target group whose “coping ability and resilience” would be strengthened. Since then, capacity development has featured in all of the Strategic Plans (adopted since 1997). In the first Strategic and Financial Plan (1998-2001) up to the 2002-2005 Plan, the strategic priority focused on promoting “*national institution building, and local capacity building through broad-based participation*”. In the 2004-2007 Strategic Plan the priority was re-articulated to focus on helping “*governments establish and manage national food-assistance programmes*”, and again reformulated in the latest Strategic Plan (2006-2009) to “*strengthen the capacity of countries and regions to establish and manage food-assistance and hunger-reduction programmes.*”

7. **Key Features of Corporate Strategies.** The early strategies emphasize that WFP would aim at developing integrated multi-institutional capacities. Such approach recognizes that institutions do not operate or succeed in a vacuum and implies a broader range of assistance than just training. The strategies also suggest that WFP's capacity development assistance would take place within the broader context of international assistance, such as the Common Country Assessments, the Poverty Reduction Strategies, or the Millennium Development Goals and in partnerships with others. The areas in which assistance would be provided is consistent throughout all strategies: (a) vulnerability assessments, disaster preparedness, emergency management, coordination of food-related humanitarian assistance, commodity tracking, and logistics; (b) community participation, empowerment, strengthening traditional coping mechanisms; and (c) local procurement and markets, storage and transport, milling and fortification. The activities were to encompass capacities of governments, non-governmental organizations (NGOs) and/or implementing partners, communities, and the private sector. The means for implementing assistance ranged from on-the-job training, seminars and workshops, non-food and technical support, logistics, technical advisors, food-for-work and cash, to information sharing, which was introduced in the most recent Strategic Plan.

8. **WFP Policy.** In October 2004, WFP adopted the policy framework for capacity development assistance (referred to as the Policy from hereon),⁴ which summarized prior strategies and initiatives but recognized that “*a shift from ad hoc responses to a coherent and systematic approach to capacity-building*” was needed. The Policy sets out the context, linking WFP's work to that of others in the UN and beyond, and defines implementation principles that include ownership, working in partnership, and building on existing capacities. These principles reaffirm the necessity to take a “system view” that engages more than just one actor, and underpin the need for a longer term perspective, accountability, and staying engaged in difficult circumstances, and adopting a flexible approach that ensures continuous relevance in changing circumstances. The Policy also defined the areas in which WFP would intervene, the implementation arrangements and tools, and financing issues. It sets out a number of guiding principles, some of which appear to be explicitly binding, others not. They are included in and further expanded in the PGM on capacity development. The Policy did not include a logic model or results framework, which was developed as part of the evaluation (see section II.A.1. below).

9. **Financial Framework.** The Policy contained funding principles that emphasized mainstreaming capacity development into operations. Wherever standalone support to capacity development was to be funded, this should be done on a voluntary basis (in addition to other programme resources). Following from the Policy, WFP presented the

³ http://www.wfp.org/policies/Introduction/mission/index.asp?section=6&sub_section=1

⁴ Building Country and Regional Capacities. WFP/EB.3/2004/4-B, 7 October 2004.

Financial Framework⁵ at the Board meeting in February 2005. The Financial Framework dealt with legal issues to enable WFP to implement the Policy and reconfirmed the principles set out in the Policy. The Framework foresaw a number of steps, including issuing financial rules, designing and implementing a resource-mobilization strategy, developing guidelines for implementation, assessing the effectiveness of implementation efforts and the need for additional institutional mechanisms, and monitoring implementation costs.

10. **Operations.** The evaluation reviewed 150 operations with a budget of US\$1 million or more and that were ongoing in mid 2007 showed that 113 (75%) had capacity development as one of their objectives or activity. In total, WFP planned to deliver capacity development assistance in 71 countries distributed across all geographical regions in which WFP works. West and Central Africa took the lead with 23% of operations, followed by the Asia and Pacific and East Africa regions (19% each) and the others with between 10-13%. This percentage distribution is based on number of operations rather than on financial allocations for capacity development, for which WFP does not have a systematic and reliable database. The distribution among programme categories showed that 97% of protracted relief and recovery operations included capacity development activities, followed by country programmes (89%) and development projects (71%). 44% of emergency and 23% of special operations have provisions for capacity development. Three quarters of the operations aimed to develop capacities of governments, while around 40% each aimed to assist cooperating partners and communities. Most common areas for capacity development were project management (65%), analysis and assessment of hunger with a focus on nutrition and food security analyses (48%), food management and logistics (35%), and supporting decentralization efforts (34%). Developing capacities in disaster preparedness featured in 28% of the operations. WFP has implemented three standalone operations⁶, one in Southern Africa and two in Latin America and the Caribbean region. Standalone operations aim to contribute to better capacities for address hunger and malnutrition, although 67% of resources are earmarked for two areas: hunger analysis/assessments and information sharing/advocacy. In addition, grants or trust funds complement capacity development funded from WFP's regular operations and focus on areas such as hunger analysis and assessments (64%), programming (40%) and information sharing and advocacy (33%).

I.C. Evaluation

11. **Rationale and Objective.** The rationale for undertaking the evaluation is to inform the discussions on WFP's future strategy for providing capacity development assistance. The objective of this evaluation is to determine achievements and shortfalls in WFP's capacity development work to learn from these experiences to continuously improve performance and outcomes. The evaluation focuses on the following three questions:

- (i) **How "good" is WFP's Policy?** This part of the assessment compares the Policy to international good practice standards and other existing policies, and analyzes whether it sets out a framework that guides the design and implementation of operations within WFP's mandate?
- (ii) **Is the Policy being implemented and what are the results?** The focus of this part of the evaluation is on the operations, which are assessed in terms of their performance against capacity development objectives and activities, using standard evaluation criteria such as relevance, coherence, effectiveness, impact and sustainability. This assessment will include, to the extent possible, an assessment of WFP's comparative advantage in capacity development.
- (iii) **Does WFP have the capabilities and tools to implement the Policy?** The evaluation includes a review of WFP's own capacities to develop the capacities of

⁵ Financial Framework for Strategic Priority 5 Implementation. WFP/EB.1/2005/5-A, 20 January 2005.

⁶ According to the Programme guidance Manual, standalone operations are cash only projects for capacity building activities

others: capabilities, resources, and systems at WFP's disposal for implementing the Policy.

12. **Scope.** The scope of the evaluation included the Policy and relevant documents to assess the policy context and good practice standards and two strategic plans (2004-2007 and 2006-2009). A cross-section of operations was selected using criteria that ensured a representative sample was selected that mirrored the distribution among regions, programme categories, and technical areas in which capacity development assistance (be it formulated as an objective or activity in the project documents) was provided. In addition, all the standalone and latest country programme with strong strategic objective 5 have been included. A total of 15 countries were included in the desk review of the evaluation, of which five countries were visited by members of the evaluation team to meet with stakeholders from government, partners, and WFP country offices in the countries. The evaluation reviewed more than 90 operations. Three regional bureaux were visited as well. In response to the third question, the evaluation reviewed applicable financing arrangements that govern the use of funds for capacity development and undertook an analysis of standard job profiles and staff performance reports to determine the extent to which capacity development features in their work.

13. **Stakeholders.** The evaluation was explicitly requested by the Executive Board in June 2007. The Board and WFP's management and staff are the primary audience of the evaluation that aims to report on achievements and shortfalls in meeting policy commitments (accountability) and inform decisions about future policy directions and operations (learning). The evaluation will be informative for other stakeholders in government and NGOs, partners, and communities, who will be benefiting from improvements in WFP's capacity development assistance following the implementation of recommendations of the evaluation.

14. **Method.** The evaluation applied a programme theory approach, which involves establishing a logic model of expected outputs, outcomes and impacts. This model, (see section II.A.1 below) was discussed and agreed with WFP stakeholders at headquarters, in regional bureaux and country offices. It presents the basis for assessing results (outcomes and impacts). The evaluation used an evaluation matrix to summarize and structure the questions it addressed (see Annex 1), and develop analytical frameworks to undertake systematic desk reviews of key documentation. During fieldwork, the same systematic approach was followed to ensure findings were comparable. An initial workshop of the evaluation team ensured a common understanding of team members of the issues to be covered and a wrap workshop enabled the team to brainstorm and synthesize the findings from the various countries and regions. In addition, a survey was undertaken to generate a broader perspective from, largely, country offices of their perception of capacity development work they undertake. Annex 2 provides the terms of reference of the evaluation and Annex 3 details on the methodology adopted in its inception report.

15. **Limitations.** The evaluation faced limitations in identifying capacity development operations in the absence of a readily available database that tracks this type of operations. Equally, it faced problems in the absence of clearly stated objectives, i.e. results expected from capacity development assistance, baseline information and corporate performance indicators, as well as limited reporting on activities, outputs and outcomes. Financial limitations to the evaluation meant that only few country visits could be carried out and not all of them included visits to stakeholders outside capitals.

16. **Quality Assurance.** The evaluation followed WFP's evaluation quality assurance system, using the prescribed templates and following the foreseen procedures. The terms of reference, inception and draft final evaluation reports were shared with stakeholders within WFP. Comments were taken into consideration in so far as they pointed to the need for factual corrections or clarifications. In addition, the inception and draft final evaluation reports were exposed to an external review by peers technically qualified in the fields of capacity

development and/or evaluation, coming from academia, the UN system, and an international NGO. Their biodata is included in Annex 4.

II. Evaluation Findings

II.A. Quality of the Policy

17. The first objective of the evaluation is to assess the quality of the Policy to answer the question whether WFP has a good policy or is “*doing the right thing?*” Policy should be guiding operations, therefore it is important to understand whether policy directions are “right”. To respond to this question the evaluation developed an analytical framework based on methods of programme theory⁷ and benchmarking.⁸ In addition, the Policy is analyzed for its coherence with other WFP policies and for its practicability as a criterion to determine whether the Policy can be implemented.

18. Capacity development is a dynamic field where definitions were and are evolving and where practitioners are continuously grappling with concepts and their operationalization. This factor is important to keep in mind for this evaluation. It indicates that good practice existing at the time of policy formulation or evaluation may be overtaken within a relatively short period of time by new insights. Therefore, the analysis against such a benchmark is indicative and not final. The evaluation, nonetheless, chose to undertake a comparison with good practice to understand how well WFP kept up to latest thinking and to identify whether and if so where updates to the Policy would be needed.

19. The evaluation analyzes the entire Policy paper, even though only its last section of the 2004 paper is the actual Policy. This more comprehensive approach takes into account information in the background sections of the Policy that helped the evaluation understand better the spirit and intentions of the Policy. The following sections review (1) the internal consistency of the Policy, i.e. the underlying logic model of the Policy; (2) the internal and external coherence of the Policy with other policies within and without WFP; and (3) the practicability of the Policy.

II.A.1. The Policy’s Underlying Logic Model

20. Understanding the underlying model of the Policy is important to determine the goals and objectives it aimed to achieve as the primary benchmark against which to assess progress. The Policy did not contain a definition of what capacity development is, possibly because good practice had not yet arrived at an agreed definition. Since the approval of the Policy, various definitions have been adopted. Box 1 provides features they have in common, which have been used in the evaluation as working definition.

21. The Policy also did not provide logic model (results framework) about its objectives

Box 1: Definitions. Capacity development definitions of various development partners vary in wording, but have some common features. Capacity development is associated with

- An enabling environment, context or society at the highest level, organizations, and individuals;
- A process of enabling, strengthening, supporting, retaining and sustaining capacities;
- The aim of improving performance, generate development benefits, formulate and implement policies and programmes, perform functions and solve problems, etc.;
- To ensure transparent and accountable governance, reduce poverty, enhance self-reliance, and improve people’s lives.

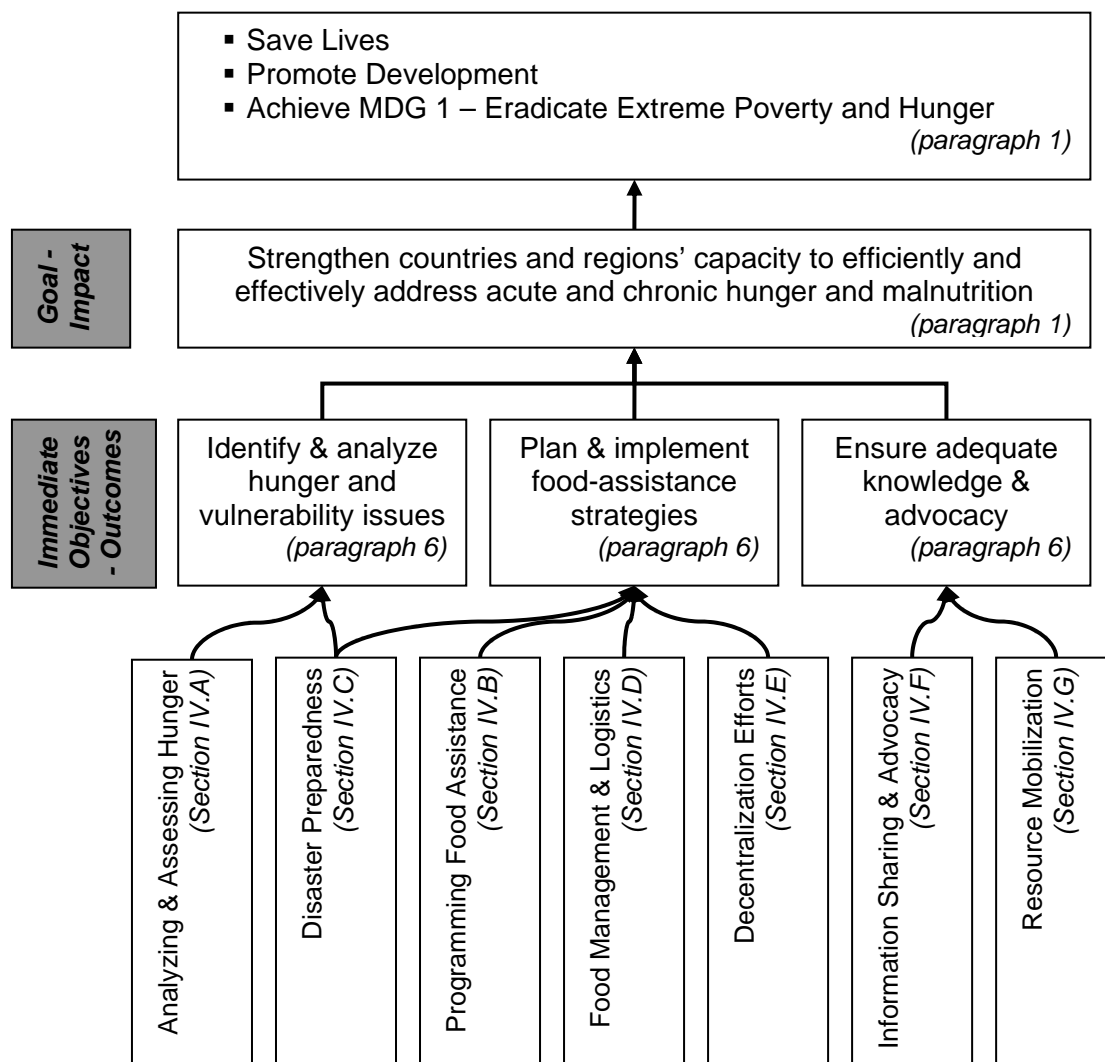
Based on definitions of CIDA, European Commission, GTZ, UNDP and OECD/DAC.

⁷ Programme theory suggests that component parts of an intervention or policy should form a cohesive set of interventions that have a clear and common objective and goal. A logical framework is used to express such a logic model, explaining how outputs would lead to attaining objectives which in turn would contribute to achieving goals.

⁸ Benchmarking entails a comparison with relevant standards and applicable policies, not applying them as the norm that WFP should meet, but to understand how WFP compares with other organizations, which is one indication of its comparative advantage.

and how they would be attained. The Strategic Plans provided only a few indicators rather than a full model. The Policy did provide in its background sections sufficient information to reconstruct a model (Figure 1) of results intended at the time of writing the Policy. This model was discussed with and agreed to by stakeholders during the inception phase of the evaluation. References to paragraph numbers in Figure 1 relate to those in the Policy.

Figure 1: Logic Model from WFP’s Policy



Source: Evaluation Team based on the Policy. Discussed and agreed with WFP stakeholders.

22. The advantage of using logic models is that they make policy goals clear and help focus everything that follows during policy implementation. WFP’s capacity development goal, as implied in the Policy, to “strengthening countries and regions’ capacity to efficiently and effectively address acute and chronic hunger and malnutrition” provides a sufficiently broad and yet clear goal. Progress towards the goal stated in the Policy could be assessed although further specification of the measures of efficiency and effectiveness would need to be developed. It places countries in the “driver’s seat” in line with the Paris Declaration (see paragraph 37) and suggests that in-country capacities are a long-term solution to combating hunger and malnutrition, contributing to higher aims such as saving lives, fostering development and attaining the first Millennium Development Goal.

23. The immediate objective of WFP’s capacity development assistance was to ensure that countries had capacities in the areas of analysis, planning and implementation, and knowledge and advocacy. These three objectives seem to provide an organizing structure for the more detailed areas of WFP competences that followed in the Policy (see paragraph

22 above) rather than specific capacity development objectives, which would have required outcome measures (such as accuracy, timeliness, use and cost-effectiveness of analyses for the first area).

24. The three objectives are further broken down into seven areas of WFP expertise (see boxes in the lower part of Figure 1). This approach has the advantage of using WFP's existing technical competences as the basis for providing assistance for developing capacities of others, which is in line with the General Assembly's call for Funds and Programmes to put their expertise to work for capacity development (see paragraph 29). However, the approach has several drawbacks. First, it requires but does not necessarily provide for a deliberate shift in mindset from the "can do" for which WFP is recognized and appreciated to the "enabling others to do" that capacity development requires. For instance, advocating for the reduction of malnutrition is not the same as enabling somebody else to organize advocacy campaigns. Section II.B. provides examples that show how WFP effectively used advocacy tools for capacity development, but less so developing advocacy capacities themselves. Second, it is not clear whether countries would need capacities in all or only some of the seven areas of WFP's expertise, or maybe others. Third, the information given for each area is not necessarily focused on capacity development but rather on WFP expertise. And fourth, information sharing appears both as an area of capacity development and as a mean to capacity development. It is therefore not clear what capacity development assistance would be provided in any of these areas.

25. The logic model above was constructed assuming that the seven areas of WFP's competences mirrored the capacities that a country needed. There is a certain logic to this assumption: for countries to be able to manage their responses to acute and chronic malnutrition and hunger, they would have to have analytical capacities, abilities to raise awareness and funds, competences in programming and implementation, and so on. However, the Policy does not tackle more complex questions like: even if countries have the analytical capacities to report on acute and chronic malnutrition and hunger, will these reports be perceived as sufficiently neutral to be acted upon by donors, and what are the implications for capacity development then. In addition, the model overlooks the need for an enabling environment: policies, institutional networks, and incentives that ensure individuals and organizations can do their best to address acute and chronic malnutrition and hunger. These aspects were touched upon in the Policy (with a generic mention of governments), but not discussed in sufficient detail to provide policy directions. They are essential to capacity development, as pointed out in good practice standards (see paragraph 35), and the evaluation findings point to examples where WFP has provided assistance at this level (see section II.B.1 below).

26. The Policy had one objective for the way in which WFP would provide capacity development assistance and that was to introduce a coherent and systematic approach. It included a broad range of capacity development tools, but fell short of explaining the systematic approach itself or a model for capacity development that would explain how the process would work and lead to results.

II.A.2. Internal and External Coherence with Other Policies

Legislative Background

27. The following review of the legislative background is important to assess whether the Policy is in line with WFP's mandate and decisions or directions of governing bodies under whose authority WFP falls. Being a Programme of the UN, WFP has its Executive Board, but is also governed by the FAO Council and the General Assembly. The following paragraphs indicate that WFP, in undertaking capacity development activities, is in line with directions of its governing bodies.

28. **WFP Mandate and Mission Statement.** WFP's mandate, as stated in the General Regulations and Rules and in the Mission Statement of 1994⁹, foresees a role for WFP in helping developing countries in establishing and managing their own food assistance programmes. This assistance is to be provided under the development programme category (General Rule II.2). The Mission Statement does not use the term capacity development, but mentions that all assistance – whether relief, recovery or development – would aim to assist in developing capacities for self-reliance. Women were singled out as a particular target group whose “coping ability and resilience” would be strengthened. WFP's Executive Board, through its approval of strategic plans (see paragraph 31) that contain capacity development objectives and of the capacity development Policy itself indicate their endorsement of WFP's mandate in this area. Individual member countries regularly call on WFP to continue providing such assistance, even when some others have asked for an evaluation of WFP's comparative advantage in providing capacity development assistance.

29. **UN General Assembly.** Various resolutions of the General Assembly called on the organizations of the UN to assist countries in developing their capacities. The most recent resolution on the triennial comprehensive policy review (December 2007), reiterated the importance of developing national capacities to eradicate poverty and emphasized that the basis for valuing and assessing activities of the UN system should be their contributions to national capacity development. It stressed that capacity development was the core business of the UN development system and called on it to further support the development of national capacities of countries. The General Assembly also encouraged the funds, programmes and specialized agencies to intensify their collaboration at country and regional level to achieve more effective use of their expertise, resources and actions towards strengthening national capacities.

Coherence with WFP Policies and Strategies

30. An analysis of the internal coherence of the Policy is important to determine whether it provides a policy framework that is consistent with other policy directions.

