

Monitoring Food Security

Technical Guidance Sheet 4

Capacity Assessment for a National FSMS

August 2013



World Food Programme

Fighting Hunger Worldwide



Monitoring Food Security,

Technical Guidance Sheet 4: Capacity Assessment for a National FSMS

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Food Security Analysis Service

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Monitoring Food Security Technical Guidance Sheet 4:

Capacity Assessment for a National FSMS

offers a conceptual framework and practical tools for capacity development of an FSMS operated by a national organization.

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food security analysis

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Acknowledgements

The technical guidance sheets on food security monitoring (FSMS) have been developed to strengthen WFP's capacity in this field. It is the fourth in a series of guidance sheets that WFP has published.

TGS 4 Capacity Assessment for National FSMS offers considerations that WFP VAM officers can draw upon to organize information as they embark upon the process of developing capacity of national partners for FSMS. As context varies enormously between countries, VAM officers will often find it necessary to adapt the tools presented herein to suit their own needs. In addition to this guidance sheet, readers are encouraged to peruse WFP's Capacity Development Toolkit¹.

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1. http://docustore.wfp.org/stellent/groups/public/documents/manual_guide_proced/wfp249797.vsd

Acronyms

EFSA	Emergency Food Security Assessment
FAO	Food and Agriculture Organization of the United Nations
FEWS NET	Famine Early Warning Systems Network
FSMS	Food Security Monitoring Systems
GIEWS	Global Information and Early Warning System on Food and Agriculture
NGO	Non-Governmental Organisation
OECD	Organisation for Economic Co-operation and Development
PRSP	Poverty Reduction Strategy Papers
UNDAF	United Nations Development Assistance Framework
VAM	Vulnerability Analysis and Mapping
WFP	United Nations World Food Programme

Introduction

WFP defines food security monitoring as a system that tracks and reports on household vulnerability to food insecurity. The objectives of an FSMS are to a) monitor and analyse trends of food availability, access and utilization; b) identify and monitor risk and opportunities for household food security and; c) provide timely and relevant information for decision-making. Thus, the role of an FSMS is to flag a deteriorating or improving food security situation, but not necessarily to explain what and why changes in food security are taking place or for what reasons – only that something is happening.

In-house and stakeholder consultations held in 2009 confirmed the need to strengthen national food security monitoring systems. Recommendations were made to ensure that FSMS are designed as ‘light’ and flexible, structured with few indicators sensitive to detecting and measuring changes at national, sub-national, community and household level. The meeting endorsed the principle that such systems would ideally be nationally-owned -- raising the question about how WFP should approach capacity development for national FSMS. Considering that capacity development for national FSMS will involve a planning horizon extending for 3-5 years, and considering the large number of national and international stakeholders involved, a carefully constructed and deliberate approach is advised.

This guidance sheet provides a tool for VAM officers to organize and manage information as they undertake a capacity assessment for a national FSMS. The guidance sheets provide tools to approach the task of supporting a sufficiently comprehensive yet “light” national FSMS. The guidance addresses systems sustainability, effectiveness and harmonization of reporting, selection of indicators, and implementation. In recognition of the context-specific nature of capacity development, the present guidance sheet refrains from offering prescriptive advice; the tools proposed here would necessarily be adapted at the country level. If pressed for time, a VAM officer could choose among these tools to guide a quick capacity assessment. This guidance is complementary to WFP’s guidance on capacity development, published in 2012².

2. WFP, Capacity Development Toolkit.

http://pgm.wfp.org/index.php/Project_activities:Capacity_development#Capacity_Development: Toolkit

This guidance is part of a set of four guidance sheets, briefly presented below:

TGS1 - FSMS Reporting Structure and Content: provides guidance on how to structure an FSMS report and on to present information for each information domain/indicator.

TGS2 - FSMS Indicator Compendium: offers to practitioners, a compendium on a core set of indicators for FSMS, meant to measure progress or setbacks against benchmarks over time.

TGS3 - Methodology for Data Collection and Analysis: Methodology for Data Collection and Analysis: provides survey methods and tools for the generation of primary data in the context of regular food & nutrition security monitoring.

TGS4 - Capacity Assessment for a National FSMS: offers a conceptual framework and practical tools for capacity development of an FSMS operated by a national organisation.

1. WFP Support to National FSMS



1.1. Current Situation

At country level, WFP's work on food security monitoring has basically followed three operational modalities: a) a system managed by WFP, with some degree of participation from national organizations; b) a system established in direct collaboration with a national coordinating body, sector ministry and/or external stakeholder, where the management in practice rests with WFP and; c) a system managed by a national coordinating, sector ministry or an external stakeholder in partnership with WFP. Generally, the focus on national management of FSMS has not formed part of WFP's approach, which obviously raises questions of both organizational and financial sustainability of the monitoring systems launched during the last few years.

The process of supporting national FSMS will rarely start from a blank slate. Supporting national FSMS will often evolve from a situation, where WFP has taken the initiative or from a situation where an initial FSMS effort could be based on national, sector-based information systems (e.g. climate/weather information, monitoring of agricultural production, information on nutrition and diseases from national health information systems, etc.) In all cases there are management and technical issues to be tackled, which call for a more comprehensive approach to developing national FSMS.

