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# Centre of Excellence Against Hunger:

## Toward a Monitoring, Evaluation and Learning System

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# 1. Introduction

This report presents the Monitoring, Evaluation and Learning (ME&L) system<sup>1</sup> proposed to the Centre of Excellence Against Hunger, as stated under the contract 001-2016.

Section 2 summarises the main activities conducted in order to build the Centre's ME&L system, pinpointing the main elements that informed its elaboration, namely, the Centre's M&E gaps and needs and the main approaches for capacity development monitoring and evaluation.

Section 3 presents the proposed Monitoring, Evaluation and Learning (ME&L) system adapted to the Centre's strategies. It underscores the ME&L system's: (i) general objective and rationale, (ii) building blocks, (iii) structure, including its categories and variables; and (iv) information flows, including proposals for the system's management and information responsibilities.

The two annexes to this report are, respectively: (i) the M&E Matrix and (ii) the reference Study (Capacity Development Monitoring and Evaluation).

## **Articulação Sul and Move Social**

São Paulo, January 2017

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<sup>1</sup> To make the system's presentation more attractive, the consultancy team named it the "Zero System", in dialogue with its characteristics and objectives (e.g. being the first version of a comprehensive ME&L exercise, as well as an important tool to the Centre's work in supporting partners to further advance the Zero Hunger sustainable development goal). Nevertheless, this does not imply any obligation whatsoever on using the system's name or logo use.



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## 2. Background

Effective knowledge based organisations rely on the efficient use and management of data and information. In order to provide the Centre of Excellence with an efficient M&E system, the consultancy assessed the Centre's M&E needs and capacities, either through specific consultations and interviews regarding the Centre's current M&E practices or through the impact evaluation process, in which specific shortcomings regarding the monitoring of the Centre's activities were identified. Additionally, the M&E system elaboration drew upon the main conclusions of the Reference Study on monitoring and evaluation of capacity development.

Table 1 presents a brief summary of all activities conducted by the ASUL-Move Consortium under the present contract in order to build a ME&L System adapted to the Centre's needs.

TABLE 1 Timeline of the activities conducted to elaborate the Centre's ME&L System

<b>AUG – SET</b>	<b>Gap assessment:</b> Dialogues and interviews with the Centre's staff to assess specific M&E needs and current capacities
<b>OCT</b>	<b>Reference Study "M&amp;E on Capacity Development":</b> Describes and discusses the most common M&E approaches; and singles out relevant issues regarding M&E capacity development.
<b>NOV</b>	<b>First ME&amp;L workshop:</b> The evaluation team presented the overall premises upon which the proposed M&EL system is based, as well as the M&E matrix, including instruments, data sources, data collection process, periodicity, responsibilities and information flows.
<b>DEC</b>	<b>ME&amp;L Matrix revision:</b> Based on verbal and written comments by the Centre's Staff presented to the Consortium during the first workshop.
	<b>Final ME&amp;L workshop:</b> Presentation of the final M&EL strategy to the Centre's staff.

### MAIN SHORTCOMINGS ASSESSED DURING THE EVALUATION PROCESS

- >The Centre counts on feeble instruments and processes to ensure institutional memory, and monitoring does not count on clear processes, flows and responsibilities. This generates an extra burden to the Centre's different teams responsible for communicating or reporting results to the Centre's institutional partners and other stakeholders.
- >The information regarding the Centre's activities (quantitative and qualitative) is dispersed across different kind of reports and non-consolidated databases. Moreover, this kind of information presents inconsistency and discrepancies. Reports and databases present different categories and systematizing rationale, leading to an unreliable overall picture of the activities during its 5 years of existence.
- >The Centre lacks a system allowing it to monitor the important building blocks of its work, such as remote support, policy advice and advocacy efforts. During the evaluation process, it was not possible to accurately crosscheck the partners' perceptions regarding the Centre's contribution with the actual level of support provided by the Centre to each partner.

### MAIN NEEDS ASSESSED DURING THE CONSULTANCY PROCESS

- >Timely information regarding the Centre's activities and support to partner countries in order to allow accountability to external partners (both donors and partner countries) and to communicate results and impacts.
- >Improve internal communication and organizational learning.
- >Improve follow-up with partner countries. As mentioned by partner countries, a closer follow-up of their domestic processes could enhance the Centre's impact, both in assisting advocacy efforts and accelerating their national processes.

### REFERENCE STUDY'S MAIN FINDINGS

- >Capacity development is an endogenous, non-linear, complex and multifaceted pathway encompassing intangible and long-term aspects. Hence, capacity development support is one factor influencing capacity. M&E should consider the long-term nature of changes in capacities, and acknowledge that such changes may encompass improvement and/or drawbacks. The main implication of this acknowledgement is that, rather than focusing solely on measuring specified outcomes, the M&E system should allow the Centre to seize the changes it supports and explain how they occur. In other words, it does not aim to attribute results to any specific intervention, but rather hopes to demonstrate its contribution to the ensuing changes. The proposed M&E system combines different kinds of instruments that aim to (i) keep track of the changes observed in partner countries, (ii) register the Centre's staff analysis regarding the changes observed and perceptions over the Centre's contribution to those changes; (iii) incorporate the partners' perceptions regarding the Centre's contribution to their capacity development processes.
- >M&E can respond to different purposes, the most being accountability (to donors) and learning. Although accountability and learning processes require different type of information and analysis, several complementing methods may co-exist. The proposed system provides both the information needed for accountability as well as the instruments and processes to allow for learning.
- >M&E practices can and should support capacity development in itself. To this end, M&E should reinforce continuous learning through the systematic collection of outcome data and regular evaluations. Moreover, it benefits from the stakeholder participation through self-assessment and encouraging the stakeholder's feedback and critical analysis based on practical experience. The system proposed establishes different instruments to foster learning within the Centre's monitoring routine and incorporates the partner countries feedback regarding the quality of the Centre's capacity development activities and their contribution to the related changes and improvements observed in partners' contexts.

# 3. The System

This section presents the proposed ME&L system, pinpointing: (i) the system’s general objective and rationale, (ii) the system’s building blocks, (iii) the main information categories and its variables, (iv) the information flows and management.

## 3.1 The system’s objectives and rationale

Considering the shortcomings and needs assessed, as well as the main conclusions regarding Capacity Development M&E, the proposed Monitoring, Evaluation and Learning (MEL) system was designed in view of feasibility and comprehensiveness.

In order to be feasible, the proposed system does not inflict a considerable burden on the Centre’s staff and its counterparts. Its design allows for decentralized inputs, relying on information provided by different staff members responsible for, and stakeholders engaged in, each activity promoted or supported by the Centre.

In an attempt to be comprehensive, the system (i) provides inputs for capacity development processes and contributes to a learning culture; (ii) enables accountability and supports communication; (iii) fosters adaptive management; (iv) supports decision-making. Its design combines different information types (quantitative and qualitative) allowing for accountability, informing performance and impact evaluation, besides providing different moments to analyse the data and to discuss possible strategy adjustments and enhancements.

It is important to note that an effective M&EL system implementation is a process aiming at

the medium-term and requires institutional investment by the Centre. Successful M&E efforts rely on the senior management’s internal commitment to M&E, backing up the allocation of resources (personnel, funding and time) and the staff’s conviction of M&E importance. The necessary investment is not merely financial, albeit necessary in order to develop databases or hire external evaluations. The system’s implementation also requires the senior and technical staff’s commitment and adjustments to the Centre’s workflow processes, providing rigorous and regular inputs to the system as well as establishing moments when the staff may analyse system outputs and propose adjustments and enhancements to the Centre’s intervention strategies.

## 3.2 The system’s building blocks

A comprehensive system needs to constantly build upon different pieces of information, encompassing outputs, outcomes and impacts. This means that besides the constant tracking and monitoring of outputs, a comprehensive system would also benefit from regular evaluations. Moreover, in order to support an efficient and meaningful use of the collected data, the system needs to constantly provide resolution and learning moments. Figure 1 represents how those four building blocks unfold into different ME&L elements.

FIGURE 1 The system’s building blocks

### MONITORING SYSTEM IN PLACE

Database

Analytical virtual space

### ON-GOING EVALUATION(S)

Database

Periodic evaluations

External Impact evaluation (4/5 years)

### LEARNING

Action Learning Meetings

### RESOLUTION

Staff meetings

### DATABASE

The Database provides an efficient way to store, retrieve and analyse information. The database is at the core of the Centre’s M&EL system, since it (i) provides timely information for management and decision-making; (ii) ensures accountability of the Centre’s activities; (iii) allows for the follow-up of the countries’ processes; and (iv) provides the basis for evaluation, learning and institutional memory.

In order to accomplish these different purposes the database was elaborated to host updated quantitative and qualitative information regarding (i) all activities promoted or supported by the Centre; (ii) the partners’ perceptions/evaluation regarding the quality of the Centre’s activities; (iii) partners’ contexts, landmarks and overall progress in the areas supported by the Centre.

Currently, the monitoring of the Centre’s activities is based on Excel spreadsheets. Nevertheless, Excel is not an information management system and does not adequately support the Centre’s information monitoring load. Moreover, if the Centre aims to enhance its information availability and handling, it needs

information inputs from everyone in order to have a comprehensive picture and memory of its activities, outputs and partners’ inputs. This demands a system allowing for multiple users and simultaneous and decentralized entries and, at the same time, ensuring data quality and data processing efficiency. Excel does not allow for simultaneous users and entries, and either relies on a few people updating and extracting information (risking information silos and limited knowledge dissemination) or generates a versioning control problem, which can overload responsible staff with database cleaning routines.

### ANALYTICAL VIRTUAL SPACE

The analytical virtual space aims to function as an internal blog serving both as a qualitative monitoring tool as well as a space for sharing information and supporting follow-up strategies. It amasses the Centre’s staff reflections and analysis regarding ongoing activities. This tool is especially relevant when we consider the nature of changes in the capacities supported by the Centre, and the need to focus on apprehending such changes, explaining how they occur and reflecting upon the Centre’s contribution. It should describe the activities as well as the staff’s analysis regarding lessons learned and recommendations. Moreover, the virtual space also supports posts with a strict informative nature. Texts produced for and posted to virtual spaces can be tagged to facilitate future searches.

### EXTERNAL IMPACT EVALUATION

To be conducted every 4-5 years, according to WFP guidelines. External impact evaluations assess the degree of achievement of the Centre’s objectives, the efficiency of its strategies, the quality of its activities, as well as identifying recommendations. Comprehensive impact evaluations can be carried out regularly (e.g. every four or five years) and will benefit from ongoing smaller evaluations as well as the output information gathered through the database.

### PERIODIC EVALUATIONS

Short-range evaluation tools to periodically assess the Centre’s outcomes and, at the same time, supporting capacity development processes. They contribute toward a sound

knowledge base regarding the Centre’s strategies and results, supporting and complementing the impact evaluations. Their objects vary according to what the Centre’s staff and partners deems useful at any given time. For instance, smaller evaluations may be conducted to assess the efficiency and effectiveness of specific intervention strategies, such as in-country technical assistance or knowledge exchange/training seminars promoted/supported by the Centre; participatory evaluations addressing specific partners processes; or even case studies highlighting specific aspects of the Centre’s theory of change.