31. **Strategic Plans.** Capacity development featured in all of the Strategic Plans since they started in 1997. Generally, the strategic plans and the Policy are consistent with each other. They commonly focused on developing the capacities of countries at national and local levels, and more recently added a regional dimension. The early strategies emphasize that WFP would aim at developing integrated multi-institutional capacities. Such approach recognizes that institutions do not operate or succeed in a vacuum and implies a broader range of assistance than just training. The strategies also suggest that WFP's capacity development assistance would take place within the broader context of governments' poverty reduction strategies, Common Country Assessments and UN Development Assistance Frameworks (UNDAF), emphasizing the importance of partnerships and complementarity. The areas in which capacity development assistance would be provided is consistent throughout all strategies and with the Policy.¹⁰ The activities were to encompass capacities of governments, NGO's/implementing partners, communities, and the private sector. The means for implementing capacity development assistance ranged from on-the-job training, seminars and workshops, non-food and technical support, logistics, technical advisors, food-for-work and cash, to information sharing (which was introduced in the most recent Strategic Plan). However, a difference exists in the way in which the capacity development goal is articulated in the Policy and the strategic plans. The 2004-2007 Strategic Plan stated WFP would focus on strengthening government capacities to manage food-assistance programmes, which is more narrowly focused and more directly related to the delivery of the WFP assistance programmes. This objective was expanded in the 2006-

⁹ http://www.wfp.org/policies/Introduction/mission/index.asp?section=6&sub_section=1

¹⁰ They included (a) vulnerability assessments, disaster preparedness, emergency management, coordination of food-related humanitarian assistance, commodity tracking, and logistics; (b) community participation, empowerment, strengthening traditional coping mechanisms; and (c) local procurement and markets, storage and transport, milling and fortification.

2009 Strategic Plan, which speaks of countries and regions and of food-assistance and hunger-reduction programmes. It is, however, still clearly linked to capacities for programme management; programmes, one could argue, that are those that WFP otherwise would deliver. This goal could be interpreted to be more narrowly defined than the goal stated in the Policy (see paragraph 22 above). Finally, the last strategic plan (2006-2009) links capacity development with phasing out, stating that: “by strengthening capacities, WFP aims to support country and regional efforts to end hunger, so that eventually external assistance is no longer required”.

32. Results-based Management in the Strategic Plans. The 2004-2007 Strategic Plan (October 2003) defined WFP’s strategic priorities, among others, as “help governments establish and manage national food-assistance programmes”. This stated objective was expanded in the subsequent strategic plan to include hunger reduction programmes and read as follows “strengthen the capacities of countries and regions to establish and manage food-assistance and hunger-reduction programmes”. Both of these strategic plans provide some output level indicators, which however focused on input-level indicators, such as the provision of capacity development assistance or number of trained staff. Neither of the two strategic plans specified indicators for measuring results at the outcome level, but indicated that these were under development. The indicators compendium (biennium 2006-2007) expands on the indicators that are listed in the strategic plan, but do not fill the gap for outcome indicators. Actually, the focus on activities is further cemented through this publication. The Programme has not yet resolved difficulties in defining corporate indicators for capacity development.

33. Related WFP Policies and Strategies. Capacity development is mentioned in a number of WFP’s policies and their progress reports.¹¹ Some of them simply express WFP’s commitment to developing capacities in certain areas, such as emergency needs assessments. In two cases (Exiting Emergencies, EB.1/2005/4-B and Food Aid and Livelihoods in Emergencies: Strategies for WFP, EB.A/2003/5-A) commitments are made to undertaking capacity assessments. In the case of the paper on Food-based Safety Nets (EB.3/2004/4-A), WFP’s changing roles are defined as providing models and undertaking advocacy for those not benefiting from safety nets. The two policies with most prominent capacity development features are

- Exiting Emergencies (EB.1/2005/4-B). This policy suggests that the existence of capacities for planning and responding to emergencies is a pre-requisite to exiting from countries. Instead of providing details on capacity development approaches, it refers to the Policy, which ensures both documents are consistent.
- Working with NGOs (EB.A/2001/4-B). The NGO policy, adopted in 2001, predates the capacity development Policy. Nonetheless, the NGO policy included a number of features that are in line with the subsequent specialized Policy on capacity development. For instance, it emphasized the importance of understanding the point of view of governments and NGOs as a basis for determining what type of capacity development assistance was appropriate and of partnerships; something that today is considered good practice (see paragraph 35). It stressed the importance of undertaking a capacity assessment to ensure assistance is tailored to actual needs and suggested a couple of points to be included in stakeholder analyses (as part of capacity development assessments). It listed a number of areas and a range of

¹¹ Exiting Emergencies, EB.1/2005/4-B; WFP and Food-based Safety Nets: Concepts, Experiences and Future Programming Opportunities, EB.3/2004/4-A; Strengthening Emergency Needs Assessments: Progress to Date and Implementation Plan, EB.3/2004/4-E, and Emergency Needs Assessment, EB.1/2004/4-A; Humanitarian Principles, EB.1/2004/4-C; Food Aid and Livelihoods in Emergencies: Strategies for WFP, EB.A/2003/5-A; and Working with NGOs – A Framework for Partnership, EB.A/2001/4-B. The Gender Policy 2003-2007: Enhanced Commitments to Women to Ensure Food Security, EB.3/2002/4-A also contains references to capacity development but was not included in this evaluation, since it was being evaluated separately at the same time.

capacity development tools that WFP would employ. In so doing, the NGO policy anticipated a number of provisions that followed in the capacity development Policy.

Coherence with International Policy and Good Practice

34. A review of the international policy context shows a certain degree of convergence towards the same thinking. *The Challenge of Capacity Development: Working towards Good Practice*¹² sets out principles that can be found in declarations, policies or position statements of other organizations than the DAC. The most important principles are those of ownership and endogenous process that drive and determine the capacity development process. The following analysis of coherence of WFP's Policy with international policy frameworks is important to understand how WFP is positioned in this context, as one indication of the Programme's comparative advantage. The documents are discussed in order of their focus or emphasis on capacity development.

35. **Towards Good Practice (2006).** The good practice paper (see footnote 12) derived from the recognition of the importance of capacity development to aid effectiveness and attaining the Millennium Development Goals. It drew on 40 years of experience and suggests that "a fundamental change in development practice" was necessary to re-focus on endogenous processes that are essential in achieving capacity development. The good practice paper does not provide a *blueprint* for capacity development. On the contrary, good practice suggests the need for a flexible, if systematic approach, and sets out a "framework for thinking about capacity development." The good practice publication provides a definition of capacity development, which encapsulates the ideas of various agencies presented in Box 1 above and suggests that terminology should use capacity development rather than capacity building, given that the latter inappropriately implies capacities would not exist prior to assistance being provided. It also highlights the importance of

- (i) Endogenous processes and national ownership which should be the driving forces in setting clear and agreed objectives for capacity development and its implementation. They would also form the basis for internal processes to diagnose capacity weaknesses and determine the course of action (and assistance) needed to address capacity gaps (see also Box 2 in section II.B.1 below);
- (ii) Working at three levels, namely individuals, organizations and the enabling environment that are interrelated and need to be understood as such. For instance, giving individuals technical skills might be ineffective, if organizations where these individuals work do not have the technical or organizational set-up to make use of these new skills, or if they exist in an environment that does not recognize the need for or support different perspectives;
- (iii) Using a systematic yet flexible approach that channels capacity development resources towards commonly agreed objectives, but remains flexible and adaptive to changing circumstances;
- (iv) Basing the delivery of support on a good understanding of existing capacities and endogenous processes that capacity development assistance would aim to support; and
- (v) Ensuring that lessons from capacity development are shared and learned.

36. **UN Development Group (2006).** The Position Statement¹³ of the UN Development Group aims to provide guidance to UN country teams (UNCTs) on national capacity development. It quotes the legal basis for the UN's engagement in capacity development – resolutions of the General Assembly and of the World Summit in 2005 – which direct, among

¹² *The Challenge of Capacity Development: Working towards Good Practice*, 2006, Organization of Economic Co-operation and Development, Development Assistance Committee (OECD/DAC).

¹³ Enhancing the UN's contribution to National Capacity Development, 2006, A UN Development Group Position Statement.

others, the Funds and Programmes to enhance their support for capacity development. It goes even further stating that “UNCTs will have to make capacity development the core of their work.” It accepts the terminology and definition put forward in the good practice paper and acknowledges that this paper provides a “valuable basis for country level dialogue and cooperation.” It embraces concepts such as country ownership, working at various levels of capacities (national, sub-national, and local), and emphasizes the importance of capacity analyses. For the latter, the Position Statement suggests a process that is integrated with the Common Country Assessment and the UNDAF, focusing largely on UN agencies and how they should adapt to country needs. The areas in which it suggests developing national capacities relate to good governance, such as policy making, results-based management, and knowledge sharing.

37. **Paris Declaration (2005).** The Paris Declaration was adopted to improve aid effectiveness and presents an agreement between donor and partner countries on harmonization and alignment. Its importance for this evaluation is that, while not focusing solely on capacity development, it emphasizes an increasing reliance on partner country systems. The importance of capacity development, and its prioritization, derives from such a commitment: to ensure existing capacities can be relied upon, they need to be strengthened where necessary. The Declaration’s pronouncements are very much in line with good practice for capacity development, in particular its principles of ownership, alignment with existing systems in partner countries, and harmonization of assistance and acting in areas of one’s own comparative advantage. The Declaration makes a strong point about capacity diagnostics – as planning tools for capacity building assistance and to monitor and measure progress – and emphasized the importance of harmonizing tools.

38. **Hyogo Framework for Action (2005).** This Framework¹⁴ has a strong focus on capacity development, recognizing that the capacities of nations and their people are essential to ensure the reduction of risks and responses to disasters once they happen. It suggests that capacities are needed at national, sub-national, community and individual levels (much in line with good practice thinking) and in a variety of areas that range from developing methods, coordination of different stakeholders, to information sharing and networking. It calls upon the UN system to implement the Framework specifying a number of areas that require capacity development.

39. **Assessment of External Coherence of WFP’s Policy.** The Policy is in line with a number of principles set out in international policy frameworks and good practice, even if concepts were not spelled out as clearly as they are now understood. For instance, the Policy places great emphasis on ownership, it talks about three levels of intervention (individual, organization, and government), working in partnership so that WFP’s assistance is integrated into and complementary to that of other partners, a systematic approach, capacity analyses or diagnostics that would identify capacity gaps before agreeing on capacity development goals and necessary actions/assistance, flexibility and learning and knowledge sharing. All of these factors are now part of good practice and international policy frameworks. The concepts were under discussion when WFP’s Policy was drafted and adopted, which explains why the ideas are present in the Policy, albeit not fully articulated and explained in it. Subsequent updates to the Policy could have brought WFP’s policy directions in line with latest thinking rather than provide status reports on policy implementation. The weaknesses of the Policy are that it uses terminology that has now been overtaken with a clear preference for *capacity development* rather than *capacity building*, does not define capacity development – an internationally accepted definition had not been arrived at when the Policy was finalized, although a number of definitions existed (see Box 1) – and is silent on the key success factors, the importance of capacity development for long-term results, or ensuring the necessary results frameworks of capacity

¹⁴ Hyogo Framework for Action 2005-2015: Building the Resilience of Nations and Communities to Disasters, World Conference on Disaster Reduction, 2005, Hyogo Japan.

development assistance. Many areas that the good practice called “delivering support” were not dealt with in the Policy.

Policies of Others Providing Capacity Building Assistance

40. The evaluation planned to compare WFP’s capacity development Policy with those of other agencies as one input into its assessment of WFP’s comparative advantage; others being the evaluation of operational experience (section II.B.) and resources (section II.C.) below. However, the evaluation faced the problem identifying comparator agencies with capacity development policies. None of the potential comparators such as FAO, International NGOs, UNDP, UNICEF, or the World Bank have capacity development policies. A recent World Bank evaluation observed “capacity building lacks a fully articulated framework for assessing capacity needs, designing and sequencing appropriate interventions, and determining results. ... The World Bank has no corporate-wide definition, and no operational policy to guide its capacity building work.”¹⁵ Only UNDP has a number of publications that serve as reference or guidance materials and embody its policy. These materials are, however, (a) not approved policies of the same status of WFP’s, but more comparable with the guidance material in WFP’s PGM, and (b) more recent than the WFP Policy and therefore embody latest thinking. For both of these reasons, the extent to which these documents are comparable with WFP’s Policy is limited. One obvious difference is that UNDP’s materials are published for practitioners within and outside UNDP, whereas WFP’s guidance materials are for internal use, which is in keeping with the Programme’s mandate that does not extend into providing normative guidance to others. Equally, a wealth of guidance materials for capacity development exists on the website of the World Bank Institute.

II.A.3. Practicability of the Policy

41. The practicability, i.e. the extent to which a policy is workable and can be achieved, is an important quality aspect for a policy. Otherwise, the potential for implementing the policy, and therefore its effectiveness, would be compromised from the beginning. WFP did not have any requirements to expose any policy to such questions. Nonetheless, the evaluation found it important to assess practicability of the Policy, as it provides a perspective on Policy implementation that complements that generated through the analysis and assessment of operations in section II.B. and of WFP’s capabilities in section II.C. below.

42. To determine criteria for assessing practicability the evaluation drew on a publication¹⁶ of the joint initiative of the OECD and European Union to provide Support for the Improvement of Governance and Management. The criteria were developed to assess whether public policy can be implemented and were, therefore, not immediately applicable to the capacity development Policy. Instead, the evaluation adapted the criteria to test WFP’s capacity development Policy against the following questions:

- Is it sufficiently flexible to accommodate all possible cases but still offers enough guidance so that discretionary provisions cannot lead to arbitrary decisions?
- Are there any contradictions in the Policy?
- Are all definitions in the Policy unambiguous?
- Is the language of the Policy clear and understandable for those who will implement the Policy?
- Are the competencies and responsibilities for Policy implementation, including those for providing support and coordination clearly defined?
- Are the costs of Policy implementation proportional to its intended objectives?

¹⁵ *Capacity Building in Africa. An OED Evaluation of World Bank Support.* World Bank. 2005.

¹⁶ *Improving Policy Instruments Through Impact Assessment*, SIGMA Paper: No. 31; 2001; [http://appli1.oecd.org/olis/2001/doc.nsf/43bb6130e5e86e5fc12569fa005d004c/c1256985004c66e3c1256a4f004b5bd4/\\$FILE/JT00107877.PDF](http://appli1.oecd.org/olis/2001/doc.nsf/43bb6130e5e86e5fc12569fa005d004c/c1256985004c66e3c1256a4f004b5bd4/$FILE/JT00107877.PDF)

- Are the envisaged institutional set-up and the envisaged procedures for Policy implementation efficient or could costs be saved if organised differently?

43. Not all of these questions can be answered through a review of the Policy, but require considering the Programme Guidance Manual, which translates policy into practical guidance. The analysis of documents was corroborated through feedback from the field, because it is the staff in the field that can assess best whether the Policy and guidance materials suit their information needs and guides their actions.

44. The Policy is rather flexible and broad and appears more like a set of principles that also include caveats that further increase flexibility. It leaves plenty of room to accommodate diverse cases that WFP encounters in its work. The boundaries seem to be set through the areas in which capacity development assistance can be provided, i.e. the typical domains of WFP's technical expertise. The PGM takes this further to include explicitly work at the three levels of good practice (see paragraph 35) and builds on the evolving thinking and publications, including guidance materials on capacity development. In that sense, WFP made an effort to keep materials abreast with the evolving knowledge of capacity development. However, this room for flexibility is not accompanied with criteria that would help prioritize capacity development assistance, e.g. when capacity development is a priority (on the contrary, the Policy implies that it should be done only when it does not interfere with other WFP work) and in which areas capacities should be developed. The extent to which PGM guidance on capacity diagnostics was useful or used is reflected in paragraph 58 below. Neither the Policy nor the PGM provides information on the responsibilities for Policy implementation and related institutional set-up, required competencies of WFP and how they would be put in place, or the cost of Policy implementation (leave alone proportionality with its intended objectives). The evaluation reviews these aspects in more detail in section II.C. below.

45. However, the Policy has a number of weaknesses:

- It does not provide an explicit and unambiguous objective for WFP's capacity development work, which is replicated in the design of operations and capacity development components;
- It provides a lot of background information on various areas of WFP's strengths, but not clear directions how these strengths will be translated into capacity development assistance;
- The Policy itself, i.e. the last section of the document, includes rather general principles of capacity development – or other assistance – and does not provide sufficient policy direction to operations. Instead, it allows a broad range of capacity development activities and follows a tacit understanding that capacity development is done when it does not interfere with other work.

46. Interviews and analyses undertaken during the evaluation showed that

- The Policy is not widely read or understood, which is manifest in misunderstandings and variable interpretations as to what capacity development assistance has been provided;
- The design of capacity development components did not differ in operations designed and approved before and after the Policy (see paragraph 65) and design documents rarely mention the Policy.
- There was no roll-out of the Policy, i.e. the absence of communication on the Policy, its importance and how it should be implemented, an investment into developing an understanding and skills for carrying out capacity development assistance;
- There was only limited and reactive support to the field for capacity development assistance and no training or information workshops similar to those organized for other policies (e.g. the annual meetings of HIV and AIDS focal points, or the training on gender);

- The PGM did not serve as a reference and practical guide to make up for the absence of hands-on support.

47. All of these factors limit the extent to which Policy implementation and commensurate results can be expected.

II.B. Policy Implementation and Results

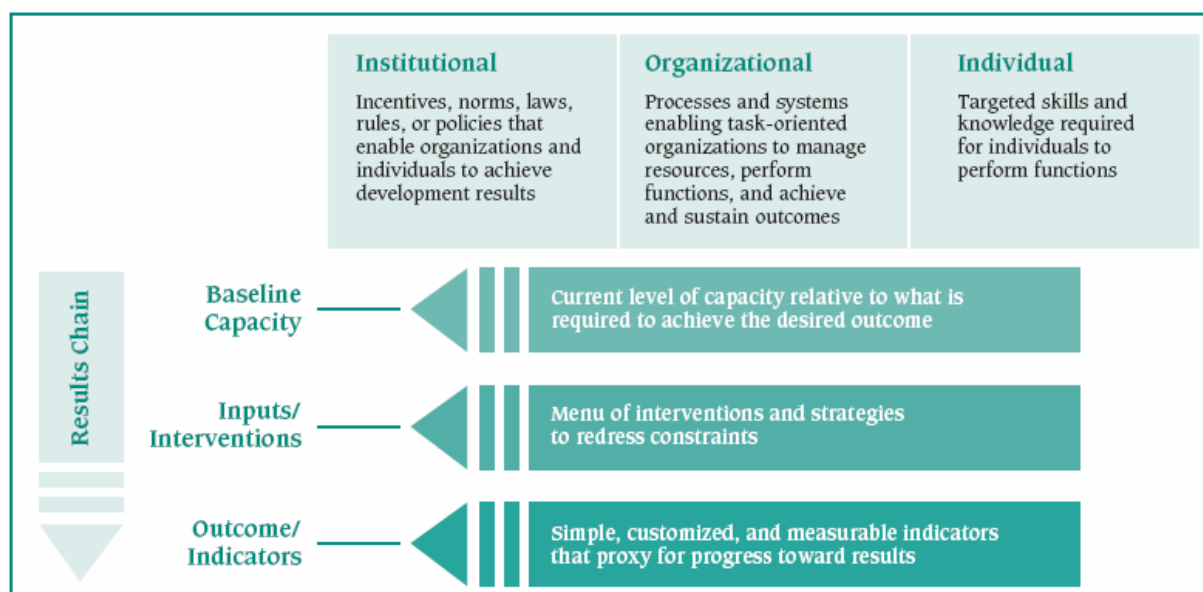
48. The second objective of the evaluation was to assess whether “*we are doing things right and what results we achieved*”. Operations and other field-based activities are the means by which policy gets implemented and results are achieved. The evaluation reviewed more than 90 operations with capacity development components undertaken at country and regional level since around 2000. The sample included operations with mainstreamed capacity development, country programmes with strong focus on capacity development and standalone projects. It included a desk review of documents (design, standard project reports, evaluations, grants’ documents, and others provided by country offices). The desk review was complemented by field visits to four regions, including five countries, which allowed the evaluation to capture capacity development activities beyond those documented and discuss with stakeholders’ their views on WFP’s contributions to capacity development. A general finding of the evaluation is that WFP is providing a lot more capacity development assistance than is documented. A core of these activities is directly linked to specific operations, but many others are undertaken in addition, in particular at the advocacy and policy level which depend on the pro-active engagement of country offices.

49. The evaluation findings are presented following the main parts of the operational cycle and results chain:

- Section II.B.1.: Identification and design, where questions of needs for capacity development assistance and its responsiveness to those needs are discussed;
- Section II.B.2.: Performance during implementation, where questions of WFP’s capacity development strategies and tools are discussed together with actual funding levels and efficiency issues; and
- Section II.B.3.: Results, which are presented following the main areas in which capacities have been developed.

50. The model below, from the World Bank Institute, explains the intersection of the three levels (whereby institutional is the same as enabling environment) and the three levels of the results chain, from identification (baseline capacity) and design through implementation (inputs/interventions) to outcomes, which correspond to the sections of the evaluation report mentioned above.