1.2. Capacity Development within WFP

WFP's commitment to capacity development dates back to 1994, with the Mission Statement that all assistance – relief, recovery and development – would aim to develop capacities for self-reliance. In 2004, WFP adopted a policy on capacity development, offering a coherent and systematic approach to capacity building³.

3. Previously, the term 'capacity building' was widely used. In line with evolving practice 'capacity development' is now the more generally accepted term.

A summary report of an evaluation of WFP's capacity development policy was presented to the Executive Board in June 2008⁴. The evaluation concluded that while the policy was well grounded in WFP's mandate and in line with current practice of capacity development, it lacked clear objectives and a results framework. In many countries, two parallel objectives were being pursued: i) to support the implementation of food aid programmes and, ii) to address a need for nationally owned capacities to respond to acute and chronic hunger and malnutrition situations. At WFP, expertise in promoting capacity development is limited; WFP's reliance on short project cycles limits its ability to embark on a systematic approach to capacity development.

Recognizing that the challenge for WFP is to reconcile its past weakness in promoting capacity development with its desire to enable the process in the future, WFP published an initial Operational Guide for Partnership, Capacity Development and Hand-over Activities in March 2010⁵. The guide provides an overview of the challenges of developing capacity and guidance on some of the actions required to meet the stated objective. In 2012, WFP published its Capacity Development Toolkit⁶, which brings together existing and new guidance material on capacity development and presents an overall approach for capacity development. TGS4 is a complement to the Capacity Development Toolkit.

1.3. The Challenge of Capacity Development for Food Security Monitoring

The Operational Guide to Strengthen Capacity of Nations to Reduce Hunger outlines two areas of responsibility for WFP: a) what WFP does directly and; b) what WFP will enable others to do. Therefore a challenge for supporting national FSMS would be to combine WFP's expertise in what it does directly with the ability to enable a process of capacity development. In many cases, tools that WFP has developed for its own direct use may not fully address the requirements of national partners, which operate in a different environment. WFP's approach to capacity development will therefore look beyond tools that are used 'in house', while keeping to a core set of objectives and principles.

4. WFP, Summary Report of the Evaluation of WFP's Capacity Development Policy and Operations, Doc. WFP/EB.A/2008/7, 25 April 2008.

5. WFP Programme Division/Hand-over & Partnership Branch, Operational Guide to Strengthen Capacity of Nations to Reduce Hunger, Field Trial Edition, March 2010.

6. WFP, Capacity Development Toolkit.

http://pgm.wfp.org/index.php/Project_activities:Capacity_development#Capacity_Development:Toolkit

Capacity development in the context of national FSMS will require WFP Country Offices (COs) to take on a role as a facilitator to promote a process leading to improved food and nutrition security monitoring. In cases where WFP is directly involved in the management of an FSMS, this will require the CO to improve its interaction with actual and potential partners and facilitate iterative consensus-building, rather than push for an immediate identification of gaps and solutions. Thus, *the FSMS model developed by WFP in a particular country is not necessarily the preferred solution for national partners and therefore should not be the starting point for an FSMS capacity development process.* On the other hand, it is very likely that important elements of what has been developed by WFP eventually will appear as part of the national FSMS.

As for the implementation of a capacity development proposal, formulated on the basis of a capacity assessment, WFP COs are advised to maintain a medium- to long-term planning horizon, which may not require a great deal of financial resources. However, it does require innovative thinking and constant attention to capacity development implementation modalities available to the CO. Thus, there is need to think further than technical assistance and advisory services, and consider capacity development activities that are less common at WFP. Such as policy support on organizational set-up, legal framework, etc.; support to knowledge sharing; support to pilot operations (e.g. in the context of enhanced partnership with NGOs or primary data collection); South-South cooperation (e.g. study tours, formal agreements); creating/improving links with regional or international entities; mentoring of national staff through a short-term consultancy; facilitation and funding of leadership and management development; etc⁷. In addition, there will still be a need for the development of technical skills through training and on-the-job learning.

7. These modalities are mentioned in a recent publication by FAO, Enhancing FAO's Practices for Supporting Capacity Development of Member Countries, Learning Module 1, Rome, 2010.

2. Capacity Assessment for a National FSMS: Concepts, Framework and Tools



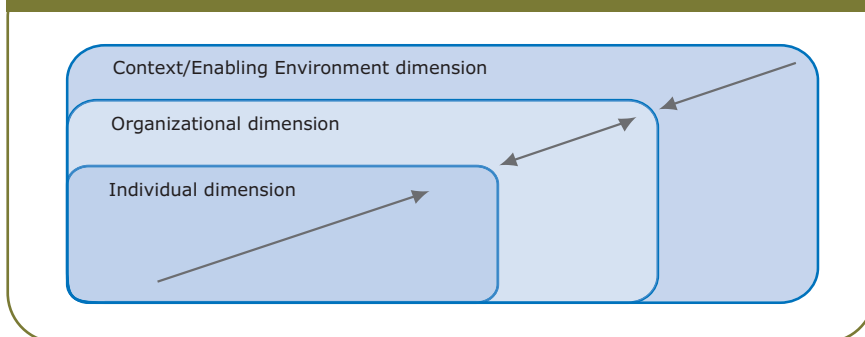
2.1. Purpose

The purpose of this chapter is to define a conceptual framework for FSMS capacity development, outline the possible sequence of a support process and provide indicative tools to be applied at each step of the process. The emphasis is on how a change process could be initiated and would evolve, yet not to predict a possible outcome of the process.

