

Strategic Evaluation

WFP's Role in Social Protection and Safety Nets: A Strategic Evaluation

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TABLE OF CONTENTS

Executive Summary	i
1. Introduction	1
1.1. Evaluation Features	1
1.2. Context	3
1.3. WFP’s Work in Social Protection and Safety Nets.....	10
2. Evaluation Findings	16
2.1. Integrating WFP’s Social Protection Work into National Social Protection Systems and Applying Standards of Good Practice	16
2.2. Relevance and Results of WFP’s Social Protection Work	28
2.3. External Factors Affecting WFP’s Social Protection Work	32
2.4. Internal Factors Affecting WFP’s Social Protection Work.....	37
2.5. WFP Staff Capacity to Deliver WFP’s Social Protection Work ..	41
3. Conclusions and Recommendations.....	44
3.1. Overall Assessment.....	44
3.2. Recommendations.....	45
Annexes	49
Annex 1: Evaluation Terms of Reference	50
Annex 2: Evaluation Methodology/Evaluation Matrix	63
Annex 3: Fact Sheet on WFP Countries and Operations.....	76
Annex 4: Bibliography.....	77
Annex 5: List of People Met and Places Visited	82
Acronyms	87

Executive Summary

Introduction

1. Interest in and practice of social protection and safety nets are growing; such systems now exist in every region of the world. Safety nets can save lives when shocks and emergencies strike. For the longer term, social protection aims at broader social and economic development through reducing poverty and inequality.

1. International policies increasingly emphasize governments' role in managing their own development assistance. Many governments now run safety net or social protection systems, which have become central features of how international development organizations seek to address poverty and vulnerability in developing countries. Recent policy statements by the African Union, the International Monetary Fund and the G20 emphasize the importance and potential of safety nets and social protection in protecting the poor, reducing poverty and promoting economic growth. In the United Nations (UN), the Social Protection Floor Initiative aims to promote national strategies by providing essential social transfers in cash and in kind. The need to strengthen government capacity is inherent to these changes.

WFP's Work in Social Protection and Safety Nets

3. Social protection and safety nets are not new to WFP. In 1998, a WFP paper set out to “analyse the role of food-based safety nets as a cost-effective instrument to protect against food shocks”. The approach outlined in this paper was integrated into a 1999 policy paper, “Enabling Development”⁶ A 2004 policy paper, “WFP and Food-based Safety Nets”,⁷ presented principles and roles for WFP, based on country contexts. The WFP Strategic Plan (2008–2013) mentions safety nets as a means of strengthening resilience to shocks, and proposes that “WFP will develop nutrition, school feeding (SF) and other safety net programmes”.

4. Recent WFP policy papers that incorporate safety net or social protection elements include those on capacity development (2004), vouchers and cash (2008), SF (2009) and Human Immunodeficiency Virus (HIV) and Acquired Immunodeficiency Syndrome (AIDS), 2010. WFP has written related papers, most recently the 2009, “Unveiling Social Safety Nets”⁸

5. Many WFP projects over the past 20 to 30 years have served as safety nets, including some with broader social protection purposes. However, there is no formal system for tracking WFP's social protection contributions.

Overview of the Evaluation

6. The objective of this evaluation was to increase understanding of how WFP can best contribute to social protection and safety nets, and the factors that affect its ability to do so. It aims to help institutionalize new approaches and inform

⁶ WFP/EB.A/99/4-A.

⁷ WFP/EB.3/2004/4-A.

⁸ Occasional Paper 20, available at <http://www.wfp.org/content/unveiling-social-safety-nets>

programming choices. Evaluation methods included field visits to five country offices and two regional bureau, remote assessment of two country offices, benchmarking against good practice standards, document review, and interviews with WFP staff and external stakeholders. A multi-country case study approach was adopted to examine WFP's roles in different contexts, based on whether the national social protection system was:

- transitioning towards a national safety net: Senegal and Sierra Leone;
- establishing a national safety net: Ethiopia and Uganda;
- improving an established national safety net: Colombia, Georgia and Guatemala.

7. A wide variety of definitions of social protection and safety nets are used both within and outside WFP. Many aspects of a social protection system are outside WFP's mandate, such as pension systems and most insurance schemes. For this evaluation, the following working definitions were developed from earlier work by WFP's policy and programme units:

- i) Social protection refers to food or cash transfers to the most vulnerable to protect against livelihood risks, promote livelihood opportunities, and enhance the social status and rights of socially excluded and marginalized people.
- ii) Food-based safety nets provide direct, regular and predictable food assistance, in cash or in kind, to the most vulnerable people, to prevent them from falling below a minimum level of food security as a result of a shock, to increase their resilience to shocks and – in some cases – to promote their food security.

8. The evaluation assessed how WFP's work can contribute to a range of purposes, from protection to transformation:

- i) protection: enabling people to survive periods of stress and shock;
- ii) prevention: mitigating shocks and reducing the risk of a crisis occurring;
- iii) promotion: strengthening livelihoods by helping to reduce chronic poverty;
- iv) transformation: enabling marginalized people to seek their rights.

9. WFP's traditional work aims primarily at providing protective safety nets, but it can also aim to achieve "higher-level goals" such as preventing or mitigating shocks, promoting livelihoods or empowering the marginalized.

10. No universal best practices for social protection and safety nets are applicable to all circumstances; programmes vary depending on country circumstances and the nature and intensity of the problems to be addressed. However, good practice principles are emerging, and this evaluation assessed the extent to which WFP's transfers are:

- adequately meeting people's needs;
- provided on time and when needed;
- predictable, so that people know the transfer will be available when needed and can plan for it; and
- sustainable, both financially and politically.

Key Findings

WFP's Performance

11. **Relevance and results.** The evaluation reviewed projects that employ a range of instruments – SF, cash for work (CFW) and food for work (FFW), food for training (FFT), general food distribution (GFD), mother-and-child health and nutrition (MCHN), supplementary feeding, and food and nutrition support to people living with HIV (PLHIV) or tuberculosis patients – and modalities, including food, cash and vouchers. In the projects and countries reviewed, food transfers were used most frequently and reached the most people, while cash and voucher programmes were limited to pilot projects.

12. Any of these instruments and modalities can provide social protection and safety net benefits. Most of the WFP projects and activities reviewed aim primarily to protect people in periods of stress and shock. Some stakeholders expressed concern that short-term assistance did not offer sufficient protection, because beneficiaries have insufficient time to build adequate assets that enable them to avoid adopting negative coping mechanisms when assistance ends.

13. Some of the WFP work reviewed has the goal of reducing the likelihood of a shock occurring, or promoting the movement of people out of chronic poverty. WFP's interventions were seen as having greater potential for prevention and promotion when traditional mechanisms are combined with new approaches, such as SF programmes that build on local agricultural production and/or are linked to take-home meals contributing to household livelihoods; the establishment of rice banks or grain reserves that build resources for protecting against future shocks; and FFW/CFW projects that construct disaster-resilient infrastructure. WFP can make the greatest contribution to preventive and protective objectives when such projects are linked to government priorities and are of sufficient duration.

14. As shown in Table 1, under certain conditions, some instruments on their own can make effective contributions to social protection. Other instruments – GFD, supplementary feeding, MCHN and food for PLHIV – provide protective benefits, and can also contribute more effectively to prevention and promotion when they are coordinated with other interventions.

15. Overall, both the staff and the partners interviewed believed that adopting social protection approaches and good practices increases WFP's overall relevance. WFP's operational inputs, technical advice and policy contributions to national social protection systems and safety nets were seen as relevant and appropriate; government and other partners frequently request WFP assistance. The one exception was a middle-income country with a well-established national social protection system that does not include food security as a high priority. Although WFP's contributions to an emergency safety net in this country were appreciated, when the crisis passed, WFP did not transition to either an operational or a non-operational role in the national system. However it successfully lobbied for the Government to take up some of the activities it had started, although these were delivered by other actors.

Conditions for Effective Contributions to Social Protection

Instrument	More effective contribution to social protection
School feeding	<ul style="list-style-type: none"> ➤ linked to other social protection support for household members not in school, e.g., take-home rations providing support to other members of the household, or programmes targeting school-age children not attending school; ➤ linked to local production, e.g., home-grown SF; ➤ school resources are sufficient to absorb the additional demand in attendance created through SF; ➤ gender inequality is addressed by explicit gender objectives e.g., narrowing the gender gap in schools by using SF programmes as an incentive for girls to pursue secondary education or to remain in school during emergencies; ➤ increases in attendance are accompanied by the necessary investment in school resources such as teachers, books or classrooms.
Cash/vouchers	<ul style="list-style-type: none"> ➤ the real value of the transfer remains stable relative to rises and falls in food prices or inflation; ➤ they do not restrict recipient choice about what to purchase; ➤ they contribute to pro-poor growth by being invested and generating multiplier effects.
FFW/CFW	<ul style="list-style-type: none"> ➤ assets produced by these programmes are of high quality; ➤ unemployment or seasonal underemployment is a severe constraint on livelihoods; ➤ labour is not a constraint for a large percentage of the population.

Following Principles of Good Practice

16. Principles, standards and indicators of good practice in social protection and safety nets have not been established in WFP, so the programmes reviewed did not deliberately aim to achieve them, and the results are mixed. In some programmes, beneficiary needs were adequately met only until the programme ended. In others, the transfer was not adequate to meet the needs, or coverage was inadequate. Some modalities, such as SF, are more likely to be timely because they are well established and had not faced the start-up difficulties reported with cash transfers. However, even in well-established programmes, pipeline breaks can occur. Most modalities in the countries reviewed were predictable during their duration, but funding constraints and short durations made delivery unpredictable in several cases. Several modalities made good overall progress towards sustainability and hand-over, with some programmes being incorporated into government strategies and implemented by government. However, some of the politically sustainable programmes successfully operated in partnership with or by governments are still funded by external donors.

17. Appropriate targeting is another important good practice standard. There are differing views on whether and how to target different instruments: geographically, by vulnerability, poverty, age group, etc. In most projects reviewed, WFP attempts to target the poorest and most vulnerable. WFP staff are aware of the problem of possible exclusion errors and often identify partners and complementary interventions to serve those in need who are not covered by WFP programmes. For example, in- SF is often complemented by take-home rations and other programmes that address the needs of household members not in school. In several cases, WFP

advocated with government to provide coverage for people not included in WFP programmes, to ensure that none of those in need were excluded.

18. Although good practice is seen as aspirational in most contexts, stakeholders agreed that good practice principles should be translated into indicators, to help design and monitor programmes.

Integration into National Social Protection Systems

19. The evaluation found that WFP's roles in support of national social protection systems and safety nets depend on the country context and WFP's organizational and staff capacity to work in operational and non-operational environments. Operational roles include participating in safety net implementation, filling gaps and demonstrating programmes. Non-operational roles include participating in forums, monitoring and evaluating national programmes, advising on food security and nutrition, advocacy, designing policies and systems, and capacity development.

20. In countries without national social protection systems and safety net programmes, WFP's work is well integrated but somewhat limited in scale. These countries may have policies in place, but implementation is restricted by limited political will and government capacity. WFP programmes complement rather than duplicate the efforts of national actors and partners. Hand-over to the government is intended, but distant.

21. In countries that are establishing social protection and/or safety net programmes, political will and government capacity are much greater, so WFP programmes are significantly larger and closely linked to the efforts of the Government and other partners. In some of the countries visited, significant social protection or safety net operations pre-dated the establishment of a social protection policy. In these cases, WFP has gained credibility and access through its operational capacity to deliver safety net programmes, and is well placed to influence these countries' current efforts to develop national policies and strategies.

22. The evaluation included three countries that have relatively well-established social protection systems. In one of these, WFP has not been directly involved in the system's development because the Government does not see food security as a high priority, WFP has limited capacity for a non-operational role, and the government priority is on developing national private-sector capacity to deliver social protection services. In the other two countries, WFP has shifted from an operational to a non-operational role, providing advice on policy and programme design, implementation and improvement, at the Government's request.

Impact Potential

23. In countries transitioning towards a national social protection system, WFP SF has high potential for generating impact, because it is the longest-established instrument and has involved the building of government capacity. The impact potential of other WFP activities – CFW, FFW and cash/vouchers – is unlikely to go beyond temporary protection because of their modest scale and shorter duration. Sustained impact is less likely because WFP’s government capacity development efforts have been more limited for these activities.

24. In countries that are working to establish a social protection system, a wider range of WFP instruments have potential for generating impact, because WFP is working on a larger scale and focusing on government capacity development. In the two countries visited, promotion purposes are well defined in projects and linked to monitoring and evaluation, and efforts to influence government policy are reasonably well resourced. In one country, WFP is involved in a long-standing consortium-based implementation arrangement for the national food safety net, which multiplies WFP’s impact potential and helps ensure continued funding.

25. In countries with well-established national social protection systems, the potential for generating impact varies, depending on WFP’s capacity to transition to a more non-operational role. In some countries, there is very high potential for impact, which is already being realized because WFP has demonstrated the value it can add in non-operational roles, and is influencing government policies and practices. By continuing to provide government with technical advisory, monitoring and other services after the hand-over of programmes such as SF, WFP is helping to ensure sustainability and the achievement of long-term outcomes.

26. Overall, WFP’s potential for impact in social protection depends on its willingness and ability to develop certain skills – including policy analysis, advocacy, targeting for new modalities and in urban areas, monitoring and evaluation at the system and outcome levels, and government capacity development – and to adopt new non-operational and operational roles that are better coordinated with others’ efforts. These changes are significant, and achieving the scale of impact for which WFP is known in other areas will require time.

External Factors Affecting WFP’s Work in Social Protection and Safety Nets

27. **Donors.** Overall, donor funding for social protection is increasing, but donors are directing much of their funding to coordinated programmes supported by social protection platforms. Donors generally see WFP as an important partner in social protection. Operational capability to deliver at scale and in complex environments is cited as an asset, and positions WFP to fill gaps. Donor support for WFP’s work in social protection appears to depend largely on:

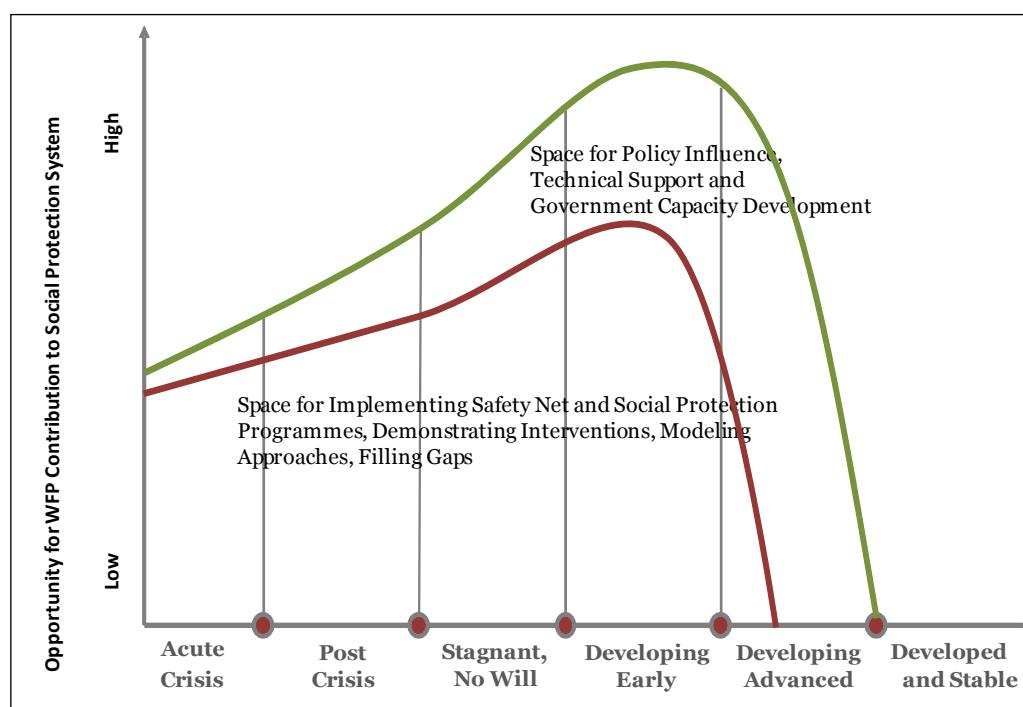
- the country context, particularly food access and food security needs;
- perceptions of WFP’s mandate and capacities in social protection, especially its knowledge of concepts and ability to use a range of modalities – food, cash and vouchers – appropriate to different situations;
- WFP’s engagement in partnerships with the Government and others;
- the predictability and sustainability of WFP assistance, which are hampered by the lack of unrestricted and multi-year funding; although such funding is

generally somewhat rare, partners have secured unrestricted revenue and multi-year funding.

28. **Partnerships.** At the country level, some partners already look to WFP for leadership with regard to food-based safety nets, and welcome WFP’s contributions to social protection work. Most stressed that needs are so great that there is space for everyone to contribute. Governments are listening to WFP regarding food security, nutrition, vulnerability analysis and preparedness systems. They want capacity development assistance from WFP and others. To maximize its contributions, partners suggested that WFP should be clearer in communicating its role, more active in policy discussions and better at coordinating with others. Stakeholders stressed the importance of WFP engagement in global and national social protection policy discussions. Engagement can increase WFP’s credibility, understanding of gaps and opportunities, and awareness of government capacities, constraints and trade-offs.

29. **Social, political and economic factors.** Social, political and economic factors shape WFP’s potential to contribute to national systems. Figure 1 depicts the relative space described by stakeholders for WFP to contribute to social protection in operational and non-operational ways.

Figure 1: Opportunity for WFP Contribution to Social Protection in Various Contexts



30. WFP has the most space for making operational contributions in countries with significant social, political and economic challenges. This space diminishes as countries develop and government and national actors become capable of assuming implementation.

31. The space for WFP’s non-operational contributions is greatest when a government has established the political will to create a sustainable system, and the systems and capacities are being refined.

WFP's Capacity for Working with Social Protection and Safety Nets

32. Policy and strategy. The WFP Strategic Plan (2008–2013) supports the adoption of safety net and social protection approaches. Documents explaining social protection include the 2004 “Safety Nets Policy Issues Paper”. Other positive efforts include the integration of social protection into the new SF policy, and the recent paper on implementing the Strategic Objective on strengthening country capacities. However, staff have a limited understanding of what the shift from food aid to food assistance implies for WFP operations. Gaps, particularly in programmatic guidance, were cited as impediments to initiating projects and engaging with partners in social protection and safety nets. The evaluation team did not identify any systematic efforts to provide the guidance, training or internal capacity development needed to translate WFP's strategy and policy into action.

33. Planning and financial systems. Recent decisions regarding the financial framework represent a shift in how WFP budgets and, once implemented, will remove some obstacles to adopting social protection approaches.

34. The new country strategy process also has potential for enhancing WFP's capacity. It gives country offices the opportunity to assess the overall national context and needs, and can help ensure that programmes are aligned with national systems.

35. Modalities. The introduction of cash and vouchers facilitates the adoption of social protection approaches by providing WFP with more relevant and appropriate intervention options when food access, rather than food availability, is the problem. Cash and, to an extent, vouchers have greater potential to contribute to promotion goals because they frequently expand beneficiary choices. However, cash programmes are not equivalent to social protection. Support systems for cash and voucher programmes are still being developed within WFP, and country offices noted the need for better tools, guidance and knowledge sharing.

36. Monitoring and evaluation systems. The good monitoring and evaluation practices identified included assessing outcomes and impacts; engaging outside experts to help develop baseline data, monitor implementation and conduct impact evaluations; and sharing lessons with WFP partners. In West Africa, regional meta-evaluations are planned for some projects. However, WFP monitoring and reporting are generally limited by a focus on outputs rather than outcomes, and reporting systems do not capture information on important non-operational roles and activities. The Strategic Results Framework provides potential for addressing this issue, but more specific indicators for social protection and safety nets are also needed.

37. Information and knowledge management. Several knowledge sharing initiatives related to the Strategic Objectives have been established. The 2009 WFP workshop on safety nets represents the most formalized effort to share knowledge on social protection internally. Among country offices, there is high demand for better knowledge management. Staff are usually unaware of good practices and lessons from other countries, except where international staff bring knowledge from previous assignments.

38. Resource mobilization systems. Managers at WFP Headquarters identified a need to diversify funding sources and increase un-earmarked funds as a prerequisite for developing longer-term programming and meeting good practice in social protection. Resource mobilization is constrained by a lack of clarity about WFP's

roles. Impediments cited by partners and donors included a lack of social protection literacy within WFP, and weak articulation of where WFP can add value in the social protection and safety net domain.

39. **Culture.** WFP's organizational culture has both positive and limiting attributes regarding the adoption of social protection approaches. Positive traits include a "can-do" attitude, delivering with speed and at scale, problem-solving, innovation, a decentralized structure with strong country office leaders, and commitment to staff rotation. Limiting characteristics include impatience with partners, dismissal of the importance of policy engagement, a focus on outputs and standard instruments, a tendency to work in isolation and lack of experience working in urban areas.

40. **Comparative advantages.** Stakeholders believe that WFP's comparative advantages for social protection stem from its operational capacities. Advantages include field presence, a delivery orientation, effective logistics and project management, links to grassroots organizations and civil society, the ability to deliver at scale in complex environments, and analytical capacities such as vulnerability analysis and mapping.

41. **WFP staff capacity.** Staff have the greatest skills in instruments and modalities traditionally used by WFP. Country office staff demonstrate great willingness to learn on the job, and show initiative in seeking new knowledge related to social protection and safety nets. Stakeholders noted the need for WFP staff to increase their basic literacy in social protection concepts. Other gaps relate to the non-operational roles in social protection, including policy analysis, advocacy, long-term coordination, targeting for new modalities and urban areas, monitoring and evaluation, government capacity development and analysis of public expenditure.

42. Staff attitudes towards social protection and safety nets are generally positive, and there is much agreement that WFP should increase its social protection work. Many staff recognize that the degree of WFP involvement depends on the success of broader changes within WFP, such as in financial systems and donor support. There is also consensus that increasing this work should not diminish WFP's work in other core areas.

Conclusions and Recommendations

43. The evaluation found that WFP is already contributing to safety nets and social protection, especially in activities such as SF. However, institutionalizing a safety net and social protection approach more broadly within WFP will require changes in its operations, programme objectives and collaboration. Simply relabeling projects and programmes as safety nets or social protection will have a negative effect on WFP's credibility.

44. Some WFP programmes are being integrated into national systems, and WFP is moving towards generally agreed standards of good practice. An emphasis on good practice is needed to ensure credibility and impact.

45. Adopting social protection approaches and good practices increases WFP's relevance, appropriateness and impact potential. Country offices are beginning to develop mechanisms for measuring effectiveness and learning. Regarding the shift from short- to longer-term interventions and the hand-over to governments, sustainability is often problematic owing to funding and capacity development needs.

46. Donor support for social protection is increasing, and donors view WFP as an important partner, especially in filling gaps in safety nets where food insecurity is

high. Given the scope required, partnerships are critical for WFP's contribution to sustainable national systems. In most of the countries included in the evaluation, WFP's engagement in policy is insufficient to ensure adequate understanding of the policy environment. Opportunities for operational impact are greatest where vulnerability and poverty are high and governments have not established their own social protection systems. Opportunities for non-operational roles are greatest once political will is established in a country.

47. In-house efforts to build WFP's capacity to adopt social protection approaches have begun, but additional efforts are required. Improving the linkages among strategy, policy and practice is important. Strengthened monitoring and evaluation are necessary for measuring outcomes and impact. Knowledge management systems need resources, to improve the dissemination of successful approaches. Resource mobilization efforts are seeking less restricted funding, but also need to secure multi-year funding. WFP's culture and comparative advantages can be translated into social protection approaches if positive characteristics are maximized.

48. Staff skills are concentrated on food modalities through traditional instruments. There are gaps in policy, coordination, targeting, monitoring and evaluation, capacity development and economic analysis. Staff demonstrate initiative in developing new knowledge, but systems are not yet in place to support this. Knowledge of social protection concepts and government capacity development will be required.

49. **Recommendation 1:** Focus WFP social protection and safety net efforts on its comparative advantages. The planned revision of the 2004 safety nets policy should incorporate broader social protection concepts and clarify WFP's roles, based on its comparative advantages. The policy should explain the importance of establishing purpose, desired outcomes, partnerships and standards of good practice. WFP's primary purpose – *protection* – should be made explicit, but the policy should also recognize appropriate interventions aimed at *prevention* and *promotion*, emphasizing linkages to other programmes. Emphasis should remain on contributions to food-based safety nets through operational and non-operational activities, and examples of WFP activities for these different roles should be provided. Policy guidance should be disseminated to promote WFP's role in safety nets and social protection.

50. **Recommendation 2:** Develop WFP organizational capacities. An organizational change should be initiated, aimed at building WFP's capacities for safety net and social protection approaches. This initiative should be led by a senior manager at Headquarters, supported by advisers from Headquarters, regional bureau and country offices as needed. A five-year plan should be developed, focusing on translating policy and strategy into practice by addressing the systems, processes and cultural issues noted in this evaluation report.

51. **Recommendation 3:** Develop WFP staff capacities. Initially, WFP should focus on social protection literacy among key staff at Headquarters, regional bureau and country offices, building awareness of basic terms, key actors, standards of good practice, and main choices and trade-offs. Once basic understanding has been established, more advanced skill and knowledge-building efforts can be undertaken to support the change process outlined in the previous recommendation.

52. **Recommendation 4:** Position WFP social protection and safety net efforts in the external environment. WFP should increase its engagement in policy and

coordination fora and promote the positive role(s) it plays, building on its comparative advantages; increased literacy; evidence gathered, including an in-depth study of examples from Latin America and other more advanced WFP programmes; increased staff skills at all levels; and the revised policy. Country offices not yet engaged in safety nets and social protection should begin to involve WFP in existing national platforms, or work with partners to establish new platforms. Additional unrestricted and multi-year contributions should be mobilized to support such country office programmes.

53. Recommendation 5: Contribute to the development of national social protection systems. Where there is need for social protection, and space to contribute, the country office should analyse what WFP can do to help governments develop systems and improve their social protection and safety net activities; what they can do as part of larger consortia; and what roles are best left to others with more appropriate mandates and skills. Where possible, this analysis should be linked to development of the WFP country strategy, conducted transparently in collaboration with governments and main actors, and based on existing national strategies and policies.

54. Recommendation 6: Continuously improve adherence to social protection good practice standards. As WFP institutionalizes capacity development for safety nets and social protection, leadership should focus on monitoring programme impact and quality according to indicators of good practice, linked to country project and programme reporting. Monitoring should take into account lessons emerging from WFP communities of practice and other knowledge management systems. Based on this monitoring, leadership should adjust systems, processes and resourcing to strengthen WFP's contribution at the global, regional and country levels. As indicators are defined and data collected, external impact evaluations should be conducted.