Figure 2: The World Bank Institute's Capacity Results-Framework¹⁷



II.B.1. Identification and Design of Capacity Development Assistance

51. In analyzing the identification and design of capacity development assistance, the evaluation used principles set out in good practice and in WFP's own guidance materials, in particular whether (i) there was a clearly identified need for capacities; (ii) an analysis of needs had been undertaken, and that in a participatory way; (iii) assistance was designed in a way that is coherent with that of others; (iv) the Policy had been reflected in the design of operations; and (v) the design of capacity development assistance components adheres to an internal logic, whereby clear objectives are set and the choice of activities and planned outputs is likely to attain these objectives.

The Need for Capacities to Address Hunger and Malnutrition

52. An evaluation of WFP's capacity development assistance necessarily begins with a very basic yet fundamental question about relevance: *"Do the countries in question require capacities to address efficiently and effectively the acute and chronic hunger and malnutrition confronting their populations?"*

53. The lack of overall progress made in the developing world with regards to ensuring adequate food security and nutrition, as noted by FAO in its 2006 report on world hunger¹⁸, would lead one to *assume* an affirmative response to this fundamental question. In its report, FAO notes the "sad reality that virtually no progress has been made"¹⁹ towards the World Food Summit objective of halving by 2015 the number of undernourished people in the world (from 1990 levels.) While the percentage of the developing world's population that is undernourished fell, the number of undernourished people actually rose in both absolute and relative terms. The report goes on to note that even in those areas where both the numbers *and* the prevalence of undernourished have declined during the period (Asia, the Pacific, Latin America and the Caribbean), these reductions still fall short of what will be required to reach MDG1 by 2015. Aggravating this lack of progress made in addressing hunger and malnutrition is the issue of vulnerability to sudden and slow on-set emergencies which increasingly characterizes life in much of the developing world. This trend would appear as well to call for increasing efforts to help build the capacities of governments and local

¹⁷ Capacity Development Briefs: Applying a Capacity-Results Framework in Lao PDR and other Pilot Countries, World Bank Institute, December 2005, Number 14, page 2.

¹⁸ The State of Food Insecurity in the World, 2006: Eradicating world hunger—taking stock ten years after the World Food Summit, FAO, 2006.

¹⁹ Ibid, page 4.

communities to prepare for and respond to the effects of emergency situations, to help reduce vulnerability.

54. Both of these trends seem to indicate that countries – at national, sub-national, and community levels – require capacities to address acute and chronic malnutrition and hunger. This need is acknowledged in national policies, poverty reduction strategies (PRS) and UNDAFs, as much as in global policies mentioned in paragraph 35-38 above.

Capacity Development Diagnostics

55. The evaluation did not find examples of documented capacity diagnostics, except in the case of three pilot (in Nicaragua, Madagascar and Tanzania) studies (two in 2006 and one in 2007) in the area of emergency food security assessment and preparedness. These pilots were financed by a grant from the Royal Danish Embassy. They were based on a more systematic approach of assessing the country needs, existing capacities, capacity development activities supported by others and activities where WFP has a comparative advantage. They include an analysis of strengths and weaknesses at the three levels (institutional, organisational and individual) and conclude with an action plan and a proposed budget.

56. Otherwise, design documents of operations list in a very general sense the needs for capacity development in those particular operations. This is manifest in the rather generic mention of beneficiaries (see section II.B.2 below) and in the general description of existing capacities and their weakness in almost all design documents. The observation applies in particular the analysis of organizations (where analyses could take the form of institutional diagnostics). However, some analyses of capacity gaps were done in a more informal (thus less structured and systematic) way, in particular through day-to-day interaction of WFP staff with policy-makers and technical staff in counterparts. These dialogues may identify needs for improving the enabling policy environment, as seen in the case of nutrition in Latin America, or be done in the preparation of training courses, such as for emergency food security assessments, or as an assessment of pre-training knowledge. These pre-training assessments were based on the assumption that capacity development assistance was needed and that training was the right form to deliver it rather than understanding needs before deciding what assistance would be provided.

57. Most of these analyses are not documented and there is no clearly established process for undertaking them, as suggested by good practice (see Box 2). Instead, they are dependent on the long-term contacts and confidence, knowledge of the institutions and partners and qualifications of WFP staff in the field. Where such WFP capacities are high, chances are that needs analysis and capacity development assistance are appropriate to needs. In other situations, the lack of critical information that a systematic gap analysis provides means WFP risks developing its response without a capacity development strategy

Box 2: Capacity Diagnostic Process.

The first step in capacity development is clearly a concerted effort to analyse whether or not capacities need to be developed. The analysis would consider the environment in which capacity development might – or might not – take place the organisational capacities and weaknesses that could need support and the capacities of individuals who could require enhancement of knowledge and skills. This rigorous capacity development analysis would examine in detail the existing capacities – and the gaps – at each of these three levels consider the interdependencies of existing capacities and attempt to weigh the impact that these gaps present. The analysis would produce information enabling the formulation of clear capacity development objectives; objectives that would guide capacity development assistance and enable the monitoring and evaluation of progress made. While a systemic analysis is necessary to identify critical areas where capacity development assistance is needed, it is essential that such analyses are done in a participatory way, even better: led by partners whose capacities are to be developed, and that the objectives of capacity development assistance are commonly agreed.

that goes beyond tackling immediate needs and lacks a focus on and prioritization of key capacity development priorities.

58. The evaluation found a number of reasons for a relatively uniform lack of systematic documented capacity development diagnostics, although they may differ from country to country and situation to situation. These reasons range from serious time constraints due to heavy workloads, to the absence of a clear policy directions, understanding and appropriate guidance (generally, feedback indicated that guidance materials on the PGM were not looked into or used), the “can do” mentality where pragmatic and immediate solutions are preferred over an analytical approach, the intention of capacity development (or training) to ensure smooth implementation of an operation, to the sense of experience and knowledge that longer-term staff have and the importance accorded to not embarrassing counterparts with an open display of capacity weaknesses.

59. The UN Development Group guidance note (see footnote 13) cites the need for UNCTs to integrate a capacity development framework into UNDAFs and calls for “the systematic application of, and follow up to, country led capacity assessments within national development strategies and sector planning exercises” (ibid. page 7) and “that each UNDAF outcome clearly reflects capacity development needs, in discussion with national partners, and gather the required data and analysis to support an appropriate response” (ibid. page 8). In spite of this guidance, the evaluation found that UNDAFs, while including capacity development objectives, were not necessarily accompanied by detailed analyses of capacity weaknesses. Instead, the documents presented information on existing capacities in a rather similar way to the information presented in WFP design documents. UNDP, with more detailed and explicit guidance on capacity assessments might have more examples of systematic diagnostics, but also these fall outside the scope of the evaluation and could not be retrieved on the website.

Coherence with National Plans and Assistance of Others

60. Capacity development should at a minimum, be coherent (and, ideally be fully integrated) with the capacity development plans and strategies of the entity in need of support. This coherence implies close links between WFP’s capacity development assistance and national capacity development policies and plans, PRS’s, and other institutional change programmes. Coherence in planning documents might foster, though not guarantee, greater counterpart ownership of and engagement in the capacity development process and strategy. The evaluation found that countries had highly variable approaches, ranging from having capacity development ministries, to national policies, or organizational change programmes (which may not have been called capacity development) and a reactive approach to accept capacity development assistance proposed by external partners. The absence of capacity development strategies on WFP’s part, coupled with sometimes rather loose national strategies or equally broadly defined approaches of other partners, raises questions about how systematically and strategically assistance can be aligned with the efforts of others.

61. In many countries, capacity development is still seen as an opportunity to supplement shortfalls in counterpart budgets to finance recurrent expenditure; a situation that is not unique to WFP. In these cases, one could argue that coherence is achieved by responding to these needs. In another case, WFP remained outside a partnership that had adopted a different method, so that two parallel systems were being developed in parallel.

62. To contrast these examples, there are other more positive cases where WFP has worked within governments’ broader reform programmes that included capacity development dimensions. For instance, in El Salvador the collaboration with the ministry of education over several decades meant that WFP was a close partner, providing assistance that was mutually agreed and integrated into the education sector reform programme of the government. In Senegal, WFP’s capacity development assistance is fully coherent with the

government's policy to improve school attendance and completion rate, school feeding being one of the tools to support these aims. The UNDAFs that the evaluation reviewed showed how WFP's capacity development efforts were integrated into a coordinated UN approach to capacity development.

63. There are examples where "demand and supply" for capacity development assistance meet. Often they gradually evolve from a WFP supply-driven approach to one that is driven by government processes and expectations. The Managing Environmental Resources to Enable Transitions (MERET) project and the Emergency Food Security Reserve Administration (EFSRA) in Ethiopia were both started many years ago by WFP (jointly with FAO and other partners for the EFSRA) and have through a long period of collaboration evolved into endogenous, long-term partnerships. In the beginning of the MERET project, the process was more supply than demand driven. Today, the watershed management approach developed under MERET has been adopted by the Ministry of Agriculture and Rural Development and is also applied to the Productive Safety Net Programme (PSNP). Similar examples exist for countries in which WFP has had long-standing partnerships.

Coherence with Policy

64. Section II.A.3 indicated that the design of capacity development components of operations did not change with the introduction of the Policy. The Policy itself is permissive so that coherence in a general sense can easily be achieved, but it also means that the Policy does not provide strong guidance. For instance, many operations comply with Policy requirements such as working with partners to identify capacity building needs (planned to be done during project implementation), making WFP assistance part of coordinated efforts (as evidenced by the partnerships with multilateral, regional and sub-regional partners), facilitating south-south cooperation by creating a platform for networking, and strengthening capacities for undertaking advocacy within countries and regions.

65. A review of the various types of pro-forma for design documents shows that there were no systematic changes to the design requirements as a result of the Policy. Such a step of translating policy directions into guidance for designing operations is one way to ensure policy implementation. The review showed that, for instance, between 2002 and 2004 the pro-forma for country programmes required a capacity assessment and identification of 'capacity building' needs. These requirements disappeared from the pro-forma after 2004, i.e. right after the approval of the Policy. Capacity development is also absent from pro-forma for development projects. On the other hand, since 2006, the pro-forma for emergency operations states, in its section on handover strategy, that: "Emergency response, particularly in relation to recurrent shocks, is more effective when it is carried out in the context of a longer-term strategy for capacity-building and resilience."²⁰ The pro-forma for the initial protracted relief and recovery operation included a section on 'capacity building' which disappeared in 2005, although 'capacity building' remains as one of the elements to be assessed and considered in the context of the handover strategy.

66. The Policy also called for systematic approach to capacity development, though without specifying what this entails, and the PGM suggested that WFP would move away from its focus on developing capacities to smooth the implementation of operations to those needed locally. The evaluation analyzed the various capacity development approaches and tools – the findings are presented in section II.B.2 below – but generally observed that these initiatives are country and even operations' or sector based. The choices are not related to policy directions, but to the knowledge and experience of WFP staff.

²⁰ Programme Guidance Manual: EMOP pro-forma December 2006

Internal Coherence of Design

67. The evaluation found that 22% of operations had capacity development assistance as an objective, using very often in the design documents the wording of the strategic plans (see paragraph 31 above), a wording that is rather generic and not specific to capacity development objectives in a given country or operation. In other cases, capacity development “objectives” were stated in terms of support programme implementation or training for the sake of capacity development without clear objectives of what kind of capacities were to be developed and what purposes they would serve. Further analysis evidenced that about half of the project documents with reference to strategic objective 5 do plan to contribute to developing capacities beyond the smooth implementation of WFP programmes, like supporting government to expand their own programmes, influence recipient government policies to increase funding of hunger reduction programmes, supporting food fortification programmes. Very often these initiatives are linked to hand over strategies. Nonetheless, most of the projects that had capacity development objectives had logical frameworks with related indicators. Feedback from the field showed that the absence of corporate outcome indicators made it difficult to include capacity development objectives in these planning documents and affected the achievement of results. To fill this gap, country offices developed indicators that reflected their operational reality, which however resulted in some indicators that are difficult to measure or others that are at the input level. A review of the indicators compendium shows that it provides relatively limited information to guide the design of capacity development operations, providing one outcome (without indicator) and one output (with two indicators related to training and number of areas of capacity development).

II.B.2. Implementation Performance

68. In this section, the evaluation examines various aspects of implementing capacity development assistance, who actually benefited from the assistance, what approaches and tools were used, what level of funding was available, and how efficient the assistance was. While the previous section analyzed how WFP *planned* to provide capacity development assistance, this section reviews how WFP *actually* went about it. Both of these sections explain, in part, the results discussed in section II.B.3 later on.

“Beneficiaries”

69. The design documents describe targeted institutions or individuals for capacity development in rather broad and general terms. They refer to government and cooperating partners’ staff. In some cases, the design documents identify policy makers, academic institutions, the communities and households but overall, who exactly should benefit from capacity development assistance and which level the assistance intends to address are not clear.

70. Using the term “beneficiary” comes with a number of draw-backs as indicated in Box 3. The generic description of stakeholders in capacity development processes could be due to a number of limitations: (a) the definition of *beneficiary* is more based on the typical understanding of recipients of food assistance which does

Box 3: “Beneficiaries”. The use of the term *beneficiary* is confusing for several reasons:

- It implies a passive recipient of assistance rather than the driver of an endogenous capacity development process;
- It implies that the provision of capacity development assistance rather than the stronger emphasis of working in partnership that capacity development requires;
- It is difficult to reconcile with the three levels in which capacity development takes place: the enabling environment, organizations, and individuals;
- It is difficult to reconcile with the traditional beneficiaries of food assistance.

The use of terminology is important, as it manifests how (in which role) stakeholders or partners are perceived.

not translate well for partners in capacity development assistance; (b) the informal approach to capacity development means that there is no structured stakeholder analysis, which would indicate more clearly who the partners will be in capacity development. Instead, generic statements are made such as the “ministry of health”; and (c) the design document does not require providing more detailed information on “beneficiaries” or stakeholders in capacity development processes.

71. WFP capacity development efforts reach a broad range of stakeholders across all three levels: policy-makers at the highest level, technocrats that are involved in organization change and individuals that are trained in a range of subjects. The majority of capacity development initiatives are for government and cooperating partners’ staff in the area of programme and food management. The aim of these initiatives is mainly to ensure adequate capacities are in place for the smooth implementation of WFP-supported food programmes. These capacity development activities are mainly organized for traditional counterparts: staff at national or subnational level in the ministries of agriculture, education, and health, government entities for logistic, disaster response and civil protection, NGOs and communities, and the private sector. Numerically much fewer, but equally if not sometimes more important, are stakeholders at the policy-making level, where WFP works at inter-ministerial and ministerial level. This “*beneficiaries*” of capacity development assistance gain a better understanding of hunger and malnutrition issues as a result of WFP’s advocacy work, which in turn creates the political platform for adopting necessary policies (the enabling environment) as a stepping stone in developing organizational capacities.

Capacity Development Approaches and Tools

72. In the absence of systematic capacity assessments, it is not surprising that there are no (documented) capacity development strategies. Many interviewees mentioned that “we do capacity development as part of our day-to-day job”, in response to demands as they arise and not deviating from core business. An implicit strategy has been to focus on developing capacities of counterparts to ensure the smooth implementation of WFP-assisted programmes. A deliberate capacity development strategy would be intentional, have clearly defined capacity development goals, objectives, and a sequenced set of activities, and be monitorable. A strategy would specify what capacities, at which level (enabling environment, organizational individual), WFP is enabling and how these are positioned in the overall national capacities to address hunger and malnutrition. It would also link the capacities to be developed to outputs and appropriate tools and approaches to achieve them.

73. Despite these limitations attempts are ongoing to formulate capacity development strategies based on the Policy principles such as the ongoing initiative in Ethiopia to develop a basis for a capacity development strategy in various areas of WFP’s activities. Besides that specific case, the most structured initiative so far is the draft strategy designed under the SENAC project to develop national capacities for emergency food security assessment and preparedness, based on three pilot studies (see paragraph 55 above).²¹ Referring explicitly to the Policy and to strategic objective 5, the strategy aims at ensuring sustainability of capacity to assess and respond to emergencies at national level, taking advantage of WFP comparative advantage in this field. Its conceptual framework follows the approach advocated in the DAC paper (see Para 35), distinguishing between the institutional (policy), organisational (implementation issues) and individual level (empowerment).

74. Nonetheless, WFP’s capacity development activities are not carried out in a void. Many examples exist where these activities have been addressing a cross-section of capacity development needs in a concerted way using a number of capacity development tools in complementary ways. The evaluation found examples of approaches that combine various capacity development tools to address project or programme-specific capacity gaps.

²¹ WFP – ODAN, 2007, ‘Developing National Capacities for Emergency Food Security Assessment and Preparedness’, draft strategy paper.

Advocacy and information-sharing with regional institutions, capital and financial support for government counterparts, and workshops and on-the-job training for partner staff that join WFP-led assessment teams: the capacity development toolbox is varied and experience is growing. This move towards integrating various capacity development tools is important in view of the concept of working at three levels, which was adopted in recognition of the fact that training individuals is insufficient for capacity development and thus ineffective if done in isolation.

75. The combination of capacity development tools varied by sectors, as illustrated in the examples below. Training is a prominent feature in assistance programmes and so are capital inputs in a number of them. More sophisticated capacity development approaches combine these inputs with technical expertise, on-the-job training, and an integration of systems developed with WFP's assistance into existing ones, which promises greater absorption and sustainability.

- **Comprehensive approach.** In El Salvador, WFP is assisting the government in developing a nutritional surveillance system. The capacity development assistance package includes advocacy to generate necessary political understanding and support, developing methods and a computerized system that is linked to the existing epidemiological system, providing training and online help, and support during the implementation of the system. Similar examples were found in the field of early warning, where assistance involved different tools from advocacy, networking of stakeholders, to technical guidance.
- **Methods, guidance and training.** Under the SENAC project, methods and guidance materials were developed, a training needs assessment undertaken that was followed by systematic training courses for staff of WFP and its partners (bringing both to same understanding), and working together in undertaking assessments. While making a concerted effort to develop capacities, the approach's weakness was that it is geared toward developing capacities in WFP's analytical approach – governments may choose other alternatives – and that the working alongside in assessments assumes skills and knowledge are transferred automatically. Experience shows that a more deliberate effort of on-the-job training is important to make such transfer happen.
- **Capital inputs and training.** This approach is predominantly used in the area of programming and food management and corresponds to the focus on developing capacities of WFP counterparts for smooth implementation. Training courses include the following subjects: warehouse management, commodity tracking, food storage, monitoring. Capital inputs include: computers, trucks, and vehicles. These are necessary and useful inputs for the implementation of an operation, but not intentional capacity development assistance. Capacity development results (see section II.B.3) would be incidental and concentrated on capacities that relate to WFP-assisted operations.
- **Predominantly training.** Training and workshops are prominent tools in WFP capacity development operations. It was part of 76 of the 113 operations (67%) that the evaluation considered during the initial desk review. Training, as part of a strategy, is a tool of relevance to WFP operations, providing a learning mechanism for individuals involved hunger reduction programmes, from beneficiaries to managers. Training has also value in view of turn over of government counterpart staffs. The use of approaches like training of trainers (training system in cascade) to reach a large number of people at different levels is particularly relevant in the context of decentralization. However, the evaluation found that the use of training is often in absence of an overall capacity development strategy, a practice which can lead to limited capacity development benefits. This finding was similar to that of the World Bank, as summarized in Box 4 below.

Box 4: World Bank Experience with Training as a Means of Capacity Development

- Training is one of the primary means by which the World Bank helps build the capacity of countries to reduce poverty.
- Most Bank-financed training resulted in individual participant learning, but improved the capacity of client institutions and organizations to achieve development objectives only about half the time.
- Where training did not succeed, it was because its design was flawed or insufficient attention was paid to the organizational and institutional context in which training took place.
- Training provided by the World Bank Institute (WBI) was found to be insufficiently targeted to client needs, and inadequately embedded in broader capacity-building strategies, to substantially impact development capacity.
- The WBI's training procedures and practices do not sufficiently anchor training within comprehensive capacity-building strategies,
- The Bank does not adequately monitor or evaluate training results.

Source: *Using Training to Build Capacity for Development, World Bank Independent Evaluation Group, 2008.*

76. In efforts to conduct capacity development at a policy-level, WFP seems to have greater impact when working in partnership. Indeed, “working in partnership” is a key capacity development approach recommended in the Policy: “...*capacity-building must be done in partnership to ensure a coherent and mutually supportive strategy to strengthen country and regional capacities, based on the comparative advantage and resources of each partner.*” It enables WFP to draw on the comparative advantages of partners to enrich its capacity development efforts. In West Africa, for example, the collective voices of WFP and UNICEF are combined in an effort to influence governments to take longer-term, more sustainable approaches to nutrition; similar examples abound in other regions as well. In addition to partnerships with other UN organizations, WFP works with NGOs for community level interventions, creating synergies between short-term food intervention to alleviate hunger and longer term capacity development to mitigate the effects of future disaster.

Actual Level of Funding

77. In general, financial reports give a rather incomplete picture of the exact amounts that have been earmarked and spent for capacity development. It is hard to give a single explanation for the absence of indicative budget and costing figures for capacity development. Only very basic information on expected expenditure for capacity development are included in the design documents and are included under other direct operational costs (ODOC²²), as per WFP's policies (see section II.C.2 below), where capacity development expenditures get combined with other costs under this category.