2.2. Basic Concepts

A generally accepted definition of capacity “is the ability of people, organizations and society as a whole to manage their affairs successfully”⁸. Capacity development is the “process whereby people, organizations, and society as a whole unleash, strengthen, create, adapt, and maintain capacity over time”⁹. The figure below provides a graphic illustration of capacity, conceptualized in three dimensions, i) the context/enabling environment dimension, ii) the organizational dimension and iii) the individual dimension.

FIGURE 1. THE THREE DIMENSIONS OF CAPACITY



8. OECD, The Challenge of Capacity Development: Working Towards Good Practice. Paris, Paris, February 2006.

9. *Op. cit.*

The **context/enabling environment dimension** relates to the functional and political environment in which the individuals and organizations operate. It includes political power structures, policy and legal frameworks, resource allocation, vested interests and rivalry among organizations, oversight bodies, clients/customers/users, etc. Capacity development measures may include changes in policy and legal frameworks, improved public sector salary and incentives systems, focus on output utility, etc.

The **organizational dimension** refers to the collective capability of staff members to achieve their organization's goals. Capacity development may consist of measures to improve the overall performance of an organization, e.g. through changes in its mandate, internal systems and processes, and revision of work priorities.

The **individual dimension** concerns skills, behaviour and attitudes of individuals that work in an organization or who may influence the operations of an organization in their roles as policy makers, supervisors and opinion makers. Capacity development measures may include improving knowledge, skills, motivation and values, through the various capacity development modalities focusing on individuals.

Figure 1 suggests that formulating an appropriate capacity development proposal require a holistic perspective. It is likely that a capacity development proposal will cut across dimensions and not focus on any single one. The tools presented in this guideline address these three dimensions.

2.3. Framework for National FSMS Capacity Development

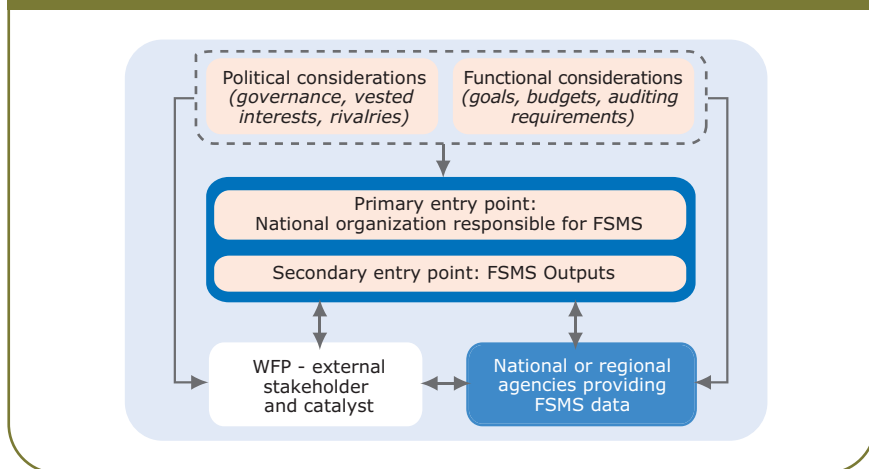
Conceptual frameworks, including the one presented in the Operational Guide, are useful when they provide a basis for developing practical tools to be applied in a capacity development process. WFP's main role as a food assistance agency should be taken into consideration when developing practical tools. A framework outlining the issues from WFP's perspective is offered, in order to promote a holistic view of the situation and help make choices. It takes into consideration existing stakeholders engaged in food security monitoring as well as national and regional agencies.

WFP's capacity development approach will focus on the organizational dimension as the primary entry point and existing food security and nutrition monitoring outputs as a secondary entry point. –This is because of the challenges of operating effective at the context/environmental dimension, while high staff turnover has, in the past, revealed the limitations of the individual entry point. Existing food security and nutrition monitoring outputs (such as information systems, bulletins and datasets) remain the second entry point, considering the centrality of such deliverables to WFP's own food security analysis work.

As Figure 2 shows, WFP and other external stakeholders, will act as catalysts for the capacity development process. While WFP will primarily interact with the national organization responsible for FSMS (e.g. a national food and nutrition security coordinating body, the Ministry of Agriculture and Food Security, etc.), national and regional organizations with information systems of relevance for food and nutrition security will be participants in the capacity development process. Hence, WFP, other external stakeholders as well as national and regional agencies become part of the enabling environment for a national FSMS.