1. Introduction

1.1. Evaluation Features

1. This evaluation of WFP's Role in Social Protection and Safety Nets is one of four strategic evaluations that will be conducted by WFP's OE in the 2010-11 biennium. All four strategic evaluations relate to WFP's strategic shift from food aid to food assistance.

2. The rationale for the evaluation is based on changing external and internal dynamics. Externally, governments and their partners have recently adopted commitments to ensure increased government ownership and a greater role of partner governments in determining and managing development assistance. Social protection and safety nets are viewed as important systems to protect the most vulnerable and to promote sustainable development. The need to help strengthen partner government capacities is inherent in the shift to government ownership and adoption of social protection approaches.

3. The objective of the evaluation is to examine current and past experience to allow WFP to learn about how it can most effectively contribute to social protection systems and the factors that affect WFP's ability to play this role. It is the first global evaluation of WFP programmes from a social protection perspective. Given the stage of development of social protection thinking and systems in WFP, the evaluation focuses on learning, rather than judging the impact of programmes. It is intended to help institutionalise new approaches in WFP and support country offices in making programming choices.

4. Evaluation work began in September 2010. Data collection took place in November and December of 2010. Analysis, debriefing, feedback, and reporting took place in January 2011.

5. Stakeholder analysis identified a wide range of internal stakeholders at all levels of WFP as well as external partners, donors and experts. The primary intended users of the evaluation are WFP leadership, managers, and staff.

6. The evaluation scope and methodology emphasize learning and use a multi-country case study approach. Countries were selected by applying objectively verifiable criteria to WFP's programme portfolio, along with feedback from the Regional Bureau (RB). Methodologies included desk review; benchmarking with international standards of good practice; field visits to five country offices and two RB; interviews with key stakeholders; and debriefings and feedback sessions with country offices and at WFP headquarters.

7. Data collected for each country was organised by country as well as cases. The cases grouped countries into one of three categories using the categories found in the 2004 WFP Safety Nets Policy Issues Paper based on findings regarding the status of the country's national social protection system :

Case A – "Transitioning" towards a national safety net

Case B – "Establishing" a national safety net

Case C – "Established," improving an established national safety net

8. Within each case study several factors were assessed to determine the extent and quality of WFP performance related to social protection including:

- Correlation between the WFP Social Protection Index (SPI)⁹ and the actual state of development of national systems;
- Level of integration of WFP programmes within national social protection systems and roles played compared with those outlined in WFP policy;
- Adherence to good practices; and
- Relevance and results of WFP performance based on the instruments and modalities used and the intended purposes of projects and activities.

9. Purpose is a key defining characteristic for activities to be considered social protection¹⁰. Four potential purposes related to social protection were distinguished¹¹:

- Protective: Enabling people to survive periods of stress and shock;
- Preventive: Mitigating shocks, reducing the risk of a disaster or crisis occurring;
- Promotive: Supporting productive livelihoods that can help reduce chronic poverty; and
- Transformational: Enabling marginalised and socially excluded people to seek their rights.

10. Figure 1 shows how the various conceptual frameworks and data described above were combined to analyse key evaluation questions across each of the cases.

11. The Evaluation Team was assembled by The KonTerra Group and consists of professional evaluators and subject matter experts. Brian Majewski served as Evaluation Team leader, Mark Davies from the Centre for Social Protection at the Institute of Development Studies as thematic expert and senior evaluator, Hisham Khogali as food security expert and senior evaluator, and Rebecca Waugh as evaluator and researcher.

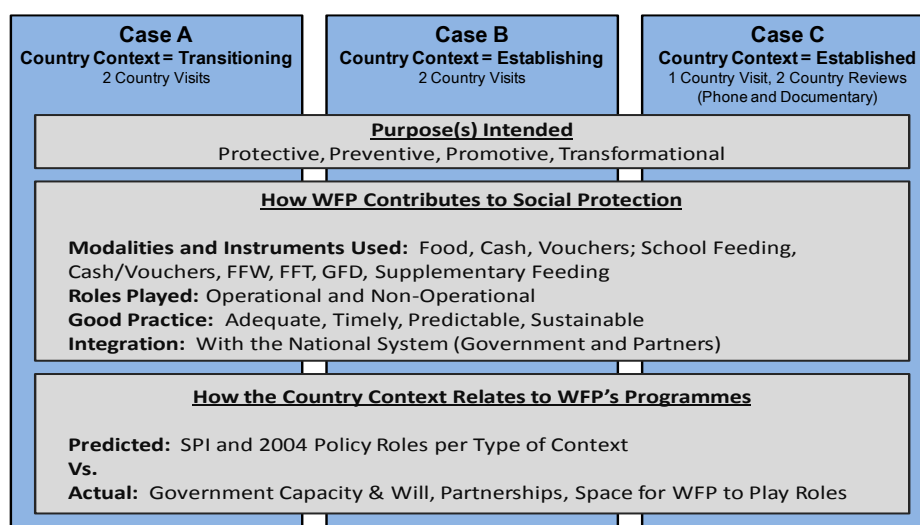
⁹ The draft WFP Social Protection Index (SPI), developed by the WFP Safety Net and Food Security Policy Unit, is a composite index which clusters countries based on their potential capacity to provide social protection. The SPI uses following range from 1 to 5:

- Cluster 1 – highest country capacity for social protection
- Cluster 5 – lowest country level capacity for social protection

¹⁰ A programme does not need to incorporate all four purposes to be considered social protection. Safety nets, for example, may appropriately focus only on protective purposes yet still contribute to a broader social protection agenda in a given context.

¹¹ Devereux and Sabates-Wheeler in Barrientos (2008) identified these four purposes in their working definition of social protection which adapted terminology first introduced by Guhan (1994). These four areas are being increasingly referenced in academic literature and are being used by organizations in their programming. For example: numerous citations from UNICEF publications including “*East and Southern Africa Regional Social Protection Strategy*,” the World Bank’s proposed new social protection and labour strategy and the Overseas Development Institute (ODI) publication “*Putting Social in Social Protection*,” to name a few.

Figure 1 – Case Methodology



12. The Evaluation Team used the WFP Evaluation Quality Assurance System (EQAS), various data triangulation techniques, feedback from an internal reference group comprised of representatives from WFP headquarters divisions and RB, and review by two external reference group experts in social protection to ensure quality.

13. Limitations of the evaluation include:

- Limited understanding in WFP of social protection and safety nets and what activities and programmes should be included in these categories.
- An emphasis in WFP systems and culture on instruments (project types) and outputs rather than programme purpose, approach, and outcomes which better distinguish social protection and safety net programmes.
- Limited regional diversity in country visits due to the limited timeframe available for field visits, ongoing emergencies, and concurrent strategic planning processes.
- Limited comparability among countries due to specificity of WFP operating and country contexts and different enabling environments.
- General time and budget constraints.

14. Further details regarding the methodology for the evaluation are included in Annex 2.

1.2. Context

15. Interest and practice in social protection is increasing. A growing number of national governments are adopting social protection strategies and policies and programmes are being implemented in developing countries across the world (Barrientos 2008). There is also increasing support and consensus emerging from development agencies, many of whom have recognised social protection as a major response to poverty and vulnerability and a way to support economic recovery and growth. Although there is no standard universally agreed definition of 'best practice' in social protection, principles to guide programmes and policies have recently emerged.

Where has social protection come from and why is it needed?

16. Social protection emerged in the late 1990s building on the narrower concept of 'social safety nets'. Social protection, with safety nets as a subcomponent, also aims to constitute a basis for evolving social welfare and social security systems in low-income countries that are too poor to afford comprehensive systems at this stage.

17. Social protection is needed for moral, economic, and political reasons. The moral or humanitarian justification is the reduction of 'socially unacceptable' levels of deprivation or vulnerability. In 'normal' times, the aim is to reduce inequality and relative poverty. In extreme contexts the objective is more fundamental – to save lives. Economic justifications for transfers and safety net interventions in poor countries focus on several interconnected market weaknesses:

- Commodity (food and asset) markets weaknesses, resulting in unavailability or unaffordability of food
- Labour markets weaknesses, leading to insufficient employment opportunities
- Capital markets weakness, putting borrowing and savings facilities out of financial reach for many
- Insurance markets weaknesses, making private insurance unavailable

18. A final set of justifications for social protection is political. Politics is important, for example, in deciding who receives the social protection benefits and whether programmes are expanded or not. In turn, social protection can be very important for politics, proving popular among populations and creating more stable and equitable societies. As part of this, 'social contracts' between states and their citizens establish obligations of responsible institutions at local, national, regional and international levels to provide social protection on the basis of people's rights.

The rising profile of social protection

19. Over the last 20 years, social protection policies and programmes have emerged as a component of development strategies, to better enable people to cope with the crises and setbacks that characterise the lives of many in developing countries. Social protection programmes and policies now exist in every region of the world. Most national governments run some form of social protection programme, and social protection now features centrally as a way that development agencies respond to poverty and vulnerability.

20. In Africa, members of the African Union, through the Livingstone process, recognised the significant role social protection can play in reducing poverty and promoting growth in African countries. Participants acknowledged that social protection measures are "affordable within current resources" and that they should be a 'more utilized policy option in Africa to reach vulnerable children, older people and persons with disabilities" (Livingstone Call for Action 2006).

21. In response to the recent global financial crisis, governments and multilateral agencies have also indicated their belief in the value of social protection. The International Monetary Fund (March 2009) notes: "Given the economic downturn, efforts to strengthen safety net programs to protect the poor have become more urgent. Transfer programs that effectively target the poorest (emphasis added) often result in a larger stimulus to aggregate demand, given their higher propensity to consume."

22. In 2009, the G20 committed ‘US\$50 billion to support social protection (including through investing in long-term food security), boost trade and safeguard development in low income countries,’ in recognition of the fact that ‘the current crisis has a disproportionate impact on the vulnerable in the poorest countries (emphasis added)’.

23. A number of agencies, including WFP, are also renewing their calls for a social protection floor in response to the global crisis. The own Social Protection Floor Initiative (SPF-I) aims to ‘promote nationally defined strategies that protect a minimum level of access to essential services and income security for all’ through supporting availability and access to essential services and by providing essential social transfers in cash and in kind.

Who is involved in social protection

24. Social protection approaches that have emerged in developing countries in recent years have been shaped to a great extent, in terms of policy discourse, programme design and implementation, by specific organizations (Cook and Kabeer 2009). The World Bank, International Labour Organization (ILO), United Kingdom Department for International Development (DFID), UN Children’s Fund (UNICEF), among others, have been among the strongest supporters of social protection programmes.

25. ILO The ILO views social protection as a basic human right as part of their ‘decent work’ agenda which incorporates social protection together with rights at work, employment, and social dialogue.

26. The World Bank work on social protection followed the Social Risk Management framework, which is an analytical tool to identify alternative strategies for dealing with risks. They are, however, developing a new social protection and labour strategy for the period 2012 – 2022 and a recent concept note of talks of protection, prevention and promotion. The World Bank plans to triple support for social protection and safety nets to US\$2 billion over the next two years.

27. DFID DFID does not have a single definition of or policy statement on social protection but, in practice, DFID’s work focuses largely on social transfers, particularly in Africa, with funding and assistance to programmes that provide livelihood support and productivity-enhancing safety nets.

28. UNICEF UNICEF increased its programming in social protection through support to Orphans and Vulnerable Children and is now involved in a number of social protection programmes throughout the world. UNICEF is increasingly involved in policy debates at the national and international level.

What are the different regional approaches?

29. Differing philosophies among agencies and national governments have resulted in considerable variation in approaches to social protection across the world, including how programmes are designed and implemented. In their review of regional approaches to social protection, Cook and Kabeer (2009) found that most systems of social protection had their underpinnings in the European welfare model, whether through the legacy of colonialism or the role of organizations such as the ILO. More recently, new approaches have emerged out of the experiences of crisis and recovery, and the failure or collapse of earlier models. Increasingly innovations are emerging locally, lessons are being shared across countries and regions, and

some convergence in instruments and mechanisms can be seen (Cook and Kabeer 2009).

Africa

30. Many African countries start from a base of social security provisions for public sector workers and formal employees modelled on European systems. Benefits generally include unemployment insurance, disability benefits, and pensions, but coverage remains extremely limited, rarely exceeding ten percent of the population. Other social assistance programmes have also remained minimal, largely associated with donor-supported poverty reduction interventions and emergency relief.

31. In response to conditions of chronic food insecurity, conflict, and natural disasters, relief efforts and humanitarian assistance remain a dominant approach across the continent. The long term experience of emergency relief programmes (primarily food aid) has contributed to the creation of models on which new social protection programmes in Africa are based. One of the main features of the recent evolution of social protection programmes in some parts of Africa is the expansion of programmes of regular and predictable transfers (mainly cash and largely unconditional, including for example social pensions), as 'productive' safety nets and livelihood promoting measures (Cook and Kabeer 2008).

Asia

32. In south Asia, Kabeer (in Cook and Kabeer 2009) states that British colonialism, the influence of ILO norms and standard setting, and strong vested interests have all resulted in a dichotomy: state-subsidised social security to workers in the formal economy on the one hand, and social assistance to those in dire need on the other. Two variations on this are Sri Lanka and Kerala, which have achieved universal coverage for social protection in spite of low levels of income. India and, to some extent, Bangladesh have a long-standing experience of poverty reduction programmes in the form of public works and SF programmes that look to 'promote' as well as 'protect' livelihoods through social protection (Cook and Kabeer 2009).

33. In east and Southeast Asia, a more diverse set of welfare institutions exists, reflecting in part an uneven colonial legacy, the influence of Confucian, Buddhist, and Muslim heritage, and widely diverging patterns of economic development and political rule during the twentieth century (Cook and Kabeer 2009).

34. The major shift towards a new social protection agenda in Asia came in the wake of the 1998 financial crisis. The tendency across the region is now towards a reduction of the most generous formal benefits and an expansion of basic social protection, including the introduction of social transfers (through large scale, largely unconditional, cash transfer programmes) and the broadening of social insurance and tax funded provisions, particularly in areas of pensions and healthcare (Cook and Kabeer 2009).

Eastern Europe (Post Socialist Countries)

35. The Soviet system of social protection was based on the belief that society has the moral responsibility for the welfare and development of all its members (Marx 1988: p. 9 in Aidukaite 2003). As compared with other Organization for Economic Cooperation and Development (OECD) countries, a large proportion of GDP – reaching more than twice the OECD average in some countries – was devoted to social protection, and the level of family benefits and other material support was high.

36. Social protection was provided primarily through i) guaranteed (mandatory) employment; ii) wide-ranging subsidies on basic consumer goods; and iii) enterprise-provided services. The only explicit social protection programmes offered by the state were old age pensions and social assistance programmes for people with special needs.

37. Reforming social protection systems was not the primary concern of the early years of transition, but new types of vulnerability, most notably rising rates of unemployment, required quick political response. Universal schemes were planned, but most countries ended up with 'residual welfare states' based on a mix of social insurance and social assistance and partial privatization of social policy. This was a result of the influence of international financial institutions and organizations who viewed these populations as 'overprotected' (Standing 1995:230) during the Soviet period and, more recently, the accession of Central and Eastern European countries to the EU, which has coloured social protection reforms in these countries.

Latin America

38. A key feature of social protection programmes in Latin America is that beneficiaries must meet certain conditions (e.g., enrolling children in school) before they can receive their benefits. By applying conditionality, these programmes look to produce wider health and education, non-income effects. A number of countries in Latin America are now running conditional cash transfer programmes and such innovations are increasingly being tested in other regions.

The policy context, social protection systems, strategies and linkages

39. The development of social protection programmes in recent years has been accompanied by an increasing number of social protection policies (including references in Poverty Reduction Strategies), national strategies, and more recently, systems. This policy environment is important in ensuring:

- Coordination of social protection activities among government and development partners;
- Linkage of social protection to other development outcomes, e.g., social protection as providing access to health and education;
- More accountable, predictable, and sustainable funding;
- National leadership and ownership; and
- A comprehensive approach with a range of interventions to ensure all needs are met.

Good practice

40. There appears to be no universally agreed upon or standard ‘best practice’ in social protection applicable to all countries in all circumstances, given that programme choice depends very much on country circumstances and the nature and intensity of the problem (Subbarao *et al.* 2001). A body of knowledge on good practice is emerging, however, as are basic guiding principles. These principles have emerged as the evidence on what works has grown; as understanding of the political economy and what is important for policy makers has improved; and as consensus, partnership, and government-led national systems have emerged. Boxes 1 and 2 provide examples of social protection principles.

BOX 1 Principles for social protection policy and programme responses

Social protection policy should be:

- **Responsive** to the needs, realities, and conditions of livelihood of those who they are intended to benefit;
- **Affordable** in the context of short- and medium-term budget planning for the public budget – and in terms of not placing unreasonable burdens on households and communities;
- **Sustainable**, both financially and politically, with a requirement on government to ensure that the state’s role in social protection reflects an adequate level of public support for interventions to assist the poorest;
- **Mainstreamed** institutionally within sustainable structures of governance and implementation whether within state or civil society structures;
- Built on a principle of utilising the capabilities of individuals, households and communities and **avoiding creation of dependency and stigma**;
- **Flexible** – capable of responding to rapidly changing scenarios and emergence of new challenges (e.g., impact of HIV/AIDS), and of supporting individuals through the changing demands of the lifecycle

Source Norton 2001

41. Through the literature review and interviews with external experts, the Evaluation Team identified a number of additional principles of good practice. Although some of the identified standards are more general in nature, all have bearing on the quality of social protection programmes. The additional standards of good practice are summarised below in Table 1.

Table 1 – Other Principles of Good Practice for Social Protection

Standards of Good Practice Identified by Grosh <i>et al</i> in “For Protection and Promotion” ¹²	Additional Standards Identified by External Experts During Interviews
• Adequate	• Effective Targeting
• Appropriate	• Impact
• Equitable	• Coordination
• Cost-Effective	• Knowledge Sharing
• Incentive Compatible	
• Sustainable	
• Dynamic	

¹² “For Protection and Promotion: The Design and Implementation of Effective Safety Nets”, Grosh, del Nino, Tesliuc, Ouerghi; World Bank, 2008.

42. Although not intended as blueprints, these principles provide guidance to support good practice. The challenge, however, is to link work on principles – based on the extensive body of work already done in this area – to actual implementation in different contexts around the world (Subbarao *et al.* 2001) in order to ensure ‘good practice’ in social protection.

Box 2 Guiding principles are proposed for future engagement of development partners with national social protection policy processes in Africa

Although the following principles have been developed in the context of social protection in Africa, they have relevance for social protection programmes in other contexts.

1. **Recognise the importance of social protection:** Social protection remains a vital tool for achieving inclusive growth in sub-Saharan Africa.
2. **Support national policy priorities:** First, identify the national vision for social protection, then design interventions around those objectives, starting from what is already in place.
3. **Minimise policy intrusion:** Ensure that externally supported programmes do not promote the preferences of development partners over those of domestic actors, including in terms of selected instruments or favoured target groups.
4. **Rationalise donor support:** Harmonise donor activities to prevent competition, reduce inefficiencies, and encourage the pooling of resources.
5. **Encompass a diversity of approaches:** Instead of importing standardised models, build national social protection systems based on local analysis, political preferences, capacities, and prioritisation of needs.
6. **Focus on vulnerability:** Social protection should focus on addressing poverty and reducing vulnerability, based on local perceptions of the nature of vulnerability.
7. **Limit pilot projects:** There is little justification for more social protection experiments in Africa. The imperative now is to take lessons learnt and apply them for effective delivery at scale.
8. **Find new levers of support:** Work more closely with Ministries of Finance, parliamentarians, the private sector, domestic civil societies, and local mainstream and electronic media.
9. **Involve participants:** Engage social protection participants in vulnerability assessments, programme selection, design choices, delivery, and M&E.
10. **Focus on outcomes:** Recognise that social protection is not an end in itself (numbers of people covered by social protection), but rather a means to an end (reduced poverty and vulnerability).

Source: Social protection in sub-Saharan Africa – Where Next?

43. The 2004 WFP Policy Issues paper also highlighted key good practice design principles for safety net programmes including (i) integration into broader national contexts, policies, and programmes; (ii) targeting those most in need of a transfer; (iii) available in periods of need; (iv) taking a long term perspective; (v) are as predictable as possible; and (vi) are as productive as possible. These principles were validated and re-confirmed by WFP staff during the Strategic Plan Implementation Thematic Workshop on Safety Nets held in 2009 in Addis Ababa. The principles of integration into the broader national context and the long term perspective suggested a need to focus WFP efforts on capacity development and sustainable approaches.

44. Based on the review of these various principles the Evaluation Team selected four standards of good practice which are most unique and critical for social protection and safety nets. These good practices are defined as follows:

- Adequate: Sufficient to meet people’s needs;
- Timely: On-time and at the right time;

- Predictable: Regular, so that people know what is coming and can plan accordingly; and
- Sustainable: Both financially and politically.

45. These principles of good practice are linked to the purposes of social protection programmes. Different purposes may require different thresholds to achieve good practice.

1.3. WFP's Work in Social Protection and Safety Nets

WFP Strategy and Policy

46. The WFP Strategic Plan (2008-2013) reflects WFP's role as a leading humanitarian organization as well as its mandate in support of long-term development in the fight against hunger. Strategic Objective 2 of the plan commits WFP to 'Prevent acute hunger and invest in disaster preparedness and mitigation measures'. Goal 2 under this Strategic Objective specifically mentions safety nets as a means to support and strengthen resiliency to shocks, including adaptation to climate change. The Strategic Plan states that 'WFP will develop nutrition, SF and other safety net programmes aimed at re-enforcing the resilience of communities in food insecure areas subject to frequent disasters'.

47. Safety net¹³ work is not a new endeavour for WFP. In 1998, WFP wrote a paper to 'analyse the role of food-based safety nets as a cost-effective instrument to protect against food shocks'. This paper's approach was supported by the development of the Policy Issues Paper, "Enabling Development," presented to the Executive Board in 1999. This Policy Issues Paper stated that 'assisting a poor household with food consumption in the short term can enable it to invest time or resources in a better future. Food aided projects should give poor people scope for their ingenuity and efforts, leveraging their access to the benefits of development.'

48. The Policy Issues Paper, "WFP and Food-based Safety Nets: Concepts, experiences and future programming opportunities,"¹⁴ was the first attempt to formalise WFP's role in social protection. Submitted to the Executive Board in 2004, the document presented the different roles WFP might play in support of safety nets, based on different country contexts, as summarised in Table 2.

¹³ There is evidence of confusion on terminology within WFP with the terms *safety nets* and *social protection* used inter-changeably within the organization.

¹⁴ Policy Issues: WFP and Food-based safety nets: concepts, experiences and future programming opportunities, 2004.

Table 2 - The Roles for WFP in Relation to Safety Nets

Model	A.) Transitioning towards a national safety net: Laying the ground work for the system	B.) Establishing a national safety net: Participating in the design and implementation of the system	C.) Improving an established national safety net: Modelling improvements in an existing system
WFP Roles	<ul style="list-style-type: none"> - Advising governments on food security issues - Advocating for food based safety nets - Building partnerships - Demonstrating interventions and targeting techniques, such as VAM for safety nets 	<ul style="list-style-type: none"> - Participating in the design of safety nets - Participating in the implementation of safety nets through WFP programme activities 	<ul style="list-style-type: none"> - Filling gaps in safety nets - Modelling and piloting improved interventions - Advocating on behalf of the hungry poor

49. The 2004 Policy Issues Paper is also WFP’s first attempt to establish corporate definitions of social protection and safety nets. This paper defines both social protection and safety nets as follows:

- **“Social protection strategies** are integrated systems of institutionalised national measures which may include contributory pensions, insurance schemes and safety net.
- **“Safety nets** are the social protection component targeted at the most vulnerable sections of a population.”

50. The document goes on to distinguish safety nets as a component of social protection from individual projects by applying six design principles to safety nets, i.e. that safety nets are by design:

- Integrated into broader national contexts, policies and programmes;
- Targeted to the most in need of a transfer;
- Available in periods of need;
- Take a long-term perspective;
- As predictable as possible; and
- As productive as possible.

51. In fact, however, these distinguishing factors are as applicable to social protection measures in general as they are to safety nets, with the exception of the third principle, “available in periods of need.”

52. A comparison of WFP social protection and safety net definitions with a sample of social protection definitions from a range of actors (academic institutions, a development bank, a national government, and a UN organization) suggests that many external definitions are more explicit about:

- Targeting the vulnerable or poor;
- Minimizing risks; and
- Protecting or promoting livelihoods.

53. In addition, other actors’ definitions are explicit about the need for policy development in social protection.

54. In view of the varying definitions externally and different understandings internally, updated working definitions of social protection and safety nets for WFP were constructed by the Evaluation Team for the purposes of the study. Building on the 2004 WFP policy and the 2009 Addis Ababa workshop, the working definitions adopted are as follows:

- *Social protection refers to food assistance transfers to the most vulnerable to protect against livelihood risks, promote livelihood opportunities, and enhance the social status and rights of the socially excluded and marginalised.*
- *Safety nets provide direct, regular and predictable food assistance in cash or kind to the most vulnerable to prevent them from falling below a minimum level of food security as a result of a shock and to increase their resilience to shocks and, in some cases, promote their food security.*

55. Safety nets, therefore, are a part of social protection that primarily *protect* the most vulnerable. Social protection goes beyond safety nets to include a wider range of interventions (for example social insurance, labour market interventions) that in addition to protecting livelihoods looks to *prevent* damaging coping, *promote* the livelihoods of the poor and to *transform* them over the long-term.

56. WFP's 2004 Capacity Development¹⁵ Policy highlighted that WFP's capacity development would support national strategies such as Poverty Reduction Strategies. Capacity development is also reflected in WFP's commitments in the Strategic Plan 2008-2013 to (i) enhancing government capacities to prepare for, assess, and respond to acute hunger arising from disasters; and (ii) supporting and enhancing the resilience of communities to shocks by creating safety nets or assets. The policy promoted a more systematic approach to capacity development and specified three areas for attention. These were:

- Ability to identify and analyse hunger and vulnerability issues;
- Capacity to plan and implement food assistance strategies to eradicate hunger and improve food security; and
- Commitment to ensure adequate knowledge and advocacy on hunger and food insecurity issues.

57. In addition, the 2010 WFP document, "Analysing Anti-hunger Policy and Legislation: An Introduction," suggested that "for a successful move from food aid to food assistance to sustainable hunger solutions, tools are needed that enable country and regional offices to analyse the legislative and policy environment, specifically the 'anti-hunger' legislative and policy environment, in any country in which WFP works. Such analysis will enable WFP to define its role in supporting the development, implementation and evaluation of anti-hunger strategies. However, this will require a subtle shift from looking for entry points for food aid to looking for lasting

¹⁵ WFP's working definition of capacity development is: building on existing skills, knowledge, systems and institutions to enable governments to take responsibility for investing in and managing hunger solutions through WFP advocacy and technical assistance.

solutions to hunger. In fact, these solutions may have little or nothing to do with food aid’.

