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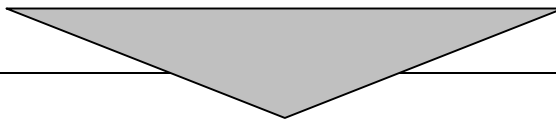
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A POLICY FOR RESULTS-ORIENTED MONITORING AND EVALUATION IN THE WORLD FOOD PROGRAMME

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Note to the Executive Board



This document is submitted for approval by the Executive Board.

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 point indicated below, preferably well in advance of the Board's meeting.

Director, Office of Evaluation and Monitoring (OEDE): Mr K. Tuinenburg tel.: 066513-2252

Should you have any questions regarding matters of dispatch of documentation for the Executive Board, please contact the Supervisor, Meeting Servicing and Distribution Unit (tel.: 066513-2328).



Executive Summary

This paper proposes a results-oriented monitoring and evaluation (M&E) policy. Based on past practices, the policy incorporates new developments such as decentralization and the commitment to results-based management.

Its main focus is to strengthen WFP's M&E in order to ensure: greater accountability and focus, a clearer basis for decision-making, and improved design and implementation. The policy is guided by four principles: (i) the regular monitoring of all WFP operations; (ii) the incorporation of M&E into every operation, project and programme; (iii) the appropriateness of M&E to given situations, operations and partner systems; and (iv) the adherence of M&E to WFP corporate policies, strategies and approaches. The policy lays out the evaluation responsibilities for WFP and its implementing partners. For monitoring, emphasis is placed on systematically collecting and analysing information about results to feed management decision-making. For evaluation, the policy stipulates that any operation lasting longer than 12 months must be evaluated, usually by the country office itself. The Office of Evaluation and Monitoring (OEDE) will continue to ensure an independent evaluation service to WFP's Executive Board by focusing on evaluating corporate programme and policy issues, large operations and first-generation Country Programmes at mid-point. OEDE will identify and disseminate lessons and knowledge gained through evaluations to support improved programming and organizational learning. In addition it will provide guidance and support to regional bureaux and country offices to permit the effective implementation of the policy.

Draft Decision

The Board approves the policy for results-oriented monitoring and evaluation in WFP, described in document WFP/EB.A/2002/5-C, defined within the context of decentralization and WFP's commitment to results-based management, and requests the Secretariat to take note of comments and observations made by the Board.



INTRODUCTION

1. The paper “WFP Principles and Methods of Monitoring and Evaluation” (WFP/EB.A/2000/4-C), presented to the Executive Board at its Annual Session in May 2000, indicated that WFP did not have an explicit policy covering monitoring and evaluation. This paper aims to redress this situation. The proposed results-oriented M&E policy is based on past practices. Adjustments related to new developments, such as decentralization and the commitment to a results-based management (RBM) approach,¹ have been incorporated. Some of the policy innovations are set out below.
 - WFP operations should be regularly and systematically monitored and evaluated.
 - Operations lasting longer than a year must be evaluated, either through a self- or independent evaluation managed by the country office, regional bureau or OEDE.
 - Monitoring and evaluation are to focus on results and be mutually supportive.
 - The logical-framework approach and M&E systems for each operation are to be planned, budgeted and implemented mainly at the country-office level.
 - A minimum common standard for designing M&E systems should be instituted. This notes that systems for quick-onset emergencies will be more basic than for long-standing development operations.
 - Evaluations should lead to corrective management action or changes to corporate guidelines or policies.
 - Lessons and knowledge gained through evaluations conducted or managed by country offices, regional bureaux or OEDE are to be identified and disseminated.
2. The following changes are anticipated:
 - Operation-level monitoring systems will include standardized data collection and dissemination required for corporate results-oriented management information linked to the Strategic and Financial Plan 2002–2005 and other corporate policies and strategies. Standard reporting mechanisms will be employed, using WFP Information Network and Global System (WINGS) if possible.
 - An enhanced evaluation culture will be developed throughout WFP as country offices become increasingly responsible for evaluations, with support from regional bureaux and OEDE.
 - OEDE will give the Executive Board an annual report on evaluation results and trends.