#### ACTION LEARNING MEETINGS

A participatory and periodical learning moment in which the Centre’s staff qualitatively analyses recently developed activities, discussing how they perceive the effects and/or influence in participants, issues that may be improved, lessons learned and recommendations. The action learning meetings are guided by specific questions, which are outlined in the ME&L matrix (see table 3 below).

#### STAFF MEETINGS

The Centre’s decision-making moments are informed by the M&EL system’s outputs to foster adaptive management.

### 3.3 The system’s structure

Since the Centre activities are demand-driven, the system was also structured with the partners’ demands as its main axis. Demands are understood as all the activities under the formal agreements between the Centre and its partners (countries, funding partners or implementing partners), as well as other institutional activities, such as invitations to participate in conferences, researches and publications. The system was designed to encompass information regarding all of the Centre’s activities, either by promoting (Study Visits, technical assistance or researches); supporting (political advice); co-organising (e.g. international seminars) or participating (events or international meetings).

The system is structured under four main categories: country profile, partner profile, activity and outputs, and results. This structure

allows the system to monitor the progress of the demands as the processes unfold. Each one of those four categories has specific monitoring objectives (represented in figure 2) and unfolds into specific monitoring variables (registered in table 2). Annex 1 brings the complete M&E matrix with details for each variable.

FIGURE 2 The system’s structure

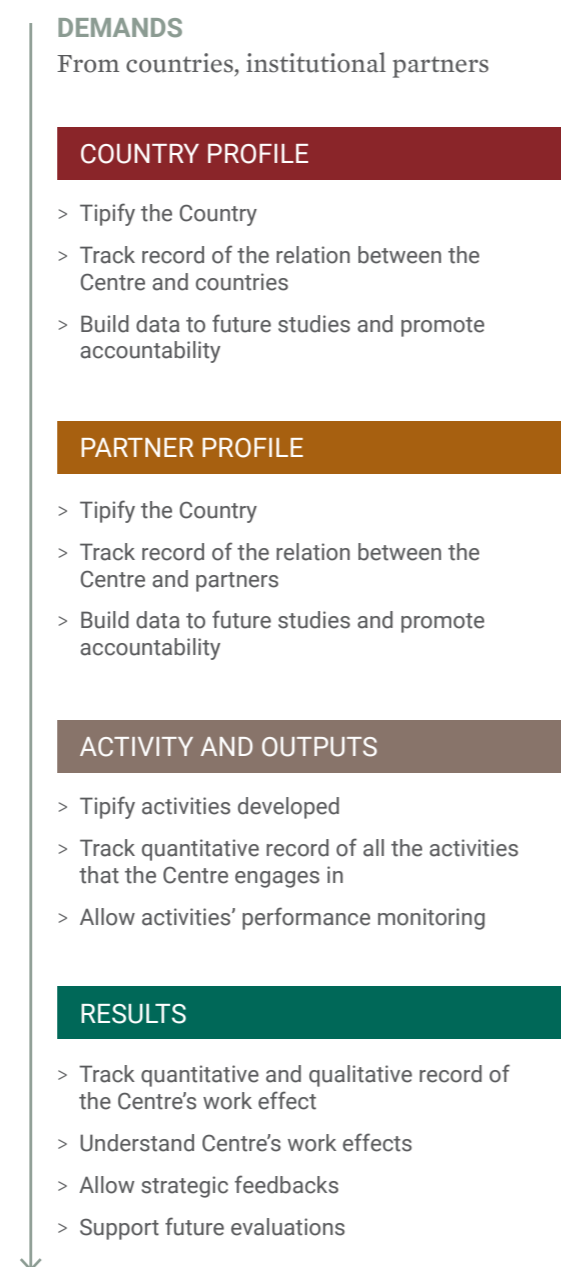


TABLE 2 Categories, sub-categories and variables

CATEGORY	SUB-CATEGORY	VARIABLES
<b>COUNTRY PROFILE</b>	Country info	Country (Region, Sub-region); Context (Political regime, Socio, political or environmental context; Status of School Feeding programme, WFP handover strategy); Programme Priorities; Demand date; School Feeding Network participation
	Support scope	Main Area; Specific Area; Internal Orders
	Relation with the Centre	Status and latest updates
	Actors and Contacts	Profile and contacts (national governments and WFP)
	Landmarks	School Feeding, Nutrition and Social Protection (legal and institutional frameworks; coordination capacities, funding mechanisms, etc.)
	Responsible within CoE	Focal point assigned
<b>PARTNER PROFILE</b>	Institution	Funding partner or Implementation partner
	Partnership scope	Brief description of the partnership and its activities
	Contacts	Key-actors’ profile and contacts
	Update	Brief update of recent contact and agreements
<b>ACTIVITIES AND OUTPUTS</b>	Study Visit	Country; date; participants profile; Workload; Action Plan; Institutional partners engaged; Funding; Responsible; Performance
	In-country support	Type; Area (Main Area and Specific Area); Workload; participants profile; Funding; Responsible; Performance
	Remote support	Type; Area (Main Area and Specific Area);
	Events	Centre’s role; Geographic scope; Organiser; Target audience; Area (Main Area and Specific Area); Funding
	Research and publication	Area (Main Area and Specific Area); Target audience; Citation; Access type; Knowledge field; Funding; Partners; Geo Targeting
	Institutional strengthening	Type; Objective; Funding
	Centre’s efforts	Financial resources invested; Staff’s allocated time
	<b>RESULTS</b>	Policy and Legal Framework
	Financial Capacity	
	Institutional Capacity and Coordination	
	Design and Implementation	
	Social participation	

### 3.4 The system's information flows

In order to maintain the system updated one must clarify information flows and responsibilities.

Regarding responsibilities, we propose that a focal point is assigned to every new demand. These persons are responsible for ensuring that all information under their responsibility will be fed into the system. This decentralized approach is based on the assumption that the Centre's technical staff is the main source of information and must be committed to input this information into the system. Nevertheless, we suggest that the Centre should allocate at least one support person to assist in all focal points of the demands feeding the system. This approach aims to avoid the risk of concentrating M&E responsibility into one unit, which would be overloaded with information and, at the same time, extremely dependent on other units. Moreover, decentralizing M&E responsibilities increases the system's efficiency, since its large information volume is built upon a small amount of effort from different persons.

Table 3 summarizes the system's flows, describing the guiding M&E questions for each category and, the information sources for each variable, the input periodicity, the persons responsible for providing information for each category, and the usage of such information.



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TABLE 3 Information flows

CATEGORY	M&E QUESTIONS	SUB-CATEGORY	INFORMATION SOURCE	PERIODICITY	RESPONSIBLE AND FLOW	USE OF INFORMATION		
<b>COUNTRY PROFILE</b>	<ul style="list-style-type: none"> <li>_ What are we working on?</li> <li>_ What demands are we receiving?</li> <li>_ Who are we working with?</li> <li>_ What are our partners' profiles?</li> <li>_ Where are we investing our resources?</li> </ul>	Country info	MoUs, ToRs, desk-review, mission reports, follow-up calls, etc.	<ul style="list-style-type: none"> <li>_ Monthly</li> <li>_ As new demand arrives</li> <li>_ As new information regarding country profile changes</li> </ul>	Inputs into the database by the assigned Centre's staff (focal point)	<b>Management/ Resolution:</b> bimonthly meetings for analysis  <b>Management:</b> Information available for staff  <b>Accountability:</b> Available information for partners		
		Support scope						
		Relation with the Centre						
		Actors and contacts						
		Landmarks						
<b>PARTNER PROFILE</b>	<ul style="list-style-type: none"> <li>_ Who are our partners?</li> <li>_ Who is funding us?</li> <li>_ What is the status of each partnership?</li> </ul>	Institution	MoUs, ToRs, meeting notes, follow-up calls, etc.	<ul style="list-style-type: none"> <li>_ Monthly</li> <li>_ As new demand arrives</li> </ul>	Inputs into the database by the assigned Centre staff (focal point)	<b>Management/ Resolution:</b> bimonthly meetings for analysis  <b>Management:</b> Information available for staff  <b>Accountability:</b> Available information for partners		
		Partnership scope						
		Contacts						
		Updates						
<b>ACTIVITIES AND OUTPUTS</b>	<ul style="list-style-type: none"> <li>_ Which activities are we supporting/ engaging in?</li> <li>_ How are we performing?</li> </ul>	Study Visit	_ <b>Centre:</b> Activity Report, Analytical text in virtual space, Participants list, Performance Scale (qualitative) _ <b>Country:</b> Report, Performance, Scale	<ul style="list-style-type: none"> <li>_ Every new study visit</li> <li>_ In-country support activity</li> </ul>	_ <b>Centre:</b> Database inputs made by the assigned Centre staff for the Country (focal point) _ <b>Country:</b> (i) Country's focal point/ assigned person elaborates report (ii) Country sends report to Centre (iii) Database inputs made by the assigned Centre staff for the Country/ M&E support	<b>Action learning meeting (at least bimonthly)</b> Centre's staff reads reports and meets to discuss: _ How did those activities influence participants/targeted audience? _ What could have been improved? _ What have we learned from those activities? _ What are the recommendations to the countries/ partners? And to ourselves?		
		In-country support						
		Remote support	Brief Analytical text in virtual space	<ul style="list-style-type: none"> <li>Every activity</li> <li>Every new event</li> </ul>	_ Database inputs made by the assigned Centre's staff _ M&E support	<b>Management:</b> Information available for staff  <b>Accountability:</b> Available information for partners		
		Events	_ Participant List _ Additional information: external evaluations					
		Research and publication	Researches and publications produced	<ul style="list-style-type: none"> <li>Every new publication</li> <li>Every new event</li> </ul>				
		Institutional participation	Brief Analytical text in virtual space					
		Centre efforts	Financial system	<ul style="list-style-type: none"> <li>To be agreed</li> </ul>	<ul style="list-style-type: none"> <li>To be agreed</li> </ul>	<b>Management/ Resolution:</b> meetings for analysis		
		<b>RESULTS</b>	Are we supporting positive changes in the partner countries' school feeding and social protection landmarks?	<b>Country performance scale:</b> _ Policy and Legal Framework _ Financial Capacity _ Institutional Capacity and Coordination _ Design and Implementation _ Social participation	_ Inputs on "Country Landmarks" by the assigned Centre staff for the Country (focal point) _ Complementary inputs generated through the partners' participatory assessments (SABER) _ Analytical text produced by assigned member (responsible for country/ partnership, etc.)	<ul style="list-style-type: none"> <li>_ As new information regarding country landmarks change;</li> <li>_ Every SABER exercise conducted with the Centre's support</li> </ul>	_ Countries' landmarks are automatically updated (see Countries' profile flow) _ SABER exercise: Database inputs made by the assigned Centre staff	<b>Action Learning Meeting</b> _ What are the most evident results? _ Which aspects of our strategies are the least developed or producing modest results? _ What do we learn from this complete picture? _ <b>Resolution meeting</b> _ What do we need to adjust?
					Survey to collect perceptions on the Centre's Contribution			
Specific instruments designed according to the needs identified by the Centre, partners or countries supported.								
External evaluation	<ul style="list-style-type: none"> <li>4-5 years</li> </ul>				<ul style="list-style-type: none"> <li>To be agreed</li> </ul>			