58. The 2009 School Feeding Policy of WFP explicitly identified SF as an instrument that can be used as a safety net. The policy suggested that ‘SF at times of shock can help safeguard household investments in education by helping to defray some of the costs of schooling’. In addition the policy recognised that SF confers a significant value transfer; for example, in-school meals were estimated to represent a significant proportion (11 percent) of a household’s income for those households with children enrolled in school.

59. The 2010 HIV and AIDS Policy affirmed WFP’s obligations under the Joint UN Programme on HIV/AIDS (UNAIDS) joint outcome framework by ‘mitigating the effects of AIDS on individuals and households through sustainable safety nets’. WFP will focus its efforts on three of the ten joint outcome framework priorities, one of which is to ‘enhance social protection for people affected by HIV’. In order to do this, WFP will ‘advocate for safety nets for people affected by HIV, including people experiencing hunger, poor nutrition and food insecurity, as well as orphans and other vulnerable children. Where governments lack capacity, WFP may assist them in providing safety nets. WFP will also advocate with governments to make existing social protection systems inclusive of PLHIV’.

60. The WFP Occasional Paper No. 20, “Unveiling Social Safety Nets” (2009), recognised the need to clarify various issues on the current debate on social protection. The paper delineated core areas of tension and laid out the core issues underpinning them at the analytical, policy, institutional and implementation level. The paper conveyed five key messages:

- Social Protections is a broader concept than safety nets;
- All countries have some form of social protection, but models differ greatly;
- Social protection policy cannot be formulated in isolation;
- Social protection raises important institutional, financial, and administrative challenges; and
- Specific implementation issues inspire lively debate (e.g., conditionality of transfer, type of transfer, food or cash etc., targeting mechanism).

61. The WFP Policy Issues Paper, “Vouchers and Cash transfers as food assistance instruments: opportunities and challenges” (2008), recognised that ‘transfers, whether in the form of vouchers, cash or food are not a panacea for addressing food insecurity’. Transfers need to be integrated into broader national plans including social protection policies and strategies. The Policy Issues Paper suggested that opportunities may emerge to support government-led social protection programmes, which often use cash and voucher transfer modalities.

62. WFP continues to invest in the understanding and development of internal capacity in cash and voucher modalities. This has included the publication of the Occasional Paper No. 18, “Cash and Food transfers: A Primer” (2007), as well as the recently published *Cash and Vouchers Manual* (2009), providing guidance on the selection and implementation of cash and voucher modalities.

WFP Activities

63. To establish a universe of operations from which to choose countries to study in the evaluation WFP's (OE) conducted a mapping of operations to identify the basic scope of activities in social protection and safety nets. As there is no clear census documentation identifying which WFP projects have been implemented using social protection or safety net approaches, 59 of the 91 countries where WFP worked during the 2002-2009 timeframe, were reviewed based on their inclusion in the SPI developed by the WFP Food Security and Safety Nets unit. This index analyses country capacity for providing social protection and groups countries into five clusters, with Cluster 1 countries having the greatest capacity and Cluster 5 countries having the least.

64. Project documents for the 59 countries in the SPI were analysed for references to social protection and safety nets. This analysis identified 77 projects in 47 countries for possible inclusion in the evaluation.

65. The profile and distribution of the 47 countries and 77 projects is shown in the fact sheet found in Annex 4. This fact sheet shows that 79 percent of the countries with work identified as social protection or safety nets fall into SPI clusters 3, 4, and 5 – representing medium to low country capacity. The distribution of countries across WFP regions is shown below in Table 3. While all regions are represented, 51 percent of the countries are in Africa.

Table 3 – Regional Distribution of WFP Country Operations Related to Social Protection and Safety Nets

WFP Region	# of countries	% of total
Asia Regional Bureau	9	19
Middle East, Central Asia & Eastern Europe Regional Bureau	7	15
West Africa Regional Bureau	10	21
Southern, Eastern & Central Africa Regional Bureau	14	30
Latin America & Caribbean Regional Bureau	7	15
Sudan Regional Bureau	0	0

66. Of these 47 countries 18 countries with significant current or recent programmes were deemed useful for review in the evaluation by internal reference group members.

67. Based on detailed analysis of the project documents¹⁶ for these 18 countries the Evaluation Team determined the instruments (project types) being employed by each country office potentially using social protection approaches and the likely role WFP is playing in relation to the roles identified in the 2004 Safety Nets Policy Issues Paper. The results of this analysis are depicted in Table 4.

¹⁶Reliance on project documents which include social protection and safety net terminology was accepted due to practicality but risks omitting WFP country office which may be using social protection approaches without referencing or considering projects as such. While reliance on terminology in project documents may therefore understate the current universe of WFP activities in social protection, the input of regional members of the internal reference group was used to mitigate this risk.

Table 4 – Analysis of Instruments Potentially Using Social Protection Approaches and Likely WFP Roles in 18 Key Countries

Ser.	Country	SPI Cluster	Project Categories	2009 Instruments and Project Types							Likely Role			
				Supp. Feeding	Therap. Feeding	School Feeding	GFD	FFT	FFW	HIV		MCHN	Cash & Vouch	
1	Egypt	1	CP			x		x	x					C
2	Georgia	2	PRRO				x		x	x		x		C
3	Bangladesh	3	CP, EMOP	x		x	x	x	x		x			C
4	Colombia	3	PRRO	x		x	x	x	x		x			C
5	Ethiopia	3	CP, PRRO	x		x	x		x	x	x			B
6	Guatemala	3	CP, PRRO	x			x	x	x		x			C
7	Kenya	3	CP, PRRO, EMOP	x		x	x		x	x	x			B
8	Senegal	3	CP, PRRO	x		x	x	x	x					B
9	Bolivia	4	CP, PRRO	x		x	x	x	x		x			B
10	Cote d'Ivoire	4	PRRO	x		x	x		x	x	x			B
11	Cambodia	4	PRRO			x	x		x	x				B
12	Lesotho	4	PRRO	x			x	x						B
13	Uganda	4	CPs, DEV, PRROs, EMOP	x	x	x	x		x		x	x		B
14	Zambia	4	CP, PRRO	x		x	x	x	x	x		x		B
15	Burkina Faso	4	CP, PRRO, EMOPs	x		x	x	x	x	x	x	x		A
16	Mozambique	5	CP, PRRO	x		x	x		x	x	x			B
17	Sierra Leone	5	CP, PRRO	x	x	x		x	x	x	x			A
18	Zimbabwe	5	PRRO			x	x			x		x		B

2. Evaluation Findings

2.1. Integrating WFP's Social Protection Work into National Social Protection Systems and Applying Standards of Good Practice

Tables 5, 6 and 7 below provide an overview of the cases reviewed, including their purpose, modality, WFP roles played and the degree of integration of activities into national social protection systems.

Table 5 – Case A

	Case A - Two Countries “Transitioning”	
Evaluation Criteria	Country I SPI 5	Country II SPI 3
Projects Reviewed	School Feeding, CFW, FFW, Cash	Cash/Voucher, SF
Intended purposes 1 is primary, 2 secondary, 3 tertiary)	1. Protect, 2. Prevent, 3. Promote	1. Protect, 3. Promote
Modality	Food, Cash (small pilot)	Food, Voucher (Unconditional)
Roles	Advise government on food security; advocacy; participate in design and implementation	Demonstrate/model; government capacity-building (local/nat'l); advising; participating in platform
Integration	Follow and work within policy where exists; all work within PSRP in principle	Integrated SF; Cash at local level with some late national govt involvement; SF handovers planned but distant; no voucher handover - too short-term

Table 6 – Case B

	Case B - Two Countries “Establishing”	
Evaluation Criteria	Country III SPI 4	Country IV SPI 3
Projects Reviewed	Child Hunger Safety Net (incl. SF), Productive Assets Programme (incl. FFW)	Food Safety Net, SF, Income Generation for HIV (Supp. Feeding Component)
Intended purposes*	1. Protect, 2. Prevent, 3. Promote	1. Protect, 2. Prevent, 3. Promote
Modality	Food, Cash	Food
Roles	Advise government; advocate; building partnerships, platform; Capacity Building on targeting; implementation; modelling	Consortium implementation, advise, govt capacity building, design (policy and strategy), policy influencing; gap-filling; (previous modelling)
Integration	Integrated or supplemental; transition possible but too early	Integrated; transitions planned but funding requirements significant and will prevent in near term

* is primary, 2 secondary, 3 tertiary

68. The WFP SPI is a composite index that is meant to predict the capacity of governments to provide social protection to their populations. In theory it should help WFP identify the potential for its contributions to social protection in a country. Analysis of the national social protection system in each case study country shows

that in four of the seven countries there is however no correlation between the SPI and the actual state of development of national systems, as shown in Table 8.

Table 7 – Case C

Correlation between the SPI and actual status of national systems

	Case C - Three Countries "Established" ¹⁷		
Evaluation Criteria	Country V	Country VI	Country VII
	SPI 2	SPI 3	SPI 3
Projects Reviewed	Cash, SF, Food for Tuberculosis	SF, Regional Disaster Preparedness and Mitigation, Reduce Chronic Undernutrition (Supplemental Feeding), Emergency (FFW, GFD, Supplemental Feeding), Government Capacity Building	IDP "door in, door out" transitional assistance (FFW, FFT, Emergency SF, MCH), Voucher Pilot, Government Capacity Building
Intended purposes*	1. Protect	1. Protect, 2. Prevent, 2. Promote	1. Protect, 2. Promote
Modality	Cash, Food	Food	Food, small Voucher pilot
Roles	Advocacy (SF); gap-filling; cash modeling (in debit/bank card approach [overall limited - government does not see country as food insecure; looking to local private sector solutions])	Increasing demand for WFP non-operational roles. Studies, assessments, M&E, government programme quality and providing advice to improve, gap-filling until handover, advocacy on nutrition gaps, government capacity building, facilitating government learning visits to other countries, building and participating in partnerships, influencing and helping develop policy, strategy, guidelines	Significant demand for WFP non-operational roles. Government capacity building, filling gaps, studies, assessments, M&E of government programs and strategies to advise on quality, coverage, and adequacy improvements. Supports development of policies, strategies and guidelines in partnership with government and others. Advocate and advise on nutrition and food security needs and gaps. Modelling voucher programme.
Integration	Not integrated; transitions attempted (SF failed); cash beneficiaries integrated after WFP programme into national system)	Highly integrated with government and other actors, co-lead UN group on Food Security and Nutrition, School Feeding handed over to government - universal coverage. Disaster Prep now focused on local level to complement successful WFP capacity building at national level. Supp. Feeding directly linked to government health and social transfer programmes. Government seeks capacity building assistance from WFP.	Highly integrated. IDP programme assists beneficiaries not registered in government social protection system due to displacement until they can be incorporated. Coordination with WHO, UNICEF, International Committee of the Red Cross, local and national NGOs. Trust fund partnership with national government - funded by government - under which WFP provides technical and advisory services to build government capacities.

*1 is primary, 2 secondary, 3 tertiary

¹⁷ Countries VI and VII were assessed based solely on phone interviews and documentary review. Information shown is therefore based on limited, primarily internal stakeholder, data collection and minimal ability to triangulate data.

Table 8 – SPI Predicted Vs. Actual State of National Systems

Country	SPI Cluster and Suggested Capacity of Government		Actual State of Development Found
I	5	Very Low	Very Low – post conflict and instability
II	3	Medium	Very Low – policy not being implemented, issues regarding resource allocation priorities, political will, fragmentation
III	4	Low	Medium – significant programmes and partnerships in place and active efforts to establish a system
IV	3	Medium	Medium – well established programmes and partnerships, impediment is national financial capacity to sustain
V	2	High	High – established system, reliance on corporate sector and some well established partnerships, still some gaps
VI	3	Medium	High – established system, programs handed over, some performance gaps and resource constraints
VII	3	Medium	High – established system, programs handed over, some gaps in targeting linked to conflict displacement but partnerships in place to advise and improve

Integration¹⁸ of WFP programmes into national social protection systems

69. In **Case A “Transitioning”** countries, where partners and governments are laying the groundwork to establish a new social protection system, integration of WFP programmes was found to be high but somewhat limited in scale. For WFP as well as other international partners, programme integration with the government is constrained in these countries due to low political will and capacities of the respective governments to lead efforts and establish priorities across multiple ministries.

70. WFP programmes, while often still relatively small in scale, are linked to efforts of national actors and complement rather than duplicate these programmes. National social protection policy frameworks are understood by WFP and its relevant programmes fit within these policies. In these countries, national policies have preceded significant government and partner social protection programmes, resulting in significant gaps. While handover to the government is discussed or planned for most projects, this is seen as a distant prospect, contingent on successful government capacity building and identification of sustainable funding sources.

71. In **Case B “Establishing”** countries, where governments and partners are actively working to design and implement a system, integration of WFP programmes was also found to be high. WFP social protection programmes in these countries are significantly larger in scale and are highly linked to programmes of the government

¹⁸ Integration was assessed based on the extent to which programmes are aligned with national policies and strategies where they exist, the extent of collaboration with the government on programme design and implementation, whether deliberate efforts are made to build government capacities, whether handover strategies are in place and likely to succeed, and the extent of collaboration with national platforms and coordinating bodies where they exist.

and other partners (including consortium implementation in one country). Political will and government capacity are much higher in these countries, making integration more feasible. Programmes appear to be complementary and coordinated to avoid duplication. In the two countries studied for this case, social protection programmes preceded detailed national policy and strategy. WFP is aware of existing policies and efforts to develop new comprehensive social protection policies and is actively involved in these efforts in coordination with partners.

72. In the country visited for **Case C “Established”**, integration of WFP programmes into the national social protection system was found to be minimal. Although the national social protection system is established, WFP has not been involved in the development of government policies or programmes. WFP tried to transfer SF to the government, but the government did not continue the programme. Beneficiaries of the cash programme, which was filling a gap in targeting of refugees and internally displaced persons (IDP), were eventually incorporated into the national social transfer programme, partly due to WFP advocacy. It appears that WFP may have missed a ‘window of opportunity’ when the government was creating its new social protection transfer programmes.

73. However, the two **Case C “Established”** countries assessed remotely (by phone interview and document review) demonstrate high WFP integration. The two governments in this instance have well developed social protection and conditional transfer systems in place. In these countries WFP has shifted to a primarily non-operational role and governments are actively seeking WFP help and advice with policy and programme design, refinement and implementation. National social protection policy frameworks are well understood by WFP and influenced by it. WFP is highly engaged with partners, including the national governments, UN agencies, international and national non-governmental organizations (NGO), and academic institutions. WFP social protection programme interventions are complementary, largely focused on filling gaps related to nutrition. The difference from the other Case C “Established” example appears to be related to context as well as to WFP’s success in adapting to non-operational roles.

WFP roles played to help develop national social protection systems

74. Implementation roles vary considerably from country to country, in both type and scale of activity.

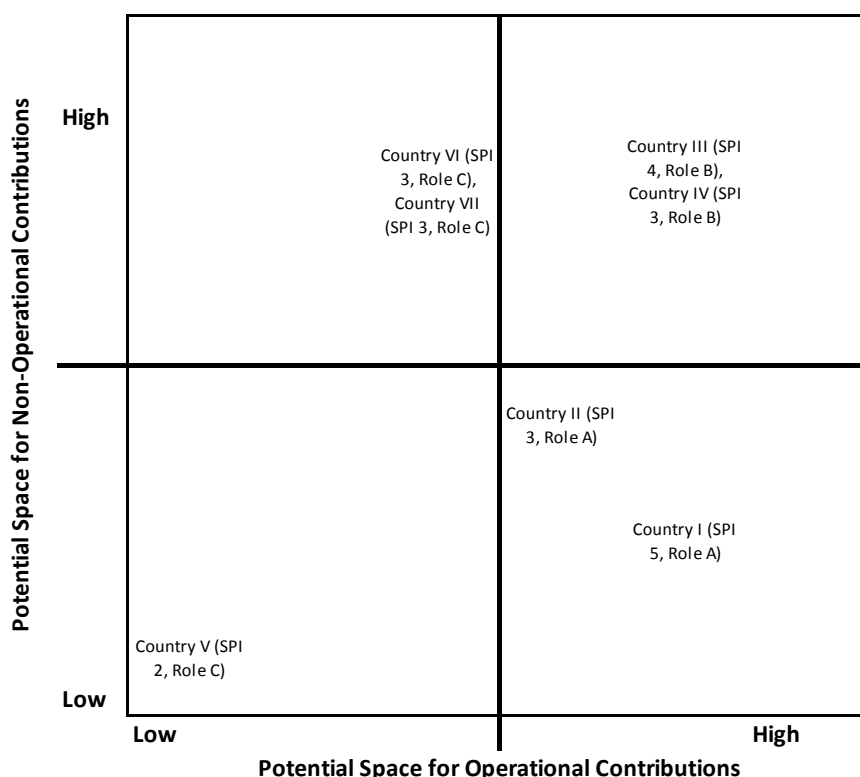
75. Operational roles include participating in the implementation of safety nets, filling gaps in established safety nets (e.g., transfers to vulnerable people not targeted by an established government programme), and modelling and demonstrating programmes (e.g., piloting).

76. The non-operational roles being played by WFP include coordination and participation in platforms and consortia; advising governments on food security needs and nutrition, analysis, and targeting; conducting studies related to social protection gaps, needs and solutions; monitoring and evaluating national programmes; advocacy; participating in the design of safety nets; participating in the design of social protection policies, strategies, and systems; and government and partner capacity building. In a few countries WFP is informally using standards of good practice to advise governments on ways to improve their programmes.

77. Based on the cases shown in Tables 5, 6 and 7 and triangulating the perceptions gathered in each country from WFP country office staff, national governments, donors, and international and local partners, the Evaluation Team plotted each

country within a matrix that shows the relative potential space for WFP operational and non-operational roles. The results of this analysis are shown in Figure 2 below.

Figure 2 – Potential Relative Space for Each WFP Country Reviewed



78. The roles played by WFP directly relate to its level of integration in the national system. However, the roles WFP can play are dictated by the individual country context, rather than simply its broad stage of development and also depend greatly on the organizational and staff capacity present in the country office (See sections 2.4 and 2.5.).

79. The 2004 WFP Policy Issues Paper established the framework used to group cases based on the state of development of national social protection systems and suggested likely roles WFP will play in each situation. However, data collected during the evaluation shows that most potential roles span all three stages of development. Additionally, a number of roles identified by country offices were not explicitly captured in the 2004 Policy Issues Paper.

80. Table 9 contrasts the roles WFP is actually playing to contribute to social protection systems for each case against the roles associated with each context provided in the 2004 Policy Issues Paper. Roles appear to be relevant across contexts, rather than being linked to only one stage of development of a national social protection system. While most roles appear to be applicable in all types of context, the specific country context determines which are most appropriate.

Table 9 – Comparison of Roles Suggested in 2004 Policy Issues Paper vs. Roles Identified by Evaluation by Cases

WFP Roles	State of Development of National Social Protection System		
	A.) Transitioning towards a national system	B.) Establishing a national system	C.) Improving an established national system
Advising governments on food security issues	Suggested		
	Actual	Actual	Actual
Advocating for food based safety nets	Suggested		
	Actual	Actual	Actual
Building partnerships	Suggested		
	Actual	Actual	Actual
Demonstrating interventions and targeting techniques, such as VAM for safety nets	Suggested		
	Actual	Actual	
Participating in the design of safety nets		Suggested	
	Actual	Actual	Actual
Participating in the implementation of safety nets through WFP programme activities		Suggested	
	Actual	Actual	Actual
Filling gaps in safety nets			Suggested
	Actual	Actual	Actual
Modelling and piloting improved interventions			Suggested
	Actual	Actual	Actual
Advocating on behalf of the hungry poor			Suggested
	Actual	Actual	Actual
Government capacity building			
	Actual	Actual	Actual
Participating in platforms			
	Actual	Actual	Actual
Influencing government policy			
		Actual	Actual
Conducting research studies and assessments			
			Actual
Advising and providing technical support to governments on nutrition issues			
		Actual	Actual
Facilitating government to government knowledge sharing and learning			
			Actual
Monitoring and evaluating government programmes			
			Actual

81. Some donors cited WFP's vulnerability assessment mapping (VAM) capacities as an asset for potential use in advising governments and building government analytical capacities. Tools such as WFP's Comprehensive Food Security and Vulnerability Assessments and Market Analysis can increase analytical capacity in country by supporting the development of targeting approaches and a focus on the most vulnerable in social protection. The regular use of such tools would enable timely adjustments to social protection programming, ensuring that systems remained flexible and responsive to contextual changes that impact on vulnerability. In addition, WFP is well placed to support capacity development of governments in the use of such tools, thereby sustainably enhancing analytical capacity.

Following international standards of good practice

82. Most WFP interventions provide the most basic function of social protection – to protect. Their ability to prevent, promote and transform is limited by issues relating to adequacy, timeliness, predictability and sustainability.

83. **Adequate:** Adequacy is viewed in terms being sufficient to meet people's needs. WFP programmes are sufficient to protect and meet basic needs but are not sufficient, in most instances, to help **promote** and **transform** livelihoods.

84. Adequacy must be defined at the individual project level, depending on purpose and the operating context. In general, while some programmes achieved adequacy at least for a defined period of time, most WFP programmes are challenged in terms of adequacy because of their short-term nature and/or the amount of the transfers. Table 10 below shows the findings by case and country related to adequacy.

85. **Timely:** Timeliness may depend on the nature of the shock to which WFP is responding (sudden or slow-onset) as well as the scheduled distribution of food, cash, or vouchers. Being timely refers to support being provided both on time and at the right time. With the exception of SF, most WFP social protection programmes reviewed are provided after a shock or event. This therefore limits their preventive potential (to mitigate the impacts of the shock and prevent damaging coping strategies). In relation to timeliness, most programmes reviewed were slow to start and suffer occasional pipeline breaks.

86. Some project types (e.g., SF) are more likely to be timely based on their permanence. Even in these project types, some pipeline breaks were noted which affected timeliness. Challenges with slow start up (new modalities, e.g., cash and vouchers) and funding delays also affected timeliness in the projects reviewed. Table 11 shows the findings related to timelines for each case and country.

Table 10 – Adequacy Good Practice Findings by Case and Country

Case A “Transitioning”	Country I	<p>SF mostly adequate if funded but take-home SF ration needs to be increased.</p> <p>Staff are concerned FFW is not adequate. FFW is only provided for 90 days meaning it can only protect the most immediate and basic of needs.</p> <p>CFW was designed as a post emergency programme (following the financial crisis) therefore cannot achieve prevention and promotion objectives.</p>
	Country II	<p>SF adequate in places where WFP provides. Government-provided SF is improving with WFP assistance. Some areas not yet covered but plan in place.</p> <p>Vouchers provide adequate transfer amounts. Overall programme only reaches small number of beneficiaries in two locations, and high demand noted by those not covered. Duration of project may limit adequacy in terms of building enough assets to avoid slipping backwards (prevention).</p>
Case B “Establishing”	Country III	<p>SF adequate where provided but most of country only covered by alternative “packed lunches” policy of government.</p> <p>Transfer (food or cash) is only 25% of estimated food expenditures in recognition of other sources of access to food.</p>
	Country IV	<p>SF adequate.</p> <p>FFW adequate (national safety net implemented by consortium). WFP providing food while other organizations are providing a cash transfer.</p>
Case C “Established”	Country V	<p>SF and supplemental (institutional) feeding provided adequate food for those covered until programme ended.</p> <p>Food for Tuberculosis programme provided adequate ration to incentivize treatment until programme ended.</p> <p>Cash programme transfer amounts not deemed adequate by beneficiaries (IDPs and refugees) because amounts too low and programme ended while needs remain. Beneficiaries now covered by national social transfer programme though and this meets some basic protective needs.</p>
	Country VI	<p>SF adequate until transferred to government in 2008. WFP continues to monitor adequacy of programme and has found rations are not as complete as WFP standards would require. WFP continues to advise government on ways to improve adequacy.</p> <p>Supplemental feeding linked to government health programmes has provided adequate food to improve nutrition status. However programme has been scaled back due to funding and is reaching fewer beneficiaries.</p>
	Country VII	<p>Combined FFW, FFT, Emergency School Feeding and MCHN instruments for IDPs provide adequate assistance to beneficiaries who are not covered by government social transfers and assistance due to legal status.</p> <p>WFP advises government on adequacy of its social protection programmes and conducts research and assessments regarding nutritional needs to improve adequacy of the national system.</p>

87. **Predictable:** The existence of a safety net or knowledge of a regular transfer allows households to take risks which may yield greater rewards and thus help protect and promote their livelihoods. Generally, annual funding cycles, gaps, and funding delays compromise WFP’s ability to ensure coverage and undermine predictability, limiting their ability to promote their livelihoods. Table 12 shows the predictability findings by case and country.

Table 11 – Timeliness Good Practice Findings by Case and Country

Case A “Transitioning”	Country I	SF timely although some breaks in the pipeline have occurred. Challenged due to infrastructure and reliance on government for vehicles, etc. CFW – Delivery through the CFW pilot was not timely due to lack of knowledge, skills and capacity in delivering cash.
	Country II	SF timely. Voucher programme was very slow to start up but once implementation began followed the planned schedule.
Case B “Establishing”	Country III	SF timely. However, other Child Hunger Safety Net components are less well funded and this has resulted in reduced timeliness. FFW and CFW have had short funding periods and have therefore not always been timely as the programme is meant to be a long term development oriented programme.
	Country IV	SF timely. FFW has experienced pipeline breaks due to operational constraints and has therefore not always proved timely.
Case C “Established”	Country V	SF and supplemental (institutional) feeding noted as timely during implementation. Food for Tuberculosis programme was timely in distributions for duration of funding. Cash programme faced some initial start up delays due to WFP regulations and lack of systems, once implemented programme provided timely transfers.
	Country VI	Timeliness of WFP SF was good. After transfer to government WFP has observed problems with timeliness of government financial transfers to local parent’s committees and is advising the government on improvements at the government’s request. Supplemental feeding linked to government health programs mostly achieved timeliness and this is evaluated under the PRRO providing the country office with learning to improve.
	Country VII	Combined FFW, FFT, Emergency SF and MCH instruments for IDPs provide timely assistance to beneficiaries. Programme is designed to fill the gap between displacement and inclusion in the national social transfer schemes. National social protection system is constant, rather than focused on responding to particular shocks though some scaling up occurs during emergencies. WFP has identified issues with the timeliness of government’s transfers to parents associations for SF and delays in the conditional cash transfer programme. It continues to work with the government to identify problems and suggest solutions.