As a capacity development process is designed, due consideration for **external political and functional dimensions** is required. These dimensions impact on the operations of national organizations and their staff members. Changes in these dimensions may facilitate improvements in FSMS outputs, e.g. through an increase in budget allocation or a revised legal framework for operations of government agencies involved in food and nutrition security. The more ‘intangible’ aspects of national politics and public administration (e.g. political governance, vested interests) also deserve consideration. During a capacity development process, WFP and other stakeholders must understand political and functional dimensions and engage with individuals and organizations that operate within them.

FIGURE 2. CONSIDERATIONS AND ENTRY POINTS FOR WFP FOR NATIONAL FSMS CAPACITY DEVELOPMENT



It is possible that the capacity development process will lead to the establishment of a new coordinating body or the strengthening of an existing organization in coordinating role, e.g. through a decision by all major stakeholders such as the interagency cluster or through a new legal framework. However, the primary goal

of the FSMS capacity development process is the improved FSMS output, while coordination is a means to achieving that output. This may occur through a wider participation of national organizations, introduction of new methodologies for data collection and analysis, better networking, enhanced institutional arrangements, etc.

From the start, the management of a WFP CO should view capacity development as a long-term process. WFP's interest in matters related to capacity development should be articulated within the WFP Country Strategy Documents, which are themselves aligned with the United Nations Development Assistance Framework and national Poverty Reduction Strategy Papers. COs can use these opportunities to engage with the government and other partners on national FSMS; the consensus produced at those important planning phases would enable a clear understanding of objectives and timelines of future capacity development activities. In later stages of a participatory capacity development process, it is possible that priorities issues may change. WFP will therefore accept from the beginning that the design of a capacity development intervention can lead to a fairly wide range of possible outcomes.

In order to develop its own capacity to act as a facilitator in the national FSMS process, WFP has drafted and tested generic training modules. The headquarters VAM unit and regional bureaus have capacity development focal points ready to offer advice on capacity assessments or facilitate discussions about capacity development. WFP has the opportunity of partnering with FAO and others to further capacity development goals. External experts familiar with WFP's approach in this area have also been identified. Nonetheless, it is recognized that WFP's own capacity to facilitate change should continue to be developed, an issue which would be taken up in future Strategic Plans.

2.4. Applying Proposed Tools to Different FSMS Situations

Existing organizational set-ups and management responsibilities will vary from country to country. Generally, external stakeholders have considerable influence over FSMS activities, in some cases with a direct responsibility for the management of FSMS. Examples are: Ethiopia (FEWS NET + WFP), Sudan/Darfur (WFP), Burkina Faso (FEWS NET), and Bangladesh (WFP).

FSMS reports are used to support short-term decision making by government and international agencies. It is also possible to undertake analysis of FSMS data time series in the objective of understanding seasonality and historic patterns of food security indicators and shocks. FSMS systems are commonly operated by national early warning systems or the Ministry of Agriculture, with support from international agencies such as FAO, FEWS NET and WFP.

Although a unified food security monitoring system is desirable, the existence of two parallel monitoring systems within a country is common. Such systems are, however, unlikely to cover all thematic areas that food and nutrition security monitoring should report on. This is for example the case in Ethiopia, Burkina Faso and Bangladesh. This is often a result of weak national coordination and lack of coordinated support to national capacity development for FSMS. Political constraints may also play a role. It should, however, also be recognized that some external stakeholders are providers of monitoring systems as public goods, and developed with considerable donor support to meet the needs of the international community. This has also allowed international stakeholders developing new methodologies and tools, at times with harmonized indicators and outputs. This is particularly the case for FEWS NET and FAO¹⁰.

An important issue for establishing an efficient and sustainable FSMS is ensuring of an adequate organizational set-up to sustain analysis of multi-sectoral data and the production of outputs. Networking with partners and providers of inputs is an important factor due to the reliance on data from various information systems. A possible result of a capacity development process for FSMS could be a new organizational set-up to manage the national FSMS. The implementation of this kind of proposal, however, normally requires considerable time and efforts.

2.5. Sequencing of a Capacity Assessment for a National FSMS

This guideline offers tools to support the implementation and management of a capacity development process, and a suggested sequence for their application. Tool #1 provides for a scoping study of existing FSMS capacities. Tool #2 consists of a self-assessment of WFP CO's commitment and capacity to support the development of national FSMS. Tool #3 helps to map the role of external stakeholders. Tool #4 is intended to define organizational entry points. Tool #5 allows capacity assessment for national FSMS. Tool #6 helps construct a results framework for the capacity development process. Tool #7 is intended to support the design of a capacity development programme.

Tools #2, #3 and #4 are management tools, while Tools #1, #5, #6 and #7 are to be applied to scoping study, capacity assessment and the planning of a support programme for national FSMS. Capacity development is an iterative process; steps or parts of a step may have to be repeated or undertaken in parallel. Therefore the sequencing presented here may not correspond to what will happen in practice.

10. However, it should be noted that FAO, through GIEWS, mainly operates through their centralized early warning and monitoring service and has a limited presence at country level.

A possible sequence is presented in Figure 3, which also makes reference to the tools presented in the document. The steps are presented in the left column and the purpose of the corresponding tool in the right column. A participatory approach is required for the process. Workshops with external facilitation are likely to be a major *modus operandi*. An external consultant is likely to be required for an initial analysis of current FSMS products and the respective stakeholders.

