برنامج الأغذية العالمي | Programme Alimentaire Mondial | World Food Programme | Programa Mundial de Alimentos

Executive Board
Annual Session

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POLICY ISSUES

Agenda item 5

For approval

WFP POLICY FORMULATION

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NOTE TO THE EXECUTIVE BOARD

This document is submitted to the Executive Board for approval

The Secretariat invites members of the Board who may have questions of a technical nature with regard to this document to contact the WFP staff focal points indicated below, preferably well in advance of the Board's meeting.

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* Policy, Planning and Strategy Division

EXECUTIVE SUMMARY

In May 2009 the Bureau requested information on the policy development process; the 2008 Annual Evaluation Report presented to the Board at its 2009 Annual Session also highlighted the need to clarify how policies are formulated and implemented. This document is a response to those requests. It is divided in two parts:

I. **Policy process**: Provides an overview of how policies are formulated, implemented, evaluated and updated. It includes a flowchart that shows the different steps and influencing factors in the WFP policy-making process, and covers how WFP's policies and programmes reflect broader policy-making within the United Nations system globally, in regional bureaux[1] and in country offices.[2]

II. **Board document classification**: Explains classification of documents for presentation to the Board.

DRAFT DECISION*

The Board approves "WFP Policy Formulation" (WFP/EB.A/2011/5-B).

[1] Through Regional Director teams

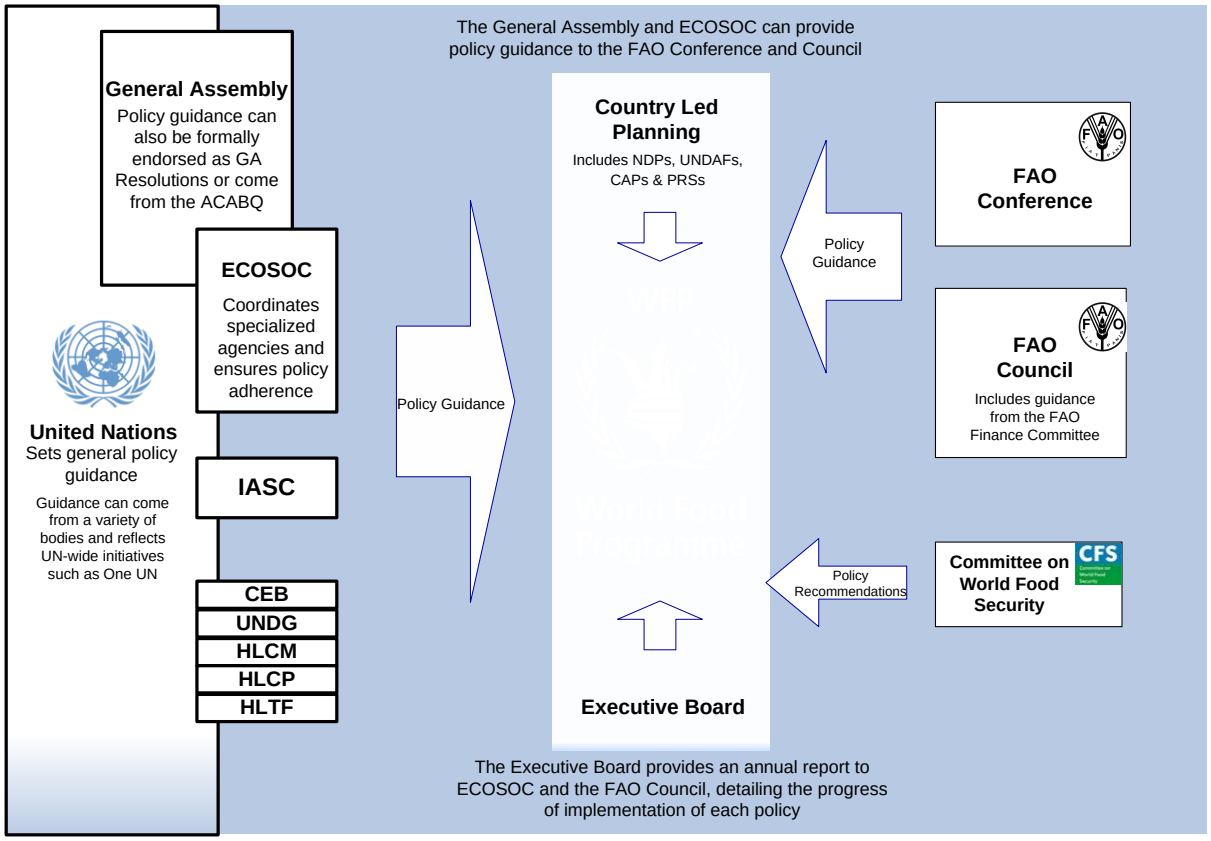
[2] Through National Development Plans (NDPs), United Nations Development Assistance Frameworks (UNDAFs), Consolidated Appeals Processes (CAPs) and Poverty Reduction Strategy Papers (PRSPs)