Table 12 – Predictability Good Practice Findings By Case and Country

Case A “Transitioning”	Country I	SF predictable where WFP provides. Other interventions are less predictable as they are subject to short-term funding and not provided over the long-term.
	Country II	SF predictable (both WFP and government) Vouchers predictable for duration of project but beneficiaries not all aware of short duration.
Case B “Establishing”	Country III	SF predictable where provided by WFP. FFW and CFW not predictable in the Productive Assets Programme. Funding constraints have led to short implementation periods, affecting the effective development of assets and predictability of transfers.
	Country IV	SF predictable. FFW had been predictable however recent difficulties in securing funding are of concern. Consortium nature of the programme means that funding gaps are addressed by the consortium as a whole and therefore a resolution to the problem is likely to be found.
Case C “Established”	Country V	SF and supplemental (institutional) feeding noted as predictable during implementation but not continued once closed. Food for Tuberculosis programme was predictable for duration of funding and subsequent voucher programme implemented by private sector company maintains predictability. Cash programme provide predictable transfers for duration of project with good direct WFP/beneficiary communications.
	Country VI	Predictability of SF under WFP was good. Once transitioned to government some funding and staffing constraints have affected predictability. WFP continues to monitor and advise. Supplemental feeding linked to government health programmes was predictable for duration of assistance but funding shortfalls have led to scaling back the geographic areas and number of beneficiaries covered. WFP is working with the government in the hopes that they will cover these gaps but predictability has been eliminated in many areas in the interim.
	Country VII	Combined FFW, FFT, Emergency SF and MCHN instruments for IDPs provides predictable assistance to the extent possible (somewhat complicated when IDPs shift from one location to another). Programme design is focused on transitioning beneficiaries to government social transfer and assistance rolls and thus seeks to ensure ongoing predictability once WFP is no longer serving beneficiaries. Government systems are viewed as largely predictable though problems with guaranteed funding have arisen.

88. **Sustainable:** Sustainability of WFP programmes is limited partly by design (short-term interventions and pilot projects) and partly by unpredictability of funding. This limits the potential across all ‘purposes’ (protective, preventive, promotive and transformational). While handover to the government is envisioned in some projects, funding and capacity requirements make sustainability a challenge. However, sustainability and handover have been achieved in parts of Latin America. Table 13 shows the sustainability findings by case and country.

Table 13 – Sustainability Good Practice Findings by Case and Country

Case A “Transitioning”	Country I	<p>There is interest from policy makers but no clear political commitment for a national social protection system. Financial sustainability challenged by lack of funding for WFP and others (exhibited by short duration of projects).</p> <p>SF somewhat institutionalised at national and local levels. Policy not yet developed. Government lacks capacity to take over and WFP efforts to build capacity are in early stages.</p>
	Country II	<p>SF has strong political will and government capacity is slowly increasing with WFP help. Financial sustainability planned, though transition to full government ownership will not take place soon.</p> <p>Vouchers implemented as pilot with no handover plans. Efforts to learn from pilot in coordination with other actors implementing cash programmes meant to provide lessons for future scale up and, potentially, government capacity building.</p>
Case B “Establishing”	Country III	<p>SF will likely end and not be sustained unless government changes its policy</p> <p>FFW and CFW is part of government strategy for geographic area where WFP is working and is therefore likely to be maintained. WFP will have a role for the foreseeable future until government capacity is enhanced. Currently all programmes are supported by external donors hence funding may be an issue in the future.</p>
	Country IV	<p>SF coordinated with government and WFP is working to include SF in national social protection policy to ensure sustainability.</p> <p>FFW is part of the government’s national safety net programme and hence it is likely to be maintained. However the programme is funded by external donors which means funding of the programme may become an issue in the future.</p>
Case C “Established”	Country V	<p>SF and supplemental (institutional) feeding ended. Despite some late WFP advocacy efforts, SF not continued by government.</p> <p>Food for Tuberculosis programme was sustained once WFP’s role ended and is currently operated as a voucher programme under a contract with the private sector.</p> <p>Cash programme beneficiaries were integrated into national social transfer programme partly due to WFP advocacy.</p>
	Country VI	<p>SF has been sustained after the transition to government ownership and enjoys strong political will. Financial sustainability is somewhat limited due to resource constraints.</p> <p>Overall sustainability of the national social protection system is strong. Programmes enjoy strong public support and are politically popular. Programmes are viewed as strong enough to withstand any political changes.</p>
	Country VII	<p>WFP ensures sustainability of the combined FFW, FFT, Emergency SF and MCHN assistance for IDPs by closely collaborating with the government to ensure WFP provides a “door in and door out” so beneficiaries move to government programmes as soon as possible. Government social protection programmes are institutionalised and sustainable.</p>

89. WFP country office staff demonstrated recognition of the linkages between the four areas of good practice noted above and the potential for social protection impact. These standards of good practice are seen as somewhat aspirational by WFP and partner staff; however, most agreed that they should be translated into

indicators to help assess whether and to what extent WFP is able to contribute to social protection.

90. Targeting is another potential area of good practice, and the Evaluation Team considered broad targeting issues during country visits and the literature review. The first consideration, before thinking about how to do targeting, is whether to target or not. For political, financial or administrative reasons, some think that social protection should be targeted. Others view social protection as a right that should be ensured for all; in practice, however, most ‘universal’ programmes are targeted in some sense, even if they are universal within an area (=geographical targeting) or within an age group, like a social pension for all citizens over 60 years of age (=categorical targeting).

91. The range of targeting criteria demonstrates that social protection is not inherently characterised by targeting the poorest and most vulnerable, though some organizations and governments do make such targeting explicit in their policies on social protection, and the poorest and most vulnerable may be the appropriate focus for WFP, especially in filling gaps.

92. In most projects reviewed, WFP attempts to target the poorest and most vulnerable. WFP country offices demonstrated awareness of exclusion error challenges and discussed efforts to continuously refine approaches to minimize exclusion errors. It is important to note that WFP can play an important role in social protection even if its instruments do not cover everyone identifiable as ‘poorest and most vulnerable,’ though good practice requires that WFP attempt to identify partners and other complementary interventions to address exclusion, for instance, take-home SF and other programmes to meet the needs of children not in school. Some instruments are more likely to be used for universal coverage (e.g. SF) and in a few cases WFP has advocated for universal coverage of SF by governments.

93. Inclusion errors can reduce the resources available for transfers to those who could benefit most from such assistance. However, WFP country office’s and partners did not raise concerns or offer specific information about inclusion errors during country visits. The literature review suggests that inclusion errors become more likely as a country and its social protection system becomes better developed¹⁹. WFP’s 2006 Policy Issues Paper on Targeting also presents the importance of both inclusion and exclusion errors. Feedback during the reporting phase of the evaluation suggests that inclusion errors are a concern for WFP (e.g. SF) and should be equally taken into account when designing and implementing safety nets and social protection programmes.

¹⁹ See Grosh *et. al.* “For Protection and Promotion: The Design and Implementation of Effective Safety Nets”, World Bank, 2008

2.2. Relevance and Results of WFP's Social Protection Work

94. **Relevance and Appropriateness:** Staff and partners believe adopting social protection approaches increases WFP relevance. Staff and partners also state that adherence to the four good practices identified above increases relevance of individual projects. National governments expressed that WFP operational and non-operational assistance in social protection has been relevant and appropriate, with the exception of the one country visited in Case C “Established”.

95. The operational, technical advice and policy contributions of WFP in Case B “Establishing” countries and the two countries assessed remotely under Case C “Established” showed significant evidence of relevance and appropriateness, based upon government and partner requests for WFP to continue playing these roles and expanding upon them.

96. In a few instances, donors stated that WFP's strength lies in emergency response and that WFP's contribution to social protection will mostly be in crisis and post-crisis situations where it can provide protective assistance in the form of safety nets.

97. WFP staff frequently stated that they believe donors still see WFP as an emergency response organization. Some remarked that individual donors have indicated WFP should not refer to its work as social protection. The Evaluation Team did not find evidence of any institutional position among donors that would prevent WFP from engaging in safety nets and social protection. Furthermore, the Evaluation Team believes these perceptions may be dated, myths that may be limiting WFP's confidence to approach donors for longer-term projects.

98. **Effectiveness:** Effectiveness of WFP social protection activities is strongly linked to achieving objectives related to the intended purpose of projects, performance of different modalities and instruments, and adherence to good practices. (See section 2.1)

Achievement of Social Protection Purposes

99. The four potential purposes of social protection are protective, preventive, promotive and transformational. (See definitions in Section 1.1.) Projects may have more than one intended purpose.

100. Across the case studies, the intended purpose of projects and activities is primarily protective, seeking to save and protect lives and prevent people from slipping further into poverty following a particular shock. The short-term nature of many projects limits their achievements to basic protection. In many instances other than SF, WFP and partner staff expressed concern that the short duration of WFP assistance limits effectiveness in achieving even basic protective purposes because project timelines are so limited that beneficiaries may not have time to build assets adequate to avoid resorting to negative coping mechanisms soon after WFP assistance has ended.

101. Some projects included secondary and tertiary preventive and promotive objectives, though to a much lesser extent than protective objectives. Preventive and promotive objectives are sometimes referenced in project documents and by staff, though they appear to be subordinated to larger protective aims. In many cases the preventive and promotive objectives of projects are only informally established, often as desired outcomes, rather than the central purpose of projects. The informal nature of these purposes is reflected in the lack of measures to assess preventive and

promotive outcomes in most projects. It appears that projects which reference livelihoods promotion and prevention are often simply relabeling protective programmes.

102. However, in some projects, combining WFP instruments with other approaches and new initiatives within WFP was cited as increasing the potential for prevention and promotion. Examples of more preventive and promotive projects identified include SF projects linked to local production; traditional SF linked to home-grown SF or take-home meals; establishing rice banks or grain reserves; and FFW and CFW projects seeking to build disaster resilient infrastructure. In cases where these projects are not short-term in nature and link to government priorities, WFP has real potential to achieve promotive and preventive objectives.

103. No examples of intended or actual transformational purposes being achieved were identified among the WFP projects reviewed for the evaluation.

Modalities and Instruments Used in WFP Projects Reviewed

104. Modalities used by WFP in the projects examined include food, cash, and voucher transfers. Although all three modalities are now allowed for WFP programming, food transfers remain the most frequently utilised modality and reach the most people. Most cash and voucher programmes are currently implemented as pilot projects for short periods of time.

105. In the five countries visited for the evaluation, projects utilise a wide range of instruments, including SF, cash for work, food for work, food for training, cash, vouchers, and supplementary feeding. Some projects were linked to more than one of these instruments and a few were also linked to instruments of external partners.

106. Effectiveness of social protection depends more on achieving the purposes described above and adhering to good practice than on the specific instruments and project types used. However, some instruments lend themselves more to social protection (SF, cash/vouchers, CFW and FFW) based on their purposes and ability to meet good practice principles, while others are not social protection measures on their own though they can contribute to a social protection system (GFD, Supplemental Feeding, MCHN, HIV). Table 14 illustrates the factors which determine the extent to which WFP's different instruments make a stronger or weaker contribution to social protection.

107. Most projects specifically thought of as social protection and safety nets are relatively new but country offices are trying to measure effectiveness and learn. A separate study of the cost/benefit of some WFP safety net projects is being undertaken by the Boston Consulting Group to complement this evaluation. This study has specifically developed a cost/benefit analysis of safety net programs. Though limited in its initial research sample, the analysis shows significant return on investment for beneficiaries over their life cycles. This analysis tool could be considered for more widespread use to develop a base of evidence on the costs effectiveness of WFP safety net work.

Table 14 – Factors Related to WFP Instruments that Determine Good Contributions to a Social Protection System

Factors – Contributing to a Social Protection System		
Instrument	Stronger contributions	Weaker or no contribution
School Feeding	<ul style="list-style-type: none"> - When linked to support at home, e.g. take-home rations providing wider support to other members of the household - When it is sustainable, e.g. home -grown SF - When school resources are sufficient to absorb the additional demand in attendance created through SF - When addressing gender inequality with explicit gender equity objectives such as narrowing the gender gap in schools, SF programmes can provide incentives for girls to pursue secondary education or help to retain girls in school during emergencies. 	<ul style="list-style-type: none"> - If increases in attendance are not accompanied by the necessary investment in school resources (e.g. teachers, books, classrooms), SF can have unintended effect of compromising the quality of education provided - When other vulnerable members of the family not at school do not receive any other form of social protection - If the poorest children not at school, do not receive any other form of social protection - If SF is introduced selectively (in some schools but not all), students might ‘migrate’ from schools where no free meals are provided, which reduces the net enrolment effect.
Cash/Vouchers	<ul style="list-style-type: none"> - When support underpins other interventions, e.g. linked with health so that cash provides resources to access health care services - Enable individual choice over what resources the recipient wants to buy - Cheaper to administer and can minimise the risks associated with in-kind transfers (such as disincentives to food production and trade) - Can contribute to pro-poor growth by being invested as well as consumed, and generating multiplier effects 	<ul style="list-style-type: none"> - If delivery systems are ineffective - If the real value of the transfer varies, e.g. if inflation or crises causes commodity prices to rise and fall
FFW/CFW	<ul style="list-style-type: none"> - When high quality assets are produced - Where unemployment or seasonal under-employment is a severe constraint on livelihoods, can smooth incomes and consumption in contexts 	<ul style="list-style-type: none"> - If the assets provided are of poor quality - If labour constraints are a real issue for a large percentage of the population - If public works wages are set below the local minimum wage to encourage self-targeting, FFW is unlikely to have a positive impact on poverty
<i>The following instruments can support a social protection system if coordinated with other interventions but are not social protection measures on their own.</i>		
GFD	<ul style="list-style-type: none"> - Can provide support in times of emergency or additional need related to unpredictable shocks 	<ul style="list-style-type: none"> - Ineffective (insufficient) when is used to address chronic poverty and vulnerability
Supplemental Feeding	<ul style="list-style-type: none"> - Can prevent severe acute undernutrition and can act to restore adequate nutritional status thereby enabling childhood development 	<ul style="list-style-type: none"> - Ineffective when use without the presence of GFD and other interventions that address underlying causes of undernutrition - Ineffective when used to address chronic

		poverty and vulnerability <ul style="list-style-type: none"> - When nutrition and social protection are not coordinated, children can quite quickly return to acute undernutrition - In terms of chronic undernutrition, more long-term support is needed in addition to supplemental feeding
MCH	<ul style="list-style-type: none"> - Provides care at a critical time in a child's development - Supports maternal health – women are key to household development opportunities 	<ul style="list-style-type: none"> - If MCH and social protection are not coordinated
HIV	<ul style="list-style-type: none"> - Social protection can provide for care and support, for prevention (i.e. in the contraction of HIV) and treatment 	<ul style="list-style-type: none"> - If HIV and social protection are not coordinated

108. The impact potential of WFP social protection work in Case A “Transitioning” countries is significant for SF, given its scale and the longevity of efforts to build government capacity. Other projects however are very limited in scale and duration. If current and recent pilot projects serve as a basis for learning and additional funding is secured for larger multi-year projects, then impact potential could be significant. At present, budgets for FFW, CFW and cash/voucher projects are only sufficient to achieve temporary protective impact and are unlikely to have lasting preventive or promotive impact. Furthermore, these projects have only recently been considered as social protection, so sustainable impact through government capacity building is a less developed aspect of activities.

109. The impact potential for WFP’s work in Case B “Establishing” countries is much more significant across instruments because WFP is acting on a much larger scale and has a stronger focus on government capacity building. In one of the two countries, the longstanding consortium implementation arrangement of the national food safety net multiplies WFP’s impact potential and has helped to ensure continued funding, if not guaranteed multi-year funding commitments. Promotive purposes in the projects in these countries are more defined and linked to monitoring and evaluation as well as resourced efforts to influence policy.

110. In Case C “Established” countries, two pictures emerge. The impact potential of WFP’s social protection work in the country visited in Case C “Established” is currently non-existent. Because WFP lacks the relationships, skills and resources to contribute through operational and/or non-operational approaches, it is unlikely to have any social protection impact going forward.

111. For the two countries remotely assessed under this case, however, there is significant potential for impact in social protection. In these countries, WFP has positioned itself well to be a highly desired partner of the national governments and has identified new sources of funding for its work. While primarily non-operational, WFP is significantly influencing the policies and practices of national governments and systems and is helping to improve quality, coverage and focus on specific nutritional needs. By continuing to provide technical advisory and monitoring services to governments after the handover of programmes like SF, WFP in these countries is helping to ensure sustainability of programmes and achievement of the desired long-term outcomes.

112. Overall, WFP's potential for impact in social protection will depend upon the willingness and ability of the organization to change and develop certain skills. (See section 2.5.) As an organization, WFP has only recently begun to look systematically and substantially at how it can develop skills that enable country offices to build the capacity of governments and partners. These changes are significant and will take time before WFP can truly expect to achieve the scale of impact in social protection for which it is known in relief.

2.3. External Factors Affecting WFP's Social Protection Work

113. **Donors:** Donor support is viewed as critical for enabling WFP to integrate its work into national social protection systems. While donors support the idea of WFP contributing to social protection they view food-only approaches as a major constraint to effective social protection programming.

114. Support for WFP's potential work in social protection appears to depend on a few key factors:

- The country context where WFP is operating, in particular whether the country has food access and food security needs
- Perceptions of WFP's mandate and capacities in social protection, in particular its understanding of social protection concepts applied to the country context and its ability to use modalities viewed as most appropriate for the situation
- The degree to which WFP is active in partnerships with the government and others and participating in social protection platforms.

115. In general, donors interviewed at the country and global level see WFP as an important current and potential partner in social protection. WFP's operational capability to deliver, at scale, and in complex environments is cited as an asset and donors noted that WFP could fill a gap in helping to implement.

116. The relatively recent introduction of cash and vouchers as accepted modalities within WFP is viewed positively and donors feel that this further increases WFP's potential to contribute to social protection.

117. Donors and partners suggested that funding is increasing overall for social protection. However, they also noted the growing donor trend to fund well coordinated partnerships and programmes supported by social protection platforms and consortia. In many of the cases examined WFP is well integrated with the national social protection system, to the extent one exists, and this should enable WFP to demonstrate why funding its social protection work contributes to development of the national system.

118. In one case, WFP was able to convince a major donor mission to fund its programmes because the national government went with WFP to the mission to explain how well integrated WFP's work is in support of the national social protection plans of the country. In other cases, donors are actively involved in platforms and provide bilateral advice and support to national governments for their social protection policies and plans, and thus can judge whether projects proposed by WFP are well integrated with the national system.

119. Trust funds established jointly by WFP and governments in Latin America represent an innovative approach that should be further studied. In the examples reviewed by the Evaluation Team, the national government and WFP have jointly

established a trust fund related to the national social protection system. The government provides funds and in some cases private sector donors contribute as well. The government and WFP then design and plan activities in partnership. In the cases reviewed, WFP's activities funded by the trust are limited to monitoring and evaluation, providing technical advice, and conducting studies and assessments.

120. WFP strategies to secure funding specifically for social protection appear to be undefined at a global level. Responsible headquarters staff noted that raising unrestricted funding in general is their objective, which could have a positive effect on funding for social protection work. At a country level, the strategies to secure funding for social protection in Case A "Transitioning" countries appears to be least defined and primarily opportunistic. Case B "Establishing" countries and the two Case C "Established" countries assessed remotely demonstrated more focused efforts to raise funds specifically related to social protection work, though results are mixed. Most successful is the country with the consortium implementation of the national food safety net, at least partly because all consortium partners all seek to raise funds for the combined effort.

121. In many cases donors themselves are not yet clear about their strategies and priorities related to social protection programming. Some donors have clearly integrated social protection into their strategic plans (e.g., DFID), while others are currently in the process of defining their social protection strategies (e.g., European Community). Donor strategies for social protection are evolving and will not be static for the foreseeable future. The Evaluation Team found discrepancies between donor headquarters and mission levels and across missions with regard to their assessment of WFP's potential role in social protection. While some of this is legitimately context- and country-specific, some may relate more to personalities and the quality of WFP relationships. Accessing donor funding for social protection is partly dependent on monitoring the evolution of these strategies and maintaining close contact with donors at their headquarters and country office levels.

122. WFP has difficulty accessing unrestricted and multi-year funding necessary to ensure predictability and sustainability in social protection programmes. While multi-year funding is still somewhat rare generally, other partners have successfully secured significant unrestricted revenue and some multi-year funding sources. Without multi-year funding WFP will continue to be limited to short-term basic protective interventions which may have difficulty adhering to good practices (e.g. predictability and sustainability).

123. **Partnerships:** At a country level, there is evidence that partners are already looking to WFP for leadership on food-based safety nets, at least in countries with high vulnerability and poverty and lower sustainable government capacity (Cases A and B). Governments are willing to listen to WFP about food security, vulnerability analysis, preparedness and readiness systems, and they want capacity building assistance from WFP as well as others.

124. UNICEF, ILO, and the World Bank are much more engaged with governments on social protection issues and system design, sometimes on a daily basis. Oxfam and a few other international NGOs are also taking a lead role in advocacy and policy engagement. They have invested in country, regional and global capacity to engage on social protection, and governments seem to recognise them as leaders, especially when it comes to developing policy, strategy, and the administrative and financial

architecture of a system. As a result, these organizations often take a lead role in social protection platforms or coordinating bodies.

125. In a number of cases, WFP staff stated that they depend on external tools and guidance from other primary social protection actors to familiarise themselves with concepts and design programs. While the ability to access tools from outside of WFP is a strength, staff feel that this should be balanced with greater access to guidance and tools from within WFP.

126. The Evaluation Team found that in almost every example these partners were welcoming of WFP as a contributor to social protection work. Most stressed that the underlying needs that social protection seeks to address are so significant that there is space for everyone to play a role. Even in the country visited in case C “Developed” all major social protection actors seemed genuinely open to WFP participating, though they were less able to identify what roles WFP could play than their counterparts in cases A “Transitioning” and B “Establishing”.

127. External stakeholders also stressed that national social protection systems in most contexts where WFP works cannot be created without sustained partnerships.

128. In the countries studied, WFP is participating in partnerships including specific project implementation, social protection platforms where policy and system development are discussed, and broad consortia of partners implementing national safety nets. However partners noted that, to maximise its contributions, WFP needs to be clearer in its message about its particular role, more active in discussions, and coordinate better with others.

129. **Policy:** Interest in social protection appears to be growing in global and regional policy fora. Intergovernmental bodies and meetings of UN (including WFP) and Bretton Woods Institutions to address the global food and fuel price crisis and global economic crisis have emphasized social protection and led to the development of the Social Protection Floor Initiative (see Section 2.1).

130. Numerous research reports and policy issues papers have been developed by international organizations engaged in social protection and safety nets in recent years, mirroring and fuelling the broader policy interest. The World Bank, OECD, UNICEF, ILO and WFP, among others, have written extensively on social protection and safety nets. This body of policy literature is complemented by an increasingly broad base of literature produced by think tanks and academic institutes.

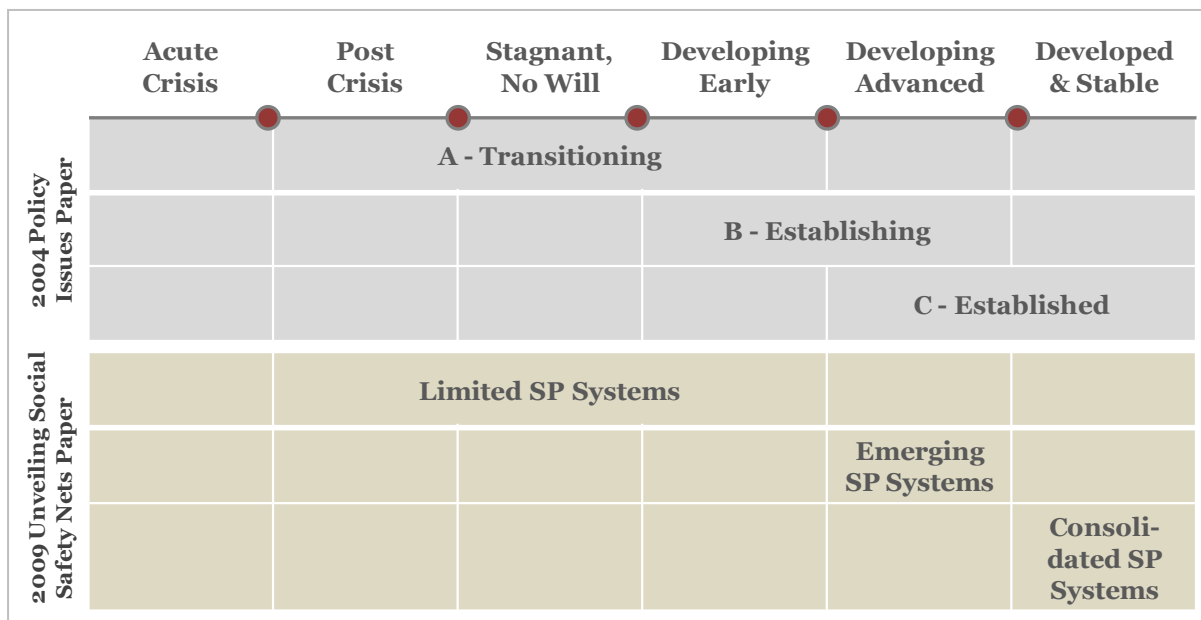
131. Both internal and external stakeholders stressed the importance of WFP being fully engaged in global, regional and country level policy discussions on social protection. Such policy engagement is seen as potentially enhancing WFP’s credibility, increasing its understanding of gaps and opportunities where it can contribute alongside other partners, and informing WFP programme decisions based on increased awareness of government systems, capacities, constraints and trade-offs.

132. **Social/Political/Economic:** Factors related to a country’s social, political, and economic status have a significant bearing on WFP’s potential to contribute to national social protection systems. Various WFP documents have attempted to identify how social, political and economic situations affect the development of national social protection systems but have defined stages somewhat differently.

133. Figure 3 below compares the stages used in the 2004 WFP Policy Issues Paper and those used in the 2009 WFP publication “Unveiling Social Safety Nets.” This

figure shows how the stages used for the cases in this evaluation (based upon the 2004 Policy Issues Paper) overlap with one another. It also shows a new set of six stages that the Evaluation Team developed for its analysis: acute crisis; post-crisis; stagnant, no will; developing early; developing advanced; developed and stable. ²⁰

Figure 3 – Comparison of Social, Political and Economic Stages



134. In general, the findings from the cases in this evaluation suggest that space for humanitarian actors decreases as countries achieve greater stability, economic, and administrative capacities. As countries move from crisis towards development, WFP and others involved in emergency response are joined by development-focused actors.

135. WFP’s greatest opportunities to contribute to social protection and safety nets appear to be in places where poverty and vulnerability are at high levels, government capacity is limited, social protection systems are just beginning to be established, and strong WFP operational capacity bolsters its credibility with partners and the government.