# ANNEX 1

## M&E MATRIX

### COUNTRY PROFILE

<b>1. COUNTRY INFO</b>	<b>COUNTRY</b>	Region			
		Subregion			
<b>CONTEXT</b>	Political regime	Parliamentary democracy			
		Presidential democracy			
		Other			
	Socio, political or environmental context	UN Peace operations	Y		
			N		
		Elections	Last head-of-state election	Year	
			National elections in the next 12 months	Y	N
		UNEP Disasters & Conflicts sub-programme	Y		
			N		
	WFP Disaster Risk Reduction programmes	Y			
		N			
	Status of School Feeding programme	Type	Pilot project		
			Programme		
			Other		
		Starting year			
Ministry in charge		Education			
		Agriculture			
		Social Affairs			
		Other			
Coordination Unit		Y			
		N			
		Model	Within one ministry	Units within Ministries	
		Other			
Coverage	n of children				
	n of schools				
Main goals					
Implementing modalities					
HGSF	Y				
	N				
WFP handover strategy	Y	Year			
	N				
	WFP Work	Coverage			
		Geographic areas			
		Modalities			
	Beyond School Feeding	Nutrition	Y	N	
		Nutritional Education	Y	N	
	Other				
<b>PRIORITIES</b>	BTf				
	DFID PNSDI				
	DFID CALBEE				
	BMG				
	Other (specify)				
	Country's own resources				
	None				
<b>DEMAND DATE</b>	Day/Month/Year				
<b>SCHOOL FEEDING NETWORK PARTICIPATION</b>	Y				
	N				
	Specify				

<b>2. SUPPORT SCOPE</b>	<b>MAIN AREA</b>	School Feeding			
		Social Protection			
		Nutrition			
		Other (specify)			
	<b>SPECIFIC AREA</b>	Public procurement			
		Cost analysis			
		Funding model			
		Participation			
		Funding model			
		Institutional and legal framework			
		Pilot			
		Evaluation			
		Other (specify)			
		<b>INTERNAL ORDERS</b>	Policy support		
	Document Brazilian expertise				
	Direct technical assistance				
	Capacity development training				
	Brazilian TF training/workshop				
	Advocate and promote school feeding				
	Advocacy				
	<b>3. RELATION WITH THE CENTRE</b>	<b>STATUS</b>	Ongoing	Active	
				Latent	Reason
			(This variable can be automatically defined according to the last activity's date)		
			Being negotiated		
			Closed	Closure date	
		Denied			
<b>UPDATE</b>		Brief update of recent contact and agreements			
		Country profile last update	Date		
<b>4. ACTORS AND CONTACTS</b>	<b>KEY PERSON CONTACT 1</b>	Name			
		Gender			
		Age			
		Area	Education		
			Agriculture		
			Social Protection		
			Planning		
			Other (specify)		
		Profile	High-level representative		
			Technical Staff		
		Language	First		
			Second		
		Contact	Email		
	Phone				
	Mobile				
	Address				
	Skype				
	Facebook profile				
	<b>KEY PERSON CONTACT 2</b>	(Same info Key person contact 1)			
	<b>KEY PERSON CONTACT 3</b>	(Same info Key person contact 1)			
	<b>WFP FOCAL POINT 1</b>	Name			
		Gender			
		Age			
		Language	First		
			Second		
		Contact	Email		
			Phone		
Mobile					
Address					
Skype					
Facebook profile					
<b>WFP FOCAL POINT 2</b>	(Same info WFP Focal point 1)				

<b>5. LANDMARKS</b>	<b>SCHOOL FEEDING</b>	Legal and Institutional framework	Y	Type	Law/Norm/Judicial precedent	
					National strategy	
					National policy	
				Guidelines for implementation		
				Pilot project		
			N			
		Coordination unit	Y	Type	Within one ministry	
					Several units, within different ministries	
					Other	
			N			
		Intersectoral coordination	Y			
			N			
		Mechanisms that promote social participation in and accountability	Y	Type	Local	
					National	
			N			
	Measures that ensure funding	Y	Type	Law, norm or judicial precedent		
				Specific tax revenues earmarked		
				Specific fund		
		N				
	Measures that ensure budget	Y	Type	Specific budget line in the national budget		
				Budget lines of different Ministries earmarked for school feeding		
				Budget from local and regional entities earmarked		
		N				
	Measures that ensure local purchase for school feeding	Y	Type	Local		
				Fixed percentage		
				No fixed percentage		
				National		
			Fixed percentage			
			No fixed percentage			
	N					
Guidelines to orient the quality of food served in schools	Y					
	N					
<b>NUTRITION</b>	Guidelines	Y	Implemented in schools	Y		
				N		
		Nutritional standards	Micronutrients	Y		
				N		
			Macronutrients	Y		
				N		
			Priority for non/low processed food	Y		
				N		
		Purchase, receipt, storage, hygiene and preparation	Y			
			N			
Value of local culture	Y					
	N					
Other landmarks	Specify					
<b>SOCIAL PROTECTION</b>	Legal framework	Y				
		N				
	Policy	Y				
		N				
	Mechanisms that promote social participation in and accountability	Y				
		N				
	Measures that ensure funding	Y				
		N				
Measures that ensure budget	Y					
	N					
<b>6. RESPONSIBLE WITHIN COE</b>	Main focal point					
	Second focal point					

## PARTNER'S PROFILE

<b>1. INSTITUTION</b>	Name		
	Funding partner		
	Implementation partner		
<b>2. PARTNERSHIP SCOPE</b>	Brief description of the partnership and activities		
<b>3. CONTACTS</b>	Key person contact 1	Name	
		Gender	
		Age	
		Area	Education
			Agriculture
			Social Protection
			Planning
			Other (specify)
		Profile	High-level representative
			Technical Staff
		Language	First
			Second
		Contact	Email
	Phone		
	Mobile		
	Address		
	Skype		
	Facebook profile		
Key person contact 2	(Same info Key person contact 1)		
Key person contact 3	(Same info Key person contact 1)		
<b>4. UPDATE</b>	Brief update of recent contact and agreements		

## ACTIVITY AND OUTPUTS

<b>1. IN-COUNTRY ACTIVITIES</b>	<b>STUDY VISITS</b>	Date	Date/Month/Year		
		N of participants	Name		
			Position	Technical	
				High-level representative	
			Gender		
			Area/Ministry		
		Workload	Hours		
		Action Plan	Y		
			N		
		Institutional partners engaged	Specify (Can be linked with partners' profile)		
		Funding	Project	Specify	
			Amount funded by the Centre		
			Additional funding		
		Responsible	Centre's Staff	Specify	
			External consultant	Specify	
		Performance	Instrument: Performance Scale (qualitative)	Filed by the Centre	
			Analytical text produced by the Country (as part of the Study Visit report)	Filed by participants	
		<b>IN-COUNTRY SUPPORT</b>	Type	National Consultation	
High-level meeting					
Technical mission					
Other	Specify				
Area	Main area		School Feeding		
			Social Protection		
			Nutrition		
			Other	Specify	
	Specific area		Public procurement		
			Cost analysis		
			Funding model		
			Participation		
			Institutional and legal framework		
			Pilot		
			Advocacy		
			Evaluation		
			Other	Specify	
Workload	Days or hours				
Funding	Project	Specify			
	Amount funded by the Centre				
	Additional funding				
N of participants	Name				
	Position	Technical			
		High-level representative			
		Specify			
	Gender				
	Area/Ministry				
Responsible	Centre's Staff	Specify			
	External consultant	Specify			
Performance	Instrument: Performance Scale (qualitative)	Filed by the Centre			
		Filed by participants			

1. IN-COUNTRY ACTIVITIES	REMOTE SUPPORT	Document analysis	Type	Law or norms	School Feeding
				Social Protection	
				Nutrition	
				Other	
				Strategies or policies	School Feeding
		Social Protection			
		Nutrition			
		Other			
		Guidelines	School Feeding		
		Social Protection			
Nutrition					
Other					
WFP documents					
Other	Specify				
Reponsible	Centre Staff	Specify			
External consultant	Specify				
Assistance with references	Type	Name of consultants			
		Reference studies			
		Policy benchmarks			
		Other	Specify		
		Main area	School Feeding		
Social Protection					
Nutrition					
Other	Specify				
Specific area	Public procurement				
	Cost analysis				
	Funding model				
	Participation				
	Institutional and legal framework				
Pilot					
Evaluation					
Other	Specify				
Funding of in-country activities	Type	Events			
		Studies			
		Pilots			
		Other	Specify		
		Main area	School Feeding		
Social Protection					
Nutrition					
Other	Specify				
Specific area	Public procurement				
	Cost analysis				
	Funding model				
	Participation				
	Institutional and legal framework				
Pilot					
Evaluation					
Other	Specify				
Remote participation in events	Main area	School Feeding			
		Social Protection			
		Nutrition			
		Other	Specify		
		Specific area	Public procurement		
Cost analysis					
Funding model					
Participation					
Institutional and legal framework					
Pilot					
Evaluation					
Other	Specify				
Hours					
Other	Specify				
Main area					
Hours					

2. EVENTS	TYPE	GCNF		
		Regional Seminar		
		International Seminars		
		Other		
		DATE	Day/Month/Year	
		WORKLOAD	Hours	
		AREAS	Main area	School Feeding
				Social Protection
				Nutrition
				Other
Specific area	School Feeding			
Social Protection				
Nutrition				
Others				
Public procurement				
Cost analysis				
Funding model				
Participation				
Institutional and legal framework				
Pilot				
Evaluation				
Other				
N OF PARTICIPANTS	Name			
	Position			
	Gender			
	Sector	Government		
		WFP		
		Civil society		
		University		
		Private sector		
		Other international organisation	Specify	
	Brazilian institution	Specify		
Funded by	Specify			
OBJECTIVES	Specify			
OUTPUTS	Specify			
PERFORMANCE	Qualitative scale filled by participants and Centre's staff			
FUNDING	Project	Specify		
	Additional Funding			
	Amount funded by the Centre			

3. INSTITUTIONAL PARTICIPATION	CENTRE'S ROLE	Organiser
		Speaker
		Participant
		Observer
	GEOGRAPHIC SCOPE	Regional
		Continental
		International
	ORGANISER	Institution
	TARGET AUDIENCE	High-level representative
		Technical staff
AREA	Main Area	
	Specific Area	
FUNDING	Project	Specify
	Amount funded by the Centre	
	Additional Funding	

4. RESEARCHES AND PUBLICATIONS	AREA	Main area	School Feeding
			Social Protection
			Nutrition
			Other
	Specific area		Public procurement
			Cost analysis
			Funding model
			Participation
			Institutional and legal framework
			Pilot
			Evaluation
			Other
TARGET AUDIENCE			
CITATION	Author		
	Item title		
	Type	Articles	
	Name of the publication means (eg. journal/book)	Books	
	Name of the publisher	Reviews	
	Data of publication	Policy Briefs - Reports Miscellaneous	
ACCESS TYPE	Open source		
	Online reading only		
	Restricted access digital library		
	Printed only/Physical content		
KNOWLEDGE FIELD (FILL MANUALLY)	Narrow by discipline		
	Abstract in English		
	Key-words		
FUNDING	Project	Specify	
	Amount funded by the Centre		
	Additional Funding		
PARTNERS			
GEO TARGETING	Countries		
	Region (Use WFP Regional offices distribution)		
5. INSTITUTIONAL STRENGTHENING	TYPE	Funding of activity	
		Strategic meetings	
		Other	
OBJECTIVE			
FUNDING	Project	Specify	
	Amount funded by the Centre		
	Additional Funding		
6. CENTRE'S EFFORTS	FINANCIAL RESOURCES INVESTED	Resources allocated in each country/each type of activity	
	STAFF'S ALLOCATED TIME	Timesheet	

## RESULTS

1. COUNTRY PERFORMANCE SCALE	Policy and Legal Framework	SABER Scale
		Landmarks
	Financial Capacity	SABER Scale
		Landmarks
	Institutional Capacity and Coordination	SABER Scale
		Landmarks
Design and Implementation	SABER Scale	
	Landmarks	
Social participation	SABER Scale	
	Landmarks	
2. CENTRE'S CONTRIBUTION	To progress in landmarks	

# ANNEX 2

## Reference Study

### Capacity Development M&E

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## 1. Introduction

Capacity development is a key aspect of International Development Cooperation (IDC), recognized as an integral part of the Sustainable Development Goals, financially relevant to all partners (Vallejo and When, 2016). Despite its commitment to capacity development, the development community has not reached a common agreement on its meaning, with significant implications to its practice and, consequently, to its monitoring and evaluation.