* This is a draft decision. For the final decision adopted by the Board, please refer to the Decisions and Recommendations document issued at the end of the session.

WFP POLICY PROCESS

Policy Guidance

1. Overall policy guidance is provided to WFP by the General Assembly of the United Nations, the Food and Agriculture Organization of the United Nations (FAO) Conference, the Economic and Social Council of the United Nations (ECOSOC) and the FAO Council. The following diagram illustrates the range of bodies and institutions within the United Nations system from which WFP draws broad policy guidance, and how WFP reports back to the relevant governing bodies.



Acronyms in figure: ACABQ – Advisory Committee on Administrative and Budgetary Questions, CEB – Chief Executives Board for Coordination, HLCM – High-Level Committee on Management, HLCP – High-Level Committee on Programmes, HLTF – High-Level Task Force, IASC – Inter-Agency Standing Committee, NDP – National Development Plan, PRSP – Poverty Reduction Strategy Paper, UNDG – United Nations Development Group

2. The General Regulations and General Rules assign the Board the responsibility for providing intergovernmental support and specific policy direction to WFP that is consistent with the overall policy guidance provided by the United Nations General Assembly, the FAO Conference, ECOSOC and the FAO Council.[3] Within WFP, the Policy Committee provides strategic level guidance on policy issues, and the Executive Policy Council makes decisions on policy and strategy issues based on recommendations from the Policy Committee.[4] The Policy Committee Secretariat, which is a function of Policy,

[3] General Regulations and General Rules, 2010 edition

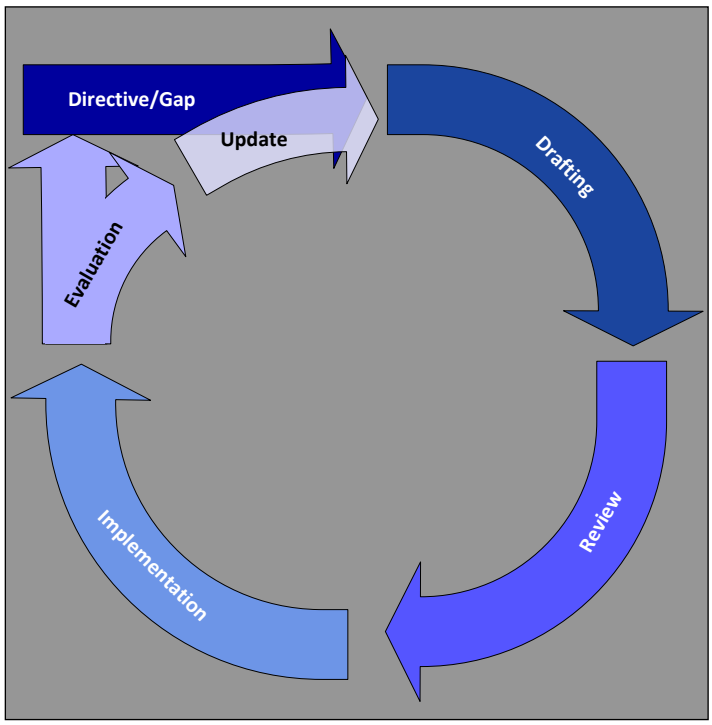
[4] Executive Director's Circular ED2008/001 of 29 January 2008: Establishment of the WFP Executive Policy Council and Policy Committee