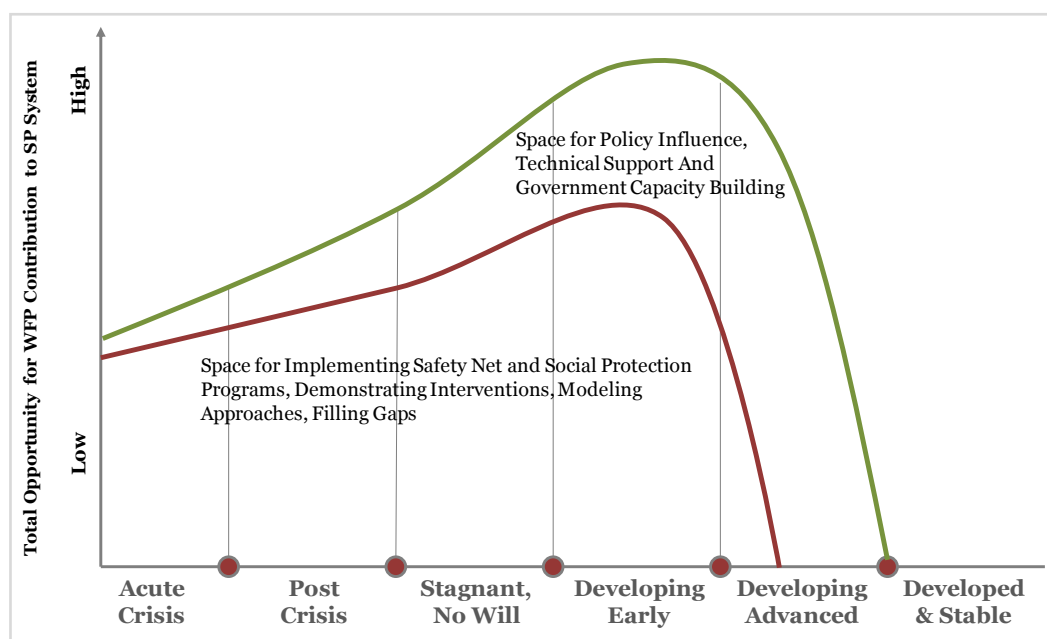
136. Figure 4 depicts the relative space described by partners and WFP staff for WFP to contribute to social protection in operational and non-operational ways based on different stages of a country’s development.

137. Figure 4 shows operational and non-operational contributions which occur at the same time but with different relative emphasis in different contexts. The space for WFP operational contributions to social protection and safety nets is greatest in countries with significant social, political, and economic challenges. As countries develop, the space for operational contributions diminishes until a point where the

²⁰ Because the SPI was not found to be useful in predicting the actual context in any one country it is not depicted in this figure.

government and national actors can take over implementation of direct services completely.

Figure 4 – Relative Space for WFP Contributions to Social Protection Based on Country Context



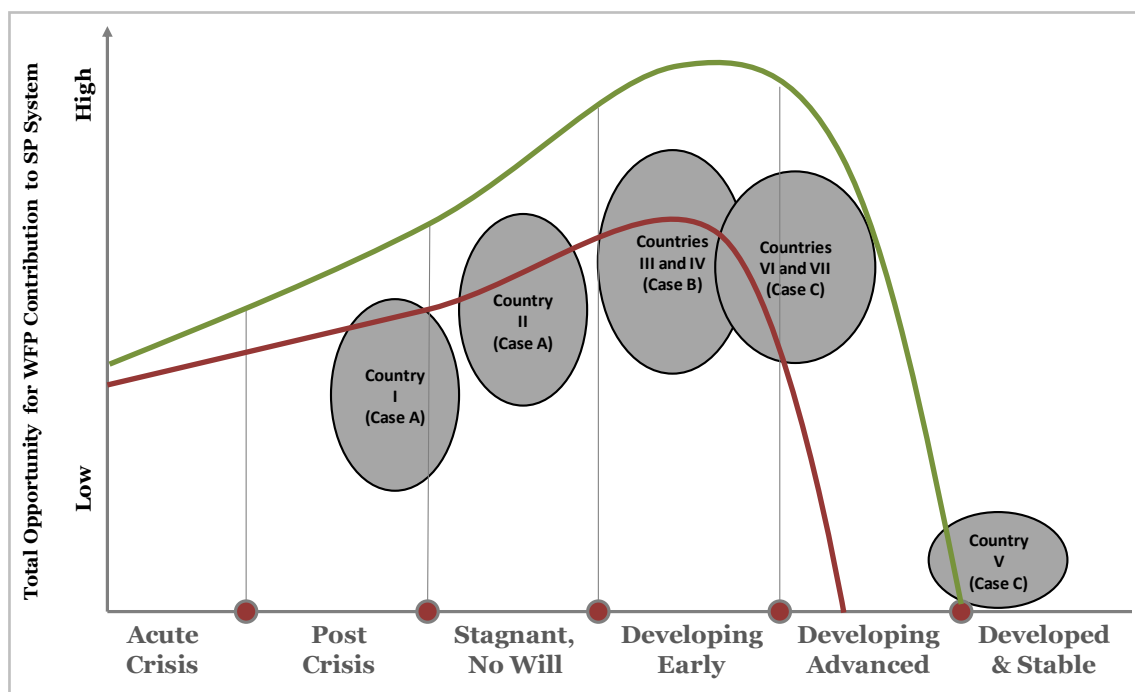
138. The space for WFP non-operational contributions to social protection begins to increase as a country crisis ends and reaches its greatest point of opportunity at the time where a national government and its leadership establish the political will to begin creating a sustainable system and while systems and capacities are being refined. The opportunities for WFP to influence policy, provide technical advice, and build government capacity may continue after WFP has ceased operational contributions to social protection in a country. However, WFP’s non-operational contributions may best be focused on building government capacity and participating in the development of systems through engagement in platforms where other partners take the lead role, given their broader expertise and mandates.

139. Figure 5 plots each of the countries included in the case studies for this evaluation within the relative space diagram.

140. Figures 4 and 5 simplify the continuum from crisis to developed status and should be seen as a basic representation of opportunities for different contexts. Many countries are likely to experience setbacks on the continuum in the face of significant shocks, though some others may skip an entire post-shock stage because of previously established systems and capacities. Some stages may last years or decades, and others only months.

141. Given the dynamic nature of social, political and economic factors, constant analysis of WFP’s operating environment is critical in considering WFP’s opportunities to contribute to operational and non-operational aspects of social protection based on its comparative advantages.

Figure 5 – Case Study Countries Plotted against Relative Operational and Non-Operational Space and Context



2.4. Internal Factors Affecting WFP’s Social Protection Work

142. Enhancements to WFP’s organizational capacity that support adopting a social protection approach were identified by stakeholders and through the documentary review. However, significant gaps were also identified and staff noted a number of capacities that need to be further developed. The Evaluation Team was advised that an inter-divisional task force was recently established to manage the change process related to social protection and a senior leader charged with scaling up related systems globally, which suggests some momentum to further enhance capacities discussed below.

143. **Policy and Strategy:** The adoption of the 2008-2013 WFP Strategic Plan represents a number of direct and indirect ambitions for the organization which support adoption of social protection approaches. Direct references to safety nets and social protection are complemented by emphasis on building government capacity. Although most staff were aware of the strategic plan, many were only familiar with the basic but important shift from food aid to food assistance which it represents. country offices noted a need for a number of systems changes, elements of programmatic guidance, training, and capacity building required to translate the strategy into action.

144. The 2004 WFP Safety Nets Policy Issues Paper represents a first attempt to consolidate thinking within the organization on social protection issues country office staff, for the most part, were unfamiliar with the policy document. More staff are aware of various publications written by the WFP Safety Nets and Food Security Policy Unit since 2004, especially the 2009 “Unveiling Social Safety Nets” paper, though most of these publications serve primarily to increase awareness of basic social protection concepts and trends rather than offering specific policy guidance.

145. A gap in programmatic guidance on safety nets and social protection was cited by many country office staff during interviews and viewed as an impediment to

initiating projects and engagement with partners related to safety nets and social protection. Some positive efforts were identified through the documentary review to close this gap, including the integration of social protection components into the new School Feeding Policy and the January 2010 paper on “Promoting lasting hunger solutions through partnership, capacity development and hand-over strategies,” written by the WFP Handover and Partnership Branch in support of implementing Strategic Objective 5 of the strategic plan.

146. Translating policy into practice was noted as a general challenge within WFP by many country office staff. A gap was identified between translating strategy and policy into actionable programme guidance and gaps between the creation of policies and guidance; disseminating policy, programme guidance, and tools to the field; and translating awareness into use.

147. **Planning and Financial Systems:** Changes in the organization’s financial framework approved by the WFP Executive Board in November 2010 represent a significant shift in how WFP budgets at the country level and will better support programmes using non-food modalities as well as non-operational activities such as advocacy and government capacity building. Implementation has begun and is expected to take approximately one year for full roll out. These changes will remove significant obstacles to adopting social protection approaches given the importance of context appropriate modalities and non-operational activities.²¹

148. The introduction of the country strategy tool and process also represents a potential capacity enhancement for WFP. Country strategies afford country offices the opportunity to look more holistically at the context in which they operate and the needs WFP could address. Instruments and modalities for addressing needs are considered after the purpose and objectives are defined, in consultation with stakeholders. One of the countries visited provides a very positive example for WFP of how the country strategy process can enable more strategic thinking about new approaches including social protection. This example also shows that the multi-stage consultation process with external stakeholders emphasising the national government can help to ensure WFP social protection programs are aligned and integrated with national systems and achieve strong buy-in by the government.

149. The cross-cutting nature of social protection and its operational and non-operational aspects presents some challenges for WFP country offices in terms of determining how and where to incorporate these programmes and activities in the emergency operations, protracted relief and recovery, and country programme project planning frameworks. Based on funding coverage trends, there is an incentive to incorporate social protection work within protracted relief and recovery project plans. However, many staff believe social protection work, with its systems and government capacity building ambitions, fit better within country programme project plans when a specific shock is not the catalyst for a project.

²¹ However, the overall importance of this change for WFP’s ability to adopt social protection approaches should not be overstated, since for the foreseeable future food will likely remain the most significant modality for WFP in terms of beneficiaries reached.

150. Confusion about how to address the cross-cutting nature of social protection in the project planning process sometimes results in country offices referring to projects and activities with social protection goals simply by speaking about the instruments and modalities to be used. This may limit the ability to conduct future monitoring and evaluation of cross-country, regional or global social protection efforts by WFP.

151. **Modalities:** The introduction of cash and voucher modalities within WFP is viewed by many staff at headquarters and the field as a highly significant shift that greatly enables adoption of social protection approaches. This is because the ability to utilise cash and vouchers is seen as helping WFP protect lives and promote livelihoods more appropriately and with greater relevance in situations where food access rather than food availability is the source of food insecurity. Cash, and to an extent vouchers, have greater potential to have a promotive impact because these transfers increase beneficiary choices. However, there is significant confusion within WFP stemming from the misunderstanding by some that cash programmes are always equivalent to social protection. Support systems for designing and implementing cash and voucher programs within WFP are still nascent, and country offices noted the need for better tools, guidance, and knowledge sharing on best practices.

152. **Monitoring and Evaluation Systems:** In the cases examined by the Evaluation Team, some significant examples of good country office-developed monitoring and evaluation practices related to social protection were identified. country offices with projects deliberately designed as safety net and social protection interventions have begun to measure outcomes rather than outputs, the traditional focus within WFP. In a number of projects WFP has engaged outside experts to help develop baseline data, monitor programme implementation, and conduct impact evaluations at the end.

153. In these examples WFP appears to be conducting monitoring and evaluation in a highly transparent way by sharing information and results with external partners through platforms and direct collaboration. This is viewed positively by external partners and seems to enhance WFP's credibility even while still at a learning stage. Lessons learned are being shared with government partners as well as other actors involved in similar programmes, thus effectively modelling and piloting these interventions. Regional meta-evaluations are planned in West Africa for some of the projects examined and should provide information for information sharing across WFP country offices.

154. In situations where WFP is operating as part of a consortium, it may no longer have as much of a role in monitoring and evaluation, depending on how developed a system is and what other skills partners bring to the consortium. In these cases, WFP may need a different approach to monitoring its contributions, based on data gathered by partners.

155. Generally, WFP monitoring and evaluation is viewed as limited by the focus on outputs rather than outcomes. This is partly related to standardised reporting formats which do not collect outcome information. The WFP Strategic Results Framework includes outcome-oriented indicators linked to the strategic plan, however these are not *per se* social protection indicators. While these are not viewed negatively, country offices stated that these indicators are not context- and project-specific enough to be useful for monitoring and evaluating their programmes. The

Strategic Results Framework indicators would need to incorporate measures related to good practice and include more specific indicators based on the intended purpose of projects to adequately measure WFP's contribution to social protection at a global level.

156. Information and Knowledge Management: A number of initiatives and groups have been established to share knowledge and information across WFP related to the objectives in the strategic plan. Additional efforts were identified related to establishing a community of practice for knowledge sharing on cash/voucher programs including internal and external stakeholders. The workshop on safety nets in Addis Ababa in 2009 organised by the WFP Performance and Accountability Management Division represents the most formalised effort to share information and knowledge related to social protection within the organization.

157. During visits with country offices the Evaluation Team observed high demand for better knowledge management and information sharing within WFP on social protection. Staff are mostly unaware of good practices and lessons learned through implementation of safety net and social protection programmes in other countries and regions except in cases where international staff have transferred from a relevant country and can bring that knowledge to their new country office. Some examples of RB efforts to link country offices for purposes of knowledge sharing were noted, but these remain informal and under-resourced.

158. Resource Mobilisation Systems: Current resource mobilisation efforts at a global level focus primarily on institutional government donors, who account for over 90 percent of annual funds raised. Of the total budget, the vast majority is earmarked and inflexible. WFP headquarters managers expressed the need to diversify funding sources and increase the proportion of unearmarked, flexible funds in order to support longer-term programming and good practice in social protection approaches.

159. Resource mobilisation for social protection is constrained by lack of a clear, consistent message, absence of base of evidence to demonstrate capacity and impact, and limited understanding of WFP's potential roles in social protection. Partners and donors cited a lack of literacy within WFP on social protection and weak articulation of WFP's value-added as an impediment to resource mobilisation.

160. Culture: WFP's organizational culture is viewed internally and externally as having both positive and limiting characteristics which affect its ability to adopt social protection approaches.

161. Positive traits of WFP's culture noted by stakeholders include:

- A 'can do' attitude
- Organizational focus on delivering with speed and at large scale
- A problem solving mentality
- Emphasis on innovation and constant improvement in areas seen as core to WFP's mandate
- Decentralised structure that empowers and rewards strong country office leaders
- Commitment to staff rotation through multiple field and headquarters assignments

162. Limiting characteristics of WFP's culture noted by stakeholders include:

- An impatience with slow progress and the resulting tendency to want to deliver something directly rather than facilitating others to implement
- Beliefs that policy discussions and engagement are a waste of time and detract from operational focus
- Emphasis on outputs and standardised instruments rather than outcomes and tailored, integrated programming approaches
- A preference for working alone or with a limited number of operational partners, rather than partnering for coordination purposes
- Limited experience in urban areas

163. **Comparative Advantages:** Stakeholders believe that WFP's comparative advantages for social protection stem from its operational capacities. Specific advantages cited by internal and external stakeholders include:

- Deep field presence in countries where WFP works, strong knowledge of rural environments and communities (exceeding all other UN agencies)
- A 'can do' delivery-oriented culture, based on strong logistics and project management (while others may be more oriented toward studying problems)
- Effective partnerships with grassroots agencies and civil society as cooperating partners, including local and regional levels of governments
- Decentralised structure which allows for innovation by country office leadership and can enable programmes tailored to country context
- Proven track record for delivery at scale in complex environments
- Strong analytical capacities for vulnerability assessment, targeting and mapping, and – increasingly – market analysis

2.5. WFP Staff Capacity to Deliver WFP's Social Protection Work

164. Staff capacities should be inherently linked to organizational needs and priorities. Strengths and gaps in staff knowledge and skills as they relate to social protection and safety nets were assessed by the evaluation team based on the potential roles WFP could play in social protection as identified in the 2004 Safety Nets Policy Issues Paper.

165. **Skills:** Staff skills, somewhat predictably, seem strongest in areas that relate to WFP's traditional instruments and modalities. However, in four of the seven countries studied WFP country offices have recruited or developed staff skills related to policy and nutrition. Strengths cited link closely to the comparative advantages and cultural strengths noted above. These include assessment, targeting, logistics, implementing programs and measuring outputs using long-standing instruments where food is the modality, such as SF, FFW, supplementary feeding, and general food distribution. However, the skills identified as strong within WFP relate primarily to potential operational roles for WFP in social protection.

166. As noted by internal and external stakeholders, gaps in staff skills important for social protection approaches also relate to the limiting factors of WFP's culture and are reflective of the early stage of implementing the new priorities under the strategic

plan. These skill gaps include policy analysis and advocacy, coordination (in long-term programmes), targeting for new modalities and in urban areas, monitoring and evaluation of system development and outcomes, government capacity building, and analysis of public expenditure and macro-economic issues.

167. The degree of investment required to build social protection skills within WFP for operational and non-operational roles depends upon choices WFP must make about its vision. A full shift from food aid to food assistance could be interpreted as meaning WFP will eventually focus on preventive and promotive projects and building government capacity rather than directly filling gaps with protective assistance.

168. However, while space may be available to contribute to prevention and promotion, WFP may choose to remain focused on protection given its historic mandate and funding patterns. Likewise, while space is available to influence policy and help governments build their national social protection systems, WFP may choose to contribute modestly in these areas in partnership with others and through national platforms.

169. **Knowledge:** Country office staff demonstrated a strong interest and willingness to learn 'on the job' and showed initiative in seeking out opportunities for trainings provided by partners in-country. Some country offices and headquarters staff have also attended global level World Bank trainings on social protection, though this seems to be based on unit and individual level initiative.

170. Internal and external stakeholders noted the need for WFP staff to gain greater basic literacy in social protection concepts, public expenditure frameworks, government architecture, and public administration and policy making. This requires more than a simple ability to use social protection terms and must include real understanding of concepts, actors, contexts, good practices and how and when WFP activities contribute to social protection.

171. WFP's credibility will rise or fall depending upon the clarity and stability of its choice on how far it wants to go towards becoming a social protection actor and its ability to make the investments and adjustments needed including development of staff skills and knowledge. Box 3 describes the significant multi-year change process undertaken by UNICEF to make similar adjustments. To legitimately contribute to social protection in a credible way WFP will need to both add a social protection dimension of knowledge to existing and traditional staff while also developing new social protection oriented staff profiles with specialised skills and knowledge.

Box 3 UNICEF Social Protection

Useful lessons can be learnt from UNICEF who, over the last few years, have chosen to invest significantly in the development of its staffs skills and knowledge in social protection through: providing training courses for staff; by improving the sharing and management of information and; by generating knowledge and capturing learning through the commissioning of studies.

Importantly these investments have occurred in country offices, in regional bureaus and in headquarters ensuring that all the levels of the organization working on social protection support and reinforce each other. Underpinning this capacity development is a commitment for the agenda from senior management ensuring that the improved individual capacities of UNICEF staff are translated into improved organizational capacities.

172. **Attitudes:** Staff at all levels stated that WFP should increase its work in social protection, but there are different perceptions about the degree to which this should

happen. All internal stakeholders recognise this is dependent on both the success of broader changes within WFP and donor support. Some staff said they wondered whether the organization was serious about the strategic plan given the lack of a significant follow on change process, though they also noted that changes to the financial framework signalled what they hoped would be increasing momentum for change. There also appears to be consensus that increasing work in social protection should not diminish WFP's work or strengths in other core areas.

Motivations: Internal stakeholders noted a range of motivations for wanting to increase WFP's work in social protection including:

- The 2008-2013 Strategic Plan;
- country office management interest
- Experience with instruments that lend themselves to social protection purposes and best practices;
- Comparative advantages of WFP that give it the potential to help fill gaps in social protection;
- A desire to stay relevant *vis-a-vis* country needs, national government interests, and the shift from food aid to assistance; and
- Years of experience with repeated responses, bringing recognition that chronic food insecurity requires different approaches.

3. Conclusions and Recommendations

3.1. Overall Assessment

173. Some WFP programmes and activities are already working well as safety nets or broader social protection initiatives (e.g. SF). However, not all social protection work is within WFP's mandate (e.g. pension systems, labour market reform and most types of insurance schemes).

174. In order for WFP safety net and social protection programmes to follow good practice and (in addition to protection) achieve prevention and promotion aims, some fundamental changes are required at all levels of the organization in the way it operates, the objectives of its programmes, and how it collaborates with others. Simply relabeling projects and programmes as social protection will negatively affect WFP's credibility and reputation.

175. WFP programmes are being integrated into national social protection systems in most of the countries visited to the extent that systems exist and funding allows for longer-term programmes. WFP is using new modalities of cash and vouchers but still largely depends on food transfers to achieve objectives. The roles WFP is playing in support of social protection include operational as well as non-operational contributions, though primary emphasis is still focused on operational contributions. WFP is beginning to work towards following international standards of good practice, though these are not widely and explicitly understood within the organization. While these standards are aspirational, in some cases more emphasis on their importance is needed to ensure credibility and impact when WFP is seeking to achieve social protection outcomes.

176. Moving beyond only protecting, helping to build national systems and being able to support prevention and promotion is viewed as increasing WFP's relevance and appropriateness. Measuring effectiveness requires a deeper look at individual programmes (most of which are new) than the evaluation afforded, but country offices are beginning to develop monitoring and evaluation mechanisms to measure effectiveness and learn. Detailed benchmarks, project data, and analysis were not covered by the evaluation, but efficiency is viewed as improving as country offices learn to use new modalities and approaches. Sustainability is problematic, both in terms of WFP shifting from short-term interventions to longer-term ones and in terms of handing over programmes to governments, due to funding and capacity building needs. Social protection approaches give WFP greater potential for impact, especially when good practice standards are met.

177. Donor support for social protection is increasing generally and WFP is viewed as an important current and potential partner, especially to help fill gaps in safety nets and national systems where food insecurity is high. Given the scope and scale of the work required, partnerships are critical for WFP's work in social protection to contribute significantly to sustainable national systems. Donor support is

increasingly linked to well-coordinated activities.²² The external policy environment has focused more on social protection recently at global, regional, and national levels. WFP engagement in policy is not yet sufficient to ensure adequate understanding of the social protection environment in which it is working. The social, political, and economic contexts in which WFP works at a country level determine the relative opportunities WFP has for contributing to social protection in operational and non-operational ways. Opportunities for programme impact are greatest when vulnerability and poverty are high and governments have not yet established systems, while the opportunities for non-operational roles are highest once political will has been established in a country.

178. Positive capacity development efforts stemming from the adoption of the 2008-2013 WFP Strategic Plan are beginning to increase WFP's ability to adopt a social protection approach, but additional efforts are required. Improving the linkages between strategy, policy and practice by developing additional guidance and tools and improving dissemination is required. Strengthening monitoring and evaluation systems at a global level, building on the positive efforts in some countries, is important to measure impact and provide information for learning. Knowledge management systems are largely informal and need to be resourced to improve sharing of information and build awareness of successful approaches. Resource mobilisation efforts are beginning to seek less restricted funding but need to identify ways of securing multi-year funding as well to support social protection standards of good practice. WFP's organizational culture and comparative advantages can be translated to social protection approaches if positive characteristics are maximised.

179. Staff capacity needs to be increased at all levels (country office, RB, and headquarters) and needs to be better linked. Existing staff skills are mostly concentrated on the use of food through traditional instruments and project types. Some of these skills can be translated to social protection approaches, especially when food availability is an issue. Skill gaps related to social protection include policy, coordination, targeting in new modalities and urban areas, monitoring and evaluation, capacity building, and economic analysis. Staff are showing initiative to develop new knowledge but systems are not yet in place to support this systematically. Basic knowledge around social protection concepts and approaches and building government capacity will be required to improve WFP's ability to adopt social protection approaches.

3.2. Recommendations

180. The following recommendations draw upon the evaluation findings and conclusions and seek to identify strategic priorities for a comprehensive change process to better enable WFP to contribute to sustainable national social protection systems. Recommendations are presented in order of priority. Although sequencing of recommendations may logically overlap to some extent, they are envisioned to

²² Specific opportunities for WFP may lie in the UN HLTF High Level Task Force on Food Security which mentioned the need for social protection and safety nets. The EU and the World Bank are currently developing Social Protection and Safety Net strategies.

build upon one another to help WFP achieve more substantial, focused, and high quality social protection outcomes.

Recommendation 1: Focus WFP Safety Net and Social Protection Efforts Based on Comparative Advantages

181. The planned revision of the 2004 Safety Nets Policy Issues Paper should incorporate broader social protection concepts and clarify WFP's role(s) based on its comparative advantages. Building on the 2009 Addis Ababa workshop and the findings of this evaluation, the policy should explain the importance for social protection of purpose and desired outcomes, working in partnership with others, and standards of good practice. WFP's primary social protection purpose of protection should be made explicit, though also recognising appropriate WFP interventions that aim at prevention and promotion, with emphasis on the need to link such interventions to other WFP and external programmes. Emphasis should remain on WFP contributions to food-based safety nets through operational and non-operational activities and the policy should provide examples of WFP activities for different roles. It should also explain the important linkages between cash and voucher programs and social protection, while clarifying that these are not always equivalent. Once revised, the policy should be disseminated with guidance on clear messages for positioning and promoting WFP's role in safety nets and social protection.

Recommendation 2: Develop WFP Organizational Capacities for Safety Nets and Social Protection

182. A dedicated organizational change initiative should be established to build WFP organizational capacities that support the adoption of safety net and social protection approaches. This initiative should be led at headquarters by a member of senior management²³ and supported as needed by headquarters policy, programme, and support staff as well as RB and country office advisers. A five-year plan should be developed to build necessary capacities, with responsibilities assigned and resources allocated for specific projects. The plan should focus on:

- Completing implementation of adjustments to financial processes based on the Executive Board decisions related to the financial framework
- Providing additional guidance to country offices on planning for social protection programmes both within the country strategy process and between strategy cycles
- Establishing dedicated capacities at the RB level to provide coaching and advice to country offices on soft skills related to influencing policy, building government capacity, and understanding the policy environment and social protection systems, as well as relevant technical skills (e.g., targeting)
- Integrating programme guidance on social protection into existing instrument/project-type guidance to better enable country office staff to

²³ One stakeholder noted that an inter-divisional task force has been established recently to move forward on such a change initiative. Another stakeholder noted that one senior leader has been charged with leading the global "scale-up" of cash and voucher programs.

make choices and decisions regarding WFP's best approach to social protection in their country context

Recommendation 3: Develop WFP Staff Capacities for Safety Nets and Social Protection

183. Initially, WFP should focus on establishing basic understanding of social protection concepts among key staff in headquarters, RB and country offices. A basic training module or distance learning tool should be developed or an outside provider identified to build broad awareness of basic terms, key actors, standards of good practice, and key choices and trade-offs related to social protection. WFP country offices should continue to augment staff capacity until it is sufficient by using short-term consultants to work alongside staff and provide coaching and technical assistance before handing over responsibilities. Once basic understanding is established, more advanced skill and knowledge building efforts can be designed and implemented in support of the change process outlined in Recommendation 1 above.