The sequence and overall application of these tools would also need to be reviewed for relevance particularly in situations where there is the absence of a functional Government and/or where WFP is likely to be the only agency. Finally, time required for each step should be considered as very indicative.

FIGURE 3. STEPS IN CAPACITY DEVELOPMENT PROCESS FOR IMPLEMENTATION OF A NATIONAL FSMS

Suggested sequence	Application of tools	Time required (indicative)
Scoping study of existing food security and nutrition monitoring.	Tool 1 identifies existing monitoring systems and their characteristics. Identifies a lead agency for FSMS capacity development.	Two to three weeks
CO self assessment to engage in national FSMS capacity development.	Tool 2 helps a CO consider its priorities and decide whether it should engage in capacity development.	One-day in house consultation at least
Mapping roles of external stakeholders	Tool 3 can be undertaken at the same time as the scoping study.	One week
Dialogue for support process.	Tool 4 helps establish a consensus on the process.	One-day workshop
Capacity assessment for national FSMS.	Tool 5 targets agencies involved in food security monitoring at the national level. Covers the individual, organizational and environmental aspects of capacity.	Depends on country context, at minimum two weeks
Results framework	Tool 6 helps design and monitor the capacity development process.	One week
Capacity development programme	Tool 7 presents the capacity development programme in logframe format.	Two weeks

It is likely that going through the entire process of defining a capacity development programme would take at least three months in the most favorable cases. As delays are inevitable, WFP managers can expect timelines to be indicative.

2.5.1. Appraisal of Existing FSMS Situation (TOOL #1)

In order to map the existing situation (context, responsibilities, partnerships, etc.), it is recommended to undertake an initial appraisal in order to identify priority areas for action. The appraisal should cover existing food and nutrition security monitoring managed by WFP and other external stakeholders as well as national monitoring systems of relevance for food and nutrition security. The latter may include sector-based monitoring (e.g. agriculture, retail prices, nutrition), which do not form part of an integrated monitoring system for food and nutrition security. The country office or regional VAM Officer would be able to carry out this initial scoping exercise.

The results of the appraisal should be summarized in a matrix for participatory use (one matrix per agency), on the basis of which stakeholders identify strengths and weaknesses, individually or in small groups, of the existing situation and afterwards determine the relevance of issues to be analysed and reach a common understanding of issues to be dealt with the capacity development process.

The summary matrix condenses questions about each agency's current monitoring, its output, use of indicators, the adequacy of resources, etc. It also allows for an initial identification of possible actions that could be considered in relation to FSMS. In countries where multiple actors are already actively involved in FSMS, a 'who, what, where' type of exercise will be necessary to ensure that all actors are accounted for in the scoping matrix.

On the basis of the debate enabled by the application of Tool #1, an agency should be selected to lead the subsequent stages of designing the capacity development program for national FSMS. The lead agency would not necessarily be WFP.

**TOOL 1. SCOPING MATRIX FOR EXISTING FSMS CAPACITY
(TO BE COMPLETED FOR EACH ASSESSED AGENCY)**

Capacity/ area/factors	Key strengths to build on	Key weaknesses of existing monitoring	Possible action	Guidance notes
A. Outputs and purpose <ul style="list-style-type: none"> • Mandate of each organization involved in FSMS • Areas covered and relevance of indicators tracked • Reliability of data and methodology used • Regularity of reports in previous 3 years • Use of FSMS outcomes 				<p>Should clearly establish the mandate of each organization, especially national agencies and identify the lead agency.</p> <p>Should explain the thematic area the partner covers (e.g. nutrition, food prices...) and explain if the agency carries out primary data collection.</p> <p>Actions taken by agency as a result of FSMS information.</p>
B. Resources <ul style="list-style-type: none"> • Sources of funding • Reliability of funding • Ability to maintain qualified staff 				<p>Should determine budget and staff, including cost of primary data collection, if any.</p>
C. Organization and management <ul style="list-style-type: none"> • External stakeholders and national agencies involved, their roles and responsibilities • Organizational set-up • Formal and informal networks 				<p>Distinguish specific roles in relation to monitoring - data collection, analysis, report writing. Coordination mechanism should be detailed.</p>

2.5.2. Self-Assessment of Capacity to Support the Implementation of National FSMS (TOOL #2)

Before it embarks on a capacity development process, a WFP CO should undertake a quick self-assessment of its own capacity and its relation with stakeholders. This type of self-assessment will help WFP understand the full implications of a capacity development process, and place the initiative in the broader context of a CO's strategy and work plan. It would help the CO assess the extent to which support to food security monitoring constitutes a high-priority area. The following tool is proposed for the self-assessment; it will probably require a full day workshop for a core group of WFP CO staff.