Planning and Strategy Division (PS), is responsible for overseeing the policy development process.

3. Country-led processes create a natural vehicle for the United Nations and donors to align and coordinate their activities to increase performance in addressing hunger and related issues. Efforts to harmonize and simplify aid processes to allow greater efficiency as outlined in the Paris Declaration continue. Increasing national ownership of the development process and defining the roles of donors and partners more clearly are at the core of this evolution. The participation by WFP in forums such as Poverty Reduction Strategy (PRSs) and UNDAFs, for example, ensures a coherent and effective conduit from national priorities into the WFP policy framework.

Policy Cycle

4. WFP policy papers follow the cycle depicted in the following diagram.



Main players

Directive/Gap:
United Nations Secretariat, WFP Secretariat (various divisions), Executive Board

Drafting:
Lead division

Review:
Policy Committee, Executive Policy Council, Executive Board

Implementation:
Country offices, regional bureaux, Programme Review Committee (PRC), relevant divisions

Evaluation:
Office of Evaluation; country offices, regional bureaux, relevant divisions

Update (if necessary):
Lead division

5. A more detailed explanation of the policy development process is provided below.

⇒ *Policy conception*

6. New policies are initiated when WFP enters into new areas of work, when a gap in existing policies is identified, or when the changing context or directives from governing bodies require a policy to be reviewed and reissued. Sometimes the Board provides the impulse for a new policy, while at other times a new policy may be initiated by the Secretariat. In particular, the PS monitors global dialogue for trends, ideas and developments that may lead to shifts or changes in WFP's policies, along with innovative ideas and approaches that arise at the country or regional level.

7. The need for a new policy may arise following the approval of a new Strategic Plan and a corresponding shift in Strategic Objectives. Policies should support the Strategic Objectives and may be complemented by action plans, implementation plans and operational guidance. Whether there should be a new policy or a complement to an existing policy is determined at the policy conception stage.

8. The Policy, Planning and Strategy Division is usually responsible for assessing the need for new policies and for drafting the policy papers. However, if a policy falls under another division's area of work, that division becomes the lead division responsible for drafting the policy paper. The lead division assigns the paper to an author.

9. The Board is kept informed of policy initiatives through regular consultations with the Bureau and the Secretariat, and through the Biennial Programme of Work, which includes upcoming policy documents.

⇒ *Policy-making*

10. The procedure for the development of a policy follows these steps:

i) **Evaluation of new directives or gaps.** The Secretariat considers the new directive or gap and determines whether a policy update or new policy would be more appropriate.

ii) **Research, analysis, consultation and drafting of the paper.** The lead division engages in consultations at Headquarters and in the field, along with external experts and partners, and drafts a policy paper that incorporates their inputs. This usually takes around three months.

iii) **Draft paper provided to the Policy Committee Secretariat.** The author provides the draft policy paper to the Policy Committee Secretariat, whose Chair – the Director of PS – determines whether the paper is ready for presentation to the Policy Committee.

iv) **Policy Committee meets and reviews the draft paper.** The Policy Committee requests any adjustments to the paper and decides if it is ready for consideration by the Executive Policy Council, ensuring that the objectives of the policy are clear, coherent with overall corporate objectives and synchronized with the objectives of other policies.

v) **Executive Policy Council meets and reviews the draft paper.** The Executive Policy Council requests any adjustments to the paper and decides if it is ready for consideration by the Board.

vi) **Paper reviewed by Board at an informal consultation.**[5] The lead division presents the paper to the Board at an informal consultation and takes note of any comments or suggestions offered.

vii) **Paper revised and forwarded to the Policy Committee Secretariat.** The lead division revises the paper according to the feedback received from the Board and forwards it to the Policy Committee Secretariat. The Policy Committee Secretariat determines if the changes to the document are substantive enough to require resubmission to the Executive Policy Council for its attention or if the paper is ready to present to the Executive Director.