Recommendation 4: Position WFP Safety Net and Social Protection Efforts in the External Environment

184. WFP should increase its engagement in policy and coordination fora and promote the positive role(s) WFP is playing building on WFP's comparative advantages, increased basic social protection literacy throughout WFP, evidence gathered through improved knowledge management and monitoring and evaluation systems (including in-depth study of examples from Latin America and other more advanced WFP programmes), increased numbers of skilled staff at all levels and clear messages linked to the revised policy. Country offices not yet engaged in safety nets and social protection should begin to position WFP through engagement in national fora and consortia or work with partners to establish such fora in places where they don't exist. Additional donor resources, in the form of unrestricted and multi-year contributions, should be aggressively mobilized to support such country office programmes.

Recommendation 5: Contribute to the Development of National Social Protection Systems

Country offices located in countries and contexts where there is space to contribute and need for social protection and safety nets should be encouraged to analyse the needs and gaps to identify what WFP can do directly to help the government develop systems and improve its social protection and safety nets activities, what it can do as part of larger consortia, and what roles are best left to others with more appropriate mandates and skills. This analysis should follow revised planning guidance developed under Recommendation 1, once available. Where possible, this analysis should be linked to development of the WFP country strategy and it should be conducted transparently and in collaboration with the national government and other key actors based on national strategies and policies where they exist.

Recommendation 6: Continuously Improve Adherence to Social Protection Standards of Good Practice

185. As capacity development for safety nets and social protection becomes institutionalized within WFP, organizational leadership should shift attention to monitoring programme impact and quality based on indicators related to standards of good practice, linked directly to country project and programme reporting. Monitoring should also take into account information on lessons learned and

positive case studies emerging from WFP safety net and social protection communities of practice and other information and knowledge management systems. Based on the monitoring of performance in social protection, organizational leadership should continuously adjust systems, processes, and resourcing to strengthen WFP's contribution to safety net and social protection policy and practice at global, regional, and country levels. As indicators are defined and data collected, external impact evaluations should be conducted.

Annexes

Annex 1: Evaluation Terms of Reference

Annex 2: Evaluation Methodology/Evaluation Matrix

Annex 3: Fact Sheet on WFP Countries and Operations

Annex 4: Bibliography

Annex 5: List of People Met and Places Visited

Annex 1: Evaluation Terms of Reference

From Food Aid to Food Assistance:

Strategic Evaluation of WFP's Role in Social Protection and Safety Nets

Terms of Reference

1. Background

1.A Safety Nets and Social Assistance in Humanitarian Assistance

Recent high level meetings have confirmed a commitment to increased government ownership and a greater role of partner governments in determining and managing development assistance. Among the key points agreed in the Accra Agenda for Action, for example, was that partner country systems will be used to deliver aid as the first option and that aid should be focused on a country's own development objective²⁴ This followed upon and reinforced the 2005 Paris Declaration on Aid Effectiveness that emphasized increasing alignment of aid with partner countries' priorities, systems and procedures and strengthening partner countries' national development strategies and associated operational frameworks. Hand in hand with this is a need to help strengthen their capacities.

Safety nets and social protection are important systems to promote development and within which other aid can and should be aligned. The World Bank defines the terms "safety nets" or "social assistance" as non contributory transfer programs targeted in some manner to the poor or vulnerable. FAO defines social safety nets as cash or in-kind transfer programs that seek to reduce poverty by redistributing wealth and/or protect households against income shocks. Social safety nets seek to ensure a minimum level of well-being, a minimum level of nutrition, or help households manage risk. Safety net programs are meant both to help catch those falling downward economically before they land into destitution and to provide assistance or a minimum income to those more permanently poor. Commonly included elements in a safety net are:

- Cash transfers or food stamps (vouchers), whether means tested or categorical as in child allowances or social pensions
- In-kind transfers, with food via SF programs or mother/child supplement programmes being the most common, but also of take-home food rations, school supplies and uniforms, etc.

Capacities for social safety nets and social protection systems exist and countries are being assisted by a number of actors. However, the High-level Task Force on the Global Food Security Crisis noted "while progress has been made in aligning and coordinating nationally funded and externally supported aid programs and in improving programme efficiency there is much to be done to improve coverage of

²⁴ Accra Agenda for Action 3rd High Level Forum on Aid Effectiveness, Accra Ghana Sept 2008

socially vulnerable groups with benefit levels that will cover their basic needs.”²⁵ The task force makes explicit reference to enhancing and scaling up safety net programmes.

1.B Safety Nets in WFP

WFP adopted a policy on food-based safety nets²⁶ which sets out concepts and gives directions for programming. WFP defines safety nets as the social protection component targeted at the most vulnerable sections of a population. A safety net as a component of social protection systems is distinguished from individual projects by the integration of many activities into a predictable, institutionalized system based on a framework of vulnerability and risk. Food based safety net instruments include:

1. Direct food programmes including supplemental feeding, SF, emergency feeding, general food distribution and food for work.
3. Indirect food based programmes include food subsidies, food stamps, vouchers or coupons²⁷.

The 2004 food-based safety net policy received a renewed boost in the WFP 2008-2011 Strategic Plan which recognized the importance of integrating assistance into national social protection strategies so that “safety nets help prevent duplication of effort and assist governments in developing sustainable food-assistance systems.” The Strategic Plan sets goals for safety nets to

strengthen the resilience of communities to shocks and sees WFP assistance as a “critical enabler for re-establishing livelihoods through productive safety nets.”

Inter-agency assessments carried out in 2008 and 2009 to assess the response to the global food crisis in all regions confirmed the need to scale up protective and productive safety nets as a key element of predictable social protection and food security strategies. Activities aimed at enhancing agricultural productivity, improving nutrition and integrating environmental considerations deserve priority attention²⁸.

A recent workshop (Addis Ababa October 2009) for WFP senior staff organized by WFPs Strategic Plan & Implementation Branch addressed the topic of safety nets, as a support to facilitating implementation of the Strategic Plan. Emerging from the workshop were key recommendations and ways forward. For instance, workshop participants identified the following principles that should guide safety net programming:

- Integration into broader national policies;
- Context specific;
- Targeted to the most vulnerable;
- Available during periods of need;

²⁵ Comprehensive Framework for Action, High Level Task for on Food Security Crisis (2008).

²⁶ WFP and Food-based Safety Nets: Concepts, Experiences and Future Programming Opportunities, WFP/EB.3/2004/4-A, October 2004.

²⁷ L. Brown and U. Gentilini. 2006. The Role of Food based Nets Helping Vulnerable Households Manage Food Insecurity UNU Wider Research Paper No 2006/111.

²⁸ G. Viatte, J. De Graaf, M. Demeke, T. Takahatake and M. Rey de Arce (2009) *Responding to the food crisis: synthesis of medium-term measures proposed in inter-agency assessments*. FAO.

- Predictable;
- Cover both productive and social capital/asset building;
- Designed for a long term perspective ;
- Should be implemented in partnership with others ;
- Should be developed in a participatory way;
- Should allow for flexibility; and
- Are cost effective.

A range of possible key roles for WFP in implementing safety nets in countries were identified to include:

- Supporting national governments in implementing food assistance safety nets;
- Advising in support of safety nets (especially in the food and nutrition sectors);
- Providing technical support for analysis, design and evaluation of food assistance safety nets;
- Advocating for fund raising for safety nets;
- Strengthening national capacity for food assistance safety nets; and
- Promoting recognition among donors and national governments of the essential role of safety nets.

The need for safety net programmes to be context specific has led to the emergence of a framework linking WFPs role to the country context in terms of its capacity for social protection, including the extent to which the country has a strong national safety net system. One version of this framework from the 2004 Policy is shown in the table below.

	A) Transitioning towards a national safety net: <i>Laying the ground work for the system</i>	B) Establishing a national safety net: <i>Participating in the design and implementation of the system</i>	C) Improving an established national safety net: <i>Modelling improvements in an existing system</i>
Roles for WFP	<ul style="list-style-type: none"> - advising governments on food security issues (SP5) - advocating for food-based safety nets (SP5) - building partnerships (SP5) - demonstrating interventions and targeting techniques, such as VAM, for safety nets (SP2 and SP5) 	<ul style="list-style-type: none"> -participating in the design of safety nets (SP5 and SP2) - participating in the implementation of safety nets through WFP programme activities (SP2) 	<ul style="list-style-type: none"> -filling gaps in safety nets (SP2) - modelling and piloting improved interventions (SP5 and SP2) - advocating on behalf of the hungry poor (SP5)

Note: SP = Strategic Priorities. This term was used in previous strategic plans, replaced with strategic objectives in 2009-2013 Strategic Plan

WFP’s Policy, Strategy and Planning Division is currently working to refine this framework further through the development of a Social Protection Index that would help increase understanding about the linkage between safety net effectiveness and a country’s own capacity and governance.²⁹

²⁹ Nkethiah-Amponsah E. and Gentilini U. (2010) Appraising countries’ social protection capacity: preliminary findings from a quantitative analysis. Policy, Strategy and Planning Division. Rome. Draft.

1.C Stakeholder Analysis

Key stakeholder group	Role in safety nets and interest in the evaluation
Internal	
WFP CO & RB managers and programme staff	Country Office and Regional Bureau managers and programme staff are responsible for country-level planning and implementation. They are interested in increasing their understanding of when and how WFP can most effectively contribute to safety nets and social protection, so they can incorporate these lessons into future activities and to increase their accountability.
WFP Policy, Strategy and Planning Division	The WFP Policy Division has an interest in ensuring that lessons learned from practice are incorporated into future normative guidance. A new policy on Safety Nets is scheduled to be developed in the near future, and the evaluation can inform that policy.
WFP Performance and Accountability Management Division	The Strategic Plan & Implementation Branch has an interest in developing appropriate performance and accountability systems for safety nets, and specifically in following up on issues raised during the recent workshop on Safety Nets, including the need to incorporate safety nets perspective in country strategies, refine indicators and milestones and to identify and document best practice.
WFP Programme Design Service	The Programme Design Service provides guidance and support to WFP programme development, so has an interest in taking stock of Country Office successes and challenges in integrating safety net concepts into the planning, design and implementation of their programmes, in order to inform further efforts.
Senior WFP HQ managers	Senior WFP managers are interested in understanding how WFP can make an appropriate contribution to safety nets and social protection in order to account to donors and to improve corporate performance, if and where necessary.
WFP Executive Board	The EB has a direct interest in knowing when and how WFP can most effectively be expected to contribute to food based safety nets and social protection, which relates to effectiveness, sustainability and hand over.
External	
Government partners	Many safety net activities are led by host governments, and so they are interested in how WFP can best partner with them to provide safety net services. In some cases, WFP may be building capacity in governments to provide safety nets, and governments would be interested to know how WFP can effectively play this role.
NGO partners	NGOs are often important partners with WFP and government to provide safety nets and social protection, thus NGO partners are interested in knowing how WFP can strengthen its role as a safety net provider, and how synergies can be built between NGOs, government and WFP.
Beneficiaries	Beneficiaries have a strong interest in WFP providing the best services it can to alleviate suffering amongst the poor and hungry and are ultimately the best judge as to whether or not services are being provided effectively, thus they should be involved in the evaluation process to the extent possible.

2. Reason for the Evaluation

2.A Rationale

The evaluation of Social Protection and Safety Nets is one of four Strategic Evaluations³⁰ that will be conducted in the 2010-2011 Biennium. The topic was selected based upon a consultative process. The four topics together cover related areas to gain greater depth of analysis and support the synthesis of findings across the evaluations³¹.

The evaluation of Social Protection and Safety Nets will focus on the implications for WFP assistance from a social safety net perspective. Assistance programmes by virtue of transferring resources to individuals and households provide some kind of social safety net measure, whether designed as such or not. However, WFP programmes have not yet been analysed from a safety net perspective. Therefore, an evaluation of WFP's current and past experience will allow learning about factors that affect WFPs ability to contribute to safety net and social protection systems. These insights will help systematize the experience and support country offices in making choices about their programmes when they need to be adjusted to support national safety net and social protection systems.

2. B Objectives

Evaluations in WFP serve the dual objectives of accountability and learning. As such, this evaluation has two objectives:

- Assess WFP's contributions to food based safety nets in terms of what has been done and the overall effectiveness (accountability).
- Determine the reasons for the observed success or failure and draw lessons from experience about factors that play a role in making WFP's work an integral and supportive part of sustainable food-based safety net systems (learning).

Even where WFPs work is *de facto* providing a safety net, little of it was designed with specific safety net objectives and thus the evaluation's emphasis is not on judging whether or how well the work has achieved these objectives. Rather, it emphasizes the learning dimension by increasing understanding about when and how WFP can integrate its work into safety net and social protection systems.

3. Scope of the Evaluation

3.A Scope

The evaluation will include a cross section of country level projects implemented between 2005 and 2009. It will also include WFP corporate level support to Country Offices (specifically guidance, resources and policy) to determine the extent to which these are aligned with and supportive of safety net approaches at the country level.

³⁰The background and rationale for the Strategic Evaluations including the evaluation of Safety Nets and Social Protection is further described in *Choosing the Right Responses to Hunger Needs: 2010-2011 Strategic Evaluations Concept Note*. WFP OE

³¹ More depth of discussion about the cross evaluation analysis process is described in the Strategic Evaluation Framework 2010-2011 WFP OE, June 2010.

The Inception Report will define specific countries to be included in the assessment based upon objectively verifiable criteria. Since safety nets are not strictly defined by programme type or activity, the evaluation could potentially include most, if not all, of the countries in which WFP works and many of its projects except Special Operations. An assessment of all of WFPs projects would not allow sufficient depth of analysis given the time and resources available. Therefore, OE conducted a preliminary analysis of WFPs project set in order to develop a better understanding WFPs work in safety nets and social protection and to begin the process of narrowing down the number of countries and projects that might be evaluated.

During the development of the Terms of Reference a strong consensus emerged about the need to base the analysis of WFPs work on safety nets and social protection on the country's own governmental and to a lesser extent non-governmental capacity. Fortunately, a Social Protection Index (SPI) that clusters countries based on the degree of development of their social protection programmes is currently being developed by WFP's Policy, Strategy and Planning Division³². The SPI is constructed by analysing five indicators related to economic development, poverty and governance. Since not all countries have been ranked due to lack of data, applying an initial filter of SPI ranking reduced the number of possible WFP countries for analysis from 91 to 59.

Next, all 189 current (2009) project documents for these 59 countries were analysed for possible emphasis on safety nets or social protection. Based upon the analysis of project documents, 77 projects in 47 countries were identified for possible inclusion in the evaluation. As a cross check, records of key informant interviews carried out during the TORs development process were reviewed to determine if countries mentioned in interviews (31 in total) also had project documents suggesting a safety net or social protection approach and all but three countries mentioned in the interviews also emphasized safety nets or social protection in the project documents.

The profile of the 47 countries and 77 projects is shown in the attached fact sheet (Annex 1). As shown in the following table, all regions are represented, and 51 percent of countries are in Africa.

WFP Region	# of countries	% of total
Asia Regional Bureau	9	19
Middle East, Central Asia & Eastern Europe Regional Bureau	7	15
West Africa Regional Bureau	10	21
Southern, Eastern & Central Africa Regional Bureau	14	30
Latin America & Caribbean Regional Bureau	7	15
Sudan Regional Bureau	0	0

Most countries fell into Social Protection Index (SPI) Cluster 3 & 4 countries, although WFP projects emphasizing safety nets or social protection are found in all clusters. Applying the SPI would enable several different approaches to the evaluation. For instance, a comparative analysis could be done of how WFP operates

³² Nketiah-Amponsah E. and Gentilini U. (2010) *Appraising countries' social protection capacity: preliminary findings from a quantitative analysis*. Policy, Strategy and Planning Division. Rome. Draft.

in countries having different levels of capacity for social protection. Or the evaluation could focus on WFP projects in countries with relatively higher or lower capacities.

SPI Cluster	Number of countries	% of total
Cluster 1 (higher Social Protection capacity)	4	8
Cluster 2	6	13
Cluster 3	12	26
Cluster 4	16	34
Cluster 5 (lower social protection capacity)	9	19

The proportion of beneficiaries reached through the different activity types in the selected projects roughly mirrors the proportion for all WFP projects.

Detailed explanatory notes of OEs preliminary analysis and a data set for the projects and countries is available upon request and will be further analysed by the Evaluation Team during the Inception Mission.

3. B Evaluability Assessment

Evaluability is the extent to which an activity or a programme can be evaluated in a reliable and credible fashion³³. The Inception Mission should address the issue of evaluability in more detail, specifically addressing the following challenges of evaluating safety nets in WFP among others that might arise:

- There is no agreed logframe or logic model at the corporate level for safety net activities, although each project has its own logframe. However, expectations about what can be expected in terms of outcomes and impacts from safety net activities could be variable and thus present challenges for comparing experiences across a range of projects.
- There is no agreement at the corporate level on the types of programmes and delivery mechanisms that should be associated with safety nets. Thus, safety nets are delivered through many of WFPs programmes and activities.
- WFPs Strategic Results Framework³⁴ is a core component of WFPs accountability management system by linking strategic objectives and to outcomes, indicators of their achievement and targets. There are only two specific references to safety

³³ According to OECD/DAC evaluability necessitates: i) a clear description of the situation at the start to be used as a reference point to determine change; ii) a clear statement of intended outcomes; iii) a set of indicators to measure change; and iv) a defined timeframe for the occurrence of outcomes. From *Glossary of Terms in Evaluation and Results-based Management*, OECD/DAC Working Party on Aid Evaluation, 2002. Wholley and colleagues who originally developed the concept of evaluability assessment identified three criteria deemed necessary for meaningful evaluation: 1) programme objectives, side effects and priority information needs are well defined; 2) programme objectives are plausible; and 3) Intended uses of evaluation information are defined as described in *Programme Evaluation: Alternative Approaches and Practical Guidelines 1997*. B. Worthen, J.

³⁴ WFP Strategic Results Framework WFP/B1/2009/5-C January 2009.

nets and social protection in the Strategic Results Framework one is a goal linked to *Strategic Objective 2: Prevent Acute Hunger and Invest in Disaster Preparedness and Mitigation Measures* that states “To support and strengthen resiliency of communities to shocks through safety nets or asset creation, including adaptation to climate change.” The second reference is a footnote to an outcome for *Strategic Objective 4: Reduce Chronic Hunger and Malnutrition* that links safety net programmes for households affected by AIDS to adequate food consumption over assistance period for targeted households. There are several other instances where safety nets might be implied however, for example related to *Strategic Objective 5: Strengthen the Capacities of Countries to Reduce Hunger*, which refers to hand over strategies, national policy frameworks, food and nutrition security etc. Further analysis would be needed during the Inception Mission of how safety nets are addressed in the Strategic Results Framework and to what extent the associated outcomes and indicators are relevant for the evaluation.

- Numerous factors outside of the control of WFP affect WFP’s ability to operate effectively in a safety net mode, thus an assessment must analyse the effect of the external operating environment (including country context and other external factors such as international collaboration) on WFPs work.

In spite of these limitations, there is an extensive literature and documentation related to safety nets and social protection. OE has prepared an electronic library of key relevant WFP and non-WFP documents including normative guidance, best practice, lessons learnt papers and evaluations of safety nets upon which the Evaluation Team can draw upon during the Inception Mission and the evaluation itself (see Annex 3).

There is currently a strong interest in safety net programming in WFP and several recent discussions and documents upon which the evaluation can build.³⁵ Specific uses of the evaluation results are also foreseen by WFP to support Strategic Plan implementation and for policy development as described in Section 1.C above on Stakeholders.

4. Key Evaluation Questions

Key evaluation questions have been identified during the TOR development phase. These should be used to guide the Evaluation Team in the development of the sub-questions that will be addressed. The key questions fall within the two broad domains of **extent and quality of performance** and **contributing/explanatory factors**.

Extent and Quality of Performance: The evaluation will assess WFP’s current and past experience at the country level in providing food assistance as a safety net

³⁵ Strategic Plan Implementation: Thematic Workshop on Safety Nets. Key recommendations and Way Foreword held in October 2009 in Ethiopia developed design principles for safety nets, discussed WFPs role and comparative advantage and some tentative milestones and indicators. Occasional Paper no. 20 entitled Unveiling Social Safety Nets and the paper Nketiah-Amponsah and Gentilili on Appraising countries’ social protection capacity: preliminary findings from a quantitative analysis both from WFPs Policy, Strategy and Planning Division provide frameworks upon which the evaluation can build and indicate continuing interest and relevance of the topic.

(whether the work was deliberately designed as a safety net programme or not) in order to generate lessons about the implementation of WFPs work in a safety net mode. Two related key evaluation questions that will be addressed are:

1. To what extent are WFP programmes being better integrated into national safety net systems and when they are, to what extent is WFP following international standards of good practice?
2. For those programmes and practices that are being operated as safety nets, how has this approach affected their **relevance & appropriateness, effectiveness** (in attaining stated objectives), **efficiency**, and **sustainability**. **Impact potential** will also be assessed to the extent possible.

Contributing/Explanatory Factors³⁶: The evaluation will assess how factors within WFP and outside of it affect WFP's ability to deliver assistance as an integral part of sustainable safety net systems. It will **build understanding of the factors that explain the observed results and performance** to generate insights into the "why" they occurred and thus draw lessons for what should be repeated or avoided in future. For those operations and practices that have not been effectively implemented as safety nets, the evaluation will seek to understand the factors that hindered such an adjustment. Three related key evaluation questions that will be addressed are:

1. How do factors outside of WFP in the **external operating environment** including donors, partnerships, policy environment, and social/political/economic and cultural conditions in the country affect WFPs ability to integrate its work into national safety net systems?
2. What factors related to WFP's **organizational capacity** including its processes, systems, and culture affect WFP's ability to adopt a safety net approach?
3. What factors related to the **capacity of WFP staff** including their skills, knowledge, attitudes and motivations affect WFP's ability to adopt a safety net approach?

The evaluation will focus on drawing lessons from country experience. Both positive and negative experiences will be analysed since they both can provide important insights about what works, what doesn't, why and how.

5. Evaluation approach

5. A. Methodology

During the Inception Phase the Evaluation Team will develop an evaluation methodology based on further exploration of issues associated with safety nets in WFP. The methodology will include the development in a participatory manner with key stakeholders, of a **logical framework or theory of change** for safety nets that captures the expected inputs, outputs and outcomes expected from WFPs safety

³⁶ Drawn from several sources related to evaluating organizational capacity including: *Evaluation of WFP's Capacity Development Policy and Operations* OE WFP May 2008, and C. Lusthaus, M. Adrien, G. Anderson, F. Carden and G. Montalvan (2002) *Organizational Assessment: A Framework for Improving Performance*. IDRC and IADB

net work. Associated indicators will also be developed. The evaluation Team will also develop an **evaluation matrix** which includes the key questions, information sources and methodologies used to collect data from each source.

In order to capture the field experiences with safety nets, the evaluation will use a **multi-country case study** approach. The Evaluation Team will identify a selection of cases during the Inception Phase based upon objectively verifiable criteria and that are the most revealing of issues associated with safety nets and social protection. Both successful and less successful cases will be investigated, since often less successful cases are the most illustrative of important lessons.

The methodology should enable an assessment of how WFPs operations reacted during the period 2005 and 2009 to the new directions presented in the Strategic Plan. The methodology should also enable analysis at different levels of the organization to determine how WFP supports or doesn't support a transition by country level implementers towards a safety net approach. It must also enable assessment of the roles of factors outside of WFP that are expected to influence WFPs performance, for example donor priorities, international policies and the socio-economic status of the countries where WFP works, among others.

A combination of quantitative and qualitative tools and methods will be used and the approach throughout the evaluation process will be pragmatic and participatory. All key stakeholders, including partners and beneficiaries will be consulted to ensure a complete understanding of the diverse perspectives on the issues being evaluated.

A detailed methodology will be developed during the inception phase, but methods are likely to include:

- **Desk review** of literature; programme records; evaluations on relevant topics; normative guidance; and WFP plans related to safety nets and social protection;

Benchmark with good practice when available/possible, to analyse how WFP's practice compares with international good practice standards for safety nets and social protection;

- **Field visits** to country offices and regional bureaux;
- **Key informant interviews** including briefings with key WFP staff, stakeholders in the countries such as partners in governments, NGOs, and communities, the evaluation reference group for the evaluation, and possibly an external expert review group, if appropriate;
- **Focus groups and/or surveys** of relevant stakeholders and partners;
- **Debriefings** in the countries at the end of the visit and one at WFP Headquarters at the end of the evaluation to provide stakeholders with an early overview of initial findings for initial validation.

As with all OE evaluations, findings will be triangulated from all information sources, evidence-based and relevant to the evaluation objectives. The evaluation report will present a clear and logical flow from findings to conclusions and from conclusions to recommendations. Recommendations will be limited in number and focused on strategic issues.

5. B Evaluation Quality Assurance System

To ensure that WFP evaluations adhere to the highest standards of quality, WFP's OE has developed the Evaluation Quality Assurance System (EQAS) for each type of evaluation. The EQAS is based on UNEG norms and standards and good practice in

the international development evaluation community (ALNAP and DAC). EQAS provides process maps, templates for evaluation products and quality checklists for all phases of the evaluation process, as well as technical notes covering stakeholder analysis, logical framework development, evaluation criteria and evaluation matrix development. EQAS is an integral part of the evaluation process and is the standard to which the Evaluation Team and all associated evaluation products and processes are held. EQAS templates for Strategic Evaluation inception reports and final reports are included as Annex 4.

An expert review panel of two external safety nets experts will be consulted during the evaluation. A consultation will take place during the inception mission. The panel will also review and comment on the Inception Report and comments will be taken into consideration in the final Inception Report. The Expert Panel will also be asked to review and comment on the draft Evaluation Report.

5. C Phases and deliverables

The main phases of the evaluation, the timeline and the deliverables are shown in the following table. Although broad guidelines are given for the phases of the evaluation, the deadline for the final report is not flexible since the document must have been completed, reviewed and redrafted by March 1, 2011 at the latest in order to meet the deadlines set for Executive Board document formatting, translation and distribution prior to the June 2011 Executive Board meeting.