PURPOSE

3. The main focus of the policy for results-oriented M&E is to strengthen WFP’s M&E function to ensure:
 - greater accountability in the use of resources;

¹ Management strategy adopted by WFP focusing on performance, achievement of outputs (goods and services) and outcomes.



- greater focus on the achievement of results;
 - a clearer basis for decision-making; and
 - improved design and implementation through institutional learning and knowledge sharing.
4. It is essential that management and information systems in the field provide feedback on the relevance, performance and achievements of projects and programmes. Such information can be used for management, accountability and advocacy. M&E is fundamental to a successful results-based management approach. A policy is required that sets common principles regarding roles, functions and responsibilities.

DEFINITIONS OF M&E AND THEIR LINKAGES

5. **Monitoring** is a continuing function that uses systematically collected data on specified indicators to inform management and the main stakeholders of an ongoing WFP operation about progress and results in the use of allocated funds and food aid.²
6. **Evaluation** is systematic and objective assessment of an ongoing or completed operation, programme or policy. The aim is to evaluate relevance, fulfilment of objectives, efficiency, effectiveness, impact and sustainability. An evaluation should provide credible, useful information that enables incorporation of recommendations and lessons into future project design, management, decision-making and corporate policy.
7. Monitoring and evaluation are closely linked and mutually supportive. Results-oriented monitoring focuses on delivering outputs and tracks outcomes as far as possible—changes in beneficiary behaviour or status that emerge as a consequence of outputs. Results-oriented evaluation uses this information and assesses overall performance, focusing on positive or negative changes in beneficiary behaviour or status occurring as a result of an operation. Evaluation supplements monitoring, especially when undertaken during an operation, in that it may provide important feedback to management on the relevance of an approach taken, the appropriateness of implementation strategies, and the likelihood that the operation will achieve the intended results.
8. An evaluation should be scheduled within a certain time frame to assess the operation's final impact and sustainability of results.

PRINCIPLES OF RESULTS-ORIENTED M&E IN WFP

9. Within the framework provided by the United Nations system,³ WFP's M&E policy is guided by four principles.
- i) All WFP operations should be regularly and systematically monitored and evaluated, including processes, performance, intended and unintended consequences and context.

² Results are the measurable outputs, outcomes or impacts (intended or unintended, positive or negative) of a project. Monitoring for results focuses only on outputs and outcomes. Impact is considered a longer-term result that is normally not achievable within the lifetime of a project. Impact assessment can only be fully addressed by ex-post evaluation.

³ This policy incorporates guidance provided by the United Nations regulations and rules governing monitoring and evaluation (ST/SGB/2000/8) and the Development Assistance Committee (DAC) evaluation guidelines.



- ii) M&E must be built into the design of every emergency operation (EMOP), protracted relief and recovery operation (PRRO), development project and Country Programme;
- iii) Both monitoring and evaluation need to be responsive and appropriate to the situation and the operation undertaken. M&E systems should be integrated with implementing partners' systems as far as possible.
- iv) M&E systems must reflect the information needs and approaches established by corporate policies such as Commitments to Women and Enabling Development, strategies such as the Strategic Plan and Policy Framework and reports such as country office reports, annual performance reports and standard project reports. Such M&E systems should provide data and results for local and corporate results oriented management information systems.

THE ROLE OF M&E IN WFP

10. **Monitoring** serves the following main objectives in enabling WFP to fulfil its mandate and commitments:

- **management**, allowing managers to identify and assess potential problems or successes and make appropriate modifications throughout an operation, including to its original design, to keep it on track to achieve its objectives;
- **performance measurement**, establishing that intended performance is being achieved;
- **accountability**, providing assurance of sound resource utilization to WFP and implementing partners, donors, governments and beneficiaries;
- **learning**, providing project stakeholders with lessons while implementing; and
- **advocacy**, providing information and evidence to support the cause of the hungry poor.