At the same time, there is a high demand for evaluation in development cooperation and in capacity development support. In the past few years, a major trend among traditional donors is the “value for money” agenda, which generates pressure for quantifiable and concrete results that can be demonstrated to taxpayers and domestic constituencies (Jackson, 2012). Capacity development support, however, produces mainly intangible and long-term results, which are harder to assess.

Evaluation challenges in IDC are likely to increase, since evaluation has been integrated in the 2030 Sustainable Development Agenda, which indicates that follow-up and review processes will be informed by country-led evaluations (UNEG, 2015). As a result, there will be increasing demand for evaluation capacity in partner countries.

On the other hand, South-South cooperation (SSC) has a strong focus in capacity development and Southern partners face major challenges in measuring, monitoring and evaluating initiatives. The lack of a clear and common conceptual framework makes SSC monitoring and evaluation challenging. This problem is further augmented by the evidence gap and the low quality of data on SSC, which is generally incomplete and unreliable due to weak Monitoring and Evaluation (M&E) systems and information management systems in Southern partners (Beisharati et al, 2015).

Against this background, this study<sup>1</sup> aims

<sup>1</sup> The desk review focused on material concerning the monitoring and evaluation of capacity development in the international development cooperation field. It included academic articles, grey literature and institutional manuals and guidelines. Since this is an ever-changing practice, the research

to contribute to the efforts by the Centre of Excellence against Hunger in developing a viable and effective M&E system. To this end, the study is structured as follows: section two describes and discusses the main elements regarding capacity development itself, unpacking some contentious issues regarding definitions with possible implications for establishing an M&E system for capacity development. Section three provides an overview, based on a literature review, of the most common approaches of M&E of capacity development, underlining relevant issues as well as lessons and challenges.<sup>2</sup>

## 2. Capacity development as an M&E object

A clear framework is essential for any M&E exercise, and thus clarity about the monitored or evaluated object is critical. Therefore, considering capacity development as an object of M&E, one should have a shared understanding of some basic questions such as: What is capacity development? What are its objectives? Who is involved? How does it work? Why does it work in a certain way?

As stated in the introduction, capacity development is a concept that lacks a common definition. In this section, the study provides an overview of the working definitions of capacity development used by some institutions engaged in international development cooperation<sup>3</sup>, highlighting commonalities and divergences, as well as implications for M&E efforts.

### 2.1 Capacity development definitions

Table 1 provides an overview of how different organizations define capacity and capacity development. In the following subsections, the main elements of such definitions are further explored.

team has restricted its efforts on the most current debates and the research only considered documents published after the year of 2000.

<sup>2</sup> Additionally, the annexes have a list of resources on the issues developed throughout the study, a benchmark of the International Organizations’ frameworks for monitoring and evaluating capacity development support, and summarized information on the WFP’s capacity development work.

<sup>3</sup> Including international organizations, bilateral cooperation agencies and non-governmental organizations.

TABLE 1 Capacity development definitions

INSTITUTION	DEFINITION	SOURCE
OECD	<b>Capacity</b> “The ability of people, organizations, and society as a whole to manage their affairs successfully”. <b>Capacity development</b> “The process by which individuals, groups and organizations, institutions and countries develop, enhance and organize their systems, resources and knowledge; all reflected in their abilities, individually and collectively, to perform functions, solve problems and achieve objectives”.	OECD, 2006
WB	<b>Capacity development</b> “is a locally driven learning process by leaders, coalitions and other agents of change for changes in socio-political, policy-related, and organizational factors to enhance local ownership for and the effectiveness and efficiency of efforts to achieve a development goal”.	WBI, 2009
WFP	“Building on existing skills, knowledge, systems and institutions to enable governments to take responsibility for investing in and managing hunger solutions through WFP advocacy and technical assistance.”	WFP, 2015
FAO	<b>Capacity development</b> “is the process whereby individuals, organizations and society as a whole unleash, strengthen, create, adapt and maintain capacity over time.” <b>Capacity development</b> “is primarily an endogenous process led by national actors and agencies, which is supported by FAO”	FAO, 2015
UNDG	<b>Capacity</b> “The ability of people, organizations and society as a whole to manage their affairs successfully” <b>Capacity development</b> “The process whereby people, organizations and society as a whole unleash, strengthen, create, adapt, and maintain capacity over time.”	UNDG, 2016
UNDP	<b>Capacity</b> “the ability of individuals, institutions, and societies to perform functions, solve problems, and set and achieve objectives in a sustainable manner.” <b>Capacity development</b> “is the ‘how’ of making development work better and is, in essence, about making institutions better able to deliver and promote human development”.	2010
ABC	<b>Capacity development</b> refers to “a process of change, which occurs in four inter-related and interdependent levels: the individual, organizational, inter-institutional and contextual dimensions.” Furthermore, it is acknowledged that the main function of technical cooperation is to “facilitate access, absorption and application of knowledge that enables the local agents to develop and strengthen their capacities, a process which involves learning in the individual, organizational and inter-institutional dimensions.”	ABC, 2014
USAID	<b>Capacity development</b> “are the approaches, strategies, or methodologies used by USAID and its stakeholders to change, transform, and improve performance at the individual, organizational, sector, or broader system level.”	USAID
ECDPM	<b>Capacity</b> “is the emergent combination of attributes, capabilities and relationships that enables a system to exist, adapt and perform”. <b>Capacity development</b> “is the process of enhancing, improving and unleashing capacity; it is a form of change focusing on improvements”.	ECDPM, 2011
INTRAC	<b>Capacity development</b> “is an internal process that involves the main actor(s) taking primary responsibility for change processes; it is a complex human process based on values, emotions and beliefs; it involves changes in relationships between different actors and involves shifts in power and identity; and it is both uncertain and, to a degree, unpredictable”. <b>Capacity building</b> “is more often understood as a purposeful, external intervention to strengthen capacity over time”.	Simister and Smith, 2010

**CAPACITY DEVELOPMENT, CAPACITY BUILDING, CAPACITY FOR DEVELOPMENT AND CAPACITY DEVELOPMENT SUPPORT: WHAT IS BEHIND THE USE OF SO MANY TERMS?**

Capacity development and capacity building are often used interchangeably, although “capacity development” is the most frequently used term.

Simister and Smith (2010:3) for instance distinguish **capacity development** as an “internal process that involves the main actor(s) taking primary responsibility for change processes”, while **capacity building** is more often understood as a “purposeful, external intervention to strengthen capacity over time”. Therefore, in their perspective, M&E efforts should not only focus on capacity development but also “the extent to which this is supported (or hindered) by external interventions.”

Vallejo and When (2016) note that **capacity building** implies building capacities from scratch and that the concept has mainly been used in previous decades. In turn, capacity development suggests enhancing and strengthening existing capacities. This shift in terminology reflects the practitioners’ learning regarding the endogenous nature of the development process and the role of external supporters.

Aligned with this recognition, UNDG (2016) considers **capacity development support** as the “efforts by external individuals or organizations to reinforce, facilitate, and catalyse capacity development. Capacity development support is the difficult and paradoxical effort to ‘help self-help’.”

**Capacity for development**, in turn, as defined by the World Bank (2009) is “the availability of resources and the efficiency and effectiveness with which societies deploy those resources to identify and pursue their development goals on a sustainable basis.” In other words, capacity for development refers to the final results or objectives stemming from capacity development efforts.

**2.2 Unpacking the definitions**

Even though definitions seem to be more or less harmonized, differences arise once they are operationalized to support M&E efforts. The following subtopics hope to systematize some of the contentious interpretations useful

for reflecting upon the Centre’s future strategy. It aims to provide further comments on the main elements of the definitions described above while, at the same time, introducing possible implications for M&E of capacity development, which will be further developed in the next section.

**Capacity development agents.** The distinction between capacity development and the promotion or support for capacity development is underlined to indicate the endogenous nature of the former (Walters, 2007). Therefore, capacity development initiatives should be a demand driven process (Vallejo and When, 2016). In the face of the apparent consensus on capacity development as an endogenous process, Simister and Smith (2010) underline the importance in distinguishing whether capacity development support is supply or demand driven: “If an organization develops its own capacity building programme to address its own needs the capacity building can be seen as demand driven. In reality, however, the driver for change often comes from the outside – frequently from donors or international NGOs. The capacity building is then perceived as being supply driven.”

The literature concerning M&E of capacity development commonly uses the term “organizations” or “institutions” to designate the main agents within capacity development processes. Nevertheless, it is understood that capacity development agents may include “individuals, organizations, and sector, thematic, geographic or issue-based networks and coalitions” (Simister and Smith, 2010). As stated by UNDP (2010), measuring capacity development should focus in changes in institutions, addressing if they have become “stronger, better, more resilient”. Regarding capacity development supporters, those can be academic and/or training institutions, consultants, peer organizations, traditional donors (mainly through staff advisers or consultants) and southern partners<sup>4</sup>. Watson (2006) states that the role of capacity development supporters is not often mentioned within the capacity development literature.

<sup>4</sup> This desk review did not find particular references to southern partners in the literature concerning M&E of Capacity Development. The exception being Souza et al, 2016.

**Capacity development timing.** The desk review identified consensus regarding the long-term nature of changes in capacities as well as capacity development as a long-term process. Nevertheless, as explained in the following sections, long-term monitoring and evaluation of improvement in the organizations’ capacities are almost non-existent, since measurement efforts are usually restricted to the projects’ timeframe.

**Capacity as means or end.** There are two different interpretations regarding capacity development objectives. On the one hand, the mainstream interpretation among International Organizations associates capacity development processes with the notion of capacity to achieve something (development goals). This allows for the measurement of capacity in terms of the organizations’ improved performance in certain areas/sectors. Thus, capacities may be defined as the potential to perform. The ECDPM framework, on the other hand, advocates that capacity is both a means and an end in itself. The “end” should be formulated in view of the organization’s mission (framed as social value production). Capacity is thus “that emergent combination of attributes, capabilities and relationships that enables a system to exist, adapt and perform” (ECDPM, 2011).