Key Phase	Timeline	Deliverables
Preparatory Phase	June-July 2010	Terms of Reference Proposals from consulting companies Evaluation Team selection/contracting
Inception Phase	Aug-Sept 2010	Preliminary preparation by Evaluation Team (August) Inception Mission (September) Inception Report (by end of September) Annotated Evaluation Report Outline (by end of September)
Fieldwork/Analysis	Mid-Oct – end of Nov 2010	Data collection instruments and primary data (as appropriate) Aide Memoire and Powerpoint presentations of country debriefings
Debriefing	Mid December	Aide Memoire and Powerpoint presentation of Rome debriefing by Team Leader
Draft Report	January 2011	Draft Evaluation Report
Final Report	March 1, 2011	Final Evaluation Report

6. Organization of the evaluation

6. A Expertise of the Evaluation Team

In order to ensure the independence of the evaluation and the credibility of the results, the evaluation will be conducted by team of external consultants identified through a transparent selection process. The team will include members with an appropriate balance of expertise in evaluation methodologies and technical expertise related to social protection and safety nets.

The team leader should have strong evaluation experience in the context of international development or aid, a good understanding of safety nets as well as excellent analytical, communication and team management and communication skills (verbal and written).

Team members should have strong experience in safety nets, organizational change processes and technical areas associated with WFPs work, such as food security, food distribution, SF or other associated activities preferably in the context of humanitarian assistance, good interpersonal skills, ability to work effectively as a member of a team and good analytical and writing skills. The team members should have experience in the appropriate range of methodologies needed for the evaluation.

If deemed necessary, national consultants or other types of support, such as research assistance or editorial assistance could be hired to complement and assist the team in its work.

The team members will report to the Evaluation Team Leader and be responsible for delivering inputs as agreed. The team leader is responsible for the overall timely delivery of high quality products including the inception report, the methodologies and data (as appropriate), reports and presentations used in briefings, and the final evaluation report.

As a member of the United Nation Evaluation Group, WFP is committed to the norms and standards of 2005 as well as to the ethical guidelines for evaluation published in 2007. Therefore, all participating evaluators will be provided with copies of the UN Evaluation Norms & Standards and Code of Conduct for Evaluation in the UN System and will be expected to operate in accordance with these standards.

6. B WFP stakeholders roles and responsibilities

This evaluation is being managed by WFPs OE and Jamie Watts, Senior Evaluation Officer, has been appointed as Evaluation Manager. She is responsible for drafting the TORs; selecting and contracting the Evaluation Team; preparing and managing the budget; setting up the internal reference group and external expert reviewers; organizing the team briefing; assisting in the preparation of the field missions; conducting the first level quality assurance of the evaluation products and consolidating comments from stakeholders on the various evaluation products. She will also be the main interlocutor between the Evaluation Team, represented by the Team Leader, and WFP counterparts to ensure a smooth implementation process.

Relevant WFP stakeholders at CO and RB (Programme staff, Senior Management and M&E Officers, where present, at both CO and RB) and HQ (Policy, Strategies and Planning Division, Performance and Accountability Management Division and Programme Design Service) are expected to be available for interviews/meetings with the Evaluation Team and to comment on the various reports throughout the evaluation process.

Besides acting as key informants, the COs selected for case studies will also be responsible for gathering and sharing documents deemed relevant to the scope of the evaluation with the Evaluation Manager and Team.

In addition, the COs selected for field visits will be responsible for setting up meetings with relevant stakeholders and assisting in the identification of sites to visit and providing logistical support to the Evaluation Team when in-country (e.g. arranging for lodging, transportation and providing suitable staff to act as interpreters, if required).

6. C Communication

An **internal reference group** comprising a representative from HQ Policy, Strategies and Planning Division, Performance and Accountability Management

Division, Programme Design Service plus regional bureaux safety net focal points will be created for two purposes:

1. to act as specific points of liaison/communication between the evaluation and key units of WFP
2. to provide feedback on evaluation documents and suggestions on the evaluation process

The internal reference group will be asked to provide feedback on the three core evaluation documents that will be produced, which are the Terms of Reference; the inception mission report and the final draft report. Members of the internal reference group will also be invited to participate as key informants during the evaluation process and thus participate in interviews, focus groups and/or workshops to inform the evaluation.

Since the evaluation is intended to contribute to organizational learning and development, the Evaluation Team and Evaluation Manager will consider during the inception mission the feasibility of organizing an **end of evaluation workshop** to share findings and discuss ways forward, prior to finalizing the recommendations. Not only is this a means of validating findings and conclusions and grounding recommendations in organizational reality, it also is an effective means of stimulating learning and multi-level communications between the Evaluation Team and WFP staff. Opportunities will also be explored for partner participation in the workshop. If a workshop is not possible due to time or budget restrictions, the Evaluation Team and Evaluation Manager will consider the possibility of conducting a **brown bag seminar** at the end of the evaluation to inform staff of the evaluation findings, conclusions and recommendations.

The Summary Evaluation Report will be submitted to the WFP Executive Board session EB.A/2011 which meets in June 2011. In order to ensure adequate time for the preparation of the WFP Management Response, the final evaluation report must be received by February 1, 2011.

6. D Budget

The overall budget for the evaluation is US\$250,000 which covers the consultancy fees of the Evaluation Team, international and in country travels (including WFP staff Evaluation Manager if necessary) and miscellaneous expenses. Funds will be provided by the OE budget as approved in the 2010-2011 biennium work plan and budget.

7. Annexes

1. **Factsheet**
2. **Preliminary Bibliography**
3. **Evaluation Reference Documents & Templates**

(The following documents will be made available to the Evaluation Team):

- [UNEG - Code of Conduct 2007 draft.pdf](#)
- [T - StEv - Inception report](#)
- [T - StEv - Evaluation report](#)
- T - StEv - Summary Report

Annex 2: Evaluation Methodology/Evaluation Matrix

Evaluation Approach

The emphasis of this Strategic Evaluation of WFP's Role in Social Protection and Safety Nets is on increasing understanding about when and how WFP can most effectively integrate its work into national social protection and safety net systems. Because programming specifically designed with safety nets and social protection approaches in mind is relatively new within WFP the emphasis of the evaluation is therefore not on judging WFP's past work.

Inception Phase Activities

1. The Inception Report serves as the basis for conducting the evaluation. During the inception phase the evaluation team built on planning conducted by WFP to design the detailed steps, tools and methodological approaches to be used during the evaluation and reporting phases. Preparing the Inception Report enabled the evaluation team to make choices which significantly shaped the evaluation methodology including:
 - Analysis of varying definitions and understandings of social protection and safety nets and clarification of working definitions for purposes of the evaluation;
 - Development of indicators of good practice for successful social protection programs, based on consultations and research during the inception phase.
 - Definition of a logic model to establish the conceptual framework for the evaluation;
 - Development of case study methodology for selection of countries for in-depth study (field visits); and
 - Creation of an evaluation matrix defining the indicators and key sources/mechanisms for gathering data to address each of the evaluation questions and sub-questions.
2. These foundational components are further explained below along with other components of the methodology used by the evaluation team.

Working Definitions

3. Social protection and safety nets are defined differently by various organizations depending on their mandate and focus. The evaluation team reviewed various definitions as well as WFP internal documentation including the 2004 Safety Nets Policy Issues Paper and 2009 Addis Ababa workshop outputs. Building upon the definitions provided in the 2004 Policy Issues Paper, the following definition was adopted by the evaluation team as a working definition of social protection for the evaluation, as it more accurately reflects an up to date perspective on WFPs role in social protection:
4. *Social protection refers to food assistance transfers to the most vulnerable to protect against livelihood risks, promote livelihood opportunities, and enhance the social status and rights of the socially excluded and marginalised.*

5. In order to provide a working definition of safety nets in a WFP context, literature on terminology was reviewed in addition to WFP's own deliberations (as presented above). The definition for safety nets adopted by the evaluation team is:
6. *Safety nets provide direct, regular and predictable food assistance in cash or kind to the most vulnerable to prevent them from falling below a minimum level of food security as a result of a shock and to increase their resilience to shocks and, in some cases, promote their food security.*

Indicators of Good Practice

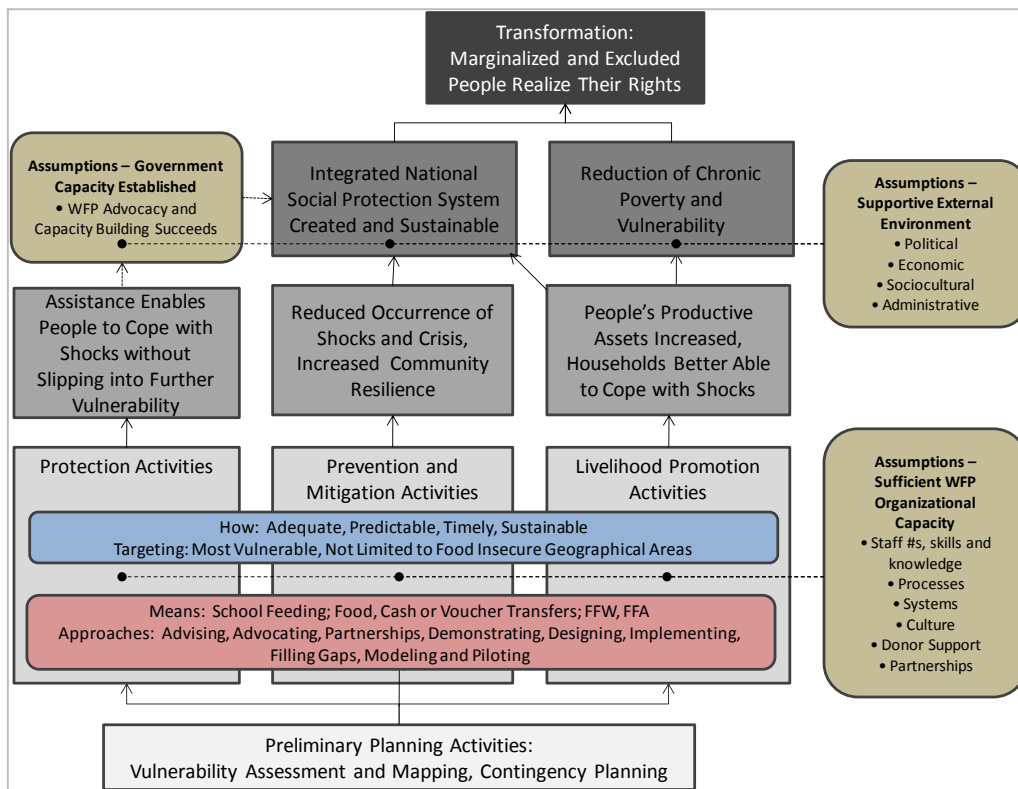
7. While there appears to be no universally agreed or standard "best practice" in social protection applicable to all countries in all circumstances, the evaluation team reviewed the emerging body of knowledge on best practice and principles which could provide future guidance.
8. Based on this research, the evaluation team decided to consider four principles of good practice that are most relevant and important for the analysis:
 1. Adequacy: Social protection measures are sufficient to meet people's needs.
 2. Timeliness: Social protection measures are both on-time and at the right time.
 3. Predictability: Social protection measures are regular; people know what is coming and can plan accordingly.
 4. Sustainability: Social protection measures are both financially and politically sustainable.

Logic Model

9. There is no agreed upon logic model, results framework or conceptual diagram for social protection or safety nets at a corporate level within WFP. In the absence of such, during the inception meetings the evaluation team developed a "mind-map", as a team working document, displaying the various dimensions of questions to be asked during semi-structured inception phase interviews.
10. As a basis for understanding the subject and framing the evaluation, the evaluation team, in consultation with OE, used the information gathered in inception interviews and linked to the "mind-map" questions to develop a number of potential logic models and conceptual frameworks. After discussing the various options the evaluation team diagrammed a logic model which uses elements derived from the following sources:
 - 2004 WFP Safety Nets Policy Issues Paper;
 - Principles noted during the Addis Ababa meeting;
 - Principles of good practice described in section 2.A above;
 - Purposes associated with social protection identified during the inception meetings;
 - Outcomes and indicators elaborated in the *WFP Strategic Results Framework for the Strategic Plan 2008-2011*; and
 - Key external environmental factors and organizational capacity factors described by Lusthaus in the four dimensional diagram contained in *Enhancing Organizational Performance: A Toolbox for Self Assessment*.

11. This logic model, depicted in Figure 1, is linked to the key evaluation questions, the evaluation matrix, and the methodology for case study design.

Figure 1 – Logic Model for Evaluation of WFP’s Role in Social Protection



12. The logic model depicted above was presented during country visits and to external experts during the evaluation phase to test its relevance. The model was useful for the Evaluation Team in framing detailed interview questions and to facilitate discussions with country office staff and external experts. While the logic model was useful for the evaluation, it was also noted that it may be too complicated to be useful as a tool for programme guidance at the field level.

Methodology

13. To answer the key evaluation questions regarding 1) the extent and quality of performance (what and how) and 2) the contributing and explanatory factors (why), the evaluation team used a mixed-methods approach as foreseen in the ToR. The methods envisioned in the ToR were accepted and further developed below, with the exception of the use of surveys as a tool.

14. Based upon the logic model and key evaluation questions, the evaluation team selected the following key components of the evaluation methodology:

- Literature review of a broad set of literature related to social protection approaches, good practices, key components and challenges of social protection initiatives, and international and donor government policies and strategies.
- Key informant interviews with key stakeholders during country visits (e.g. host government agencies, WFP Country Office staff, donors, and partners), two regional visits, and by telephone (e.g. WFP headquarters staff, donor

government experts based in their capitols, and external subject matter experts).

- Document and archival record review utilising documentary evidence and archival data compiled during country visits (e.g. project plans and reports, training records, budgets, financial reports, previous evaluations, national policy documents, etc.).

15. Data gathered was triangulated by comparing findings collected from different sources in five different countries and two RB, general literature and additional stakeholder interviews. Findings gathered by different evaluators were analysed and triangulated during a full evaluation team meeting that took place after the country visits.

16. The following key components define the **Multiple-Case Study approach** for this evaluation:

- Cases were developed for each potential role identified in the 2004 Safety Nets Policy Issues Paper. The evaluation team analysed the actual activities and roles played in each country relative to the three potential models and roles depicted in Figure 1. One case represents Model A: countries transitioning towards a national social protection system. Another case represents Model B: based on countries which are establishing national social protection systems. The third case represents Model C: based on countries where a national social protection is established;
- Within each project type, three dimensions of social protection programming and one general programme dimension were assessed:
 - i. Purpose of the programme or project (i.e. protective, preventive, promotive);
 - ii. Application of characteristics of good practice in the project design and implementation (i.e. adequacy, timeliness, predictability, sustainability);
 - iii. Targeting factors (i.e. whether projects are limited to food-insecure geographic areas or across the entire country based on vulnerability to shocks);
 - iv. OECD/DAC criteria (i.e. the effect of adopting a social protection approach on programme relevance and appropriateness; effectiveness; efficiency; sustainability; and impact potential).
- Thus, each case, while analysing different roles for WFP, attempts to capture the same types across contexts, to facilitate comparison within cases as well as by characteristic of good practice and capture variations or similarities.

17. The impact of internal capacity factors and external partnership, policy and environmental factors was assessed separately from the cases outlined above. These factors were compared and contrasted through analysis at a country context and country office level as well as a global level.

Mapping of Operations and Country Selection

Mapping of Operations

18. During the evaluation preparation phase, the OE reviewed WFP operations from 2002-2009 during the process of developing the ToR. The 91 countries where WFP worked during this period comprised the initial “universe” of operations from which a limited number would be selected as case studies for the evaluation.

19. The WFP Food Security and Safety Net Service (PSF) has developed a SPI³⁷ which classifies countries into five clusters based on their capacity for social and safety net programmes. Fifty-nine countries with WFP operations have been assessed using the SPI. These were grouped into five clusters, with Cluster 1 countries deemed to have the greatest capacity for social protection and Cluster 5 countries the least.

20. A word search of Project Documents and Standardized Project Reports for these 59 countries using the terms “safety nets”, “social protection”, “social transfer” and “social services” was conducted by OE. The word search yielded 47 countries with safety net and social protection language appearing in a total of 78 project documents.

21. These 47 countries span the five SPI clusters, thus suggesting that WFP works with countries with varying capacities to implement social protection programming. The 47 countries were also distributed across all the regions of WFP work.

Country Selection

22. Following discussions with RB and Headquarters staff of WFP, 18 countries were identified as candidates for further review, based on perceived levels of activity and interest. Project documents for each of the 18 countries were reviewed, as presented in Table 2 below, which demonstrates the diversity of WFP activities potentially related to social protection programming.

23. Using project documents for each of the 18 countries identified for further review, the evaluation team also analysed the potential roles for WFP from the Safety Nets Policy Issues paper and identified the likely role WFP is playing in each country. These likely roles are also depicted below in Table 1.

24. The evaluation team used a purposeful stratified sampling approach to select the countries to visit. Stratification is applied across role type, SPI cluster, and project type.

25. The number of recent evaluations, the different types of activities and the number of beneficiaries receiving assistance in each of the 18 countries were examined to ensure the evaluation could examine the full range of WFP activities that are most likely to contribute to social protection, e.g. SF, food for work and cash or voucher transfers.

26. After applying these filters 11 countries were identified. Recognizing that an important factor for visits would be the willingness and ability of country offices to host the evaluation team for a period of approximately one week at relatively short notice the selection of 11 countries therefore provided alternatives.

³⁷ The indicators used to develop the SPI were: Gross National Income, Poverty, Aid as a Proportion of Gross Fixed Capital Formation, Gini Coefficient, Governance and anti corruption indicators

Table 1 - Activities of WFP in 18 Selected Countries by Project Type

Ser.	Code	Country	Reg. Bureau	SPI Cluster	Project Categories	Project Codes	2009 Beneficiary #s by Project Type										Likely Role
							Supp.	Therap.	School	GFD	FFT	FFW	HIV	MCH	Cash & Vouch		
							Feeding	Feeding	Feeding								
1	EGY	Egypt	OMC	1	CP	10450.0	0	0	199377	0	1850	1700	0	0	0	C	
2	GEO	Georgia	OMC	2	PRRO	10211.1	0	0	0	90100	0	23050	4600	0	32900	C	
					PRRO	10787.0	0	0	0	55050	0	17550	4550	0	9150		
3	BGD	Bangladesh	OMB	3	CP	10410.0	24522	0	573097	0	271837	30250	0	9098	0	C	
					EMOP	10788.0	37440	0	542173	850000	10950	30803	0	10950	307855		
4	COL	Colombia	OMP	3	PRRO	105880	111842	0	104725	218227	22918	8684	0	60070	0	C	
5	ETH	Ethiopia	OMJ	3	CP	10430.0	0	0	481791	0	0	67377	0	0	0	B	
					PRRO	10665.0	755664	0	0	6150313	0	220568	116161	355607	0		
6	GTM	Guatemala	OMP	3	PRRO	104440	0	0	0	164435	8626	34778	0	0	0	C	
					CP	200031	0	0	0	0	0	0	0	0	0		
7	KEN	Kenya	OMJ	3	PRRO	10666.0	89621	0	1115830	2031265	0	98078	0	15816	0	B	
					CP	10668.0	0	0	862248	0	0	0	78472	0	0		
					EMOP	10745.0	43778	0	0	1139794	0	67861	0	24786	0		
8	SEN	Senegal	OMD	3	CP	10451.0	0	0	186236	0	0	1027	0	0	0	B	
					PRRO	10612.0	25563	0	398949	23616	47212	132551	0	0	0		
9	BOL	Bolivia	OMP	4	CP	105960.1	45083	0	96646	0	0	0	0	0	0	B	
					PRRO	108360	1993	0	10856	26994	181	10338	0	878	0		
10	CIV	Cote d'Ivoire	OMD	4	PRRO	10672.0	22745	0	469110	16385	0	1926	61697	55974	0	B	
11	KHM	Cambodia	OMB	4	PRRO	10305.1	0	0	530719	84206	0	21385	114147	0	0	B	
12	LSO	Lesotho	OMJ	4	PRRO	10599.0	33121	0	0	10226	119742	0	0			B	
13	UGA	Uganda	OMJ	4	PRRO	10121.2	15799	1933	0	1787165	0	32280	0	8886	0	B	
					PRRO	10121.3	12393	2848	0	1224943	0	0	0	867	0		
					CP	10426.0	11431	0	85147	0	0	725	0	8590	0		
					DEV	10792.0	0	0	0	0	0	0	0	0	0		
					CP	108070	0	0	0	0	0	0	0	0	0		
EMOP	10811.0	6869	1438	0	1210161	0	0	0	0	32726	0						
14	ZMB	Zambia	OMJ	4	CP	10447.0	8443	0	273668	0	3970	5256	46602	0	0	B	
					PRRO	10594.0	10546	0	0	182148	3517	39785	6771	0	78079		
15	BFE	Burkina Faso	OMD	4	EMOP	10773.0	40,326	0	0	13,793	0	0	0	73,966	240,114	A	
					CP	10399.0	76,363		82,090		36,648	30,908	23,484	73,401			
					PRRO	10541.0	158,475							153,403			
					PRRO	200054	712,000							219,000			
					EMOP	200196*	21,500							3,500	65,000		
IR-EMOP	200067				125,000												
16	MOZ	Mozambique	OMJ	5	CP	10446.0	0	0	188765	0	0	0	630	0	0	B	
					PRRO	10600.0	5900	0	0	196200	0	2800	442600	15300	0		
17	SLE	Sierra Leone	OMD	5	PRRO	10554.0	73956	1100	218845	0	12564	14187	17444	87888	0	A	
					CP	10584.0	24270	0	93906	0	0	0	2500	10000	0		
18	ZWE	Zimbabwe	OMJ	5	PRRO	10595.0	0	0	200806	4501510	0	0	467921	0	19517	B	

Note: For Burkina Faso the figures of the first 3 projects are expressed in actual value while the last 3 projects are in planned values. PRRO 200054 & EMOP 200196 started in 2010, therefore, the SPRs with Project outputs are still not available. IR-EMOP 200067 is an immediate response EMOP and for this project type, SPR are not produced.

* The total beneficiaries figure has been adjusted downwards to avoid overlap of beneficiaries assisted under both activities. Tot Benef. 77,000 (as per Prodop Pag.7)

27. The five countries first selected to visit were based a number of factors were considered including diversity across the three roles WFP can have in support of social protection programming, different government capacities as described by the SPI and different regions where WFP works.

28. Applying these filters resulted in the selection of Uganda, Sierra Leone, Georgia, Colombia and Cambodia as first choices for country visits. In addition the evaluation team decided to undertake a short visit to Ethiopia to update the knowledge and learning from this important instance of WFP's work in safety net support. Data for the five selected countries plus Ethiopia is shown in Table 2 below.

Table 2 – Country Visit Selections

Ser.	Code	Country	Reg. Bureau	SPI Cluster	Project Categories	Evals 08-11	2009 Beneficiary #s by Project Type									Likely Role
							Supp. Feeding	Therap. Feeding	School Feeding	GFD	FFT	FFW	HIV	MCH	Cash & Vouch	
1	GEO	Georgia	OMC	2	PRRO	1				x		x	x		x	C
2	COL	Colombia	OMP	3	PRRO	3	x		x	x	x		x			C
3	KHM	Cambodia	OMB	4	PRRO	3			x	x		x				B
4	UGA	Uganda	OMJ	4	CPs, PRROs, DEV, EMOP	2	x	x	x	x		x		x	no beneficiary #s but project documents reference cash and	B
5	SLE	Sierra Leone	OMD	5	CP, PRRO	1	x	x	x		x	x	x			A
6	ETH	Ethiopia	OMJ	3	CP, PRRO	6	x		x	x		x	x	x		B

29. After contacting the selected countries to request evaluation field visits a few country offices determined that they would be unable to host a visit during the time frame planned. Alternate countries were contacted and the final country visits were scheduled. The actual country visits took place in the countries shown in Table 3.

Table 3 – Actual Countries Visited

Ser.	Country Code	Country	Reg. Bureau	SPI Cluster	Project Categories	Evals 08-11	2009 Beneficiary #s by Project Type									Likely Role
							Supp. Feeding	Therap. Feeding	School Feeding	GFD	FFT	FFW	HIV	MCH	Cash & Vouch	
1	GEO	Georgia	OMC	2	PRRO	1				x		x	x		x	C
2	ETH	Ethiopia	OMJ	3	CP, PRRO	6	x		x	x		x	x	x		B
3	SEN	Senegal	OMD	3	CP, PRRO	1	x		x	x	x					B
4	UGA	Uganda	OMJ	4	CPs, PRROs, DEV, EMOP	2	x	x	x	x		x		x	no beneficiary #s but project documents reference cash and vouchers	B
5	SLE	Sierra Leone	OMD	5	CP, PRRO	1	x	x	x		x	x	x			A

30. To address the omission of countries in Latin America from those actually visited the Evaluation Team agreed to conduct phone interviews with the RB and country offices from Guatemala and Colombia.

Data Collection Strategy

31. The **Country Visits** were used primarily to collect the data needed for the case studies described above. Collection of data during field visits was based primarily on individual interviews using questions derived from the evaluation matrix. During country visits interviews will be conducted with key stakeholders in the Country Offices, host governments, donors, and partner organizations. Additional documentary evidence and archival data was also collected during each country visit.

32. To ensure commonality of approach, two evaluation team members participated in the first country visit. The Evaluation Manager also participated in this visit to help refine the evaluation approach and methodology. This field visit served as an opportunity to refine tools and approaches. Given timing and resource

constraints, the subsequent four field visits were each be conducted by a single evaluation team member.

33. Aide Memoires were developed from interview notes for each country visit along with summary analysis matrices related to the key interview questions. These internal working documents allowed Evaluation Team members to debrief and validate country level findings with country offices and enabled team members to review the results of each visit and compare interpretations during data consolidation and analysis.

34. **Documentary and archival records** related to WFP programmes, projects and operating contexts was collected before and during country visits to supplement data collected through interviews. Project documents, budgets, financial and performance reports, policy and existing guidance, and other records were requested and reviewed to provide a broad basis for in-depth study of the different roles WFP undertakes in support of social protection programming.

35. To enable the literature review, additional **external studies, research and evaluations** of social protection trends, challenges and lessons were collected to identify broad issues and potential learning from external sources related to WFP's role in social protection.

36. Additional **interviews** were conducted to gather input from stakeholders identified for engagement as a data source but not included in the country visits (i.e. WFP headquarters staff, donor government experts in capitols, and external subject matter experts).

37. Interviews with two countries in Latin America were conducted by phone. Using the information provided on these calls and from more in-depth review of documentation, additional case study information was developed for the two countries.

38. The linkages between the key evaluation questions and the data collection approaches are depicted in the Evaluation Matrix, Table 7, which can be found at the end of this annex.

Quality Assurance

39. **Evaluation Quality Assurance System (EQAS):** WFP has developed EQAS based on the UNEG norms and standards and good practice of the international evaluation community (ALNAP and DAC). It sets out process maps with procedures for quality assurance and templates for evaluation products. It also includes checklists for feedback on quality for each of the evaluation products including the ToR. EQAS was systematically applied during the course of this evaluation and relevant documents were provided to the evaluation team.