TOOL 2. SELF-ASSESSMENT OF CAPACITY TO SUPPORT THE IMPLEMENTATION OF NATIONAL FSMS

Country office's own capacity and motivation to engage in capacity development	Review of current status/ Conclusion	Guidance notes
CO's understanding of capacity development.		Important to clarify internally what capacity development is about.
Motivation and confidence in engaging in capacity development.		CO should be convinced about the need to create national FSMS capacity.
Clarity about goals, tasks and processes for the CO.		Necessary to establish a clear understanding of the process.
Adequacy of resources for undertaking capacity development including staff, ODOC funding, etc.		Also consider possible assistance from RB and HQ.
Priority of capacity development compared to other priorities in the CO.		Ensure that EFSAs, other assessments and non-VAM work is accounted for.
Overall assessment		
Relations with stakeholders	Review of current status/ Conclusion	
CO access and working relationship with national stakeholders and other agencies involved in monitoring.		Map relationship. Consider whether working relationships are good enough to allow collaboration on capacity development.
Trust and confidence in the reliability of monitoring outputs produced by national stakeholders.		Recognize what is working, what is not.
Overall assessment		

The conclusions of the self-assessment could lead to a request for support from the WFP regional bureau or headquarters for guidance on the capacity development process and/or specialist inputs. Conversely, should the self-assessment by CO identify weaknesses that are difficult to overcome (e.g. other priorities, insufficient resources or mistrust in the ability of national stakeholders), the CO could decide not to embark on a capacity development initiative, or leave the initiative to another agency.

2.5.3. Mapping Roles of External Stakeholders (TOOL #3)

As there are often multiple external agencies involved in FSMS, it is possible that conflicting interests will emerge were a WFP CO to launch a capacity development initiative for a national organization. It is therefore suggested to map out the roles of external stakeholders (including regional agencies) at the outset of the process. One to two weeks are likely to be required for a proper application of Tool #3.

Tool #3 has been devised to capture the potential role of external stakeholders in an FSMS capacity development process. Existing FSMS activities of external stakeholders would have been covered under Tool #1. If circumstances allow, Tools #1 and #3 could be implemented at the same time. Although a WFP VAM officer could complete Tool #3 in collaboration with local partners, it might be preferable for a party perceived as ‘neutral’ to lead the process under certain circumstances. The application of Tool #3 requires a weeks’ work.

TOOL 3. MAPPING ROLES OF EXTERNAL STAKEHOLDERS

Area/issue/ Role	Stakeholder 1	Stakeholder 2	Stakeholder 3	Effects on commitment and on sustainability of nationally managed FSMS	Guidance notes
Vision of capacity development/ Support to national FSMS.					Aim is to establish a common overarching vision.
Possibility of agreement on a new role and participation in the capacity development process.					It is necessary to establish agreement between key external stakeholders regarding their role in the process.

(continued...)

(...continued)

Area/issue/ Role	Stakeholder 1	Stakeholder 2	Stakeholder 3	Effects on commitment and on sustainability of nationally managed FSMS	Guidance notes
To what extent can external FSMS efforts be transferred to a nationally managed FSMS.					Aim is to discuss modalities to adapt or hand over methodologies to a national FSMS.
Degree of agency participation in launching capacity development initiative.					The degree of involvement will vary. It may not be possible for all stakeholders to transfer all FSMS responsibilities to a national organization.
Links with regional and sub-regional information systems.					Links and outputs should be identified

2.5.4. Process Checklist for Capacity Assessment (TOOL #4)

Once a country office has undertaken a mapping of existing monitoring and stakeholders (Tools #1 and #3) and assessed its own motivation to undertake a capacity development initiative (Tool #2), the CO will have to begin engaging in the capacity assessment with partners. Tool #4 offers a checklist to manage relationships with partners at that step of the process.

Tool #4 helps to monitor key national and international stakeholders' agreement with the capacity assessment process. A senior WFP staff member, not an external consultant, should be responsible for completing the checklist and ensuring that the issues are properly discussed at planning and process meetings. Each question on the checklist can be answered by "yes" or "no". If the answer is "no", the need for corrective action should be noted.

TOOL 4. PROCESS CHECKLIST FOR CAPACITY ASSESSMENT

Issues	Yes/No	Corrective action	Guidance notes
Purpose of capacity assessment <ul style="list-style-type: none"> Purpose is clear and has been agreed with stakeholders; Existing relationships between stakeholders have been adequately mapped; Organizational entry points have been identified. 			Key stakeholders include WFP and regional organizations involved in current monitoring or that could play a role in the future.
Desired result of the capacity assessment <ul style="list-style-type: none"> Expected outputs are well defined (reports, decisions, action plans, etc); Expected results have been agreed with key stakeholders. 			This may not necessarily lead to the design of a capacity development initiative.
Design <ul style="list-style-type: none"> Participation of staff and stakeholders has been agreed to in detail; Leadership/facilitation arrangements have been endorsed with stakeholders. 			Preparatory meetings will be essential to ensuring stakeholders' participation. Clarity in terms of staff time and budget is to be sought.
Implementation of capacity assessment <ul style="list-style-type: none"> Stakeholders have the opportunity to raise objections during the process; Conflicts can be expressed and resolved. 			This implies that staff involved in the process keep their managers informed at key steps of the process.
Use of results and follow up <ul style="list-style-type: none"> Agreement on how the process would be followed up; Agency responsibilities for follow up are defined 			Results of the process should be documented and made available to all stakeholders.