**Content of capacity development: change and learning.** There is an overall consensus that the capacities of individuals, organizations or systems are not static and change over

time due to internal or external influences. Such changes are usually unplanned and can encompass improvement or drawbacks. Capacity development is about change, but it can also be seen as a deliberate process geared towards the creation, strengthening and maintenance of needed (thus assessed) capacities over time. Learning is thus seen as a “strategic instrument of economic and social change” (WBI, 2009). Capacity development is the process to “develop the learning behind social transformation (...) that enables the recipient to do things differently and to modify habits and practices. Therefore, the focus is on the doing, rather than on the knowing how”.

**Capacity levels.** As mentioned in the ABC’s and USAID’s definition described above, capacity development occurs in four inter-related dimensions, or levels. Souza et al (2016) identifies that a consensus exists within capacity development literature regarding the three levels of capacity development (individual, organizational and social/ enabling environment) and their inter-related nature assuming broader social, economic and political contexts. ABC’s definition adds a fourth level, framed as inter-institutional. The inter-institutional level is primarily focused in arrangements that contribute to the implementation of a sectorial or inter-sectorial systems/policies. Table 2 describes which capacities are meant to be increased at each level.

TABLE 2 Capacity development levels

LEVEL	CAPACITIES
<b>INDIVIDUAL</b>	Improving individual skills, knowledge, and performance through training, experiences, motivation, and incentives.
<b>ORGANIZATIONAL</b>	Improving organizational performance through strategies, plans, rules and regulations, partnerships, leadership, organizational politics and power structures.
<b>INTER-INSTITUTIONAL</b>	Improving coordination within organizations or groups of individuals with shared objectives or aiming toward a common task with reference to an integrated sectorial system or intersectorial policies and programmes.
<b>SOCIAL/ ENABLING ENVIRONMENT</b>	Improving policies to address economic, political, and social factors including economic growth, financing, labour markets, political context, policy and legislative environment, class structures, and cultural dimensions.

Source: UNDP, 2010; ABC, 2014



**Capacity development activities.** Vallejo and Wehn (2016) identify that a large spectrum of activities could be adopted to achieve capacity enhancement. Figure 1 summarizes some modalities and their contribution in fostering expertise or processes. The authors note that the complementary nature of these modalities means they should not be implemented in isolation.

### 3. M&E of Capacity Development: Approaches and issues

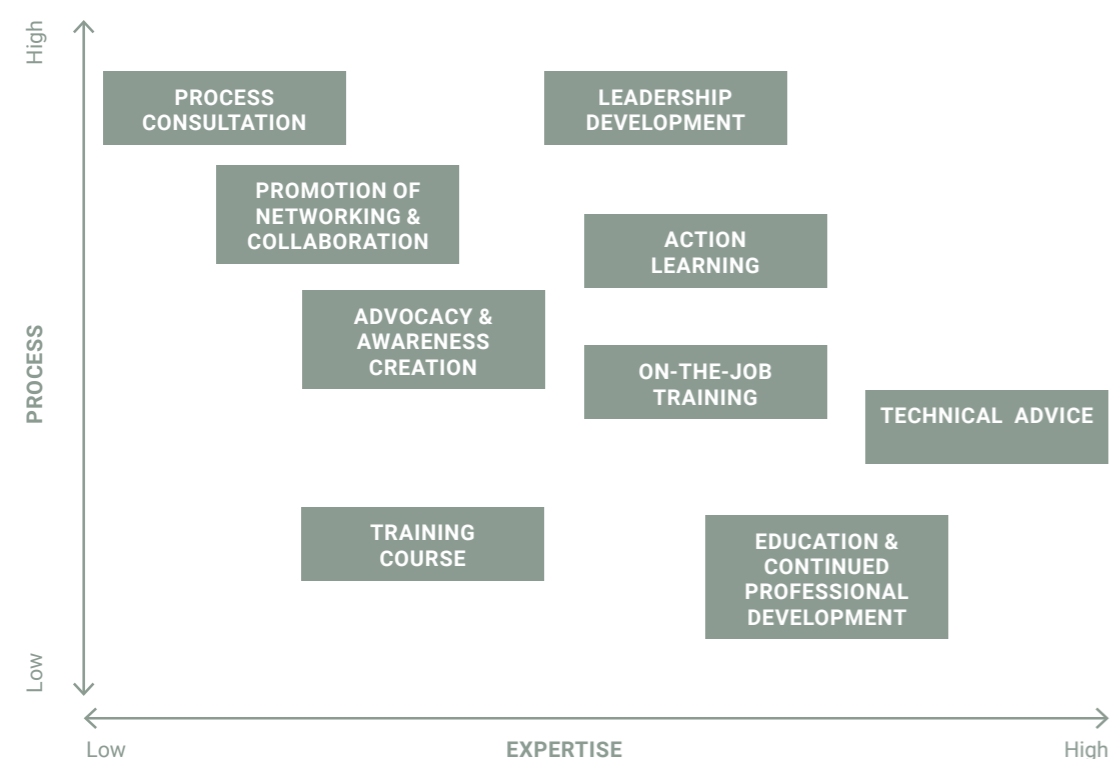
In this section, this study hopes to provide an overview of the most common M&E of capacity development approaches, highlighting trends as well as limitations and potentialities. It also identifies some relevant issues that need to be taken into account when designing

a M&E of capacity development system. Lastly, some specific lessons and challenges regarding monitoring and evaluating capacity development are presented.

#### 3.1 The technocratic and the complex adaptive systems approaches

There are two main approaches to M&E of capacity development, described by Watson (2010) as technocratic thinking and the complex adaptive system (CAS) approaches. While the former understands change as a linear relation between capacity development, increased performance and development results, the latter sees capacity development as a non-linear, complex, unanticipated and multifaceted pathway that includes intangible and long-term aspects.

FIGURE 1 Examples of Capacity Development modalities for strengthening organizational capacity, by level of fostered expertise and process



Source: Vallejo and Wehn (2016)

As explained by Vallejo and Wehn (2016), the technocratic approach understands that “an increase in (organizational) performance seems to be considered as a proxy for capacity. The rationale behind this logic is that there is a linear connection between the provision of inputs and the delivery of (previously defined) outputs (i.e., cause-effect relationship), which (under certain assumptions, also stated in the logframe) leads to an improvement in performance and the achievement of the development goals established by the capacity development project”. In IDC, this rationale is translated into approaches such as “managing for development results,” “results-based management,” and “results-based approaches” (Vallejo and When, 2016). The main method used in the technocratic approach for Planning, Monitoring & Evaluation (PM&E) is the Logic Framework. This is the mainstream approach in IDC and, as stated by UNDP (2010), it ensures focus on impacts and outcomes rather than on outputs or inputs.

The technocratic approach has been widely criticized because of its limits, such as<sup>5</sup>:

- > Not acknowledging the time involved for capacity changes to translate themselves into performance improvements;
- > Rigid planning outcomes through results-based management approaches can deceive the understanding of how changes in capacity occur, since it often disregards existing capacities and what those capacities say about ‘what works’ or ‘the way things work’;
- > Capacity development is treated as a means, or as a ‘collateral’ objective of development cooperation, rather than as an end;
- > Hindering a comprehensive understanding of development problems, and therefore the difficulties of attributing impact to discrete interventions;
- > The attempt to measure progress in achieving predetermined objectives may restrict learning and divert attention from unanticipated features, thus disempowering stakeholders.

<sup>5</sup> Bullet points adapted from Watson (2006).

Evaluations efforts under this approach are usually resource and time-consuming. It includes economic rates of return for capacity development; case-studies, cost-benefit and SWOP analysis (Strengths, Weaknesses, Opportunities and Threats), control group approaches (such as Randomized Control Trials), productivity studies, and macro and micro methods (Vallejo and When, 2016).

The Complex Adaptive Systems, on the other hand, acknowledge capacity development as an endogenous and complex process driven mainly by learning from experience, and is therefore grounded in participatory approaches. It focuses on capturing changes and explaining how such changes occur, rather than focusing on measuring specified outcomes in terms of performance indicators (Vallejo and When, 2016; Watson, 2006). It tends to trade off control for greater strategic adaptation (WFP, 2014). Specific examples of the methods used under this approach are: Most Significant Change, Theory of Change and Outcome Mapping.

Some features of CAS highlighted as the most appropriate to M&E of capacity development can be summarized as follows:

- > Practical experience on what works and why it works is the best reference for decision-making, this makes self-assessment approaches an important feature of PM&E;
- > It does not aim to attribute results to any specific intervention, but rather to demonstrate its contribution to the resultant changes;
- > Feedback and stakeholders’ engagement in PM&E is the cornerstone of learning and improvement. Stakeholders’ involvement also contributes to analytical capacities, consensus and sense-making of improvements and challenges. It contributes to demystifying M&E and gives voice to a broader range of stakeholders, enhancing ownership of the capacity development process.

On other hand, as stressed by Vallejo and When (2016), CAS can be “criticized for leaning toward the other extreme, refusing to define tight indicators, and using such broad conceptualizations of (collective) capacity that improvements thereof are literally pre-defined”.

### THE FIVE CAPABILITIES FRAMEWORK

Based on CAS assumptions and on a wide research project focused on the endogenous process of capacity development, the European Centre for Development Policy Management's (ECDPM) developed the "five capabilities framework."

The framework suggests a proposal to operationalize capacity development efforts not only in relation to possible logical paths for capacity development assessment, but also forges a process that may lead to change. Within the framework, capacity is referred to as the ability of an organization or system to create value for others; while "capabilities are the collective ability of a group or a system to do something either inside or outside the system" (ECDPM, 2011).

The framework proposes to assess change in five core capabilities that, **together**, contribute the capacity of an organization or system: (1) capability to survive and act; (2) capability to generate development results; (3) capability to relate (in order to achieve objectives); (4) capability to adapt and self-renew; (5) capability to achieve coherence.

To date, the framework has mainly been used to ex-post evaluation, since the capabilities can be framed as criteria. Ideally, the framework could be used to assess capacities, draw baselines and keep track of capacity changes in practice.

There are two main "conceptual" foundations behind the 5Cs framework (ECDPM, 2011), as explained in table 3.

TABLE 3 Conceptual foundations of the five capabilities framework

CONCEPTUAL FOUNDATION	EXPLANATION
<b>SYSTEMS PERSPECTIVE</b>	Organisations and collaborative associations (when several parties work together to achieve common goals) are seen as social systems in their own right. This perspective paves the way for a comprehensive understanding of the true nature of and the 'boundaries' to development problems (...) To stay 'fit' they must adapt themselves to complex situations and ever-changing circumstances.
<b>MULTI-STAKEHOLDER APPROACH</b>	Shared values and result orientation are important to facilitate the capacity development process. A developing system includes different stakeholders. Each has its own constantly evolving interpretation of the system's plans for the future, as well as corresponding ideas concerning other stakeholders who could help achieve such plans. Ownership is key to building and sustaining capacity. This type of 'endogenously-led' participatory process demands investments, such as time and money. Nonetheless, it is the only way to ensure a crucial element: ownership among stakeholders of the their own capacity development process.

Source: ECDPM, 2011

### 3.2 M&E of capacity development objectives: accountability or learning?

M&E can respond to different objectives and, therefore, take on different forms. A clear understanding of what an M&E system aims to respond is an important exercise that needs to be addressed prior to its design.

In order to establish an efficient and adequate M&E system, the first key question is "What is the purpose of the M&E system?" As identified by the literature, the common answers either refer to meeting accountability concerns or learning in order to improve performance (Watson, 2006; Simister and Smith, 2010; ECDPM, 2011). Table 4 lists six different purposes for investing in monitoring systems.