[5] Informal consultations may be organized at the request of the Board or the Secretariat.

viii) **Paper provided to the Executive Director.** The lead division provides the amended paper to the Executive Director for final review.

ix) **Paper presented at Board session, if necessary.** If required by the Board, in accordance with the Biennial Programme of Work, the relevant lead division presents the paper to the Board[6] for approval or consideration, as applicable.

x) **Policy is established.** The policy is established and ready for implementation.

11. The entire procedure from initial consultations to establishment of a policy takes around nine months.

⇒ *Policy implementation*

12. Immediately following approval of a new policy, it is posted on the WFP internal website, WFPgo, and on the public website, www.wfp.org. A message is sent to all WFP offices advising of the new policy; it is made available on the WFP internal website.

13. Implementation of WFP policies includes the following activities:

- An implementation plan/strategy is prepared by the lead division with support from relevant divisions (particularly the Programme Division, whose role in developing programmes and providing guidance is strongly linked to policy implementation).
- The lead division shares the implementation plan and funding requirements with the Strategic Resource Allocation Committee (SRAC) for consideration and prioritization.
- Relevant divisions provide Regional Directors and country directors with strategic and technical guidance and support.
- The PRC provides policy and normative advice on the design of WFP's operational projects, including recommendations to regional bureaux and country offices on the policy, design, strategy and implementation of projects. PRC members (specifically the Chief of the Programme Design Service and Director of PS) are responsible for ensuring that a proposed programme or project conforms to WFP's policies.[7]
- Regional Directors and country directors ensure that the policy guidance is followed in a country office's projects and Country Strategy.[8]
- The relevant divisions monitor and support policy implementation and assess the effectiveness of policies. A review of how projects reflect a policy may reveal gaps or indicate that a policy is no longer relevant. In such cases, potential revision of a policy, or development of a new policy, is overseen by the Policy Committee Secretariat, bringing the policy cycle full circle.

⇒ *Policy evaluation*

14. Within four to six years of implementation, a policy is evaluated to assess its effectiveness. The evaluation may be a strategic evaluation carried out by the Office of Evaluation (OE).[9] Strategic evaluations provide in-depth assessments of: i) the quality of

[6] When possible, policy papers are presented to the Board at its Annual Session.

[7] Terms of Reference for the PRC (http://docustore.wfp.org/stellent/groups/public/documents/cd/wfp203024.pdf)

[8] Terms of Reference for Country Directors (http://docustore.wfp.org/stellent/groups/public/documents/staffdev/wfp105775.pdf)

[9] "WFP Evaluation Policy" (WFP/EB.2/2008/4-A)

the policy; ii) the implementation of the policy and WFP's capacity to deliver against policy commitments; and iii) the results achieved as a result of policy implementation.[10]

15. When a policy covers internal system improvements, the Inspector General and Oversight Office (OS) also conducts a review of the effectiveness of the policy and its implementation.

BOARD DOCUMENTS CLASSIFICATION

16. The Board uses three classifications for documents, as follows:

- *For approval*: For such documents as budgets, general regulations or general rules mandated by the Board, or those relating to matters that ECOSOC or the General Assembly has asked the Board to decide on.
- *For consideration*: Usually for documents on policy, administrative or organizational matters on which the Board gives an opinion or guidance to the Secretariat.
- *For information*: For documents that present information about a given issue.

Some examples are shown in Table 1.