WFP's traditional government partners include ministries/agencies of disaster management, ministries of agriculture, and ministries of health. In the context of food security information and monitoring activities, other partners include national coordinating bodies or national statistical offices. There are also examples of collaboration with international actors like FAO, FEWS NET and NGOs. The collaborative relationships will vary from country to country and well-established partnerships in food security monitoring cover a wide range of scenarios in respect of data collection, data analysis and report writing. It is noted that many food security monitoring reports indicate an existing collaborative partnership but they do not necessarily reveal who effectively is the lead agency. This particular issue is an important point for national capacity development and the so-called 'hand-over' and will therefore be analysed through the application of Tool #1: Scoping Matrix for Existing FSMS.

In most cases, WFP COs will have a clear idea about possible entry points for developing a national capacity in food security monitoring, but they may not always have a complete overview of the mandates of/tasks undertaken by government agencies. The definition of specific entry points is therefore an initial step in organizational assessment. This step will also further explore existing collaborative relationships, if any, between WFP, national agencies and international actors that have been subject to an initial review through the application of Tool #3.

Only those national agencies identified for detailed review will be subject to the subsequent steps of organizational capacity assessment.

2.5.5. Checklists for Capacity Assessment of National FSMS (TOOL #5 a, b, c, d & e)

With reference to the concepts outlined in the framework, Tool#5 allows a CO to understand the strengths, weaknesses and the different national organizations that would be involved in a national FSMS process. This tool identifies key drivers of a change process and evaluates enabling factors and constraints that would need to be accounted for in a capacity development plan. The scope of the tool is limited to aspects of relevance for FSMS functions - not the entire organization. It will be necessary to prepare Terms of Reference for the assessment, which should define the role of external consultants, stakeholders and staff members.

As presented here the checklists consider strengths, weaknesses and options for action for each issue under the assessment area. An alternative to the consideration on strengths and weaknesses would be to a ranking from 1 to 5. The checklists focus on the following assessment areas: current food and nutrition

security monitoring outputs, resources and technical capabilities, leadership, motivation and incentives, networking institutional arrangements, functional and political dimensions (context/enabling environment).

There should be an agreement on the issues to be covered under each assessment area. The checklists include a minimum set of issues under each assessment area. Stakeholders may add to these issues as appropriate.

In large countries where multiple stakeholders exist, this process could conceivably become very resource intensive and cumbersome. In order to keep the process bounded, it is suggested Tool #5 apply to the top 4 or 5 national agencies likely to be targeted by the capacity development programme.

TOOL 5. CHECKLISTS FOR CAPACITY ASSESSMENT

a) Monitoring outputs	Strenghts	Weaknesses	Options for action	Guidance notes
Current outputs and relevance of monitoring indicators.				
Reliability of data and methodology used.				
Regularity of data collection, analysis and publication/ dissemination.				For the past three years, for example

b) Resources and technical capacities	Strenghts	Weaknesses	Options for action	Guidance notes
Current level of budgeted resources, national and external.				Should reflect approved annual budget + external support.
Predictability of resource availability.				
Staffing situation (number, profile).				Details on staff technical capacities in relation to data collection and analysis.
Logistic and equipment.				Consider requirements for field surveys.

(continued...)

(...continued)

c) Leadership, motivation and incentives	Strenghts	Weaknesses	Options for action	Guidance notes
Effectiveness in delegation of authority.				
Internal and external consultation practices.				For example, for finalizing a monitoring report.
Perception of leadership effectiveness.				In relation to taking a leadership role in food security monitoring.
Clarity of staff tasks.				As outlined in job descriptions.
Performance appraisal system (staff performance, evaluation, sanctions).				
Actual criteria for hiring, firing, and promotions.				

d) Networking	Strenghts	Weaknesses	Options for action	Guidance notes
Scope of contacts and outreach to external entities.				Entails mapping networks, refer to tool#1.
Degree of centralization/network access.				
Ability to use networks.				

(...continued)

e) Functional and political dimensions	Strengths	Weaknesses	Options for action	Guidance notes
Pursuit of formal goals, including those that come from outside.				Can 'hand over' be an accepted goal for the target agency.
Degree of dependence on external power structures, including approval of budgets, auditing requirements, etc.				Extent to which these constraints would affect implementation of a capacity development activity.
Vested interests.				Identify 'winners' and 'losers' of a new organisational set-up.
Extent of conflicts and rivalry among agencies.				Could this hamper the revision of agency mandates, for example.

2.5.6. Capacity Development Results Framework (TOOL #6)

This tool is meant to ensure a robust design of the capacity development processes. The tool encourages users to focus on outcomes and impact of food security monitoring, rather than simply providing a better output or product. Outcomes of food security monitoring could be a) launching an EFSA; b) a policy intervention in food markets; or c) declaring an emergency. Examples of impact of food security monitoring could be: a) improved food security status of specific populations due to food distribution; b) improved food access due to lower price of basic food product or c) prompter responses.