Simister and Smith (2010) point out that there are likely to be "competing demands on M&E within and across different organizations" (e.g. donors that want to be accountable for their constituencies, organizations that want to assess their learning and process of change, officers that need information for management;

final beneficiaries that want to hold their institutions accountable). Therefore, the challenge lies in reconciling these competing demands. The authors conclude that this can be done by ensuring that M&E meets the needs of the providers and the recipients of capacity development support. This conclusion is in line with the ABC's guidelines, albeit with different terms (e.g. providers and recipients instead of partners, as SSC implies). As stated by Souza et al (forthcoming), the M&E of Brazilian South-South and Trilateral cooperation (SSC/TrC) "is elaborated in a flexible manner according to the development activity and institutions engaged" and "all partners' specific bureaucratic needs and procedures should be accommodated" generating unified instruments and results or impact evaluation procedures should be agreed and reflected in the Logic Frame. Moreover, ABC's South-South Technical Cooperation Management Manual establishes that initiatives must be the object of participatory M&E, driven especially by the Project's Monitoring Committee (Comitê de Acompanhamento de

TABLE 4 Purposes for investing in monitoring systems

PURPOSE	DEFINITION
<b>ACCOUNTABILITY TO DONORS</b>	Most practised type of M&E. Technique and rigour matter and the emphasis falls on quantitative indicators and impact assessments. External evaluators are often used to ensure rigour and impartiality.
<b>LEARNING AND IMPROVEMENT</b>	Internally managed (self-)monitoring, emphasises participatory, constructivist, qualitative approaches. Capacity development is viewed as a continuous, developmental process and legitimacy is obtained through building consensus.
<b>LOCAL ACCOUNTABILITY</b>	Possibly the most important approach to M&E, albeit rarely practised by International Development Agencies. It builds on the experiences of NGOs/mutual accountability processes and considers capacity development as local empowerment or increased legitimacy. Participatory, qualitative analysis has primacy and local assessors/facilitators are the norm.
<b>ADAPTIVE MANAGEMENT</b>	A more recent monitoring type, emerging from everyday problems. Its concern involves improving management techniques and performance by providing managers with real-time information for decision-making.
<b>DEVELOPMENTAL PURPOSES</b>	The purpose of this type is to build country systems and encourage people to think strategically about their organisations. This includes supporting the partners' M&E skills. Its effectiveness depends on giving space to partners and empowering them. Participation and quantitative analysis thus have primacy.
<b>SYMBOLIC PROTECTION</b>	A lot of M&E, regardless of the official purpose, often serves the purpose of defending an organisation's operational space by appeasing outside stakeholders that its activities meet certain preset standards – and that they are seen as legitimate and credible.

Source: Baser and Morgan (2008:101)

Projeto), in which all partners must participate.

Simister and Smith (2010) highlight the incompatibility of meeting both accountability and learning demands, since there are differences in the type of information collected, the methods used, and the analysis and presentation of information. ECDPM (2011), in turn, recognizes that, in reality, several complementing monitoring processes may co-exist, albeit fragmented systems are challenging. In order to face the competing M&E needs, ECDPM concludes that monitoring “can be defined as the regular collection and analysis of information to assist timely decision-making, ensure accountability and provide the basis for evaluation and learning”.

Watson (2006) concludes that development banks and donors tend to use the logical framework as their main PM&E tool because they provide the basis for meeting accountability concerns (such as, for example, to policymakers, politicians and taxpayers), while systems approaches, where no detailed objectives are specified at the outset and emphasis is given to feedback and learning, tend to be more often used by NGOs. Nevertheless, there is a recent tendency among international donors to promote evaluations and programming based in CAS approaches, such as the 5C's framework.

#### ENDOGENOUS AND EXOGENOUS ACCOUNTABILITY

Another issue underlined by the M&E of capacity development literature refers to the main actors involved in accountability. The underlying debate here can be summarized by one question: To whom are institutions carrying out capacity development efforts accountable to? Simister and Smith (2010) refer to this as inside-out and outside-in perspectives of capacity development, considering only the institution in which capacities are being enhanced and their beneficiaries or clients. Watson (2010), in turn, is concerned with capacity development supported by IDC providers and frames it as endogenous versus exogenous accountability. Both works explore the implications of these different accountability perspectives for M&E of capacity development. Watson, based on

ECDPM case studies, finds strong evidences that when institutions prioritize accountability to beneficiaries/clients instead of donors, there is a greater chance of more incentives to enhance performance. Simister and Smith, on the other hand, warn that even in the case that beneficiaries should provide external assessment, “in reality it is often those with the power and money whose voices are heard the loudest.” Table 5 summarizes how these authors frame different accountability’s perspectives, as well as their implication for M&E of capacity development. Figure 2 illustrates how endogenous and exogenous accountability relate in IDC initiatives.

#### 3.3 Quantification

In face of an increasing demand to show results, many organizations feel pressured to present their impact in numbers. An ongoing debate exists concerning the relative value of stories and numbers. While some advocate for the importance of quantitative data on outcomes and impacts, others advocate further in-depth analyses as to how change occurs. Even in face of this apparent antagonistic debate, consensus exists that a mixture of different types of information is needed to present a full picture of change, and the main dissent lies on the balance between both.

As argued by Simister and Smith (2010), quantitative data can be generated through qualitative methods. Nevertheless, in order to generate quantitative data from qualitative data one must first conduct work to generate the latter. Moreover, the integrity and rigorousness of the methodologies applied are determinant. The authors identify some examples:

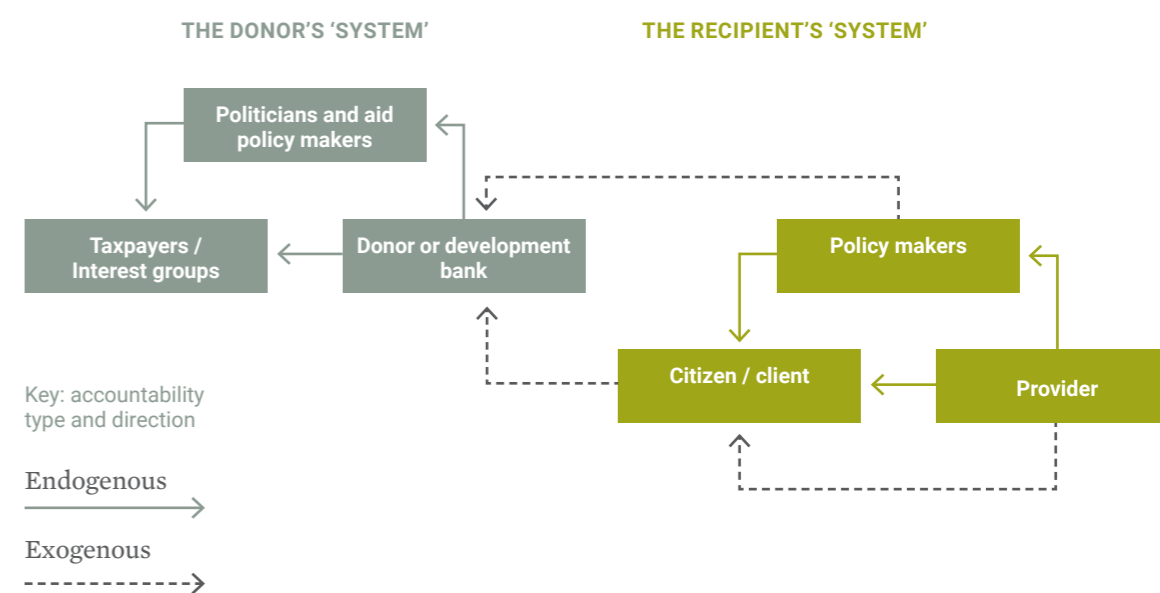
- > Through counting all changes identified or investigating each recorded change to evaluate whether it is positive, negative or neutral (e.g. with predefined criteria to classify changes);
- > Numeric data can be generated through workshops or training evaluations, ladders of change, surveys, satisfaction forms and records of people accessing capacity building resources;
- > When stories of change are based on random or representative sampling, some

TABLE 5 Different accountability’s perspectives and implication for M&E of capacity development

PERSPECTIVE	DEFINITION	IMPLICATION FOR M&E
<b>INSIDE-OUT</b>	“Capacity development depends on an organisation’s ability to effectively define and achieve its own goals and objectives.”	“M&E needs to be based around self-assessment and learning in order to improve future performance (...) any ultimate judgment on change, and the relevance of that change, must come from within (organizations).”
<b>OUTSIDE-IN</b>	“Capacity of an organization is the measure of that organization’s ability to satisfy its key stakeholders.”	“The best judgment of capacity must come from the outside (beneficiaries). (...) This implies that there needs to be external assessment.”
<b>'EXOGENOUS' ACCOUNTABILITY</b>	“Recipient countries and organizations are accountable to their lenders or donors for the utilization of external resources.”	“(ECDPM) case studies provide little unambiguous evidence that exogenous accountability is effective as a spur to performance enhancement and capacity building.”
<b>'ENDOGENOUS' ACCOUNTABILITY</b>	“Recipient governments or organisations – be they public or private sector or NGOs – have some form of mechanism to ensure accountability to their citizens, clients or members. These mechanisms may - if they are functional - act as incentives to enhanced performance.”	“ECDPM case studies illustrate 'endogenous' performance monitoring and accountability mechanisms that have strongly motivated performance improvement, and enhanced capacity. (...) This requires rigorous client-focused information generation, dissemination and feedback processes.”

Source: own elaboration based on Simister and Smith (2010) and Watson (2006)

FIGURE 2 Patterns of accountability in service delivery: endogenous and exogenous



Source: Watson 2006:29

qualitative findings can be extrapolated to generate numbers;

- > Organizational Assessments (OA) tools are inherently numeric. Nevertheless, OAs tend to show worsening trends as organizations increase the understanding of their limitations.

### 3.4 Evaluation Costs

Evaluation costs are not usually addressed in M&E of capacity development literature, and most of the discussions focuses on definitions and methodology. Watson (2006) states that only the World Bank “identified absence of costing of M&E as a possible omission in M&E strategy development.” The author also mentions that the Action Aid evaluation of the their Accountability Learning and Planning System (ALPS), as well as their experience with outcome mapping methodology, “picked up evidence of dissatisfaction among its client communities over the costs in terms of lost time, and thus income opportunity costs” of the intensive participation implied by such methodologies.

Moreover, Souza et al (2016) identified an additional concern regarding the evaluation of financial costs from the perspective of Brazilian SSC providers. In this direction, the main question posed is “considering the projects’ size, which are mainly based on knowledge exchange and technology transfer, how can one justify an evaluation process that may cost excessively?” On the other hand, the study’s findings clearly indicate the need to invest in M&E systems “with attention to the trade-off between the high costs of developing M&E frameworks and the political costs of not having a functional system.”

### 3.5 M&E support to capacity development

In consistence with the previous debate on the costs of M&E of capacity development, ECDPM’s reference study (2011) stresses that “PM&E system should not consist of huge administrative demands to comply with donor requirements for information, since that only undermines existing capacity.” Instead, the study advocates that (i) PM&E practices can also support capacity development in itself since “a learning culture is an important driver of endogenous capacity development”; (ii)

to this end, PM&E systems should reinforce continuous learning, through the systematic collection of outcome data and regular evaluations; (iii) PM&E systems should place external capacity development support into perspective as one of many factors influencing capacity; (iv) the exact contribution of external support to capacity development can be assessed through timelines, storytelling or a most plausible/prominent contribution perspective.