78. ODOC is the main source of funding for capacity development and the ODOC budget is 5 percent of operational requirements for 2008–2009²³. The gross ODOC expenditures allocated for food aid projects and standalone operations give a rough indication of the trend of funds reserved for capacity development operations, although not all ODOC is spent on capacity development. The increase of ODOC by 50% from US\$ 108 millions (2006-2007) to US\$ 162 millions (2008-2009) is explained, in part, by the increased number of PRROs with a significant rehabilitation components, the enhancement of partnerships with implementing partners whose costs are budgeted under ODOC,²⁴ and the increase in capacity development activities. The 2008-2009 Management Plan states that the great number capacity development projects is once more the reason for this large increase, but does not

²² According to the Programme Guidance Manual ODOC include deliverable goods (non-food items), services and training to beneficiaries and/or to implementing partners

²³ WFP/EB.2/2007/5-A/1 WFP Biennial Management Plan (2008-2009)

²⁴ WFP/EB.2/2007/5-A/1 WFP Biennial Management Plan (2008-2009), paragraph 149

provide exact figures for expected capacity development expenditure. The total expenditures for capacity development (under strategic objective 5) planned in the operational budget for 2008-2009 are for some US\$64 million (excluding grants), an increase of around 60% compared to the previous biennial plan. However, as with all other funding the actual level of resources needs to be taken into account, where shortfalls are often experienced.

79. Two of the three regional standalone capacity development operations are well funded. In Latin America, as of February 2008 the regional operation 10411.0 Capacity Building and Technical Assistance in Support of Food-based Social Protection Programmes has a shortfall of 40% with 16 months (33% of total duration) until the end of the project. The regional standalone operation 10394.0 Support to Strengthen Vulnerability Monitoring Systems in Southern Africa and the Analytical Capacity of the SADC Vulnerability Assessment Committee received more resources than originally planned and was fully funded by the Republic of South Africa. However, operation 10421.0 Capacity Building of Integrated Micronutrient Programmes in the Central American is lagging behind with a shortfall of 84% and 5 months to go (13%).

80. A particularity of the Country Programmes with strong SO5 component is that recipient governments are providing funding to the operation to varying degree, up to 23% of the total value, in the case of India.

81. Trust funds, grants and bilateral operations supplement the funding available through ODOC. In the previous two biennia, WFP spent US\$186 million and US\$217 million respectively in bilateral and trust funds. The amount estimated for 2008-2009 is US\$179 millions. It is not possible to determine what percentage of these funds was reserved for capacity development activities, but many of the projects financed from these resources have capacity development components. Nonetheless, not all donors believe that WFP has a strong comparative advantage in capacity development and are often reluctant to provide specific funding for these activities.²⁵

Efficiency

82. The measurement of efficiency depends on a clear strategy and detailed design, costing of activities and information on actual expenditure. Even then it is difficult to assess efficiency of capacity development assistance, which is defined as an input-output relation, because in most cases it is difficult to attribute observed capacity changes to just one action.

83. In the case of capacity development there are hardly ever any clear objectives and indicators attached to it (see paragraph 67). The letters and memoranda of understanding signed with government counterparts, NGOs and cooperating partners as part of country programme action plans provide, in some cases, slightly more elaborate descriptions of capacity development plans.

84. Projects budgets do not usually provide any indications for capacity development activities, even when capacity development is a specific objective of the operation. In the case of country programmes with strong capacity development objectives, only one of the design documents presented an estimated overall budget for capacity development. The standard project reports as they stand now require only a narrative report on capacity development which is very limited. Field visits showed that the present level of reporting does not do justice to the actual capacity development activities undertaken. This lack of planning information (budget allocations) and reported outputs impedes an input-output comparison, and thus inhibits the assessment of efficiency.

²⁵ Projects funded by USAID do sometimes specify that cash contributions cannot be reserved for ODOC expenditures (Ethiopia PRRO 10352.0); The German Quality Improvement Grant has focused in 2007 on capacity development activities but the financial support is for one year only and not eligible for renewal. The financial support given by DfID focuses often on projects aimed at exit-strategies.

85. Even proxies for efficiency, such as the unit cost of providing training, require expenditure data, which are not kept systematically. While it has been possible to have some financial planning figures for specific training activities, it is not systematically matched with data on actual expenditures. The existing accounting system does not allow for easy retrieval of expenditure according to activities. Consequently, no data were available to the evaluation.

86. While it is inherently difficult to assess efficiency of capacity development assistance, the existing systems do not provide any information or proxies that could be used to measure it. Looking at how other organisations handle this issue, evaluations reports reflect similar types of challenges. The World Bank evaluation mentioned earlier (see paragraph 40 and footnote 15) reported similar problems than those mentioned above.

II.B.3. Capacity Development Results

87. The presentation of evaluation findings on capacity development results faced a number of challenges. In the absence of an agreed results framework and associated results indicators, the evaluation had to reconstruct a logic model (see II.A.1 Figure 1). When the model was tested during fieldwork, the evaluation found several weaknesses, and therefore chose to present its findings in a slightly different way. The Policy (and thus the logic model) did not place sufficient emphasis on work at the policy and institutional levels, which the evaluation made a separate area of observing results. The areas of analytical capacities, programming and food management were retained as given in the logic model, and the area of disaster preparedness was renamed risk management. Capacity development in the areas of decentralization, which actually referred to work at community level, was reflected in two areas, namely programming and risk management, and equally information sharing and advocacy appears in a number of areas. The evaluation found little evidence of capacity development work in resource mobilization, which therefore was not included in this section.

Enabling Environment – Policies and Institutional Framework

88. **Policy Influence through Analysis and Advocacy.** One of the first steps towards influencing policies is to create awareness about food security and malnutrition issues. Among the many types of studies and analyses undertaken, one can highlight the WFP funded “The Cost of Hunger Study” in the Latin America region which shows to decision-makers what the economic cost of hunger is. This study makes a two-fold contribution to capacity development:²⁶ it generated greater awareness of policy-makers in the Latin American region of the impact of hunger on socio-economic development. Combined with advocacy work at various levels, including inter-ministerial meetings in the region, it resulted in political commitment and agreements, which form the basis for adopting national policies and strategies, allocating national resources, and developing organizational and technical capacities for policy implementation. This example is quite different from the observation made in a recent publication²⁷ that noted a “lack of high-level interest in nutrition. Although the traditional explanation for this is that the serious consequences of undernutrition are simply not understood, there are other equally plausible explanations relating to the way that the nutrition community has sought to make its case and the narrow frameworks that afflict the discipline.” It appears that WFP’s work in this area has tackled a common weakness of many stakeholders in this field.

89. **Supporting Regional Networks.** WFP supports regional bodies and networks to improve analysis of food security and nutrition, enhance information sharing across countries and promote specific agendas on food and nutrition. For instance, WFP is engaged in

²⁶ The second capacity development result expected from this initiative is that the method developed is now being shared with countries in the region to develop their analytical capacities (see paragraph 95).

²⁷ Maternal and Child Undernutrition 5, Effective international action against undernutrition: why has it proven so difficult and what can be done to accelerate progress? The Lancet, January 2008.

significant advocacy efforts with CILSS²⁸, encouraging the incorporation of issues of access (indebtedness, livestock, and market function in particular) into its traditionally availability-focussed food security analyses. In Latin America, WFP among other regional and international partners supports the development of SATCAWeb²⁹, which integrates data from various regional and international early warning systems into one, and of Nutrinet³⁰ creating a regional exchange platform for actors in nutrition based programmes, both user friendly web-based. These two regional networks promote south-south collaboration. With funding from the South African government, WFP is working with the Southern African Development Community (SADC) in a comprehensive program that includes policy dialogue and improvements in vulnerability and assessment. Its work has fostered the establishment of national vulnerability analysis committees in most countries of the region (see also paragraph 94). Through ongoing, concerted advocacy work, the WFP, in concert with the nutrition cluster and UNICEF in particular, is advocating with governments in the West Africa region, raising the awareness of officials of the need to build sustainable, long-term approaches to nutrition, rather than viewing nutrition as simply an emergency-related concern as has often been the tendency in the past.

90. **Contributing to National Policy Development.** Similar to the work at regional level (paragraph 88), WFP contributed through its advocacy work to generating commitment of national authorities. In each case, the advocacy work and subsequent political commitment to address the problem of malnutrition and hunger contributed to creating an enabling environment in which developing organizational and individual capacities would more likely succeed.

- **Nutrition.** WFP is supporting the development of policies and national programmes in various countries, including Laos, Ethiopia, India, Honduras and El Salvador. In Bangladesh, the Ministry of Food and Disaster Management and WFP signed in November 2006 a memorandum of understanding for long-term technical cooperation to further strengthen Government's capacity in dealing with food security, hunger and nutrition related issues. In Ethiopia WFP is co-partnering with the World Bank and UNICEF in the formulation process for the national nutrition programme developed under the leadership of the Ministry of Health
- **Food Fortification.** In India, WFP's strong advocacy for the fortification of *Indiamix* (as one of the most cost-effective strategies to address the problem of hidden hunger in the country) contributed to the adoption of a government policy on micronutrient deficiency and its prevention.³¹ In Egypt, a WFP study³² identified issues of micronutrient deficiency and with food fortification and highlighted the short-term, unsustainable nature of existing measures to combat these problems. The study informed WFP in its decisions to undertake advocacy and give support to the government's efforts to develop a national strategy on micronutrient deficiencies.
- **School Feeding.** The evaluation found numerous examples where WFP contributed to the development of national policies and strategies for school feeding. In Mozambique, the national school feeding strategy, developed with WFP's support, is

²⁸ Comité permanent inter-état de lutte contre la sécheresse au Sahel : a regional organisation created in 1973 to help the countries of the Sahel (Burkina Faso, Cape Verde, Chad, The Gambia, Guinea Bissau, Mali, Mauritania, Niger and Senegal) mitigate the effects of drought and focus on food security and natural resources management

²⁹ Early warning system for Central America SATCAWeb: www.satcaweb.org/alertatemprana/inicio/alertaTemprana.aspx. The system contributes to the reduction of the risk to food insecurity in Central America by strengthening the capacity to anticipate natural hazards for effective prevention, preparedness and humanitarian response.

³⁰ Network and information platform on hunger reduction in LAC: www.nutrinet.org. Its two main thrusts are 1) the establishment and support to a thematic knowledge network linking governments (policy makers and practitioners) and others actors in the fight against hunger and malnutrition in the region, providing an exchange platform for experiences to promote the integration of good practices and 2) the implementation of a knowledge management system to facilitate interaction and collaboration amongst the membership of the network and share information.

³¹ Royal Tropical Institute, 2006, "Thematic Review food aid for nutrition: Mother and child nutrition interventions. Case study India".

³² WFP Egypt, Quentin Johnson and Osman Galal, 2005, 'Micronutrient Study'.

part of a process to develop an exit strategy of external food aid. In Ethiopia, WFP based on its experience with the MERET approach developed a planning tool called Children in Local Development that was incorporated in the ministry of education's action plan. In many countries in Latin America, WFP's long-standing partnership with governments has resulted in their integrating school feeding into nationally owned and financed programmes.

- **Safety net programmes.** In Ethiopia, WFP's partnership with government and major donors contributed to the development of a safety net program in 2005 which sets out the national approach to eligibility for food assistance and is designed to move chronically food insecure people off relief food and onto an assets protection and creation programme.
- **Disaster preparedness.** In the field of disaster preparedness the evaluation did not find strong indications of WFP's involvement at policy level except in some cases, for instance in Mozambique, where a few years ago, WFP assisted the Government in formulating and institutionalizing a national disaster-preparedness policy. In Ethiopia, WFP is providing comment on the policy paper under preparation when solicited. UNDP and some bilateral donors are more active in working with governments in this area.

Developing Analytical and Assessment Capacities

91. WFP's policy clearly indicates the importance of developing national capacities to analyze food security as part of the overall objective of helping governments to manage food assistance programs. All partners interviewed during the field visits on this issue recognize the strong comparative advantage of WFP in VAM and in needs assessments compared with other organisations. The issue here is to assess how well WFP is enabling national authorities to undertake such analysis, mapping and assessments.

92. Capacity development activities for vulnerability analysis and needs assessments take place in all regions and countries. The desk review and field visits both confirm WFP's active involvement in this field, which was also observed in the SENAIP evaluation which states "Where appropriate (i.e., outside of conflict situations) there is an evident desire to build national capacity to analyze, plan for and respond to humanitarian crises". They mainly consist of training, provision of capital inputs, day-to-day collaboration between counterparts and more than 100 VAM officers worldwide, and collaboration when actually conducting assessments. These initiatives are frequently foreseen in emergency and protracted relief and recovery operations. They mostly target individuals rather than organizations and are mainly handled at country office level without systematic support from Regional Bureaus or Headquarter.

93. In addition to these country level initiatives, WFP corporately developed a learning programme under the SENAC project that corresponds to the necessity to engage counterparts and stakeholders in undertaking needs assessments. According to the SENAIP evaluation, about 450 government and NGO partners have been trained in various needs assessments techniques in 2005 and 2006 and 40% of them partners declared to be involved in assessments activities after the training. The learning programme is based on a common tool which is the Emergency Food Security Assessment (EFSA) Handbook developed at corporate level. This answers a direct need to have a more coherent and systematic approach to emergency needs assessments across the board. The WFP approach and related training should be compatible with other assessment approaches. However, their adoption by governments is not always the case. For instance the evaluation found that in Ethiopia the government had adopted the household economy assessment methodology since an initial pilot was tried in 2005, but that WFP was still undertaking EFSA training for its own and government staff, which might induce confusion more than it

contributes to enhance capacities. Other countries (Sudan and Kenya for instance) are also adopting other approaches.

94. The most important capacity development initiative (besides SENAC) is the support to Vulnerability Assessment Committees (VACs) in southern Africa. Under this initiative FAO and WFP support governments in the region to improve VAM and general analysis capacities. In contrast to one-off training programmes, which are not effective for developing capacities, this programme is a long-term commitment to members in SADC. Inputs include the placement of staff in the VAC secretariat to provide full-time technical support. With WFP's inputs the scope of assessments were expanded from a narrow focus on food to broader issues of poverty and the impact of HIV and AIDS on vulnerability. Increased analytical capacities of national VACs have led to a more comprehensive approach to investigating food security and vulnerability, including nutrition. The initiative should increase the capacity of SADC and its member countries to undertake livelihood analysis and reduce reliance on costly external experts. The VACs provide a pool of expertise in many sectors to carry out assessments, which governments can tap into.

95. Based on the *Cost of Hunger* study in Latin America (paragraph 88), national capacities are being developed in the Andean region (Bolivia, Colombia, Ecuador, Paraguay, and Peru) and Venezuela to conduct cost of hunger studies with the participation of national stakeholders. The approach involved organizing workshops to explain the methodology, followed by a 5-month period during which workshop participants share the methodology with national stakeholders and subsequently collect and process data, and a final workshop to present and discuss results and methodology.

Risk Management

96. In the Policy risk management is a component of disaster preparedness, along with early warning, damage mitigation and contingency planning, when, in fact, all are conceptually part of risk management.³³ Managing risk incorporates various types of capacity development assistance to enable governments to prepare for and respond to food crises. These activities have been implemented at regional, national and local levels but not in a systematic way.

97. Generating, accessing, analyzing, and acting upon information are essential to trigger timely and appropriate responses. Much of this is related to the analytical and assessment capacities discussed in the preceding paragraphs. Equally important are capacities for establishing contingency plans. Contingency planning is an essential part of WFP's work – the basis for “getting the job done” in case of emergencies – but the evaluation did not find examples of developing organizational capacities for the whole gamut of contingency planning.³⁴ Nonetheless, in Ethiopia, WFP assisted the Government to establish the food security reserve which holds up to 400,000 metric tons of food in reserve for disbursement in case of emergency. Presently it acts mainly as a buffer stock with a yearly turn-over around 250,000 metric tons. This buffer stock is an important part of contingency planning and timely response when needed.

98. Early warning systems are a natural area of expertise for WFP. Without an effective early warning system at country level there is the risk that the need for an emergency needs assessment and response is not recognised. WFP support takes different shapes according to countries situation and needs. For instance, in Ethiopia, WFP has been supporting the

³³ The Hyogo framework specifies the following areas of action to effectively manage disaster risk: (1) Ensure that disaster risk reduction is a national and a local priority with a strong institutional basis for implementation, (2) Identify, assess and monitor disaster risks and enhance early warning, (3) Use knowledge, innovation and education to build a culture of safety and resilience at all levels, (4) Reduce the underlying risk factors, and (5) Strengthen disaster preparedness and effective response at all levels.

³⁴ WFP defines the contingency planning process to involve steps like hazard and risk analysis, contingency prioritization, scenario building, preparation of contingency plans, preparedness actions and plan updates. The resources on the website contain a wealth of information on how to do contingency planning, but there is no indication whether capacity development in contingency planning is part of the Programme's intentions.

Early Warning Unit of the Disaster Preparedness and Prevention Agency (DPPA) for many years with technical expertise and capital inputs. WFP's partnership with the DPPA over many years has enhanced the capacity of that organization to do its own early warning and to bring together various efforts (USAID/FEWS, WFP/VAM) in one discussion. For the last couple of years, in the context of the SENAC project, WFP started to support Food Security Monitoring Systems (FSMS) in-built in national institutions to ensure that decision-makers are equipped with timely and relevant information for an appropriate response to a deteriorating food security situation. The VACs in Southern Africa and SATCAWeb in Central America are other examples where such capacities have been or are under development.

99. Capacity development in disaster mitigation seems to have focussed at local level to improve the resilience of communities to disasters. Activities included flood control and erosion control, usually associated with FFW and food for training. The evaluation found cases where disaster mitigation interventions are coupled with capacity development to ensure more sustained and strengthened capacities of communities. The exceptional case observed by the team is the MERET program in Ethiopia where sustained engagement of communities not only through the FFW phase during the initial conservation work, but afterwards also in the maintenance of the watersheds. Moreover, by constantly training all levels of staff engaged in the programme, from village to regional level, WFP has ensured that the institutions that need to support disaster mitigation are also strengthened. To what degree capacities for timely response to disaster have been developed at community and district level is difficult to quantify but the government and cooperating partners recognition of the value of the approach and the perception that communities are better equipped to face disaster are proxy-indicators of built capacities.

Programming

100. Strengthening programming capacities is a central part of WFP's capacity development assistance. Its main objective is to ensure that food assistance channelled through WFP is well targeted and operations are adequately managed and monitored.

101. **Capacities for Improved Targeting.** Assistance in this area comprises often technical support provided by WFP to governments to translate vulnerability analysis and needs assessments results into targeting of interventions. At another level, counterpart training resulted in greater awareness of the importance of targeting and improved their abilities to use targeting methods, as reported in Tajikistan, Senegal, Laos, Egypt and many other countries. Similarly, training at decentralised level focused on methods for beneficiaries' selection, such as the community based targeted distribution (CBDT) system. According to the thematic review of targeting³⁵ and the more recent evaluation³⁶ of operations in Kenya, the CBDT system has been developed in order to get away from the two parallel systems existing previously (one from the Government and the other from WFP and NGOs in conjunction with donors). WFP played a critical role in implementing the system, providing repeated training at decentralised level since early 2000. The targeting review recognises that the training provided by WFP contributed positively to improved use of CBDT at local level.

102. **Developing Targeting Guidance.** With the development of safety net programmes, WFP's proven experience in targeting has been called for to develop capacities of governments to target interventions in the context of safety net programmes. This has been reported in Ethiopia where WFP is assisting the Government to develop its targeting guidelines for the PSNP and in Egypt where the government requested WFP to improve the targeting mechanisms of the food subsidy system. The latter was done through a national survey – funded by a grant from Department for International Development – aimed at improving the understanding of the livelihoods and food security situation in the country

³⁵ WFP – OEDE, 2005, 'Thematic Review of Targeting in WFP Relief Operations'.

³⁶ WFP – OEDE, 2008, 'Evaluation Kenya EMOP 10374.0 and CP 10264.0 (2004-2008)'.

103. **Counterpart Capacities for Programme Implementation.** Capacity development activities in this area are most closely associated with the objective of enhancing implementation and therefore at biggest risk to substitute rather than develop capacities. For instance, the evaluation of the Darfur emergency operation³⁷ revealed significant challenges in dealing with capacity issues during the emergency scale, including weak implementing partners and the overwhelming humanitarian imperative to focus on food delivery. The evaluation recommended that WFP needs to “accurately assess the capacities of its partners and invest sufficient resources (financial, human and material) to ensure that they can meet minimal agreed levels of operating capacity. WFP needs to invest more resources in building Cooperating Partners’ capacity, especially where programmes are being expanded in difficult operating conditions or where existing capacity is very limited.” Similar challenges exist in other operations where activities include training, on the job learning and capital inputs to develop minimum implementation capacities. In Laos, for instance, WFP field staff regularly train counterparts in the government at district and provincial level, among others, in management of FFW projects. A standard training programme might include: principles of FFW, activities supported by WFP FFW, targeting strategies and target group selection, calculation of basic rates and work volumes, completing WFP forms on food storage, distribution, monitoring, stakeholders roles and responsibilities, the importance of monitoring and use of monitoring tools.³⁸ In Ethiopia, where the government is the major implementer, WFP provides a ‘minimum package’ of capital inputs (cars, motorbikes and computers, essential resources for implementation and monitoring) and training of trainers, who then train staff at the next level. The approach adopted was found appropriate in the mid-term evaluation of the project last year. However, no clear strategy to ensure that the government takes responsibility for staff cost has been identified.