National stakeholders may use the results framework to specify the change process they are committed to and ensure that they maintain a leadership role, particularly when WFP CO is the main catalyst of an existing FSMS. WFP can use the tool to assist national stakeholders in specifying their role in the capacity development process and identifying possible external support needs.

Importantly, the results framework is that it starts with desired impact and outcomes, before working backwards through outputs, activities and inputs. This is intended to compel systems designers to understand the objectives and purpose of the system before designing it. It is likely that impact and outcomes of an

existing FSMS are not always well defined because there is tendency to focus on the output only. Applying the results framework to the design of the capacity development process will force the stakeholders to think about outcomes and impact, thereby improving the immediate result of the capacity development process.

The general questions in the design of a results framework would be:

- What outputs should national organization(s) deliver on a sustainable basis to achieve the stated outcomes or impact?
- What capacity factors need to be changed to enable the organization(s) deliver these outputs?
- What change process is required to develop these capacities?
- What are the inputs required to perform the required change activities (both internal and external sources)?

An illustrative capacity results framework is shown below; the actual tool will be the empty matrix, which will summarize capacity development activities, possible external support and internal inputs. The second and third column will enable a comparison of the initial FSMS situation with that resulting from capacity development.

TOOL 6. CAPACITY DEVELOPMENT RESULTS FRAMEWORK (ILLUSTRATIVE)

Design summary	Initial situation	Performance target	Assumptions/ risk
A. Impact	Not applicable	<u>Define at the outset</u>	
B. Outcomes		Decisions taken on the basis of FSMS reports/findings.	
C. Output			
D. Capacity development output		Identify desired changes in outputs.	Commitment from the head(s) of the organization(s) targeted for capacity development activities.
		Specify the direct output of the capacity development process.	
E. Capacity development activities with progress indicators. 1. A multi stakeholder working group established to oversee the process. 2. Management plan and timeline communicated to all staff. 3. Formulation and execution of staff training programme. 4. Preparation and approval of new legal mandate for the coordination of food security and nutrition information systems. 5. Development and piloting of new outputs (i.e. incorporation of new indicators and other recommendations). 6. Timeline for transfer of responsibilities (i.e. from WFP to national agency)			F. Capacity development inputs. 1. WFP assigned staff/consultant time to support the process. 2. National stakeholder staff time. 3. Additional budget(s) to cover external facilitation/consultation/ training

2.5.7. Checklist for FSMS Capacity Development Programme (TOOL #7)

This would serve to define the key elements of support to National FSMS once the organizational capacity assessment has been completed. The checklist provides a description of these elements in the form of a project proposal. Key elements are likely to include strategic context and rationale, project description, cost and financing, and sustainability.

TOOL 7. CHECKLIST FOR FSMS CAPACITY DEVELOPMENT PROGRAMME

Issues	Yes/No	Corrective action	Guidance notes
Strategic context and rationale <ul style="list-style-type: none"> National food and nutrition context Policy, governance and organizational issues Lessons from previous FSMS experiences Transition from externally managed to national FSMS. 			Include an introduction to food an nutrition security in the country, and the current status of FSMS in the country (referring to Tools#1 and #3 as appropriate).
Project descriptions <ul style="list-style-type: none"> Outcomes Outputs Activities Inputs Implementation arrangements Management Collaborative arrangements Role of external stakeholders Monitoring and evaluation 			This is a traditional project write up in logframe format.
Cost and financing <ul style="list-style-type: none"> Cost estimates Source of funding 			Specific WFP sources (DSC, ODOC) as well as other sources.
Sustainability <ul style="list-style-type: none"> Risks Exit strategy 			Bring out inherent risks of operating a national FSMS. Project design should minimize these risks.

3. Concluding Remarks



The initiative of launching a national FSMS will come up for a variety of reasons – after a country has faced repeated slow-onset food shocks, for instance, or after a change in management of one of the key stakeholder agencies. Considering that capacity development for national FSMS will involve a planning horizon extending for 3-5 years, and considering the large number of national and international stakeholders involved, a carefully constructed and deliberate approach is advised. WFP COs will aim to align capacity development activities with national PRSPs, UNDAFs and Country Strategy Documents in order to promote consensus on objectives and consolidate partnerships.

The tools included in the present guidance sheet assist WFP COs in dealing with a support process to national FSMS, based on a relatively simple conceptual framework and the selective application of the tools presented. The key message from the framework provided in this guidance is that WFP will have to adopt a holistic approach that i) accounts for the enabling environment, ii) focuses on understanding and then strengthening a target organization in order to iii) improve specific FSMS outputs.

The process is unlikely to be linear, with the initial scoping study (Tool #1) and self-assessment (Tool #2) constituting important steps. What follows thereafter will very much depend on the judgements of all stakeholders. More importantly, the issues to be covered under each tool are likely to vary from country to country. Therefore, neither the sequence nor the application of tools constitute a blueprint but rather guidance for those who will put into practice a support process for the implementation of national FSMS. If pressed for time, a VAM officer could choose among these tools to guide a quick capacity assessment.

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Monitoring Food Security

Technical Guidance Sheet 4

Capacity Assessment for a National FSMS

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food security analysis