Based on ECDPM case studies, Watson (2006) examines the implications of exogenous and endogenous accountability approaches and concludes that “measures that provide support to ‘endogenous’ monitoring of performance by service providers are worthy of more attention than they appear to have received thus far.” According to the author, “there is persuasive evidence of the value and effectiveness - in contributing to organizational capacity building - of ‘endogenous’ M&E approaches that are based upon participation through self-assessment of key players; encourage feedback, reflection and learning on the basis of experience; and promote internal and external dialogue between stakeholders.” Despite this growing body of evidence on the effectiveness of the endogenous accountability approach, the author affirms that “there is little evidence that development banks and donors are reducing their reliance for their monitoring on formal results-based management approaches that emphasize ‘measurement’ of results.” Additionally, he concludes that further discussion is needed on approaches to M&E able to contribute to enhance capacities and “how further application of such approaches can be ‘mainstreamed’ by development cooperation agencies, while preserving and enhancing their own accountability to politicians and auditors.”

### 3.6 Lessons and Challenges

The consulted literature provides specific lessons and challenges regarding M&E of capacity development efforts. Some of the lessons identified line up with UNDG’s common principles for measuring capacity development (see Annex 1).

### LESSONS

**M&E needs to be pragmatic.** The costs should not outweigh the benefits; M&E should be light and avoid unnecessary burdens on organizations or undermine capacity development process; M&E can acknowledge the pressure for quantitative data and build it from rigorous qualitative methods. At the same time, it should tackle a comprehensive scope of capacities (at different levels: individual, organizational, environment...)

### M&E processes can be consistent with capacity development support itself.

This requires mutual agreement between all stakeholders, including as to how far M&E should go; wherever possible, agreements should be registered to reduce the risks of changing demands and personnel. The use of national M&E frameworks can reduce overwork.

### Clarity about capacity development support purposes.

M&E will prove itself more useful when associated with realistic, clear and unambiguous expectations about the capacities to be improved and the pace of change to be accomplished. This will benefit from a clear theory of change, straightforward capacities assessments, and clarity of purposes of capacity development support in the short-, medium- and long-term (including clarity as to how improved capacity contributes to wider development goals).

**Clarity about M&E purposes.** Without a clear objective it can be difficult to design appropriate M&E approaches, since M&E for accountability or learning are not the same. The importance of deciding how far M&E system intends to measure change is also highlighted. The distinction between changes that can be measured and changes that can be illustrated helps to be more realistic and less onerous in terms of time and resources.

### Commitment to M&E at various levels.

Successful M&E efforts count on stakeholders’ wiliness to assess their own capacities and to work collaboratively with capacity development supporters; the senior management’s internal commitment to M&E, backing up the allocation of resources (personnel, funding and time); the staff’s convincement of M&E importance.

### CHALLENGES

**Changes in capacities take time.** Changes are often only visible long after interventions took place. Since result-based management approaches are mainly focused on short-term results they often do not capture transformations, and thus tend to discourage the emergence of long-term processes of change. Long-term indicators, baselines and regular capacity assessments for measuring progress are some of the recommended methods identified, and should take place beyond the duration of a specific project (although this is not commonly established).

**Results may impact many different organizations.** The widespread nature of capacity development results can hinder practical M&E coordination.

**Capacity is not a linear process and is heavily influenced by contexts.** The nature of capacity development implies that it is often difficult to establish plausible causality links to specific interventions. Likewise, it can be hard to define positive or negative change in the short-term (e.g. a specific crisis might help to evolve into a stronger organization in the long-term, while current stability might contribute to stagnation).

**Experience of monitoring changes in capacity over time is limited and few studies have attempted to measure it.** Measuring (and demonstrating) concrete results is typically more appealing and easy. “Capacity” as a concept essentially involves subjective assessments based on partial or incomplete information; lacks consolidated agreement among practitioners and, overall, its measuring remains experimental. Moreover, M&E budgets are usually limited to the duration of capacity development support interventions and, and once finished, resources, expertise and motivations for long-term evaluation become practically non-existent.

## Annex 1. UNDG's common principles for measuring capacity development:

Despite the need for contextual relevance and specificity, the identification of capacity and capacity development indicators and the process of measuring capacities can follow consistent common principles. The following list outlines an initial suggested set of such common principles for measuring capacity development:

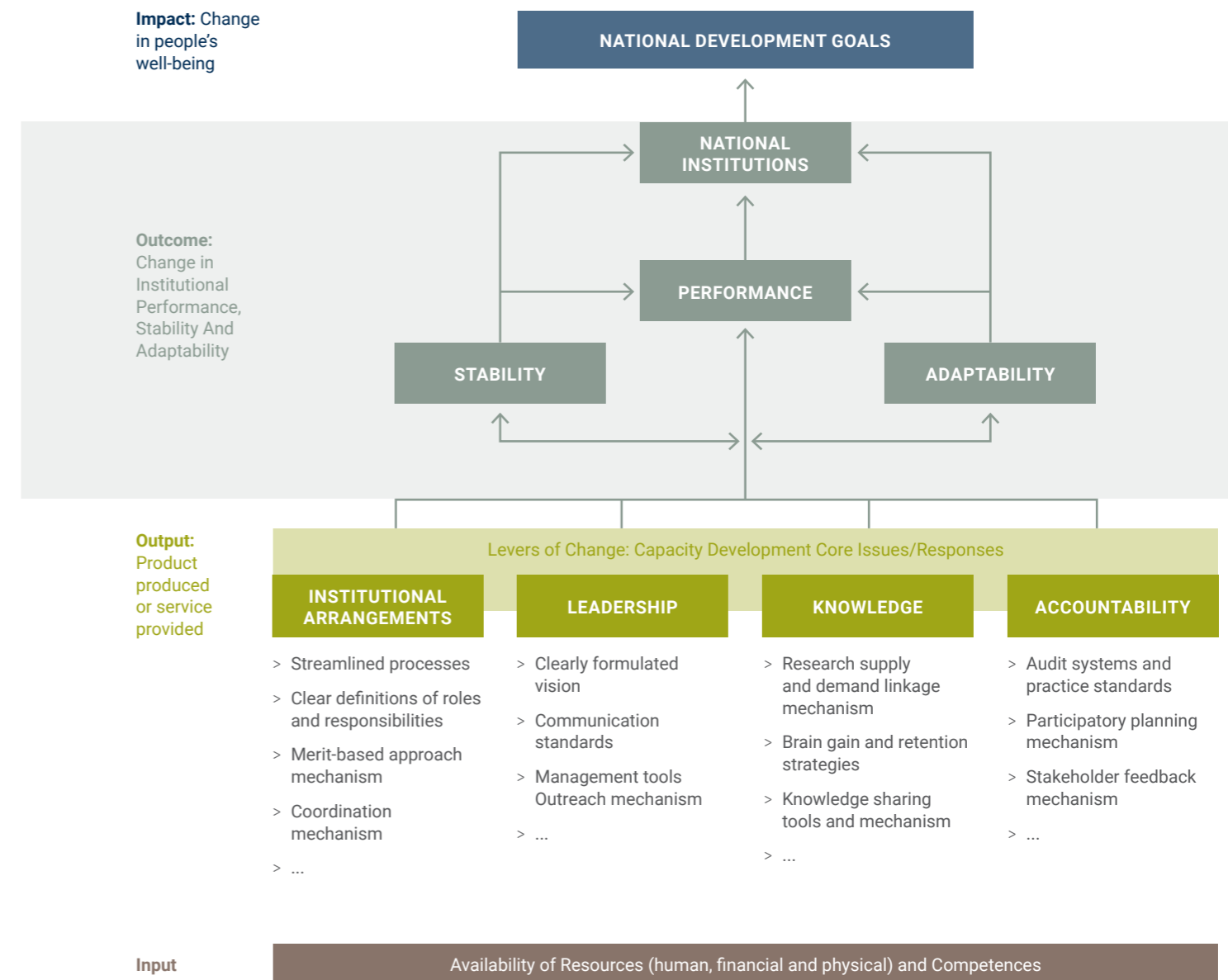
1. Use specific development objectives and indicators to associate with and identify appropriate capacity development objectives and indicators, to measure “capacity for what” (e.g., “capacity to maintain facilities for safe drinking water”)
2. Associate development performance indicators with capacity development objectives and indicators to measure “capacity for how well to do what?” (e.g., “safe water available in all target facilities, with less than 40 hours of annual downtime”)
3. Apply indicators to measure capacities (abilities) and capacity development processes (actions to sustain and improve abilities) (e.g., “capacity to maintain facilities for safe drinking water, and processes support ongoing hiring, training, and regular maintenance”)
4. Identify a comprehensive and appropriate scope of capacities to address and measure (considering individual, organizational, and enabling environment; capacities and capacity development processes; performance, stability, and adaptability; hard and soft capacities; functional and technical; national, regional, district, and local geographies)
5. Conduct baseline and regularly scheduled capacity assessments to measure progress against capacity development indicators
6. Use regular objective and critical reviews during formulation and implementation stages, and during evaluations, to justify and ensure the quality and comprehensiveness of capacity development measurement indicators, processes, and results achievement
7. Ensure programme and project flexibility to adapt and change based on monitoring of the results and analysis of capacity development support interventions
8. Ensure capacity development indicators address and measure aspects of human rights, gender equality, and environmental sustainability
9. Ensure capacity development activities ensure national coherence between national, sub-national, and local level actors and processes
10. Coordinate the measurement of capacities and capacity development, to avoid duplication and unnecessary efforts between the government, national partners, UN agencies, and development partners
11. Measure the sustainability of capacity development, to address on-going national self-sufficiency and improvement beyond the duration of a programme or project
12. Measures of capacity development should be followed by appropriate analysis; follow-up corrective actions; and information sharing with stakeholders, partners, and the public
13. In measuring capacities, consider that sustainability and self-sufficiency cannot be definitively measured until capacity development support has ended, but regular monitoring can inform the likelihood of and improvements towards sustainability
14. Follow global and UN commitments to support the strengthening of national capacities by effectively measuring capacities, capacity development improvements, and performance.

## Annex 2. M&E Frameworks into practice

### UNDP'S FRAMEWORK

UNDP recognizes that capacity resides on different levels – enabling environment, organization and individual – which can be taken as “entry points” for a capacity assessment and strategy development. Institutional arrangements; leadership; knowledge and accountability are the core issues most commonly encountered across different sectors and levels of capacity. Key to the achievement of development goals is the continuous improvement in performance, stability and adaptability of national institutions responsible for development. Figure 3 shows UNDP's framework for measuring capacity, while table 6 brings further information on its rationale and measurement features.