104. **Community Capacities for Programme Implementation.** Many countries, including Ethiopia, Mozambique, Sierra Leone and Zambia report on WFP’s work to empower communities and especially women in various food-related programmes. The focus is essentially on promoting women’s participation in project management and food distribution committees, providing community participation and/or leadership training. While progress has been made to assure that a majority of women are in community management positions, some reports suggest that whether this translate into women being full members and having a real role in decision making should be further ensured. The India country programme noted that it would use participatory approaches working with community based organizations through “strong reliance on community mobilization and on participatory design and implementation of activities.”³⁹ The evaluation⁴⁰ of the PRRO in Tajikistan showed that the greatest success with capacity development in FFE has been at district level and below. Evidence was found that local government, school officials and parents are systematically engaged in, and appear to possess the capacity to implement school feeding activities in their communities. The formation of the parent-teacher associations (PTAs) has been another success story, where each school covered by the FFE activity has a PTA that solicits food items (such as vegetables and fruits) to complement the wheat flour, vegetable oil, pulses and iodised salt provided by WFP. Together these items make a viable lunch for the daily nourishment of the mostly 1-4 grade students. However, these capacities at local level are not matched with a similar commitment at central level, where developing capacities for FFE activities are much slower in developing despite the country office’s consistent efforts.

³⁷ Full Report of the Evaluation of EMOP 10339.0/1: Assistance to populations affected by conflict in greater Darfur, West Sudan, Rome December 2006

³⁸ Extracted from, WFP - ODAN, 2006, “Review of the assessment processes leading to selected food and non-food programmes implemented in Laos and implications for future emergency food security needs assessments”, study commissioned to Groupe URD.

³⁹ Full report of the Mid-Term Evaluation of the WFP India Country Programme 2003-2007, p. 46

⁴⁰ WFP – OEDE, 2006 “Evaluation of the Tajikistan PRRO 10231.0 Food Assistance to Vulnerable Groups and Recovery Activities”, Full Report.

105. **Monitoring.** Training of counterparts to undertake monitoring is provided in most countries included in the evaluation. However results are very often limited and significant challenges remain. For instance, in Kenya, a very clear and detailed manual was produced for WFP field staff and partners on post distribution monitoring (PDM). This manual was then introduced during training sessions with partners. However, the evaluation found that additional sensitization and training was needed with some of the cooperating partners to ensure ownership of the process. Similarly in Laos, the forms were initially found to be extremely complicated and were simplified over time to ensure improved buy-in, understanding and utilisation of the monitoring tools. In both cases, monitoring forms were developed by WFP in line with its monitoring requirements, not taking into consideration motivation, requirements and capacities of the counterparts involved in the monitoring. In this respect, WFP is confronted with the challenge of reconciling corporate requirements with local realities. In addition to training in monitoring techniques WFP is supporting governments to set up monitoring database. This is happening in Senegal, where WFP provides support to the Ministry of Education to strengthen its monitoring and evaluation capacity for school feeding. Initially this effort will provide data on the WFP-supported school feeding programme, but is in line with the government's priority to strengthen monitoring capacities that will be applied to other school feeding programmes as well. WFP is also assisting a regional body (ARD Tambacounda) to strengthen its monitoring and evaluation capacity for education and food security. Similar assistance is provided to the government in Cote d'Ivoire. In Ethiopia, one of the capacity development activities is the development of a database in the ministry of health for monitoring purpose.

Food Management

106. Food management – the supply and distribution chain of food assistance – is part of WFP's core business and one of its recognized strengths. Just as in the case of risk management and programming, capacity development activities are closely intertwined with the regular delivery of food assistance. The areas in which assistance is provided include warehouse management, transport (for example special training programmes on airborne operations, port operations seminars, fleet operation trainings), commodity tracking, etc. The final aim is primarily to enable WFP and its counterparts to increase the efficiency of their logistics and ensure food-aid reaches its final destination and is accounted for it. Training programmes are given as and where the needs arise: the perception of a shortfall in the available expertise and a sense for initiative on the part of local staff being often the driving force. Capacity development activities focused on implementing WFP operations raise concerns whether they will result in sustained nationally integrated capacities. Having said this, the evaluation also observed the case of El Salvador, where the government now has a fully functioning logistics capacity to support its school feeding and emergency response programmes. This capacity was developed with the assistance of WFP.

Food Fortification

107. A grant from CIDA enabled WFP in partnership with the Micronutrient initiative to further build and strengthen the infrastructure required for iodised salt production in several countries. Capacity development assistance mainly took the form of technical, quality control and management training, but also included the provision of technical expertise and capital assets. Progressively capacity development assistance has been provided to support small salt processors in accessing competitive markets. In Senegal, WFP ensured involvement of the Government and coordination among partners at national and field level, paid for capital inputs to add iodine to salt, the potassium necessary for the process, organized salt producers into groups for marketing purposes, trained project staff in technical skills and record keeping, and supported an awareness campaign to discourage women from washing off the potassium that adds a grey color to the salt.

108. WFP's assistance to develop local capacities for food fortification contributes to the development of local markets. In Ethiopia the private sector produces corn soya blend locally in response to WFP demands for the product for relief operations in Ethiopia and elsewhere. In India, WFP contribution has allowed for the testing of different food fortification models to determine which are most appropriate at the State level. In Uttaranchal, WFP's Integrated Child Development Service (ICDS) supported interventions were felt to be critical, supporting the development of Uttaranchal as an organic State by providing a market for local organic millet, and providing technical support related to storage and hygiene. WFP has linked the Uttaranchal State Organic Board with relevant government ministries, and used finger millet to make up 25 percent of the meal for six months of the year. Known as 'Uttaranchalmix', the product is produced by an Indian company in Jaipur. The production of Uttaranchalmix for ICDS provides a market for half of the State's annual production of the finger millet (1200 metric tons per year.) The Uttaranchal State government also plans to scale up the use of finger millet to use in the entire TPDS.

II.B.4. Sustainability and Handover

109. A key indicator of success of capacity development assistance is when partners are ready to run programmes and systems on their own without external assistance. The review of design documents indicated that in 11% of the countries where capacity development was planned, it was explicitly linked with handover strategies. As mentioned in paragraph 65, the pro-forma for emergency operations include explicit mention of handover strategies and the need to link these to longer term capacity development strategies. While Country programmes with strong strategic objective 5 all connect capacity development with handover or at least an exit of food-based activities (as formulated in the Egypt design document), there is no such explicit linkage in any of the standalone design documents.

110. During fieldwork, the evaluation found interventions that were designed with an aim of handing over and implemented in such way.

- In India, government staff working on the ICDS programme received on-the-job training throughout programme implementation. The training is designed to help Indian managers of the programme to handle the health and nutrition components themselves and to troubleshoot problems that might arise. To do this WFP has set up a number of District Model Resource Centers to provide continuous training for officials working in the nutritional health education and development programme.
- The El Salvador School Feeding Programme started in 1984. Working continuously in partnership with the government developed over time the necessary political will and technical competences so that the programme is now largely run by the government. Government ownership is demonstrated by the fact that the major part of the programme is funded from the national budget, with WFP contributing a fraction of the programme cost and phasing out from doing so in 2008. The experience emphasizes the importance of engaging at the level of policy, at the same time that one improves programme management and monitoring.⁴¹ It also indicates the need for long-term collaboration and gradual handover rather than a short-term horizon associated with capacity development activities.
- The MERET program in Ethiopia stands out as an example of programme impact and ownership by the government and communities at all levels. Similar to the experience in El Salvador, the programme was implemented over a longer period of time and gradually resulted in greater capacities and ownership at local and national levels. By now, the experience has grown into guidelines for sustainable land management that the government adopted also for other programmes. This success story generates a strong lesson to learn: start small and grow with time, build a

⁴¹ WFP, Annual Performance Report, WB/EB.A/2007/4.

constituency of support, maintain talented and motivated staff at WFP, maintain close field presence to promote on-the-job training of government partners and communities, and focus from the beginning on the benefits for the country/community.

111. In other instances, capacity development took place without explicit (or implicit) intention to handover, but rather to simply ensure operations were implemented in a timely and effective way. In other cases, sustainability of capacity development and with that handover was impeded by a number of factors, which are common challenges to capacity development assistance.

- A lack of government funding to finance recurrent expenditure. The maintenance and sometimes operating costs of equipment and vehicles are not budgeted for; salary supplements in the form of per diems to attend training courses are not sustainable from national resources, creating incentives for counterpart staff to look for other project-based opportunities. These problems are not uncommon – many evaluations of many organizations have observed the same – and is associated with the lack of advance planning (during design) for the eventual handover and the need for capacities that sometimes are beyond the means of national budgets.
- High turnover in political and staff positions means that advocacy work to support the creation of enabling environments and staff training need to continue.
- The need for an international partner, like WFP, to stay engaged to add transparency and credibility to processes. Sometimes, even with political commitment and technical competences, it is difficult for governments to take on full operational responsibilities due to internal pressures. In these instances, WFP may not handover completely but stay engaged in an advisory or management role.

II.C. WFP's Capabilities

112. The foregoing sections of the evaluation report analyzed whether WFP was doing the “right things and doing them right”. Throughout, the evaluation tried to explain achievements and shortfalls. Many factors, a lot of which are beyond WFP's control, play a role in capacity development. Nonetheless, it was important that the evaluation assesses how well WFP is equipped to implement its capacity development Policy to explain results and determine whether the Programme is best placed to deliver against its Policy.

II.C.1. Human Resources

113. This section of the report provides some insights into the extent to which WFP's human resources are engaged in capacity development activities, whether staff feels adequately equipped to carry out such activities and whether they operate in an institutional environment that is conducive to delivering effective and efficient capacity development assistance. It also aims to determine the extent to which WFP's staff performance assessment system is used to assign clear capacity development responsibilities and tasks to staff and assess related performances. To arrive at its findings, the evaluation reviewed generic job profiles and competences, analyzed a selection of performance assessment reports, and undertook a self-assessment through an electronic survey. The analysis faced the challenge that clear differentiations were missing between functions for developing WFP internal capacities and capacity development of partners, the latter being the subject of this evaluation.

114. A total of 39 generic job profiles were reviewed. These profiles are standardized and express the general expectations staff should fulfil in the corresponding posts. Seven of the 39 profiles mentioned capacity development as part of Accountabilities, Results Expected, and Critical Success Factors. These profiles were for the jobs of country and deputy country directors, programme advisers and programme officers, programme officer for VAM,

information & knowledge management officers, and human resources officers. Table 1 provides the relevant extracts from the job profiles.

Table 1: Capacity Development in Generic Job Profiles

| | Country and Deputy Country Director | Programme Adviser | Programme Officer | Programme Officer (VAM) | Information & Knowledge Management Officer | Human Resources Officer |
|--------------------------|----------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------|
| Accountabilities | "Ensure capacity building of WFP and counterparts staff" | No reference | "Assist the government on the maintenance of all records, accounts and books as stipulated in the Plan of Operations or the Letter of Understanding and ensure that reports required for WFP are accurate and provide as scheduled" | "Transfer skills and develop sustainable capacity in food security analysis and information management systems in relevant government institutions and local partners" | "Assist, train and motivate end-users and information owners to share information with other members of the community; assist in developing local IKM facilities"; "Develop and prepare relevant documentation and training materials for the WFP information owner and user community" | "Assess training needs of WFP staff and government counterparts and organise appropriate training, in collaboration with other offices" |
| Results Expected | No reference | No reference | No reference | No reference | Coordination and support provided to information contributors/owners and to end users in the specific area of IKM or GIS; support staff, information contributors/owners and end-users have received adequate training and guidance on relevant IKM or GIS procedures and systems" | No reference |
| Critical Success Factors | No reference | "Ability to provide advice to WFP partners, NGOs, government officials and other entities with shared interest in the hungry poor, analyse political, socioeconomic and gender specific characteristics" | No reference | No reference | No reference | No reference |

Source: Compiled by the evaluation from WFP General Job Profiles.

115. Capacity development appeared more often in the competence frameworks of certain job profiles: a total of twenty (some of them being the same that had related accountabilities in the job profile) listed competences that could be interpreted to relate to capacity development. These competences were found large in the areas of:

- **Teamwork:** "Participates in external knowledge exchange and transfers information to the team. Develops mechanism to promote knowledge sharing";

- **Partnering:** “Educates partners on relevant WFP policies, procedures and programs”, or “Ensures that country office partnerships contain mechanisms for the sharing of expertise, decision making, coordination and monitoring”, or “Encourages others to develop professional networks that could lead to future partnerships. Determines how expertise and information will be shared with partners. Promotes the results of partnerships externally”;
- **Behavioural Flexibility:** “Influences others to understand and respond constructively to change. *Creates mechanisms for others to adapt to changing situations or priority*”.

116. Staff performance assessment reports translate generic requirements into annual work programmes against which performance is assessed. The review of a sample, which included international staff in management positions, a cross-section of programme staff (advisors, officers, and VAM) and policy officers at all levels from P2 to P5 and across all regions. The review showed that few have explicit capacity development outputs specified in their work programme: about 10% in the management category and about 26% of staff. This finding was contrasted by the staff survey, where around 63% of the respondents reported to have had specific capacity development outputs in their work plans.

117. The survey findings indicated that time spent on capacity development as a proportion of overall working time was reported to be high. One third of respondents spent 30% or more of their time on capacity development. Another 40% of respondents spent 10-30% of their time on capacity development. Equally, strong incentives existed for engaging in capacity development activities, both in terms of self-motivation and encouragement from peers and supervisors. About 95% of all respondents said they generally enjoyed engaging in capacity development. About 58% agreed or strongly agreed that their performance in capacity development activities had been important in determining the assessment of their overall performance and competencies. About 62% reported to gain personal recognition from their supervisor(s) and colleagues and 82% said they gained personal gratification from developing capacities of local partners.

118. Feedback on the support for capacity development varied, indicating that the level of support differs greatly from one duty station to another, or from the viewpoint of one staff to another. A small majority of respondents (52-55%) disagreed that they had easy access to guidance materials and adequate expertise in carrying out capacity development activities. About 56% agreed that the guidance materials that were accessible to them were relevant to their area of work. An equal percentage of respondents said that hands-on support was offered to them when requested/needed. These findings of the self-assessment were contrasted by the findings of fieldwork where very few, if any, interviewees referenced the PGM as a useful tool to get guidance for designing or implementing capacity development assistance. Survey results also indicated the urgent need to develop WFP’s capacities before aiming to develop those of others, underpinning the need for greater clarity about capacity development and how it can be done. This feedback was also manifest from the finding that of all survey respondents only 30% had attended any training on capacity development over the past 3 years. Of those who had, the vast majority (almost 95%) reported to have used the skills acquired through training, in their work.

119. Respondents to the survey made a number of recommendations that are indicative of actual or perceived gaps. They included the need for a clearer definition of capacity development, better institutional arrangements to provide direction in capacity development and eventual handover, clearer directions on the priority of capacity development compared to other priorities and activities, and allocation of more financial resources for this purpose.

II.C.2. Funding Mechanisms

Policy Background

120. Capacity development requires dependable medium-term funding to ensure capacity development activities can be developed as part of a strategy with clear and agreed goals and objectives and a sequenced set of activities. When adopting the Policy, the Executive Board requested that funding mechanisms be reviewed. In particular, the Policy included the following provisions:

- Within existing resources, WFP should continue to undertake and should mainstream ancillary capacity development activities – both formal and non-formal – where it has the resources and capacity to do so;
- Any significant standalone capacity development efforts should be funded by voluntary contributions given for this purpose, WFP anticipated that many of these contributions would come from national governments themselves;
- The funding mechanisms and modalities should be as transparent as possible with respect to costs and resources, and designed to facilitate inter-agency partnership wherever practicable;
- Undirected multilateral resources should not be allocated for new capacity development activities, unless there is specific consent for this from the donor government;⁴²
- WFP should always maintain an appropriate overall balance between the financial and human resources devoted to capacity development activities, and those devoted to WFP's other strategic priorities, taking into account the core mission and mandate of the organization.

121. In the discussion of the Policy, the Executive Board demanded that a financing framework be developed. It was presented to the Executive Board at its first regular session in early 2005⁴³ and concluded that *"After considering a range of options, existing mechanisms are considered to be sufficiently flexible to accommodate financing needs"*. In paragraph 14, the paper notes that the separation of capacity building into a separate new single programme category is considered to be against the principle of mainstreaming, and unnecessary given the flexibility of existing instruments. It further suggests

- Paragraph 8: Capacity building interventions should continue to be embedded as far as possible within existing WFP operations. The current use of Other Direct Operational Cost (ODOC) and Direct Support Cost (DSC) budget lines should continue to be used for capacity building activities undertaken as part of a WFP food aid operation. This facilitates mainstreaming of capacity building in all programme categories and allows WFP to begin building capacities while providing food aid.
- Paragraph 9: For standalone capacity building interventions, cash-only projects can be launched within any existing programme category – depending on the country situation and the capacities to be supported. While maintaining the principle of mainstreaming, cash-only projects allow WFP to undertake capacity-building interventions funded separately from a food aid project or where a recipient government requires only capacity-building assistance. These projects will follow the same principle of full cost recovery as other projects.
- Paragraph 10: Overall, standalone capacity building interventions are expected to be significantly lower in value relative to WFP's food aid operations, and predominantly

⁴² Recently only 5.3% of the Programme's resources have been fully multilateral, however (source: Document WFP/EB.2/2005/5-B – "Funding for Effectiveness"), and over 94% have been directed in some way.

⁴³ Document WFP/EB.1/2005/5-A: Financial Framework for Strategic Priority 5 Implementation.

funded by recipient governments. Where a recipient government self-finances a standalone capacity building project that is related to a programme initiated by the government, it may be considered a bilateral service, and financed in line with WFP's current definition of bilateral services.

122. The paper further stated that special operations should not be used to finance capacity development activities.

Review of Funding Sources

123. Other direct operational costs: In 2000, following recommendations from the Executive Board,⁴⁴ WFP re-defined the budget category direct operational costs (DOC) to include a fourth sub-category called ODOC.⁴⁵ Most capacity development activities have been financed through ODOC. These have included training to government counterpart and NGO implementing staff, technical assistance and inputs given to government or implementing partners to assist with food aid monitoring, such as vehicles, computers and telecommunications. According to the PGM, the most common way to fund capacity development activities is to include the cost of planned activities in the budget under ODOC or DSC. For example, community level capacity development (training of community leaders, PTA members, etc) to improve food management, targeting, participatory design/monitoring, etc is usually included in ODOC.

124. Grants/trust funds: Quality improvement grants available from donor trust funds have supported a limited number of capacity development activities. Typically, these grants may be used for pilot schemes and new initiatives, but donors are not usually willing to support longer-term interventions, feeling that pilot schemes should be "mainstreamed" into WFP core budgets in the medium term. Capacity development activities supported through these funding structures have generally supported the analytical and operational capacities of counterparts to implement WFP programmes. According to the paper presented to Annual Session of the Executive Board in June 2007 (paragraph 53) "*overall, WFP spent US\$6 million on pilot projects under Strategic Objective 5 (from grants/trust funds) including Headquarters support activities*" (over a two year period).

125. DSC: Although the Financial Framework notes that direct support costs budget lines may be used for capacity development, this would appear to be unusual, since the DSC budget line is intended to cover WFP's internal operational overheads.⁴⁶ Nonetheless, DSC funding gets used for capacity development in that staff (some of which are funded from DSC) uses its time for capacity development activities. These expenditures for capacity development could be considerable, if staff spends significant dedicated time on capacity development. For instance, technical assistance by a VAM officer to national counterparts would be funded through the DSC budget. Therefore, DSC could play a more important role in funding capacity development work than typically recognized. For standalone operations, the DSC is specified and ranges from 36% to 59% of total direct costs.

126. Bilateral donors/recipient governments: When capacity development interventions have been done as a parallel aspect of a WFP programme or separately from a food aid intervention they have usually been funded by a bilateral donor or by the recipient government, including through funds given by a bilateral donor to the government.

⁴⁴ WFP/EB.1/99/4-C/1: Proposed Revisions Of WFP's General Regulations, General Rules And Financial Regulations and WFP/EB.1/99/4-A: Report Of The Formal Working Group On The Review Of WFP's Resources And Long-Term Financing Policies in which ODOC is defined.

⁴⁵ DOC previously covered only the costs of commodities, ocean transportation, and landside transportation, storage and handling (LTSH).

⁴⁶ Examples of DSC expenditures include: staff, office rental, vehicles and maintenance costs, communications equipment, computer equipment and security equipment. DSC is charged directly to WFP projects/operations at a fixed rate per metric ton. Under the new (2008-2009) biennial budget, global DSC is estimated to comprise 12% of the total cost of the operational budget and ODOC 5%. (See Figure III.2 on page 29 of the draft Biennial Management Plan).

127. The method of linking funding with tonnage-based resource flows has a serious drawback for it entails invariably a great unpredictability of the effective time of funding and the level of funds, which will be made available for specific capacity development activities. The unpredictability of timing and levels of funding explain, in part, why capacity development activities are conceived and implemented without the necessary medium-term strategy. If such strategies were developed – which would be beneficial to the effectiveness and efficiency of capacity development assistance – they would raise expectations that WFP might not be able to meet, given the unreliability of funding. WFP’s funding mechanisms compare poorly with the development finance available through loans and grant projects of other organizations, such as the development banks, UNDP and other development agencies.

III. Conclusions

128. In presenting its findings, the evaluation reverts to the three main questions it posed, which provide the structure for the overall assessment. It then draws up those lessons that form key issues for the future before coming to its recommendations.