40. **External Reference Group:** To further ensure the validity of methodology and quality of the evaluation, OE identified a group of two external experts in social protection who served as an External Reference Group. These experts reviewed and commented on the draft Inception Report as will review and comment on this draft Evaluation Report.

41. An External Reference Group is typically set up for each evaluation commissioned by OE. This is a limited engagement to provide the following specific support to the evaluation, including:

- An interaction during the inception phase to alert the team to issues related to the evaluation topic, to advise on the evaluation process, and to identify relevant literature;
 - To review and provide feedback (preferably both written and verbal) on the draft Inception Report;
 - To review and provide feedback (preferably both written and verbal) on the draft Evaluation Report.
42. The following experts have agreed to serve in this capacity:
- Nupur Kukrety, Social Protection and Food Security Adviser, Oxfam Great Britain ;
 - John Hoddinott, Deputy Division Director of the Food Consumption Nutrition Division, IFPRI.

Table 4 - Evaluation Matrix

* **NOTE:** Key evaluation questions were framed by the ToR in terms of "safety nets." The matrix below has in most instances substituted "social protection" as a more current and comprehensive concept, while recognising that "safety nets" is a subset of social protection and will often be the terminology in use.

A. To assess WFP's current and past experience at the country level in providing food assistance as a safety net (*), the evaluation will analyse:

<i>Key Questions</i>	<i>Indicators//Analysis</i>	<i>Sources of Information</i>
1. What is WFP doing in the realm of social protection?		
	<ul style="list-style-type: none"> • Purpose (e.g. protective, preventive, promotive) and objectives of current and planned WFP social protection programmes. • Types of instruments WFP utilises to meet social protection objectives. • Changes in beneficiary targeting (if any) in social protection programmes (different people targeted, different mechanisms to target). 	Programme documents, key informant interviews (HQ, RB, country staff).
2. How is WFP contributing to the development of national protection systems?		
	<ul style="list-style-type: none"> • Identification of roles WFP plays with respect to national social protection system, if any - e.g. advocacy, gap-filling, developing models. • Correlation between roles predicted based on SPI and WFP policy and actual roles observed in case study countries. 	Programme documents, key informant interviews (RB and country staff; Gov, International Organisation, and NGO counterparts).
3. To what extent are WFP programmes being better integrated into national social protection systems?		
	<ul style="list-style-type: none"> • Programmes reflect government social protection policy frameworks where they exist; or, where they do not exist, demonstrate intent to integrate into policy frameworks as they are developed. • Programmes are strategically linked with efforts of other national actors (government and/or non-government) and are complementary, rather than duplicative. • Transition/handover strategy exists (including capacity building needs assessment and capacity building activities being carried out). 	Programme documents, relevant national policy documents, key informant interviews (country staff; Gov, International Organisation, and NGO counterparts).
4. To what extent is WFP following international standards of good practice in its social protection programming?		
	<ul style="list-style-type: none"> • Programmes are designed to provide resources that are Adequate (in quantity and quality) to meet recipient needs (and are targeted to those in need of social protection). 	Programme plans and reports, key informant interviews (country staff).

	<ul style="list-style-type: none"> Programmes are designed to meet needs in a Timely way (on-time and at the right time). Programmes are designed to be Predictable (available to respond to predictable shocks, providing resources for a predictable duration, or providing predictable/regular input such as SF). Programmes are designed to be Sustainable (institutionalised and reliably funded). 	
5. For those programmes/practices implemented as social protection, how has this approach affected programme relevance and appropriateness, effectiveness, efficiency, sustainability, and impact potential?		
	Relevance and Appropriateness	
	<ul style="list-style-type: none"> Beneficiary and partner feedback on relevance and appropriateness (and mechanisms in place for assessing these aspects). Effective adaptations by WFP to respond to changing circumstances (evolution of programmes over time towards social protection). 	Programme reports and evaluations, key informant interviews (country staff).
	Effectiveness	
	<ul style="list-style-type: none"> Achievement of social protection objectives. 	Programme reports and evaluations, key informant interviews (country staff).
	Efficiency	
	<ul style="list-style-type: none"> Adequacy of budgets for social protection programmes. Timeliness of delivery schedules for social protection programmes. 	Programme planning documents, programme budgets and reports, key informant interviews (country staff).
	Sustainability	
	<ul style="list-style-type: none"> Sustained donor support over time. Handover strategies or steps towards actual hand over, depending on realistic appraisal of national capacity and willingness. 	Programme planning documents, funding coverage documentation, key informant interviews (country staff).
	Impact potential	
	<ul style="list-style-type: none"> Indications of expected or realized changes in long-term outcomes for targeted beneficiaries from a social protection approach. 	Key informant interviews (RB and country staff, local counterparts).

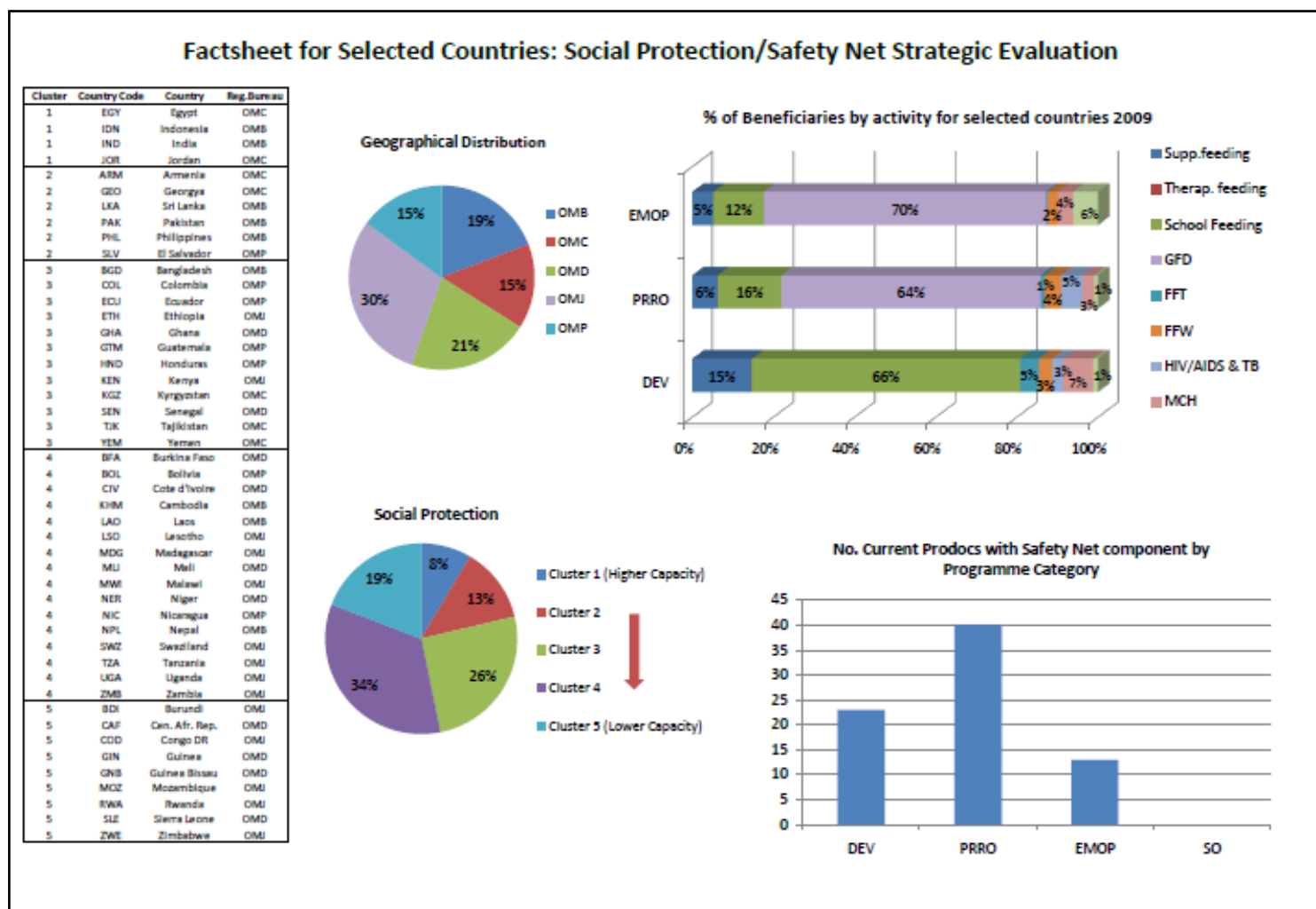
B. How have factors within and external to WFP affected its ability to deliver assistance as an integral part of sustainable social protection systems?

1. What internal and external factors are driving WFP interest in social protection programming?		
	<ul style="list-style-type: none"> Primary reasons driving the adoption of social protection approaches (e.g. corporate policy/strategy, Government or partner demand, donor demand or other). Trade-offs involved in shifting to social protection approaches. 	Key informant interviews (HQ, RB, and country staff, partners, donors), documentary evidence.
2. How do factors outside of WFP in the external operating environment including donors, partnerships, policy environment, and social/political/economic		

and cultural conditions in the country affect WFP's ability to integrate its work into national social protection systems?		
	Donors	
	<ul style="list-style-type: none"> • Donor interest in and commitment to social protection programming as a part of its approach to humanitarian assistance and development (HQ and country specific). • Donor interest in WFP taking a social protection approach to programming, with social protection's emphasis on predictability and sustainability (HQ and country specific). • WFP strategies to secure such funding. • WFP success in securing such funding (planned versus actual). 	Country plans, portfolio data, key informant interviews (HQ, RB and country staff, donors at country and home capital level).
	Partnerships	
	<ul style="list-style-type: none"> • WFP identification of and collaboration with appropriate partners. • Value-added from role(s)/contribution(s) of WFP and various partners. 	Key informant interviews (RB and country staff, partners).
	Policy environment	
	<ul style="list-style-type: none"> • Factors in policy environment that have either supported or hindered WFP's integration, including existence of national policy on social protection and WFPs integration into them (as appropriate). 	SPI, national policy documents, programme documents, key informant interviews (country staff; Gov, International Organization, NGO counterparts).
	Social, political, economic and cultural environment	
	<ul style="list-style-type: none"> • Evidence of correlation between specific country conditions (social, political, economic, cultural) and successful or unsuccessful WFP social protection programming, including evidence of political will, degree of social and political stability, and economic capacity. 	SPI, programme plans, key informant interviews (RB and country staff, partners).
3. How does WFP's organizational capacity, including its operating modalities, processes (budgeting, M&E, targeting, planning etc), systems, and culture affect its ability to adopt a social protection approach?		
	Operating Modalities	
	<ul style="list-style-type: none"> • Effect of different transfer modalities (food, cash, vouchers) on WFP's ability to effectively employ social protection approaches? • Impact of shifting towards using social protection approaches more frequently on choices among transfer modalities (food, cash, vouchers). 	Key informant interviews (RB, country staff, HQ staff, partners, donors), internal reports, external literature.
	M&E Systems	
	<ul style="list-style-type: none"> • Adequate analysis of programme inputs, outputs, outcomes and impact for social protection programmes (including indicators, data collection, reporting, etc., including but not limited to the Strategic Results Framework). • Limitations/constraints on monitoring and evaluating social protection programmes and how these can be or are being addressed. 	Monitoring and evaluation plans and reports, key informant interviews (RB and country staff, partners).
	Strategy Setting Processes	

	<ul style="list-style-type: none"> WFP strategy, policy and guidance on a social protection approach are clear, consistent, and useful to staff developing/leading social protection programmes. 	Policy and guidance documents, internal reports, key informant interviews (HQ, RB, country staff).
	Financial systems	
	<ul style="list-style-type: none"> Financial and reporting systems and processes are supportive of social protection programming. 	Policy and guidance documents, internal reports, key informant interviews (HQ, RB, country staff).
	Information systems	
	<ul style="list-style-type: none"> Organizational resources and technical advice are available to support transitioning to and implementing social protection approach. 	Policy and guidance documents, internal reports, key informant interviews (HQ, RB, country staff).
	Resources mobilization systems	
	<ul style="list-style-type: none"> Resource development strategies are adapting to the need for long-term reliability of funding (addressing predictability and sustainability factors). 	Policy and guidance documents, internal reports, key informant interviews (HQ, RB, country staff).
4. What factors related to the capacity of WFP staff including their skills, knowledge, attitudes, motivations affect WFP's ability to adopt a social protection approach?		
	Skills & Knowledge	
	<ul style="list-style-type: none"> New skills/competencies specific to social protection programming are identified for programming staff and management and reflected in hiring and performance management practices. 	Key informant interviews (HQ, RB and country staff), position profiles.
	<ul style="list-style-type: none"> Level of understanding among management and programme staff about social protection and its implications for their work. 	Key informant interviews (HQ, RB and country staff, local counterparts).
	<ul style="list-style-type: none"> Staff participation in training or other knowledge building activities to build understanding of social protection (workshops, on the job training, job rotation, etc). 	Documentation from workshops, key informant interviews (RB and country staff).
	Attitudes	
	<ul style="list-style-type: none"> Degree of expressed support for social protection programming among staff and recognition of the need for change (where relevant). 	Key informant interviews (HQ, RB and country staff).
	Motivation	
	<ul style="list-style-type: none"> Leaders and senior management demonstrate understanding of and commitment to social protection programming. Incentives systems encourage social protection programming and activities. 	Key informant interviews (HQ, RB and country staff).

Annex 3: Fact Sheet on WFP Countries and Operations



Annex 4: Bibliography

Author	Date	Title
WFP Policies, Plans, Reports, and Tools		
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Gentilini, Ugo	2007	<i>Cash and Food Transfers : A Primer</i> . Occasional paper No 18.
Herbinger, Wolfgang	1998	<i>Food-Based Safety Nets and WFP</i> . WFP Strategy and Policy Division.
Koller, Kathrin Kerren Hedlund	2010-Jan	<i>Analysing Anti-hunger Policy and Legislation: An Introduction</i> .
Lamade, Rebecca Parvathy Ramaswami	2009-Dec	<i>WFP Outcome Measurement Implementation Strategy for Operations (Revised 2009)</i> .
Meiering, Gregor B.M.	2009-May	<i>Food Security and the Social Safety Net in Georgia</i> .
Nketiah-Amponsah Edward Ugo Gentilini	2010	<i>Appraising Countries' Social Protection Capacity: Preliminary Findings from a Quantitative Analysis</i> . WFP Policy, Strategy and Planning Division (under development).
Omamo, Steven Were, Harry Johnstone Ugo Gentilini	2009-Dec	<i>Capacity Development for Hunger Solutions: Policy and Operational Frameworks</i> . Occasional paper No. 21.
Omamo, Steven Were Ugo Gentilini, Susanna Sandstrom (ed.)	2010	<i>Revolution: From Food Aid to Food Assistance: Innovations in Overcoming Hunger</i> .
Ressler, Everett, <i>et al.</i>	2009-Oct	<i>Strategic Evaluation of WFP's Contingency Planning 2002-2008</i> . OEDE/2009/011.
Sandstrom, Susanna	2009-Oct	<i>Food Assistance in the New Aid Architecture: Challenges and Possibilities for WFP</i> . WFP Policy Note.
WFP	2009-Dec	<i>Strategic Plan Implementation : Thematic Workshop on Safety Nets - Action Plan</i> . Addis Ababa, 26-28 October 2009.
WFP	2009-Feb	<i>Inside the Toolbox: An Analytical Framework to Guide Decision-Making Processes on the use of WFP's Tools</i> . WFP Policy, Planning and Strategy Division.
WFP	2009-Oct	<i>Strategic Plan Implementation : Thematic Workshop on Safety Nets - Key Recommendations and Way Forward</i> . Addis Ababa, 26-28 October 2009.
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WFP	2009-Dec	<i>OMC Region-Wide Report on Food Subsidy & Safety Net Programs: Opportunities for WFP Capacity Support (2nd edition).</i>	
WFP	2009	<i>WFP Annual Performance Report.</i>	
WFP	2008	<i>WFP Strategic Plan 2008-2011 (2013).</i>	
WFP		<i>WFP Policy on Capacity Development: An Update on Implementation.</i> Policy Issues paper. WFP/EB.2/2009/4-B	
WFP	2001-Dec	<i>Enabling Development.</i> Policy Issues paper. WFP/EB.A/99/4-A.	
WFP	2009-Nov	<i>Joint Evaluation of the Effectiveness and Impact of the Enabling Policy of the WFP, Vols 1 & 2</i>	
WFP	2009-Nov	<i>WFP School Feeding Policy.</i> Policy Issues paper. WFP/EB.2/2009/4-A.	
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WFP	2010-Dec	<i>Financial Framework Review.</i> WFP/EB.2/2010/5-A/1.	
WFP	2010-Oct	<i>WFP HIV and AIDS Policy.</i> Policy Issues paper. WFP/EB.2/2010/4-A.	
WFP	2008-May	<i>Evaluation of WFP's Capacity Development Policy and Operations.</i> OEDE/2008/3.	
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Davies, Mark	2009-Sep	<i>DFID Social Transfers: Evaluation Summary Report. IDS Research Report 60.</i>	DFID
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DRN, ADE, Baastel ECO NCG	2004-Dec	<i>Joint Evaluation of the Effectiveness and Impact of the Enabling Development Policy of the World Food Programme (WFP) - Bangladesh Country Study. Vols 1& 2.</i>	DRN, ADE, Baastel, ECO, NCG
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UN High Level Task Force on the Global Food Security Crisis	2010-Sep	<i>Updated Comprehensive Framework for Action</i>	UN
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Yin, Robert K.	2003	<i>Case Study Research, Design and Methods, 3rd Edition.</i>	Sage Publications

Annex 5: List of People Met and Places Visited

Name (Last)	Name (First)	Organization	Position/Unit	Location
Cespedes	Angelina	WFP	Safety Nets expert/focal point, RB for Latin America and the Caribbean	Phone
Cuartas	Maria Cecilia	WFP	Nutrition Officer, Colombia country office	Phone
Daniello	Liliana	WFP	Evaluation Focal Point, RB for the Middle East, Central Asia & Eastern Europe	Phone
Dettori	Ilaria	WFP	Chief, School Feeding	Rome
Di Sirio	Pasqualina	WFP	Senior Regional Programme Adviser, RB for Central and West Africa	Dakar
Due	Torben	WFP	Director of Operations	Rome
El-Noush	Haitham	WFP	Regional Cash & Voucher Specialist, RB for Asia and the Pacific	Phone
Gentilini	Ugo	WFP	Policy Officer Cash, Vouchers & Safety Nets/ Food Security & Safety Nets Service of PS	Rome
Guarnieri	Valerie	WFP	Director, Programme Division	Phone
Heider	Caroline	WFP	Director, OE	Rome
Heymell	George	WFP	Chief, Recruitment & Reassignment Branch, HR Division	Phone
Hoddinott	John	IFPRI	Deputy Division Director of the Food Consumption Nutrition Division	Phone
Jury	Allan	WFP	Donor Liaison Officer, Washington DC	Phone
Kehler	Al	WFP	Head of Programme Design, ODXP	Rome
Kukrety	Nupur	Oxfam Great Britain	Social Protection and Food Security Adviser	Phone
Lindquist	Bjorn	Reach	Coordinator, Reach Programme	Rome
Lodesani	Gemmo	WFP	Donor Liaison Officer, EU	Phone
Lofvall	Mads	WFP	Senior Regional Programme Adviser, RB for Eastern and Southern Africa	Kampala
MacDonald	Julie	WFP	Senior Regional Programme Adviser, RB for Latin America and the Caribbean	Phone
Mattei	Paolo	WFP	Regional Programme Adviser, RB for Asia and the Pacific	By Phone
Moshi	Magdalena	WFP	Senior Regional Programme Adviser, RB for the Middle East, Central Asia and Eastern Europe	By Phone
O'Brien	Sean	WFP	Director, Budget and Programming Division	By Phone
Oliva	Maritza	WFP	Nutrition Officer, Guatemala country office	By Phone
Paone	Gina	WFP	Director, Learning and Performance Management, Performance & Accountability Management Division	By Phone

Prout	John	WFP	Programming, Cash and Vouchers	Rome
Ramaswami	Parvathy	WFP	Chief, Performance Measurement and Knowledge Building, Performance and Accountability Management Division	Rome
ScalPELLI	Domenico	WFP	Director, Government Donor Relations Division	By Phone
Thimke	Judith	WFP	Deputy Country Director, Colombia country office	By Phone
Vallaure	Jaime	WFP	Deputy Regional Director, RB for Latin America and the Caribbean	By Phone
VanMilink	Willem	WFP	Country Director, Guatemala country office	By Phone
Yablonski	Jennifer	UNICEF	Social Protection Specialist	By Phone
FIELD MISSIONS				
Ethiopia				
Assefa	Abebe	Ministry of Labour and Social Affairs	Programme Coordinator, Social Policy	Addis Ababa
Berhanu	W/Michael	Ministry of Agriculture	Director, Disaster Risk Reduction and Food Security Sector Directorate	Addis Ababa
Bezabih	Tsegazeab	WFP	Programme Assistant, HIV/AIDS	Addis Ababa
Getahun	Mamo	WFP	Programme Officer, Partnership	Addis Ababa
Girmai	Haile	WFP	Programme Officer	Addis Ababa
Lemma	Frew	Ministry of Health	Nutrition Consultant	Addis Ababa
Miller	Lynne	WFP	Deputy Country Director	Addis Ababa
Neitzel	Jutta	WFP	Head, Nutrition and Education Section	Addis Ababa
Njoroge	Mary	WFP	Head Programme Support Section	Addis Ababa
Pearson	Roger	UNICEF	Senior Social Policy Specialist	Addis Ababa
Soer	Wout	World Bank	Programme Coordinator	Addis Ababa
Tayech	Yimer	WFP	Programme Officer, Targeted Supplementary Feeding	Addis Ababa
Tecleab	Ezgimeles	WFP	Senior Programme Assistant-PSNP	Addis Ababa
Teklu	Askale	WFP	Programme Officer, Food For Education	Addis Ababa
Tenaye	Mr.	Ministry of Education		Addis Ababa
Wickrema	Sonali	WFP	Head, Programme Coordination Unit	Addis Ababa

Georgia				
Abdaladze	Maia	WFP	HR Officer	Tbilisi
Ahmed	Maha	WFP	Country Director	Tbilisi
Booth	Greg	USAID	Transition Officer	Tbilisi
Coene	Frederik	European Union	Post Conflict Assistance Officer	Tbilisi
Dudas	Zsolt	ILO	Chief Technical Adviser	Tbilisi
Dzodzenidze	Darejan	IOCC	Project Manager	Tbilisi
Epremidze	Khatuna	WFP	Head of Programmes	Tbilisi
Gvaramadze	Tatia	Georgia Ministry of Labour, Health and Social Affairs	Head of Social Affairs Department	Tbilisi
Huggins	Michael	WFP	Deputy Country Director	Tbilisi
Kereselidze	Nodal	Ministry of Agriculture	Head of International Relations	Tbilisi
Kopaleishvili	Valeri	Georgia Ministry of Refugees and Accommodation	Adviser to the Minister	Tbilisi
Kvinikadze	Giorgi	Ministry of Statistics	Head of Subdivision of Agriculture and Food Security Statistics	Tbilisi
Megrelisvili	Tamuna	Liberty Bank	Head of the Central Branch	Tbilisi
Moroshkina	Nina	World Bank	Health and Social Officer	Tbilisi
Paulovica	Inita	UN Development Programme	Deputy Resident Representative	Tbilisi
Perk	Benjamen	UNICEF	Deputy Representative	Tbilisi
		Kareli Municipality	Head of Municipality	Tbilisi
Senegal				
Affif	William	WFP	Regional Emergency Preparedness and Response Officer	Dakar
Alvarez	Ricardo	European Union Delegation		Dakar
Balde	Mafouze	Pikine Local Government	Maire Adjoint <i>Charge des Infrastructures Commerciales des Inondations du Developpement Social</i>	Pikine
Ballo	Moise	WFP	Head of Programmes	Dakar
Bonang	Martial	WFP	Field Aid Monitor, Cash Voucher Pilot	Dakar
Crapouse	Pascale	WFP	Deputy Country Director	Dakar
Dhoore	Alain	World Bank		Dakar
Dia	Djibril	CARITAS	Voucher Implementation Partner	Dakar
Dia	Isabelle	WFP	Programme Officer, Salt Iodization/Nutrition	Dakar
Diene	Ndiobo	Senegal Ministry of Agriculture	Ingenieur Agronome, Conseiller Technique	Dakar

Diop	El Hadj Youssou	Pikine Local Government	Maire de la Commune d'Arrondissement de Yeumbeul Sud	Pikine
Diouf	Amacodou	International Council for Social Welfare	President for West Africa	Dakar
Disirio	Pasqualina	WFP	Senior Regional Programme Adviser	Dakar
dit Guerin	Olivier Louis	ILO Regional Delegation		Dakar
Fall	Aissata	WFP	Consultant, Cash and Voucher Pilots	Dakar
Faye	Abdoulaye	WFP	National Programme Officer for FFE and Social Protection	Dakar
Gamli	Atsuvi	WFP	VAM Officer	Dakar
Gbenindo	Rose	WFP	Field Aid Monitor, Cash Voucher Pilot	Dakar
Halgan	Stephane	European Union Delegation		Dakar
Ka	Abdoulaye	CLM (Senegal Government Agency for Nutrition)	Responsable du Suivi et des Operations	Dakar
Kameli	Yves	Institute for Development Research	Evaluator for Voucher Pilots	Dakar
Ndiaye	Abdou	Senegal Ministry of Families		Dakar
Pappinutti	Patrizia	WFP	Regional Programme Advisor RB for Central and West Africa	Dakar
Pigois	Remy	UNICEF	Sr. Social Protection Officer	Dakar
Sadio	Joseph	WFP	National Programme Officer, Cash and Vouchers	Dakar
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Acronyms

AIDS	Acquired Immunodeficiency Syndrome
ALNAP	Active Learning Network for Accountability and Performance
CFW	Cash for Work
CO	country office
DAC	OECD Development Assistance Committee
DFID	UK Department for International Development
EQAS	Evaluation Quality Assurance System
FFT	Food for training
FFW	Food for work
GFD	general food distribution
HIV	Human Immunodeficiency Virus
HQ	Headquarters
IDP	Internally Displaced Person
IDS	Institute of Development Studies
IFPRI	International Food Policy Research Institute
ILO	International Labour Organization
M&E	monitoring and evaluation
MCHN	mother-and-child health and nutrition
NGO	non-governmental organization
ODI	Overseas Development Institute
OE	Office of Evaluation
OECD	Organization for Economic Co-operation and Development
PLHIV	People Living With HIV
PSF	Food Security and Safety Net Service
RB	Regional Bureau
SF	school feeding
SPI	Social Protection Index
SPR	Standardized Project Report
ToR	terms of reference
UN	United Nations
UNEG	United Nations Evaluation Group
UNICEF	United Nations Children's Fund
VAM	vulnerability analysis and mapping
WFP	World Food Programme

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