11. The same objectives, with different thrust and prioritization, are among those served by **evaluation**:

- **management**, improving current and future operations;
- **performance assessment**, objectively reviewing the results of processes, operations, and policies;
- **accountability**, providing assurance of sound resource utilization to the Executive Board, donors and the public;
- **learning**, enabling learning through sharing evaluation findings, recommendations and lessons; and
- **advocacy**, providing information and evidence to support the cause of the hungry poor.

WFP'S APPROACH TO MONITORING

12. WFP uses a flexible approach to monitoring to fit local circumstances, needs, timing and capacities. A monitoring system for a rapid-onset emergency will be more basic to start with than one for a long-standing development operation. As outlined in this policy and in



the results-oriented monitoring and evaluation guidelines, a minimum common standard needs to be maintained, regardless of the nature of operations.

13. The basic tool for setting up any robust M&E system is a logical-framework approach.⁴ A logical framework-based system must include the following:
- **clearly defined and realistic** objectives, assumptions and risks;
 - **a minimum set of quantitative and qualitative performance indicators** for each objective, assumption and risk that can be collected and analysed and for which funds are provided in the budget;
 - an **assessment of the capacity** among governments, implementing partners, non-governmental organizations (NGOs) and country and sub-offices to undertake monitoring responsibilities, and an assessment of **training needs** when capacity needs to be strengthened;
 - **a monitoring and evaluation plan and budget** that summarises information needs, use, reporting and presentation, notes important tasks, including personnel and time frame and includes funds for staff, consultants, travel, meetings and workshops, baseline data collection, management and analysis, special reports and studies and, where training is envisaged, funds for capacity-building;
 - a detailed **plan for baseline and ongoing data collection and analysis**, including a combination of techniques such as report reviews, field visits and special studies and surveys;
 - **a reporting and feedback system** that allows prompt management decision-making on findings; and
 - **an annual review meeting** attended by key stakeholders for assessing implementation progress and results and for planning the following year's M&E activities.
14. The main elements of the M&E system must be outlined in operation design documents. The monitoring plan must be specified in detail at the outset of the operation and incorporated into official agreements with partners.

WFP'S APPROACH TO EVALUATION

15. A sound monitoring system as described under section 5 is essential to enable evaluations to provide credible results information. The information provided by baseline studies, progress reports and review meetings enables WFP evaluations to focus on obtaining and confirming results.
16. Independent evaluations by external evaluators are undertaken when there is a special management need or if the evaluation can inform the long-term strategy and policy needs of the organization. The mix of evaluations should match resource allocations under the different categories as far as possible.
17. Evaluation plays an important role in a learning organization. To put more emphasis on broad reflection and learning from good as well as bad experiences, self-evaluations undertaken jointly by country offices and implementing partners are encouraged as a standard learning mechanism for all operations.

⁴ See the Programme Design Manual on WFP's logical framework approach.



18. At least one of the following three evaluation exercises must be undertaken during or after the lifetime of any operation lasting longer than 12 months.
- 1) A **self-evaluation** undertaken by the country office in collaboration with the government, implementing partners, and, when feasible, beneficiary representatives, under the following guidelines:
 - all operations are to undergo a self-evaluation prior to the planning of a new phase or at the operations' close; and
 - normally, no external consultant should be involved other than as a facilitator of the process.
 - 2) **Evaluations** managed by the country office or the regional bureau, including:
 - any operation at any time if a management need arises and if issues cannot be dealt with through self-evaluation; and
 - any operation if the cumulative budget of all phases exceeds US\$50 million and if the previous evaluation took place more than three years previously.⁵
 - 3) **Evaluations** managed by OEDE, including:
 - all first-generation Country Programmes at mid-point;⁶
 - any operation if the cumulative budget of all phases exceeds US\$50 million and if the previous evaluation took place more than three years previously (if such an evaluation is not undertaken by the country office or regional bureau);
 - any operation, thematic or policy evaluation requested by the Executive Board or by senior management; and
 - OEDE-managed evaluations identified and proposed as part of its biennium work-planning exercise; these are undertaken with the agreement of the regional bureau and the country office.
19. It is important that the funds of all such evaluations—with the exception of thematic and policy evaluations, which are funded through the programme support and administrative (PSA) budget—be programmed and earmarked in the operation's approval document and in the direct support cost (DSC) budget. Should funds not be earmarked or available for evaluation purposes, a budget revision must be undertaken at least four months prior to the planned evaluation mission. It is acknowledged that a corporately identified need for an evaluation cannot depend solely on the availability of DSC funds.