III.A. Overall Assessment

III.A.1. Quality of the Policy

129. The first objective of the evaluation is to assess the quality of the Policy to answer the question whether WFP has a good policy or is “*doing the right thing?*” Policy should be guiding operations, therefore it is important to understand whether policy directions are “right”. To respond to this question the evaluation analyzed the Policy to determine whether it sets out capacity development objectives to guide operations, it is consistent with other policy directions that guide WFP business, and how it compares with good practice in capacity development. The practicability of the Policy was also assessed to gauge expectations in Policy implementation and results.

***In Brief.** The Policy is generally coherent with the ideas of capacity development practitioners at the time, which subsequently developed into good practice standards. The Policy is well grounded in the legislative background and mandate of WFP and is coherent with other WFP policies. However, the prioritization of capacity development as one of the strategic objectives was not carried through into the Policy and common practice, where capacity development is seen as an optional activity that should not interfere with core business. This is manifested in the parallel existence of two objectives, which had implications for design, implementation, results and sustainability of capacity development activities. The “systematic approach” that the Policy promulgated and which could form the basis of a results framework, was not further articulated and did not evolve naturally.*

130. The Policy does not provide clear objectives for capacity development or a results framework. Compared with the strategic plans – and with the implementation of operations – the evaluation found that capacity development follows two parallel objectives: one centers around WFP’s business of implementing food assistance programmes, the other around locally owned capacities for responding to acute and chronic malnutrition and hunger. This implicit duality meant that the objectives of capacity development were not clear, which resulted in a range of interpretations of definitions, concepts and approaches. A systematic approach, that the Policy suggested, did not evolve from this practice. The implications of this flexibility are shown in the evaluation’s observations on the design, delivery, outcomes, and sustainability of capacities, as shown in III.A.2 below.

131. The Policy is fully in line with the decisions of the General Assembly, which directs Funds and Programmes to use their own capacities to develop those of others. The Policy is also in keeping with WFP’s Mission Statement and strategic plans – apart from the

somewhat divergent objectives – and other policies, such as those on working with NGOs and exiting emergencies. Strategic plans and results-based management did, however, not fill the gap that the Policy left in terms of establishing a results framework. Indicators that were included in the strategic plans remained at the output level (e.g. number of trained people) and did not resolve difficulties to identify corporate outcome indicators.

132. The Policy was ahead of its time when compared to good practice. At the time it was drafted and approved, capacity development practitioners had not yet concluded the discussions on what is now moving towards good practice. The Policy contains the ideas that were discussed at the time, even if they were not fully articulated. The absence of a definition of capacity development and the lack of clear capacity development concepts and approaches in the Policy and other guidance materials, combined with the very limited support programme to roll-out the Policy to the operational level, means that the conceptual understanding of what capacity development is – and is not – varies considerably. Policy updates, rather than reporting on implementation progress, could have been used to keep the Programme continuously updated on policy directions in the evolving field of capacity development.

133. The Policy was assessed for practicability, which determines the likelihood of its implementation. The evaluation found that the Policy and other guidance material was flexible to accommodate the various working context of WFP, but did not provide policy guidance on what capacity development is. The analysis showed a number of weaknesses, in particular the absence of clear capacity development objectives that help staff in the field understand whether and how to prioritize capacity development, an action plan for ensuring WFP's own capacities were strengthened to deliver against the promises in the Policy, and an estimate of policy implementation. The Policy was not widely read, the absence of a definition of capacity development resulted in a multitude of interpretations in the field, and the lack of clarity about areas in which to undertake capacity development are manifest in the broad range of capacity development activities.

III.A.2. Policy Implementation and Results

134. The second objective of the evaluation was to assess whether “*we are doing things right and what results we achieved*”. Operations and other field-based activities are the means by which policy gets implemented and results are achieved. The evaluation organized its findings around three areas: (i) identification and design of capacity development assistance; (ii) implementation of capacity development approaches, funding levels and efficiency issues; and (iii) results in the main areas where capacities were developed.

In Brief. *There is an unquestionable need for locally owned capacities to address acute and chronic malnutrition and hunger. Approaches to diagnosing capacity gaps and identifying responses were based more on long-standing contacts (for demand-driven responses) or standard WFP programmes (for supply-driven responses). In case of the latter, training was the predominant tool, albeit combined with capital inputs, whereas capacity development assistance that responded to endogenous demands used a more sophisticated combination of capacity development tools. ODOC, trust funds, grants and bilateral contributions are the main sources of funding, with ODOC being inherently dependent on food deliveries and unpredictable and thus not optimal for medium-term capacity development needs. Information on expenditure for capacity development is not consistently compiled, which made it impossible to assess the efficiency of these operations.*

Capacity development activities are being implemented in a wide range of areas and in most countries: capacity development activities, implementation approaches and practices, and results varied considerably. Reporting on capacity development is uneven, but generally a lot more work is done than is reflected in design documents and in performance reports. Results were achieved at the levels of enabling environment, organisations and individuals.

They occurred across partners at regional, national, local and community levels and within a broad range of WFP's areas of expertise and activities. Around WFP's business of implementing food assistance programmes, results were achieved mainly in the field of analysis, programming and food management. When it comes to locally owned capacities for responding to acute and chronic malnutrition and hunger, main results were observed at policy and institutional framework levels.

135. The evaluation found there is an unquestionable need for capacities – at regional, national, subnational, and community levels – to address acute and chronic malnutrition and hunger. The challenges of hunger and malnutrition cannot be remedied with short-term external assistance but require locally owned capacities that can be the driving force behind finding and pursuing sustainable solutions.

136. WFP tends to identify and design capacity development assistance based on long-term partnerships that lead to an exchange, understanding and agreement on capacity development needs. This approach has the advantage of being based on partnership and dialogue, which are considered good practice, but is highly dependent on the calibre of staff and their capacity development experience. The evaluation found that in some areas WFP's approach is more supply-driven and in others more demand-driven. The supply-driven approach tended to be associated with the objective of ensuring the implementation of operations, while the demand-driven approach responded to the objective of developing locally owned capacities. The 'demand driven approach' in some cases was government driven, responding to requests of governments for support from WFP as a result of technical consultations with stakeholders. A few cases existed where, over time, the supply-driven approach transitioned to a demand-driven one, which was the case mostly in long-term partnerships. However, in the absence of distinct capacity development objectives and systematic approaches to diagnosing capacity gaps, opportunities may be lost in providing strategic and coherent capacity development assistance.

137. Overall, the design of capacity development assistance has not changed with the introduction of the Policy, except for the standalone operations and country programmes with strong strategic objective 5 initiated since then. This observation confirmed the assessment of practicability that policy directions were broad rather than directive and allowed for a great range of interpretations.

138. The evaluation found the operations struggled – in their design documents – with the concept of “beneficiaries”. The term is inappropriate for capacity development assistance, which good practice suggest should be based on endogenous change processes, and is confusing when compared to WFP's traditional definition of beneficiaries. In the implementation, operations took pragmatic approaches to determine more carefully the partners in capacity development and their needs.

139. In terms of approaches, the largest number of capacity development activities involves training, which in part is explained by the traditional way of equating training and capacity development and in part because to the numbers of people trained in areas that are important for implementing food-assistance programmes. The evaluation also found examples of more sophisticated and promising approaches that combined a number of tools – problem analysis, system's development, training, online support, etc. – in a comprehensive package that was linked to endogenous capacity development processes. These examples were more frequent when pursuing the objective of developing locally owned capacities. The experiences would need to be shared more widely across WFP to ensure learning and replication wherever appropriate. Partnerships with governments, other UN agencies, NGO's are a key capacity development approach as recommended in the Policy, enabling WFP to draw on the comparative advantage of partners.

140. Financial reports give a rather incomplete picture of the exact amounts that have been earmarked and spent for capacity development. ODOC is the main source of funding

supplemented by grants, trust funds and bilateral funding, but it is not used exclusively for capacity development. ODOC budget increased substantially in the latest management plan and part of it is explained by capacity development activities. However, as with all other funding, the actual level of resources needs to be taken into account. Where shortfalls are often experienced, it has an impact on actual implementation of capacity development activities. However, in the absence of objectives and plans and of budget, it is impossible to judge the impact of funding level on implementation of activities. The main exception is the standalone operations fully dedicated to capacity development. Two of the three are well funded, one entirely so by the national government, where the intervention takes place. On the other hand, the third one is only 16% funded while its planned duration is almost over.

141. It is inherently difficult to assess the efficiency of capacity development, as it can only be measured in the presence of a clear strategy, detailed design, costing of activities and information on actual expenditure. However, capacity development objectives are most of the time rather vague. There are no corporate indicators at outcome level and a lot of confusions around the indicators developed at operation level. Usually project budgets do not provide any details for capacity development and the corporate reporting system requires only a narrative on capacity development. The existing accounting system does not allow for easy retrieval of expenditure according to activities.

142. Results were achieved at three levels that are considered important in good practice: policy and institutional frameworks, organizations, and individual:

- At the level of enabling environment (policy and institutional framework). WFP capacity development assistance resulted in political commitments and allocation of national budgets to addressing acute and chronic malnutrition and hunger. Processes for developing corresponding national policies and strategies are supported as well. Capacity development results at this level aligns with the Policy objective of developing locally owned capacities.
- Organizational capacities have been developed in a variety of areas, such as school feeding, logistics operations, information systems, etc. The evaluation found the examples where organizational capacities were developed (and sustained) were linked to long-standing partnerships where the previously supply-driven approach transformed into a demand-driven approach with governments requesting additional assistance to continuously upgrade the capacities they had taken over. In other instances, systems may have been set up (including people trained, physical assets provided, etc.) to support the implementation of food-assistance programmes, but it was not clear whether this would (and should) result in locally owned capacities in the medium-term.
- At the level of individuals, the evaluation did not undertake a tracer study of trainees, but found that the link between training and applying skills, for instance when undertaking vulnerability and needs assessments showed beneficial results. Taken by themselves, these training activities will not result in capacities at organizational or national levels. In most cases, activities at this level were directly related to the need to develop skills for implementing specific operations.

143. Capacity development results occurred across partners at regional, national, subnational, local and community levels, and within a broad range of WFP's areas of expertise and activities:

- Policy and institutional framework: contributions were made to generate commitment to addressing acute and chronic malnutrition and hunger and create an enabling policy environment that would be the basis for developing organizational and individual capacities. This was the case at regional and national levels in a number of sectors, most notably disaster preparedness, food fortification, nutrition, safety net programmes and school feeding;

- Analytical capacities: considerable investments were made in developing capacities in analytical work, but much of these efforts were focused on WFP-specific analytical approaches that may (or may not) be shared by national partners. This work is useful to ensure counterparts and partners understand the analytical approaches that WFP follows, but may be less effective in developing national capacities that might require more tailored approaches and analytical tools that fit information needs of decision-makers. An exception to this approach is the recent pilots, which undertook detailed capacity diagnostics that form the basis for a capacity development strategy.
- Risk management: WFP's expertise in early warning and contingency planning did not automatically translate into a deliberate capacity development programme that generated far reaching results. A number of initiatives were observed where capacities in early warning on contingency reserves were developed, but it is not clear whether this is an area in which WFP actively pursues a capacity development objective.
- Programming and Food Management: in these two areas, capacity development focuses on the efficient and effective implementation of operations and includes training, provision of capital goods and vehicles, etc. to pursue this objective. Whether these capacities are absorbed into national capacities for programme management will always depend on whether governments eventually adopt and finance them from their own resources. Some cases exist in which governments also choose systems to be developed in a way tailored to their organizational needs rather than following WFP standard practices.
- Food fortification: in this area, in addition to the work at policy/institutional level, WFP contributed to developing capacities of producers of fortified foods.

144. The link between capacity development and handover is not clear or systematic. Examples where handover is happening were observed, but equally there are many capacity development activities that are not directly linked to handover intentions. Whenever capacity development is seen as a means to substitute for government capacities (human, financial and physical inputs), capacity development assistance is not likely to have sustainable results. However, handover or developing self-sustained capacities is a challenge that WFP is not alone to face; others providing assistance in this area face similar problems as pointed out in the background section of this evaluation. These are even more pronounced in the area of humanitarian assistance, where the ALNAP study pointed to questions of trust, transparency and impartiality (see paragraph 5 above).

III.A.3.WFP's Capabilities

145. The third objective of the evaluation was to assess whether “WFP has the right capabilities to implement capacity development” which would, in part, explain results seen on the ground.

***In Brief.** Despite limited capacity development expertise, the technical capabilities and commitment led to a large number and range of activities and results. However, the dependence on the initiative and dedication of individuals without a specific background in capacity development reduces efficiency and effectiveness of one of WFP five strategic objectives. Furthermore funding mechanisms are directly dependent on food delivery are not conducive to a systematic approach to capacity development. The evaluation found that reliable resources contributed positively to a more systematic approach. Finally the absence of “roll-out” for the policy as well as the limited utility of guidance material is largely due to insufficient specialised human resources in this field.*

146. WFP has limited expertise in capacity development, which is implied in generic job profiles of a number of professional categories. Almost no staff is solely assigned to the task

of capacity development. Nonetheless, the staff survey showed a high degree of commitment and enthusiasm for supporting capacity development among the respondents. The evaluation found this commitment of staff explains the large number and range of capacity development activities, which led to the results observed above. Many of WFP staff looked for opportunities and applied themselves to develop the capacities of others. However, the approach of depending on the initiative and dedication of individuals without providing them the background and training in as complex a field as capacity development, and without a platform to exchange experience means WFP exposes itself to being less efficient and effective than it would want to be in an area that the Programme adopted as a strategic objective.

147. WFP's financing mechanisms inhibit a more systematic approach to capacity development. Funding that is dependent on food delivery will always first call for delivering the food; whatever remains can be spent on additional activities, such as capacity development. The evaluation found many examples where WFP did better when it had more reliable resources for capacity development, which allows the Programme to engage in a more structure and systematic capacity development approach. These examples are, however, few, though some of them impressive. Two of the standalone operations are well funded – one more than 100%, the other fully in line with its implementation schedule – from bilateral sources including national governments and donors; other grants have been provided from a number of sources. These grants are, in terms of funding arrangements, more alike to those funding arrangements of others providing capacity development assistance and provided opportunities to WFP to operate on an equal footing.

148. WFP did not invest in a programme to “roll-out” the Policy, explaining it to managers and staff in the field, who have to implement it and providing systematic training and support. Guidance materials were generally not found to be a source of information and guidance. These shortfalls can be explained by the very limited human resources assigned to provide support to the field.

III.A.4. Comparative Advantage

149. WFP is seen to have a comparative advantage in the field of its expert specialization, something that is essential for developing the capacities of others. This technical expertise can become even more effective if a more systematic and deliberate capacity development strategy were adopted. WFP is also recognized for its field presence that ensures long-term and constructive relationships with national and local partners on the ground. These long-standing relationships have been essential in generating the capacity development results that the evaluation observed.

150. WFP came up against a number of challenges in capacity development, which practitioners in general face, as recognized in the good practice standards and ALNAP publication. The Programme did not seem to have a comparative disadvantage in terms of performance and outcomes, although the unreliability of funding puts the Programme at a disadvantage as compared to other agents who provide capacity development assistance.

151. An area in which WFP does not have a comparative advantage is in producing publications on capacity development, where UNDP and the World Bank, among others, have vast resources on their websites that WFP should continue to access, adapt, and use.

152. Capacity development is not a matter of choice: as indicated in section II.A.2 all Funds and Programmes were called upon to put their capacities into the service of developing the capacities of others. In addition, there are a vast number of areas in which capacity development assistance is needed. Therefore it is not a matter of competing with one or another agency, but working in partnership with others. The evaluation found that WFP, in its capacity development efforts, works in many partnerships and is appreciated as a partner.

III.B. Key Issues

153. **Gaining Clarity about Objectives.** The Policy and strategic plans do not manifest, or at least do not clarify the blurred line between capacity development activities done for improvement of programme implementation and those done for developing national capacities. The Policy seems to imply capacity development in the sense developing local capacities for which there is ownership, an endogenous process and medium-term need, whereas strategic plans seem to emphasize capacities for programme implementation. One is not better than the other, but they serve different needs and imply different approaches. The evaluation showed the difference in results between the two. Activities focused on capacities for programme implementation led – in some cases – to eventually developing country-owned capacities. However, this is far from guaranteed. Far more often, implementation capacities tend to be lost due to counterpart turn over and require perpetual training and retraining, and the skills and capacities may – or may not – match needs for sustained local capacities. Activities designed with the intention to develop local capacities took a different approach, combining various capacity development tools, and worked with stakeholders with a different intention. Capacity development assistance can be focused on food-assistance and hunger-reduction programmes, as implied in the strategic plans, or be broader and focused on capacities for addressing hunger in the context of poverty reduction, as the Policy might have implied, or both. It would be important to be explicit and recognise these two objectives, as they have implications for the corporate approach to capacity development (in financial and human resources terms). It will also have an impact on the necessary results framework and performance indicators. For instance, capacities for programme implementation may well continue to focus on training and provision of capital inputs, whereas capacities for addressing acute and chronic malnutrition and hunger would require the more complex approaches that WFP has taken in a number of instances.

154. **Taking Policy Directions to the Operational Level.** Capacity development activities did not follow policy directions, which in any case were permissive. There was no deliberate effort to explain what the Policy meant, how much of a priority capacity development was (or should be), or other investments into developing WFP's capacities for capacity development. The Policy had recognized that such investments would be needed, but these did not take place. Again, choices have to be made on the commitment to policy implementation and an associated action plan that ensures policy directions are understood and followed.

155. **Results Framework and Indicators.** WFP faced the dilemma of needing indicators for designing, implementing and monitoring capacity development, but provided limited guidance to the field on what these indicators should entail. Those indicators that exist in the strategic plans and indicator compendium reinforced the focus on training. The concept of capacity development of working at three levels requires different performance indicators for each level. For instance, the number of people trained is an output indicator at the individual level. At the organizational level, key performance indicators that measure the performance of an organization or unit would be needed (e.g. number of needs assessments done of a certain quality in a timely manner and within a cost-effective resource envelop). These indicators would vary depending on the sector in which the organization or unit operates. At the level of the enabling environment (policy or institutional framework), policy commitments or functioning coordination mechanisms could form the basis for developing such indicators. These indicators would not aggregate easily to one or two corporate-level indicators. Instead, performance against each of the indicators could be rated and a composite of the ratings established to report on corporate performance.

156. **Diagnostics: Combining Intuitive and Rigorous Approaches.** Capacity gaps are often identified based on the long-standing relationships of and experience of WFP staff in the field. This is a definite strength, especially in those countries where the staff profile includes expertise in the technical area and the skill to determine capacity gaps and requirements for capacity development. This combination of skill set cannot be guaranteed

in all countries and even then a systematic approach is advisable to ensure capacity development needs and opportunities are not overlooked. The challenge will be to introduce such a systematic approach, while maintaining the strengths of the more intuitive and participatory approach that successful country offices and regional bureaus have practiced so that the rigorous approach does not become a blueprint, which good practice has shown to be ineffective. Changes in the approach would have implications for WFP's positioning itself in the country context and capacity development needs, better decision-making about when capacity development is appropriate, the integration of this type of assistance into a country strategy and the combination of capacity development approaches to be used.

157. Sustained Capacities and Handover. The term handover sits uneasily with the good practice of capacity development that is based on endogenous processes and participatory or facilitative processes. Such concept means that capacities are developed together and assistance gradually declines, rather than something being built and operated and then handed over. Apart from this observation on terminology, the challenge continues to lie in the risk of substituting capacities rather than developing them, which impedes the likelihood for developing sustained and sustainable capacities that eventually can address acute and chronic malnutrition and hunger with minimal or no external assistance.

158. Translating Expertise into Capacity Development Services. The evaluation showed that areas in which WFP is recognized for its expertise did not automatically result in capacity development assistance and results. The all-inclusive list of areas in the Policy did not serve as a good basis for deliberate decisions to develop capacities and apply WFP expertise for doing so. Such an approach would require a minimum level of expertise including, among others the following: (i) recognizing that “enabling others to get a job done” takes something more/different to “getting the job done”; (ii) setting deliberate capacity development objectives; and (iii) developing corresponding strategies that make use of a range of approaches and tools. It would also take recognizing the difference of having set up WFP-specific systems that are necessary for running an efficient and effective Programme versus the knowledge and expertise for setting up necessary systems according to what is needed in the context of a country. Choices in this area would have to follow from decisions made on the key issue raised in paragraph 153 and would have implications for the various areas of WFP's technical expertise, if they were to engage in capacity development.

159. Employing Insights from the Field to Influence Policy Decisions. The evaluation showed examples where WFP used its insights from the field – often communities in remote areas – to identify issues where the awareness of decision-makers needed to be raised. This field experience was first combined with more substantiated research and analysis to ensure advocacy efforts were placed on a sound footing before a series of advocacy efforts were undertaken. These efforts addressed decision-makers across a number of ministries and in a number of forums, within a region (to ensure comparison between countries and a more collective commitment) and resulted in inter-ministerial commitments to recognize the importance of addressing malnutrition as well as in national resources allocation. However, generally WFP's role in influencing policy debate does not seem well recognized and implemented consistently.