TABLE 1: CLASSIFICATION OF BOARD DOCUMENTS

For approval	For consideration	For information
• Budgets • General Regulations • General Rules • Annual Performance Report • Annual Financial Statements • Operations[11] • Country programmes • Strategic Plans	• Policy papers • Reports of the Inspector General • Evaluation reports • Post-delivery loss reports • Audit reports	• Corporate action plans • Programme of Work • Policy updates • Other reports (e.g. progress reports, field visit reports)

17. Policy papers prepared following a directive from the General Assembly or ECOSOC that bring WFP into a new area of work and/or have significant budget implications will be submitted to the Board for approval. Other documents will be submitted for consideration, except for operational guidelines and implementation plans, which will be submitted for information.

18. When approving the Biennial Programme of Work, the Board confirms whether a given document is for approval, consideration or information.[12]

19. Table 2 lists the policy papers presented to the Board from 2004 through 2010 and shows which were presented for consideration and which for approval.

[10] "Annual Evaluation Report 2008" (WFP/EB.A/2009/7-A)

[11] The Board approves protracted relief and recovery operations with a food value greater than US$20 million and development projects with a food value greater than US$3 million.

[12] "Guidelines for the Meetings of the Executive Board of the World Food Programme" (WFP/EB.1/2001/4-B)

TABLE 2: CLASSIFICATION OF POLICY PAPERS SUBMITTED TO THE BOARD (2004–2010)

Title	Session	Classification
WFP HIV and AIDS Policy	EB.2/2010	For approval
Policy for Disclosure of Internal Audit Reports to Member States	EB.2/2010	For approval
WFP Anti-Fraud and Anti-Corruption Policy	EB.2/2010	For approval
WFP's Role in the Humanitarian Assistance System	EB.1/2010	For consideration
Resourcing for a Changing Environment	EB.1/2010	For consideration
WFP School Feeding Policy	EB.2/2009	For consideration
WFP Gender Policy: Promoting Gender Equality and the Empowerment of Women in Addressing Food and Nutrition Challenges	EB.1/2009	For approval
WFP Policy on Disaster Risk Reduction	EB.1/2009	For consideration
Vouchers and Cash Transfers as Food Assistance Instruments: Opportunities and Challenges	EB.2/2008	For consideration
WFP Evaluation Policy	EB.2/2008	For approval
Preparing for Tomorrow Today: Strategy for Managing and Developing Human Resources (2008–2011)	EB.2/2008	For consideration
WFP Communications Strategy	EB.A/2008	For consideration
Private-Sector Partnership and Fundraising Strategy	EB.1/2008	For approval
The Role and Application of Economic Analysis in WFP	EB.A/2006	For consideration
Engagement in Poverty Reduction Strategies	EB.A/2006	For consideration
Food Procurement in Developing Countries	EB.1/2006	For consideration
Targeting in Emergencies	EB.1/2006	For approval
Exiting Emergencies	EB.1/2005	For approval
Definition of Emergencies	EB.1/2005	For approval
WFP and Food-Based Safety Nets: Concepts, Experiences and Future Programming Opportunities	EB.3/2004	For approval
Building Country and Regional Capacities	EB.3/2004	For approval
Food for Nutrition: Mainstreaming Nutrition in WFP	EB.A/2004	For approval
Micronutrient Fortification: WFP Experiences and Ways Forward	EB.A/2004	For approval
Nutrition in Emergencies: WFP Experiences and Challenges	EB.A/2004	For approval
Emergency Needs Assessments	EB.1/2004	For consideration
Humanitarian Principles	EB.1/2004	For approval

ACRONYMS USED IN THE DOCUMENT

CAP	Consolidated Appeal Process
ECOSOC	Economic and Social Council of the United Nations
FAO	Food and Agriculture Organization of the United Nations
NDP	National Development Plan
PRC	Programme Review Committee
PRSP	Poverty Reduction Strategy Paper
PS	Planning and Strategy Division
UNDAF	United Nations Development Assistance Frameworks