ROLES AND RESPONSIBILITIES

Role of the Office of Evaluation and Monitoring

20. OEDE ensures an independent evaluation service to WFP's Executive Board, and in this role focuses on evaluating corporate programme and policy issues through thematic and

⁵ In this scenario, first consideration should be given to an evaluation managed by the country office or regional bureau. If this is not feasible, OEDE should be approached to manage the evaluation.

⁶ Mid-term evaluations of second-generation CPs may become the responsibility of country offices or regional bureaux.



policy evaluations. It evaluates individual EMOPs, PRROs and CPs selected using an established set of criteria. A matrix outlining the OEDE's evaluation responsibilities, including those of the country offices and regional bureaux, can be found in the Annex.

21. OEDE provides guidance on standards and technical methods by issuing corporate guidelines, disseminating M&E methods and tools to the field, identifying and disseminating best practices in and outside WFP and supporting M&E training for WFP staff and implementing partners.
22. Evaluation experience must be consulted and used in the formulation of future policies, programmes and operations. An important OEDE role is identification and dissemination of lessons and knowledge gained through evaluations.

Role of Regional Bureaux

23. The regional bureaux require accurate performance information that can be analysed regionally and subsequently fed into corporate results reporting. To assist country offices in designing and implementing M&E systems, regional bureau staff may provide technical guidance, share good practice and organize training. It is therefore important that M&E expertise be available in each bureau and that this is incorporated in the job description of regional programme advisers.
24. Regional bureaux should systematically collect and analyse emerging results and issues reflected in monitoring or evaluation reports from country offices and provide direct feedback on their findings to country offices. This performance information is used by the bureaux in their regular strategic planning and programming exercises.
25. In the case of OEDE-managed evaluations, regional bureaux are expected to support the evaluation by ensuring that staff allocate the necessary time and provide information relevant to the exercise.

Role of the Country Office

26. Country offices are responsible for ensuring that appropriate systems are in place. Important responsibilities of the country office include monitoring and reporting on progress, performance and achievements of operations and programmes and handling and use of WFP-supplied commodities.
27. For development operations, where the host government is the prime implementer, the WFP country office must ensure that the periodic progress reports—the quarterly project report and project implementation report—are adequately prepared, drawing on reports from government staff. In this case, the country office must monitor the performance of the implementing partner and gauge the reliability and quality of the reports submitted. WFP will support capacity-building for government departments when monitoring and reporting systems do not meet minimum standards.
28. In emergencies or for PRROs, WFP or an NGO implementing partner may be the prime implementer, and as such should prepare the majority of the required reports. Standard letters of agreement between WFP, the governments and NGOs must clearly reflect all monitoring, evaluation and reporting responsibilities.
29. The performance information obtained should be used by country offices in their regular strategic planning and programming exercises.
30. Country offices may share information with donors to keep them abreast of the progress and performance of WFP's programmes.



31. Country offices are fully responsible for all stages of evaluations, internal or by external consultants, that they manage. Country offices will be assisted in this new responsibility by the WFP results-oriented monitoring and evaluation guidelines.
32. Country offices are expected to support OEDE-managed evaluations by ensuring that staff allocate the necessary time and provide information relevant to the exercise.

Role of National Governments and Other Implementing Partners

33. National governments and implementing agencies are key partners and have a clear stake in obtaining and demonstrating results. They participate in design and implementation of the M&E system. A government department that directly implements a WFP-assisted project or relief operation has responsibility for monitoring and reporting on progress and achievements. Where a government department works with a WFP implementing partner, the M&E responsibilities of both organizations must be spelled out in standard letters of agreement. This is usually the case in emergency and relief operations where WFP makes most use of implementing partners experienced on the ground.
34. A national government is an important stakeholder in any evaluation and should be involved in the entire evaluation process. Governments in countries where evaluations of Country Programmes are undertaken may assign an observer to join evaluation teams and should receive full briefing and debriefing.