160. Short-term Funding versus Medium-term Needs. Not new, but underpinned by this evaluation is the contrast between the long-term needs and the short-term and unpredictable nature of funding at WFP's disposal. The latter is contrasted by the long-standing relationships that WFP has with counterparts and partners in programme countries. Short-term, unpredictable funding (mainly available once the delivery of food aid is ensured) undermines attempts at implementing good practice, which would require a more structured, systematic approach. In the absence of dependable funding, WFP uses its long-standing contacts to identify capacity development opportunities whenever funding is available, which may be responsive to needs, but is ad hoc in nature. Alternatively, capacity development to facilitate programme implementation is built into programme design and cost and provides skills that are needed for the operation in question. In either case, capacity development

assistance is not conceived from a comprehensive perspective of country needs. Choices in this area affect all others, as a more systematic and strategic approach to capacity development hinges upon reliable funding arrangements to follow through with these approaches.

III.C. Recommendations

161. **Recommendation 1:** The evaluation recommends that the Policy Committee review the findings of this evaluation concerning the dual objectives of capacity development (key issue in paragraph 153) and the areas in which WFP wants to provide capacity development assistance (key issue in paragraph 158). The Policy Committee should advise the Policy Council on how these dual objectives should be addressed in the future taking into account the discussion of this evaluation at the Executive Board and the financial and human resource implications of each option.

162. **Recommendation 2:** Once Policy Council considered and approved the Policy Committee's recommendation, the Policy Division should update the capacity development policy, to reflect the Policy Council's decisions and to bring WFP's Policy in line with latest thinking on capacity development, including issues such as the definition of capacity development, determining WFP's approach to "beneficiaries" to resolve dilemmas discussed in Box 3 above, etc.. Such policy updates should be undertaken frequently to ensure the Policy follows changes that occur in the evolving field of capacity development.

163. **Recommendation 3:** To ensure policy decisions are implemented, the Policy needs to be accompanied by the following. Each of these measures would take somewhat different shape, depending whether WFP chooses to continue with both capacity development objectives and the areas in which capacity development is undertaken.

- (i) Communication from Management to the field that explains whether and what level of priority capacity development takes among WFP's strategic priorities;
- (ii) An action plan for each of the two main capacity development objectives, or the like that specifies how WFP will operationalize the Policy, provide objectives, milestones and a results-framework, guidance on diagnostic tools and handover strategies, and estimate the cost of implementing the Policy, including the cost of developing WFP's own capacities (guidance, technical support, training, etc.). Such an action plan should be developed by the Policy Division and Programme Support Division in consultation with Regional Bureaus and Country Offices;

The Programme Support Division should provide guidance on the following points, which should become part of the action plan:

- (iii) Guidance on incorporating capacity development into the design of operations. The evaluation recommends that capacity development aimed at smooth programme implementation is mainstreamed into components addressing other strategic objectives. Only the development of regionally, nationally, and/or locally owned capacities for addressing acute and chronic malnutrition and hunger (rather than programme implementation) should be kept as separate capacity development objective with associated performance indicators.
- (iv) Substantive guidance materials should continue to be adapted from other partners, which requires among other things identifying websites and sharing them within WFP.
- (v) The design of capacity development assistance should analyze the risk of capacity substitution and include measures to gradually hand-over capacities and ensure sustainability.

- (vi) Administrative guidance should include information on how to treat capacity development in design documents – or in country strategy documents – and in reporting documents.

164. **Recommendation 4:** The Policy Division and Programme Support Division need to work together on developing performance indicators for capacity development based on the results-framework in the action plan (recommendation 2 above) for the three levels at which capacity development takes place. These indicators need to be integrated into the corporate results framework for the strategic plan, taking into account the key issues raised in paragraph 155 above.

165. **Recommendation 5:** Good practice in capacity development and approaches should be shared amongst WFP capacity development practitioners in Regional Bureaus, Country Offices and headquarters units. The Programme Support Division could use the programme quality assurance process to promote such exchange (at least during the annual consultation on programme quality) or develop a web-based platform to ensure learning is shared.

166. **Recommendation 6:** If WFP continues to pursue both capacity development objectives, it is recommended that job profiles include the requirements for capacity development experience. Given the importance of long-term relationships these skills might be sought in experienced national officers, who should be recognized for their knowledge and skill in this area. The Human Resource Division should develop corresponding profiles for qualifications and competences and encourage managers to consider capacity development expertise in their recruitment strategy.

167. **Recommendation 7:** Funding arrangements for capacity development (other than in support of programme implementation) should be reviewed to take into account the specific needs of capacity development (see para160) . Such a review should take place in the context of any overall review of funding arrangements for WFP.

Annexes

Annex 1: Evaluation Matrix – Annex E of the Inception Report

A. Quality of the Policy

| <i>Sub issues</i> | <i>Indicators</i> | <i>Sources of information</i> |
|---------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| To assess the quality of the Policy, the evaluation will analyse the extent to which: | | |
| The Policy contributes to WFP's objective of finding long-term solutions to hunger | Explicit reference to this objective in the Policy and evidence of linkages between capacity building and long term solutions to hunger Evidence of linkages between the Policy and hand over/exit strategies | Documents <ul style="list-style-type: none"> ▪ The Policy and Update ▪ External publications / reports on the issue |
| The Policy is coherent with the international good practice standards. | Degree of coherence between the Policy and the good practice standard as developed in the analytical framework in annex G | Documents <ul style="list-style-type: none"> ▪ The Policy and Update ▪ Analytical framework Interviews <ul style="list-style-type: none"> ▪ Internal stakeholders ▪ Counterparts ▪ Donors, etc. |
| The Policy is coherent with international policy context | Degree of coherence between the policy and the capacity building dimensions of the following main international policies and guidelines: <ul style="list-style-type: none"> ▪ Good Humanitarian Donorship ▪ Inter-Agency Standing Committee's policy ▪ Paris Declaration on Aid Harmonisation ▪ ECOSOC (Triennial Comprehensive Policy Review of the UN) ▪ UN Reform and Delivering as One | Documents <ul style="list-style-type: none"> ▪ Key policy documents covering the various instances mentioned |
| The Policy is coherent with the strategic Plans and the other relevant Policies | Explicit reference of the strategic Plans in the Policy and evidence of linkage between the two | Documents <ul style="list-style-type: none"> ▪ The Policy and Update ▪ Strategic Plans (2004-2007 and 2006-2009) |
| | Level of mutual consistency between the capacity building Policy and the 9 major WFP policies / plans of actions | Documents <ul style="list-style-type: none"> ▪ The Policy and Update ▪ Various policies and documents |
| The Policy is based on an internally consistent logic model | Qualitative assessment of consistency of the logic model and risks as presented in section 2.C | Documents <ul style="list-style-type: none"> ▪ The Policy and Update Workshop <ul style="list-style-type: none"> ▪ Internal stakeholders in HQ |
| The Policy provides an adequate guidance framework for implementation | Degree of practicability of the Policy | Documents <ul style="list-style-type: none"> ▪ The Policy and Update ▪ Programme Guidance Manual |
| | Degree of clarity of the Policy | |
| | Identification of implementation costs | |

| <i>Sub issues</i> | <i>Indicators</i> | <i>Sources of information</i> |
|-------------------|--------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| | | <ul style="list-style-type: none"> ▪ Criteria to determine the quality of policy as defined in annex F |
| | Level of feedback on reference to, knowledge of, understanding and actual use of the Policy within WFP | Interviews <ul style="list-style-type: none"> ▪ Internal stakeholders in HQ, RB and CO ▪ External stakeholders during field trips |

B. Operationalisation of the Policy

| <i>Sub issues</i> | <i>Indicators</i> | <i>Sources of information</i> |
|-----------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| To assess the relevance of the capacity building operations, the evaluation will examine the extent to which : | | |
| The operations are relevant to capacity building needs in the areas of the policy in the countries of intervention | Availability of country needs analysis | Documents <ul style="list-style-type: none"> ▪ Project documents and needs analysis Interviews <ul style="list-style-type: none"> ▪ Internal stakeholders in CO |
| | Explicit cross-references of needs in capacity building of WFP in national policies, PRSPs, etc and of national policies in capacity building in the project documents | Documents <ul style="list-style-type: none"> ▪ Project documents ▪ Relevant national policies, PRSP, etc. |
| | Explicit linkage between the capacity building efforts and hand over strategies | Documents <ul style="list-style-type: none"> ▪ Project documents Field visits <ul style="list-style-type: none"> ▪ Verification in countries with main stakeholders |
| | Explicit linkage between capacity building operations and the level of food aid managed by the countries targeted | Documents <ul style="list-style-type: none"> ▪ Project documents ▪ Secondary data analysis (FAO, WFP, UN, etc.) Field visits <ul style="list-style-type: none"> ▪ Verification in countries with main stakeholders |
| The operations are coherent with partners policies in countries | Explicit reference of partners policies in operations documents | Documents <ul style="list-style-type: none"> ▪ National policies ▪ Project documents Field visits <ul style="list-style-type: none"> ▪ Verification in countries with relevant stakeholders |
| | Evidence of WFP's comparative advantage in capacity building | |
| The operations are coherent with WFP Policy and matching good practice | Explicit reference to WFP policy and project documents | Documents <ul style="list-style-type: none"> ▪ Policy ▪ Project documents ▪ Reading grid (to be developed at the start of the desk phase) based on the good practice standards analytical framework available in annex G Field visits <ul style="list-style-type: none"> ▪ Verification in countries with relevant stakeholders |
| | Degree to which operations' conception matches the current good practice standards | |

| Sub issues | Indicators | Sources of information |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| The different capacity building operations undertaken in a specific country are mutually reinforcing to answer country needs | Evidence of complementarities between the various WFP capacity building activities within a country. | Documents <ul style="list-style-type: none"> ▪ Project documents, Implementation reports Field visits <ul style="list-style-type: none"> ▪ Verification in countries with relevant stakeholders |
| The operations' logic model are internally consistent | Qualitative assessment of consistency of the logic model as presented in the project documents and assessment of changes if any occurred during the implementation | Documents <ul style="list-style-type: none"> ▪ Project documents, Implementation reports Field visits <ul style="list-style-type: none"> ▪ Verification in countries with relevant stakeholders |
| To assess the performances (efficiency) of the capacity building operations, the evaluation will examine the extent to which : | | |
| Delivery tools of capacity building as identified in the Policy are efficiently used | Qualitative and when possible quantitative evidence of efficient utilisation | Documents <ul style="list-style-type: none"> ▪ Project documents, Implementation reports Field visits <ul style="list-style-type: none"> ▪ Verification in countries with relevant stakeholders |
| Level and timeliness of funding is adequate to ensure efficient implementation of activities | Actual level and timing of funding | Documents <ul style="list-style-type: none"> ▪ Implementation reports, resourcing updates, secondary data Field visits <ul style="list-style-type: none"> ▪ Verification in countries with relevant stakeholders |
| Institutional arrangements are adequate | Evidence of ownership of capacity building operations by the beneficiaries | Documents <ul style="list-style-type: none"> ▪ Documents on capacity building from beneficiaries (when relevant) Field visits <ul style="list-style-type: none"> ▪ Verification in countries with relevant stakeholders |
| | Evidence of partnerships | Field visits <ul style="list-style-type: none"> ▪ Verification in countries with relevant stakeholders |
| To assess the outputs of the operations, the evaluation will examine the extent to which : | | |
| Capacities to analyse and assess hunger have increased | Qualitative and when possible quantitative evidence of outputs achieved | Documents <ul style="list-style-type: none"> ▪ Project documents, Implementation reports Field visits <ul style="list-style-type: none"> ▪ Verification in countries with relevant stakeholders |
| Disaster preparedness has improved | | |
| Capacities to programme food assistance have improved | | |
| Capacities to manage food and logistics have been enhanced | | |
| Decentralisation has been supported | | |
| More information is shared and advocacy efforts increased | | |
| Resources have been mobilised | | |
| To assess the results (effectiveness, impact and sustainability) of the capacity building operations, the evaluation will examine the extent to which : | | |

| Sub issues | Indicators | Sources of information |
|----------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Identification and analysis of hunger and vulnerability issues have increased | Qualitative evidence of outcomes achieved | Documents <ul style="list-style-type: none"> ▪ Project documents, Implementation reports Field visits <ul style="list-style-type: none"> ▪ Verification in countries with relevant stakeholders |
| Planning and implementation of food-assistance strategies have improved | | |
| Adequate knowledge and advocacy has been ensured | | |
| Countries have improved their capacity to establish and manager country food-assistance programmes | Qualitative evidence of objectives achieved | Field visits <ul style="list-style-type: none"> ▪ Verification in countries with relevant stakeholders |
| Countries has improved their capacity to quickly, efficiently and effectively respond in situations of acute hunger and chronic malnutrition | Qualitative indications of impact | Field visits <ul style="list-style-type: none"> ▪ Verification in countries with relevant stakeholders |

C. WFP's capability to implement the Policy

| Sub issues | Indicators | Sources of information |
|------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| To assess WFP's capability to implement the Policy, the evaluation will examine the extent to which: | | |
| Adequate funding mechanisms have been put in place | Level of funding of various types of operations | Documents <ul style="list-style-type: none"> ▪ Implementation reports, resourcing updates, secondary data Interviews <ul style="list-style-type: none"> ▪ With relevant stakeholders |
| Institutional arrangements are supportive of capacity building activities | Evidence of effective channels of communication between HQ, RB and CO on capacity building | Interviews and Field visits <ul style="list-style-type: none"> ▪ Verification with relevant stakeholders |
| Adequate human resources are available | Evidence of availability of qualified human resources at the adequate place to support capacity building activities. | Interviews and Field visits With relevant stakeholders |

Annex 2: Terms of Reference of the Evaluation

I. Background

A. Capacity Building⁴⁷ in Humanitarian Assistance

1. The Active Learning Network for Accountability and Performance (ALNAP) in Humanitarian Action published a review of capacity building (CB)⁴⁸ in 2005. It was based on a number of evaluations and other reviews, undertaken by various humanitarian assistance providers. No specific agency was mentioned, and the experience was generalized as applicable to a cross-section of actors in the humanitarian field.

2. The ALNAP review made a wide range of observations. It indicated that very few investments have been made in building capacities in the humanitarian field, that whatever assistance had been provided was not effective in building sustained capacities, and that existing capacities were often not used. It also noted that reporting on results was weak. The review raised the fundamental question of needing to empower local actors as a long-term exit strategy, which – if/once successful – would significantly reduce the need for international humanitarian assistance in the future. A shift in this direction was necessary not only for reasons of sustainability and ownership, but also because of the need to improve efficiency and reduce the risk that international humanitarian workers are increasingly exposed to.

3. The review mentioned a number of weaknesses in the current system, including (a) the need to move away from a training focus to an understanding that capacity building required broader and more diversified assistance; (b) the necessity to manage the trade-off between providing immediate relief and building longer-term capacities; (c) the complexity of building capacities before, during and after emergencies, which present diverse opportunities and challenges for capacity building and often pose a dilemma in balancing different priorities; (d) the existing funding mechanisms that generate resources for high-profile emergencies during which addressing immediate humanitarian needs takes precedence over capacity building; (e) the gap in funding for capacity building, as humanitarian assistance is often tied to volume rather than recognizing a more development-based approach to capacity building; and (f) inherent questions of trust, transparency and impartiality, which are necessary to ensure humanitarian assistance reaches those in need.

4. To address the range of existing problems, the review stated that a longer-term perspective was needed to resolve issues around funding, partnerships, the process of engagement in capacity building, and measures to bridge the gap between humanitarian and development assistance.

B. WFP's Policies and Operations in Support of Capacity Building

5. **Corporate Strategies and Policy for Capacity Building.** Capacity building has been part of WFP's agenda at least since 1994 when the Mission Statement included references to it. Since then all Strategic Plans included capacity building as one of the priorities or objectives. In October 2004, a capacity building policy was adopted. The focus of capacity building activities has been on national governments, local capacities, and communities, cutting across a broad range of areas in which WFP typically works and employing a range of capacity building means. At present the preparation of a new strategic plan is under way, which will define WFP's future role, strategy and objectives in, among other areas, capacity building. Annex 1 provides a synopsis of and extracts from WFP's corporate strategies.

⁴⁷ This paper uses the term capacity building throughout, recognizing that capacity development and capacity strengthening are equally valid terms, and sometimes used more often. At WFP, the term capacity building has been used (see Policy Framework) and is adopted in this paper for consistency of terminology and to avoid confusing readers.

⁴⁸ ALNAP Review of Humanitarian Action in 2004 – Capacity Building.

6. **Executive Board Decisions and Concerns.**⁴⁹ In its deliberations of the *Update on Capacity-Building*⁵⁰ in June 2007, the members of the Executive Board expressed widespread support to idea of capacity building. Capacities are essential to finding long-term solutions to hunger, enabling countries to achieve a more fundamental change that helps prevent emergencies or enables them to response rapidly and effectively. Capacities are needed for handing over responsibilities and reducing the need for agencies like WFP. However, some concerns were raised about WFP's comparative advantage and value added in this field. Namely, whether other providers of capacity building assistance were better suited to assisted in capacity building, or which areas WFP had a comparative advantage, and how well WFP worked in partnership with others. This position was contrasted by other representatives of member countries, who felt WFP had strong comparative advantages. Yet, WFP's traditional role in providing food assistance was seen as quite different to what was needed for building capacities, and resources for capacity building were a concern. Overall, the Executive Board called for more information on results that had been achieved so far and for lessons that could be used in articulating capacity building objectives in the next Strategic Plan.

7. **Capacity Building Operations.** The *Update* (see footnote 50) grouped operations into four types: mainstream, standalone, country programmes, and headquarters initiatives. The *Update* illustrates the wide range of activities are supported under these groups: from policy analysis and national strategies, to needs assessments and emergency preparedness, school feeding and enhanced commitment to women, logistics and food management, monitoring and evaluation, etc. However, a number of areas appear more consistently than others across all types of capacity building interventions were: needs assessments, emergency preparedness, local markets (including local procurement and logistics), monitoring and evaluation, and school feeding. The means by which capacities were to be built included: advocacy and generating political and policy support, networking, information sharing, training and workshops, technical support and staff secondments, assessments and studies, and equipment and capital services. The geographical spread of capacity building assistance spanned all regions that WFP works in. Annex 2 provides some information on capacity building operations, while during the evaluation a more detailed analysis will be carried out.

C. Stakeholder Analysis

8. The following paragraphs provide a very preliminary summary on stakeholders that play a role in capacity building and thus need to be considered during the evaluation. Depending on the range of assistance selected for in-depth evaluation, the stakeholders will be narrowed down and a more detailed analysis of stakeholders undertaken. For each stakeholder group, the best means of interaction will be determined (e.g. key informant interviews, focus group discussion, participatory methods) and key issues for discussion with them determined prior to consultations (see Section IV.C below).

1. External Stakeholders

9. Activities aim to build capacities of governments at national and sub-national levels, non-governmental organizations, and communities. At each level, individuals are involved. Their stake in the capacity building process is that their capacities are to be built; they are the key implementing agents who will demonstrate whether WFP succeeded in assisting them. They will be providing feedback to the evaluators on their views, success stories, frustrations and failures, suggestions for improvements and change.

10. Other stakeholders external to WFP are partners from within the UN (in partnerships and under the UN reform agenda and Delivering as One) and bilateral agencies, who

⁴⁹ Issues raised in earlier Executive Board discussions of the subject will be reviewed and analyzed in the course of the evaluation.

⁵⁰ Update on Capacity-Building (Strategic Objective 5). WFP/EB.A/2007/6-H/1, 16 May 2007.

cooperate with WFP in particular in funding capacity building assistance. These stakeholders will be consulted on questions of partnerships and comparative advantage.

2. Internal Stakeholders

11. Country office and regional bureaux play an important role in conceiving and implementing capacity building assistance. At headquarters, the main stakeholders are the Policy Strategy & Programme Support Division (for the Policy itself), the divisions that manage or provide technical support to the implementation of capacity building assistance, and the division that manages the trust funds and other resources allocated to capacity building. The stake of WFP colleagues consist in their role of defining and implementing policy and operations and reporting back on achievements. They are key informants to understanding achievements and areas in which improvements are needed and how they can be achieved.

12. WFP Management and the Executive Board are key stakeholders in the evaluation, as they decide on policy directions, strategies, and resources for capacity building. Different views exist among these stakeholders – between Management and Board and within the Board – on the priority that WFP should assign to capacity building assistance and the comparative advantage that the Programme has in this field.

II. Reason for Evaluation

A. Rationale for Evaluating

13. The background section to this paper provides ample justification for undertaking this evaluation:

- (i) The conceptual gap that requires placing capacity building in the humanitarian field into a framework with a longer-term vision, as observed by ALNAP;
- (ii) A considerable number of years during which capacity building assistance was provided without undertaking a systematic evaluation of these activities;
- (iii) The ongoing preparation of WFP's new Strategic Plan, which involves among others a debate about the Programme's role in providing capacity building assistance; and
- (iv) The request of WFP's Executive Board to evaluate SO5 with findings to be presented in 2008 (decision 2007/EB.A/10).

14. The rationale for undertaking the evaluation at this time is to inform the discussions of Executive Staff and of the Executive Board – both of whom are the main users of the evaluation – on WFP's future strategy for providing capacity building assistance as part of the new Strategic Plan.

B. Purpose of the Evaluation

15. Evaluation has the dual function of accountability and learning. The purpose of evaluation is to determine the degree of success and failure of an ongoing or past undertaking (accountability) to learn from these experiences to continuously improve performance and outcomes (learning). These principles apply to this evaluation.