Role of the Beneficiaries

35. Obtaining and demonstrating results is important to beneficiaries. It is therefore good practice for beneficiaries to participate in the design and implementation of the M&E system through design workshops, annual review meetings and self evaluations whenever possible.

REPORTING AND USING M&E RESULTS

36. Monitoring data will be made available through standard reporting mechanisms. Reports should be completed and submitted promptly and should inform management-decision making. Evaluation results will take the form of findings, recommendations or lessons in the mission's report.
37. All evaluations should lead to corrective management action or corporate guideline or policy changes. The main tool to assist with this is the recommendation tracking matrix, which should be attached to every evaluation report. The matrix reflects the main recommendations of the evaluation team, the management response of the country office and other bodies involved and action taken to address the recommendations. For country office-managed evaluations, the country office monitors the implementation of recommendations. For OEDE-managed evaluations, OEDE monitors and reports on the implementation of recommendations and submits a completed response matrix to the Executive Board together with the evaluation summary report. It is the responsibility of the country office or regional bureau to continue monitoring progress on the implementation of recommendations.
38. Evaluations undertaken by country offices are presented to the host government and the regional bureau. A copy of all evaluation reports should be sent to OEDE to identify trends and lessons. OEDE will prepare and share with the Executive Board an annual report on overall evaluation results and trends based on internal and external evaluations.



39. Information from M&E may be used for advocacy at local and national levels. Executive Board summaries containing evaluation findings, recommendations or lessons are made available to the public on WFP's website.

M&E GUIDELINES AND CAPACITY-BUILDING

40. Results-oriented M&E guidelines have been developed to facilitate implementation of this policy. They include parameters for process, performance and context information and recommendations for scheduling of monitoring visits and evaluations. They provide advice on methods selection, reporting formats and WFP's expectations regarding validity, reliability, standards and comprehensiveness of results-oriented M&E.
41. The guidelines provide a standard framework for WFP results-oriented M&E within which these performance assessment tools may be adapted to local circumstances.
42. Implementing this policy requires broad, ongoing training of WFP and implementing partner staff. OEDE is preparing a three-year comprehensive training strategy to support the policy and its guidelines. Existing training opportunities provided by partners or other donors and United Nations agencies will be used and opportunities for co-financing and organizing such training events will be explored.



EVALUATION RESPONSIBILITIES WITHIN WFP							
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Type of evaluation	What?	When?	Who initiates?	Who manages?	Who evaluates?	Who receives the report?	Source of Funding
Self-evaluation	operation (EMOP, PRRO, DEVPRO)	At project's end or towards the end of a phase prior to the design of the extension	Country office	Country office	Country office, government, implementing partners, beneficiaries	Country office, copy regional bureau, OEDE	DSC if needed
CO-managed	operation (EMOP, PRRO, SO, DEVPRO)	At mid-point or project end, or as needed	Country office, regional bureau	Country office, regional bureau	External consultants, WFP staff	Country office, copy regional bureau, OEDE	DSC
OEDE-managed	operation (EMOP, PRRO, SO, DEVPRO)	At mid-point or project end, or as needed	OEDE (Selects in consultation with country office and regional bureau according to OEDE criteria)	OEDE	External consultants, OEDE staff as needed	Executive Board, OEDE, country office, regional bureau	DSC
	Special interest evaluations (thematic and policy)	As decided by OEDE	OEDE (identifies themes with potential for organizational learning)	OEDE (in liaison with in-house technical units)	External consultants with in-house collaboration	Executive Board, OEDE, country office, regional bureau	OEDE
	Joint evaluations	Timing convenient to all stakeholders	Donor, government, United Nations agencies	Varies; usually one agency takes the lead	External and/or agency staff	Executive Board, OEDE, country office, regional bureau	OEDE budget or DSC
	Country programmes	At mid-point, just prior to CSO formulation	OEDE	OEDE	External consultants, OEDE staff as needed	Executive Board, OEDE, country office, regional bureau	DSC