C. Evaluation Objective

16. The objective of this evaluation is to assess and learn from WFP's performance in respect to the following three areas:

- (i) The quality of WFP’s policies and strategies for capacity building as compared to international good practice standards⁵¹ and in setting out a framework that guides the design and implementation of operations within WFP’s mandate;
- (ii) The capacity building operations in terms of implementing the policy framework, the quality of their design (compared to good practice standards and applying standard evaluation criteria such as relevance and external and internal coherence), implementation performance, and results (outcomes and impacts). This assessment will include, to the extent possible, an assessment of WFP’s comparative advantage in capacity building;⁵² and
- (iii) The resources at WFP’s disposal for implementing the capacity building agenda (human and financial resources), which will address questions whether WFP can transform and applies its own capacities to building those of others.

17. Combined these three areas cover the questions whether WFP (a) has the right policy and strategy/ies for capacity building; (b) actually implements its policy and strategies and what results are achieved thereby; and (c) has the right resources to deliver capacity building assistance. Competences in all three areas are necessary to provide effective and efficient capacity building assistance. And, an evaluation of all three areas will indicate what WFP’s contributions have been to capacity building, the areas in which improvements are needed, and whether/where WFP has a comparative advantage in this field.

III. Scope and Limitations of the Evaluation

A. Subject of Evaluation

18. Corresponding the three dimensions specified under the evaluation objective (paragraph 11), the evaluation will include an assessment of:

- (i) The policies and strategies related to capacity building and, to a lesser extent, other policies and strategies that may cover capacity building issues to determine internal coherence across different policies of WFP;
- (ii) A cross-section of operations (paragraph 9). The selection will be based on a more careful review of existing operations to determine which areas should be looked into (e.g. those appearing most commonly mentioned above), and in which geographical locations. These choices will be made by setting clear selection criteria or – if objectively verifiable selection criteria cannot be established – other selection methods will be used (e.g. stratified random sampling).
- (iii) Financial resources (trust funds and others) available to WFP to determine whether they provide timely and predictable funding that is necessary for capacity building, and human resources to determine whether and how WFP’s competences get translated from “can do” to “enabling others to do”. Other commitments made in the Financial Framework will be reviewed as well.

⁵¹ When using best practice standards, the evaluation will recognize whether these were published before or after the Policy. If standards existed before, they can be used as benchmarks. If they were adopted after, the evaluation will use them as reference point to determine where WFP’s policy framework stands to assess whether there is a need to update it.

⁵² To undertake an assessment of comparative advantage, the evaluation will have to rely on evaluation information available on the performance of other agencies, as WFP cannot evaluate the work of other agencies unless done in partnership. The timeframe for this evaluation is too tight to aim for a joint evaluation, which however, could be attempted at a later stage.

B. Evaluability Assessment

19. Evaluability necessitates that a policy, intervention or operation provides: (a) a clear description of the situation before or at its start that can be used as reference point to determine or measure change; (b) a clear statement of intended outcomes, i.e. the desired changes that should be observable once implementation is under way or completed; (c) a set of clearly defined and appropriate indicators with which to measure changes; and (d) a defined timeframe by which outcomes should be occurring.

Definition: *Evaluability is the extent to which an activity or a program can be evaluated in a reliable and credible fashion.*

Glossary of Key Terms in Evaluation and Results Based Management, Evaluation and Aid Effectiveness, OECD/DAC Working Party on Aid Evaluation, 2002.

20. **Challenges to Evaluating Capacity Building.** The evaluation of capacity building faces a number of challenges in terms of evaluability. First: for complex policy evaluations like this, evaluability needs to be established at several levels, i.e. for the policy and the various operations. Second: capacity building is an area in which change is difficult to measure. Some of the latest thinking in capacity development suggests that models like the logical framework approach, which provides an essential underpinning to traditional evaluation and evaluability assessments, are not applicable in all contexts. In some contexts, the complexity of building consensus on the capacities that are needed and how they would manifest themselves require iterative processes to determine capacity development objectives and outcomes, so that a blue-print plan would not exist at the outset of an operation.⁵³ Third: in capacity building a large number of factors play a role, many of which are external to the assistance provided, such as political interests, management decisions, etc. They often have a greater influence on capacities than the assistance provided, but are often less traceable. Fourth: in many instances information on existing capacities (institutional diagnostics, assessments of existing systems or knowledge, etc.) do not exist to provide the baseline that is necessary to determine what changes have occurred. Fifth: performance indicators often focus on activities (such as number of people trained or training courses organized) rather than on outcomes (such as institutional performance indicators). Thus, outcome data is not collected.

21. **Policy.** The Capacity Building Policy (paragraph 8) does not contain a results framework, which specifies expected outcomes and associated indicators. However, the Strategic Plan 2004-2007 introduced some performance measures, as part of the overall introduction of results-based management. These indicators face the problems mentioned in the previous paragraph, namely focus more on activities than on outcomes. Weaknesses with the corporate indicators have been acknowledged and the need for improvements recognized. To address the challenge to the evaluability of the Policy and Strategic Plans, the evaluation will organize a stakeholder workshop to determine and agree on the role of capacity building (as an instrument or an objective in itself), expected outcomes and a results framework that can be used for evaluation.

22. **Operations.** The evaluability of a cross-section of operations will be part of the evaluation proper, as this requires analyzing the design of these operations. The evaluability assessment will be undertaken during the preparatory phase of the evaluation and decision made on the evaluability, evaluation techniques, and limitations to the evaluation resulting from these assessments. In some cases, the evaluation will not go beyond an evaluability assessment, especially when implementation progress is limited and thus results cannot be expected. In these cases the evaluability assessment will provide useful feedback on the need for refining the design of an operation, if evaluability is in question.

⁵³ A Balanced Approach to Monitoring and Evaluating Capacity and Performance. European Centre for Development and Policy Management (ECDPM), March 2007.

C. Temporal and Geographical Boundaries of the Evaluation

23. The evaluation aims to have a ten-year coverage (1998-2007), including corporate strategies from 1997 onwards (actually the beginning of strategic plans). For the coverage of operations, an equally long time horizon would be ideal, because capacity building practitioners recognize long gestation periods are necessary to see results. The evaluation, however, will have to determine (during the preparatory phase) whether WFP's information system will support identifying operations over the last ten years that had capacity building objectives, and whether these have been undertaken consistently.⁵⁴ Most recent operations, such as those approved in 2007 (e.g. the latest generation of country programmes) will be included in the evaluation, but probably more to assess their design and evaluability, while results should be expected only after a certain implementation period has passed.

24. Geographically, operations have been implemented in all regions in which WFP provides assistance. The more detailed analysis of past and ongoing operations will be used to determine selection criteria for operations and countries to be included in the evaluation (paragraph 18(ii)). The criteria and selection based on them will be specified in the Inception Report of the Evaluation (see section IV.C Deliverables).

IV. Evaluation Design

A. Key Issues

25. Key issues arose from the review of documentation in the preparation of this paper, the discussion of the Executive Board (using the verbatim records) and from initial discussion with some stakeholders. Once comments are received on the drafts Terms of Reference, the key issues may undergo some revisions. These issues will be used in the detailed evaluation design, namely in the evaluation matrix that will be presented in the Inception Report, to refine and further focus the evaluation.

26. The key issues centre around:

- (i) Concepts of capacity building, such as alignment with good practice standards, differences between capacity building assistance in humanitarian and development fields (including whether there is or should be a continuum), the translation of "theoretical" concepts and good practice to realities in the field, etc.
- (ii) Issues of ownership, such as the minimum level of capacities that are needed to build capacities and approaches that are necessary to work in contexts of very limited capacities, the variability of capacities in the humanitarian field (expanding and contracting depending on need) and implications for capacity building approaches, generating ownership under post-conflict conditions, building commitment to transparency and accountability that is essential for hand-over strategies, etc.
- (iii) The role that capacities play in achieving sustainable emergency preparedness, management of responses to emergencies and chronic food insecurity, the role that capacity building assistance plays in enhancing the sustainability of WFP's assistance;
- (iv) Working in partnerships with others in the design and delivery of capacity building assistance, to achieve synergy and determine comparative advantage, etc.
- (v) Funding arrangements for capacity building in the humanitarian field, in particular the level and timing of funding, the link between overheads based on quantity of food delivered as compared to the cost of capacity building assistance, etc.

⁵⁴ Trying to trace trainees of courses given ten years ago to assess the effectiveness of training is futile. Therefore, a time horizon of ten years makes sense only if consistent assistance – using a system's approach as advocated in the Policy – in the same institutional context.

- (vi) Using the organizational strengths of a “can do” institution for capacity building, which requires abilities for “enabling others to do”; and being a global organization learning from one context and adapting and applying it to others to foster sharing of knowledge across countries.

27. Annex 3 presents the key issues as related to the three dimensions set out under the purpose of the evaluation (paragraph 11) and flags which evaluation criteria apply. The matrix was done to illustrate how the different facets of the evaluation form one cohesive evaluation approach rather than multiple streams of investigation.

B. Methodology

28. To address the challenges to evaluating capacity building (paragraph 20) the evaluation will draw on cross-section of methodologies as appropriate. These will include traditional evaluation methods based on programme theory and logical framework approaches (for instance for public sector capacity building programmes), more flexible evaluations methods such as systems thinking and participatory approaches (in the cases where less structured capacities needed to be built), methods for evaluating advocacy and policy influence, and comparative analysis with benchmarks (for instance using good practice standards or the evaluation findings of other agencies as reference).

29. To address challenges in evaluability (paragraph 20), the evaluation will use stakeholder discussions and secondary data to verify baseline information (the situation at the outset of the operation) and to understand intended outcomes. This approach has limitations – namely that the understanding of intended outcomes changes over time – and the evaluation will state explicitly where these limitations exist and how they affect the evaluation and its findings. In some cases, the evaluation may not be able to complete an assessment of capacity building outcomes for the lack of evaluability. In such cases, the evaluability assessment will nonetheless be useful to help redesign operational approaches.

30. The evaluation will employ internationally agreed evaluation criteria of relevance, coherence (internal and external), efficiency, effectiveness, impact, sustainability and connectedness. Annex 3 highlights how these criteria apply to the three dimensions that the evaluation will analyze and assess and the key issues specified above. Relevant indicators – quantitative and qualitative, as appropriate – will be defined during the preparatory phase of the evaluation and presented in an evaluation matrix. They will guide the main phases of the evaluation and the presentation of findings in the final report.

31. The evaluation will use a range of data collection techniques such as key informant interviews, focus group discussions and other participatory approaches, surveys, and structured document analysis. It will ensure that stakeholders with diverse views will be consulted to ensure the assessment, findings and recommendations are based on a comprehensive understanding of diverse perspectives on issues, performance and outcomes. Evaluators will act impartially and respect the code of conduct for the profession (Annex 4).

32. The evaluation will be exposed to a quality assurance process that will entail internal review by OEDE and the engagement of peer reviewers, who will provide an independent assessment of the quality of the evaluation. The quality assurance process will draw on quality proforma of ALNAP and the OECD/DAC or those developed by OEDE,⁵⁵ once ready.

C. Phases and Deliverables

33. To have the greatest utility value to the strategic planning process, the evaluation aims to be completed in time for the Executive Board meeting in February 2008, which is

⁵⁵ OEDE is developing evaluation quality standards, which should be completed by the end of the summer 2007. While the standards will be in their test phase, they will be used. The standards are based on those adopted by others (ALNAP and OECD/DAC) and thus will become the single reference point.

ambitious. At the same time, regular feedback and interaction is planned with internal stakeholders from WFP to ensure lessons can be used as they become available.

34. The evaluation will be undertaken in the phases mapped out below. These are the typical steps in an evaluation process. Separate timelines will apply to the different parts of the evaluation. For instance: the comparative analysis of the Policy with good practice standards will not require verification through fieldwork, nor would the desk review of operations that are in such early stage of implementation that results cannot be expected. The detailed schedule will be developed during the preparatory phase.



35. These terms of reference pointed in a number of places to issues that require further analysis before the evaluation design can be completed and choices can be made about methodology, sample selection for fieldwork, etc. The preparatory phase serves to undertake this additional data collection and preliminary analysis and make those choices. It will entail collecting information particularly about operations that will help narrow down the scope and focus of the fieldwork (geographical and temporal boundaries), specify the choice of methodologies to be used for which purpose, develop an evaluation matrix including indicators, determine the technical qualifications for evaluation consultants and identify candidates, and define the schedule for the evaluation. The deliverable of this phase is the inception report, which will document these choices. The Inception Report will be shared with stakeholders for comments, and with peer reviewers (internal OEDE and external) for quality assurance.



36. This phase of the evaluation will entail different analyses for the three dimensions of the evaluation (paragraph 11). For instance, the Policy analysis will be against good practices standards and other WFP policies, while the analysis of operations will entail reviewing all existing documentation to form an initial assessment and identify issues for fieldwork. The analyses will be undertaken using structured tools to ensure the review is systematic and even for all of the documents and for all of the reviewers. The comparative analyses will be formally documented in a working paper for use in the drafting of the final evaluation report. The findings of the desk reviews of operations (paragraph 11(ii)) and resources (paragraph 11(iii)) will form the first input into working papers on these subjects, which will be complemented by the findings from fieldwork.



37. Fieldwork will be undertaken for a select sample of operations. These will be selected and determined during the preparatory phase. The field visits will be used to discuss with a cross-section of internal and external stakeholders their views on WFP's performance in providing capacity building assistance. During fieldwork a range of evaluation techniques will be employed (paragraph 31) as appropriate. Stakeholders at WFP headquarters will also be interviewed, using structured and semi-structured interview formats to ensure consistency in the topics covered. If appropriate, meetings or workshops will be organized on some topics or issues.

38. The desk review of resources will be complemented with interviews with donors, fund managers at WFP, and users of funds as well as other stakeholders that may be identified during the desk review phase.

4. Reporting



Draft Final Report

39. Preliminary findings of phase 2 and 3 may be shared with stakeholders as early feedback, most likely in the form of verbal presentations rather than written reports (the working papers produced in phase 2 and 3 will remain working papers of the evaluation team rather than formal outputs of the evaluation).

40. The findings of phase 2 and 3 will be brought together in a succinct analytical evaluation report that will (a) respond to the objectives set out in this evaluation; and (b) report against evaluation criteria specified in these terms of reference (and those in the evaluation matrix). A draft outline for the final report will be included in the Inception Report.

41. The draft final report will be shared with stakeholders for comments, and with peer reviewers (internal OEDE and external) for quality assurance.

42. The evaluation will document comments received and how they were responded to in the evaluation report to ensure transparency.

V. Organization of the Evaluation

A. Expertise Required

43. The team leader for the evaluation requires strong evaluation experience and a good understanding of capacity building issues, has to have good conceptual, communication, and writing skills. The evaluation team will be made up of evaluators and technical experts for the subject areas in which capacities were built for the collection of information in the field. A preliminary set of tasks is included in Annex 5. Qualifications and requirements will be determined in the preparatory phase of the evaluation and specified in the Inception Report, once the extent to which operations will be evaluated is decided. The choice of operations will have implications for the expertise required and the duration for which each expert will be engaged.

B. Communication

44. To facilitate the feedback process, the evaluation will set up an internal stakeholder group consisting of a cross-section of WFP stakeholders who will receive deliverables (inception report and final report) specified above for comments and verbal feedback at other stages in the process. The group will be composed of staff from a cross-section of functional areas (policy, operations, fund raising) and location (headquarters, regional bureaux, country offices).

45. The final report of the evaluation will be presented to the Executive Board, most likely in February 2008 although the detailed schedule will be developed during the preparation phase. After finalization, the report will be available online as all evaluation reports are.

46. In addition, OEDE will determine and maximize opportunities for drawing lessons from the evaluation and disseminating them verbally (workshops) or in writing (publishing) these in a user-friendly way.

C. Resources for the Evaluation

47. The rough budget estimate for the evaluation is US\$150,000, covering the remuneration of team leader and members (US\$110,000) and travel (US\$40,000). This evaluation was not planned and no extra resources have been provided. OEDE will borrow against a planned evaluation of emergency preparedness and operation, which has not yet started and will be postponed. The shortage of resources means that part of the evaluation will be undertaken with OEDE's own staff resources, which have been included in the costing of the evaluation.

Annex 3: Methodology – Section 5.A of the Inception Report

5.A Methodology⁵⁶

The evaluation approach

72. This evaluation comprises a summative dimension, determining the quality, merit, worth or shortcoming of the Policy, and a formative one, considering that many of the CB activities are ongoing. Evaluation results will therefore also contribute to improving their implementation.

Main evaluation methods and instruments

73. The evaluation will adopt different methods and tools in order to circumvent to the extent possible, the constraints identified in section 3.C.

74. **Programme theory evaluation.** At the start of the inception phase, a logic model has been reconstructed on the basis of the policy (see section 2.C). This logic model will be discussed during a workshop with internal stakeholders and then will be amended accordingly in the final version of this report.

75. The logic model served as a basis for the identification of some of the key issues raised in section 4 and in the preparation of the evaluation matrix available in Annex E.

76. **Evaluation Matrix.** The matrix presents structured issues and sub-issues to be raised to reach the evaluation objectives as defined in section 3.A. It also includes information on indicators to be used to address these issues and on the main sources of information. The evaluation matrix will serve as a guide throughout the evaluation process at all 3 levels (Policy, Operations and Resourcing). The evaluation matrix will be updated as appropriate on the basis of stakeholders' comments on the logic model.

77. **Analytical Framework.** The evaluation will compare the Policy with existing good practice standards to determine whether it is in line with the latest thinking. To undertake such comparative analysis, it was necessary to develop an analytical framework, a grid for a structured and systematic comparison of documents. This Inception Report built on the DAC publication (see footnote 2) to develop such a grid. The DAC paper deliberately does not provide a blue-print, because experience shows: blue-prints do not work for capacity building. Instead, the paper suggests a certain understanding and levels of interaction, a systematic approach, and an iterative process that respond to the complexity of capacity building. It does not provide a simple checklist against which WFP's Policy can be compared. Instead, the evaluation used the entire paper to develop "yardsticks" for comparison, which were presented following the structure of the DAC paper.

78. To ensure the applicability of the grid to the WFP context, which includes emergency and development responses, this Inception Report also used (i) the World Bank publication on fragile states, which concerns World Bank country strategies in general but includes elements on capacity building; and (ii) the publication *Patronage or Partnership: Local Capacity Building in Humanitarian Crisis* which is not a guideline or good practice standard as such, but a collection of experiences that culminate in insights of what has worked and what has not in the humanitarian sector's effort to build capacities. These sources are quoted only in those cases when they provide additional insights or nuances that are not

Box 3: Programme theory evaluation

Programme theory evaluation consists of an explicit theory or model of how the programme causes the intended or observed outcomes. It specifies a chain of causal assumptions linking programme resources, activities and intermediate outcomes. It is recognised in the literature that programme theory can provide useful estimates of results in situations in which it is not possible to implement one or more of the quantitative design methods.

⁵⁶ References to evaluation theory come from Bamberger, M., Rugh, J. and Mabry, R. 2006. 'Real World Evaluation. Working under Budget, Time, Data and Political Constraints', Sage Publication.

appropriately reflected in the DAC paper, but not to reiterate or restate points that have already been treated adequately.

79. Part of the framework will also be used to assess the operations as indicated in the evaluation matrix.

80. **Operations reading grid.** To be developed at the start of the desk phase, this grid will be based on part B of the evaluation matrix as well as on parts of the analytical framework developed to assess the quality of the Policy. The use of such a grid will ensure systematic and rigorous extraction of data and allow for information analysis across operations within one country and across countries. The grid will be used to analyse the operations during the desk review as follows:

- (i) For each operation, an analysis of documents will be undertaken, providing information on each evaluation issue identified in the first column.
- (ii) Then for each issue, a summary of the information will be made, to the extent possible, at country level as indicated in the table below.

| | | | | | | | |
|-------------------|-------------------|-------------|-------------|-----|---------|---------|-----|
| Evaluation Issues | Country Synthesis | Country A | | | | | |
| | | Operation A | Operation B | ... | Grant A | Grant B | ... |
| | | (ii) | | | | | |
| | | | | | | | |

(iii) Finally a synthesis of the information available will be established on the country summaries. This synthesis will serve as a basis for the field visits.

81. **Triangulation.** The evaluation will use a mix of quantitative and qualitative information to address the issues raised in section 4. The evaluation will ensure that stakeholders with diverse views will be consulted in order to have findings and recommendations based on a comprehensive understanding of diverse perspectives on issues, performance and outcomes. To the extent possible, all information collected will be triangulated before being presented as a finding. Where triangulation is not possible, the evaluation will be explicit about it and use the information with caution.

Annex 4: Biodata of External Peer Reviewers

Kanni Wignaraja is a staff member of UNDP currently Director a.i of the Capacity Development Group in the Bureau for Development Policy at UNDP HQ. In 2006, she was the Chair of the UN Development Group task team on Capacity Development, comprising 12 UN agencies, Funds and Programmes that led the work on the UNDG Policy Position on Capacity Development and the related Capacity Assessment methodology.

Holly Solberg is the Head of Emergency Capacity Development reports to CARE International’s Emergency Response Director and is responsible, in consultation with colleagues in various parts of CARE International, for developing and implementing an overall vision and strategy for emergency capacity development in the organisation.

Ronald Mackay is Professor Emeritus, Education Concordia University, Montreal is specialised in institutional/organisation analysis and diagnosis as well as evaluations. He has published various papers on evaluation of capacity building and has recently been involved in various evaluations of capacity development.