FIGURE 3 UNDP's framework for measuring capacity



Source: UNDP, 2010

TABLE 6 UNDP's framework for measuring capacity rationale and measurement features

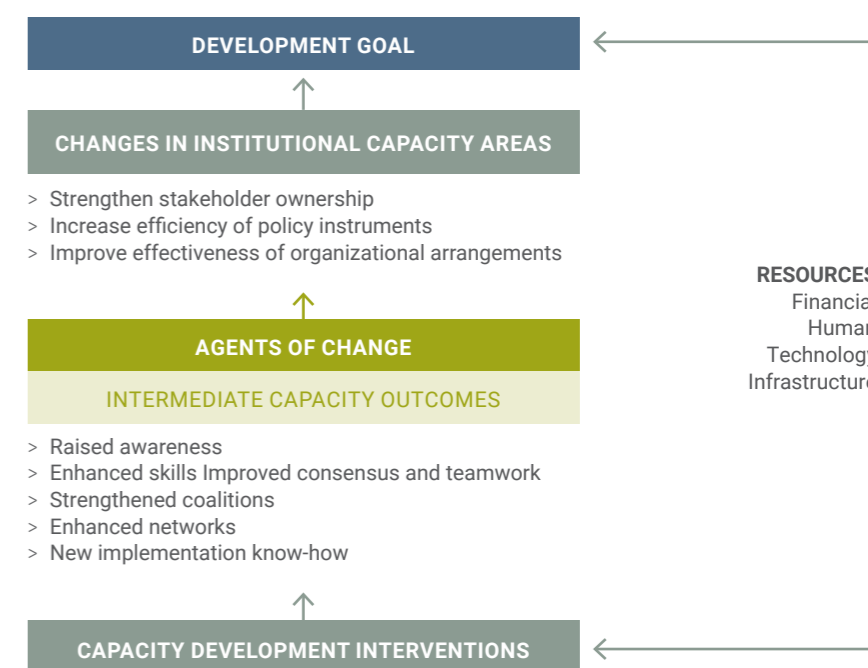
LEVEL	RATIONALE	MEASUREMENT
<b>OUTCOME</b>	Key to the achievement of development goals is a continuous improvement in the performance, stability and adaptability of national institutions responsible for development. Institutions that can formulate effective policies, that can deliver services efficiently, that can sustain a high level of performance over time, and that can weather shocks, external and internal, are the very institutions that can make the most significant contribution to human development. Change at this level is reflected in outcomes in the enabling environment as well as the organization, and can be measured by outcome indicators	Improvements can be measured by an institution's ability to: a) Convert inputs to productive use (performance) b) Seek resolution to problems and remove barriers (stability) c) Adapt to changing realities and demands (adaptability)
<b>OUTPUT</b>	Institutional arrangements refer to the policies, procedures, and processes that allow systems to function and interact effectively and efficiently in an organized setting;  Leadership is the ability to influence, inspire and motivate people, organizations and institutions to achieve, and in many cases go beyond, their goals;  Knowledge underpins their capacities and hence capacity development.  Accountability allows institutions to monitor, learn, self-regulate and adjust their behavior in interaction with those to whom they are accountable. It provides legitimacy to decision-making, increases transparency and helps reduce the influence of vested interests	As stated in figure above
<b>IMPACT</b>	National Development Goals	Measured through National Systems

Source: UNDP, 2010

**WB'S FRAMEWORK**

World Bank's Capacity Development Results Framework identifies three factors to determine capacity development: the socio-political environment, the efficiency of policy instruments, and the effectiveness of organizational arrangements. An evaluation of capacity development processes should consider the underway learning process toward enhancing the three capacity development determining factors. Figure 4 reflects WB's framework for capacity development, while tables 7, 8, and 9 further detail and explain the framework's core elements and rationale.

FIGURE 4 WB's Capacity Development framework (results story)



Source: WB, 2012

TABLE 7 Components of a Capacity Development Results Story

STORY ELEMENT	DESCRIPTION
<b>DEVELOPMENT GOALS</b>	A beneficiary-centered statement of the desired
<b>INSTITUTIONAL CAPACITY AREAS</b> (these serve as the change objectives)	<p>The most common challenges to the achievement of the development goal fall into one of three areas:</p> <ul style="list-style-type: none"> <li>• <b>Strength of stakeholder ownership:</b> Low or divergent priority is attached to the development goal by key stakeholders</li> <li>• <b>Efficiency of policy instruments:</b> There are deficiencies in the policy instruments guiding pursuit of the development goal by different stakeholders</li> <li>• <b>Effectiveness of organizational arrangements:</b> Organizations charged with the achievement of the development goal have weak performance</li> </ul> <p>An effective results story explains how interventions helped to enhance one or more characteristics within these institutional capacity areas to remove or minimize the identified challenge(s).</p>
<b>CHANGE AGENTS</b>	The critical individuals or groups who could play effective roles in managing or initiating the needed changes
<b>INTERMEDIATE CAPACITY OUTCOMES (ICOS)</b>	<p>An improvement in the ability or disposition of the local change agents to take actions that will effect institutional changes toward the development goal. There are six standard types of ICOs:</p> <ul style="list-style-type: none"> <li>• Raised awareness</li> <li>• Enhanced knowledge or skills</li> <li>• Improved consensus and teamwork</li> <li>• Strengthened coalitions</li> <li>• Enhanced networks</li> <li>• New implementation know-how</li> </ul>
<b>CAPACITY DEVELOPMENT INTERVENTIONS</b>	The knowledge services provided to address priority reforms and achieve the targeted changes in the institutional constraints. Interventions typically include a combination of learning programs, technical assistance, knowledge exchange experiences or other services and resources.

Source: WB, 2012

TABLE 8 Institutional Capacity Change objectives

STRENGTH OF STAKEHOLDER OWNERSHIP	EFFICIENCY OF POLICY INSTRUMENTS	EFFECTIVENESS OF ORGANIZATIONAL ARRANGEMENTS
<ul style="list-style-type: none"> <li>• Commitment of social and political leaders</li> <li>• Compatibility of social norms and values</li> <li>• Stakeholder participation in setting priorities</li> <li>• Stakeholder demand for accountability</li> <li>• Transparency of information to stakeholders</li> </ul>	<ul style="list-style-type: none"> <li>• Clarity in defining rights and responsibilities</li> <li>• Consistency</li> <li>• Legitimacy</li> <li>• Incentives for compliance</li> <li>• Ease of administration</li> <li>• Risk for negative externalities</li> <li>• Suitable flexibility</li> <li>• Resistance to corruption</li> </ul>	<ul style="list-style-type: none"> <li>• Clarity of mission</li> <li>• Achievement of outcomes</li> <li>• Operational efficiency</li> <li>• Financial viability and probity</li> <li>• Communications and stakeholder relations</li> <li>• Adaptability</li> </ul>

Source: WB, 2012

TABLE 9 Intermediate Capacity Outcomes, Definitions and Attributes

ICO	DEFINITION AND OPERATIONAL ATTRIBUTES
<b>RAISED AWARENESS</b>	<i>Increased disposition to act, through, for example, improved: Understanding, attitude, confidence, or motivation</i>
<b>ENHANCED KNOWLEDGE AND SKILLS</b>	<i>Increased ability to act, through: Acquisition or application of new knowledge and skills</i>
<b>IMPROVED CONSENSUS AND TEAMWORK</b>	<i>Strengthened disposition or ability to act through improved collaboration within a group of people tied by a common task. This may involve for example, among team members, a stronger agreement or improved: Communication, coordination, cohesion, or contributions by the team members to the common task</i>
<b>STRENGTHENED COALITIONS</b>	<i>Strengthened disposition or ability to act through improved collaboration between individuals or groups with diverse objectives to advance a common agenda. This may involve, for example: Stronger agreement on a common agenda for action, increased commitment to act, improved trust among members, or improved ability of the coalition members to leverage their diverse strengths</i>
<b>ENHANCED NETWORKS</b>	<i>Strengthened disposition or ability to act through improved collaboration between individuals or groups with a common interest but not a formal common agenda for action. This may involve, for example: Improved processes for collaboration, stronger incentives for participation in the network, or increased traffic or communication among network members</i>
<b>INCREASED IMPLEMENTATION KNOW-HOW</b>	<i>Strengthened disposition or ability to act, arising from: Formulation or implementation of policies, strategies, or plans This may involve, for example, discovery and innovation associated with learning by doing.</i>

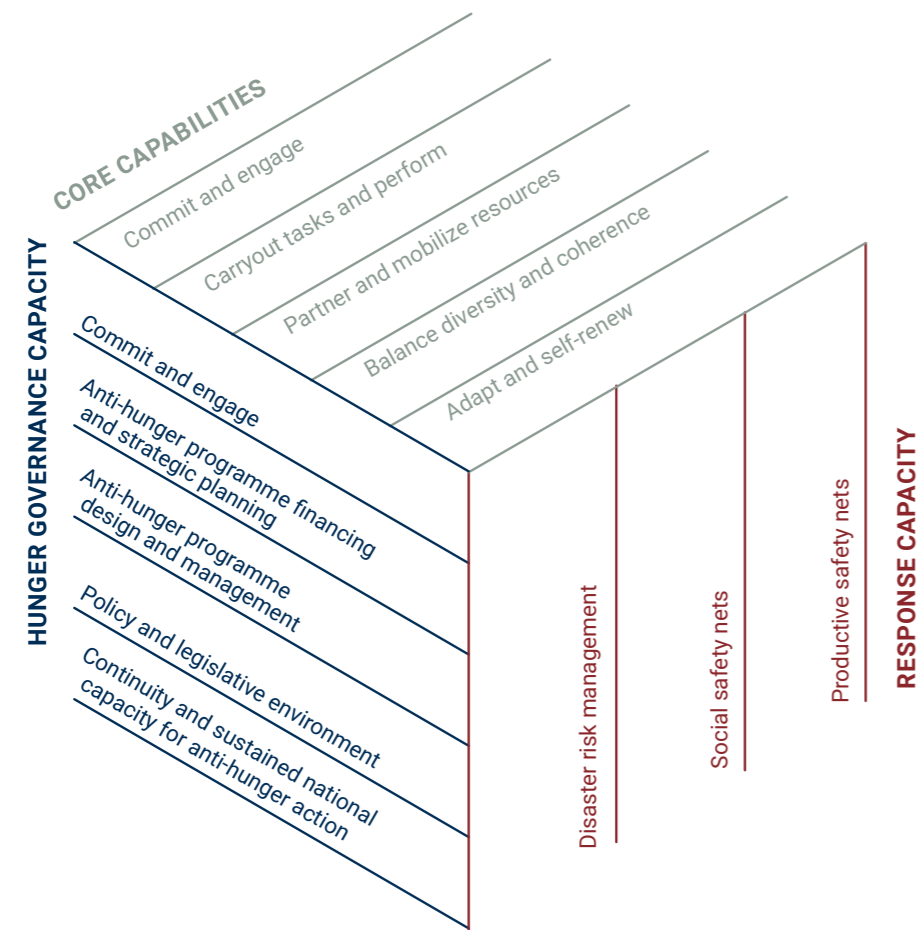
Source: WB, 2012

**WFP'S APPROACH**

WFP's capacity development efforts aim to strengthen the national capacity for hunger governance. WFP's framework for measuring change in capacity development for Hunger Governance draws on two main approaches: "i) a traditional, results-based, logframe "technocratic" approach to intentional change, and ii) an open system that requires more interactive M&E methods, as explained by the Theory of Change as the Complex Adaptive System" (WFP 2014).

Figure 5 illustrates the dimensions of capacity for hunger governance. Figure 6 pinpoints the expected outcomes of capacity investment for hunger governance, while table 10 explains the rationale behind the "Theory of Change". Figure 7 summarizes the National Capacity Index.

FIGURE 5 Dimensions of Capacity for Hunger Governance

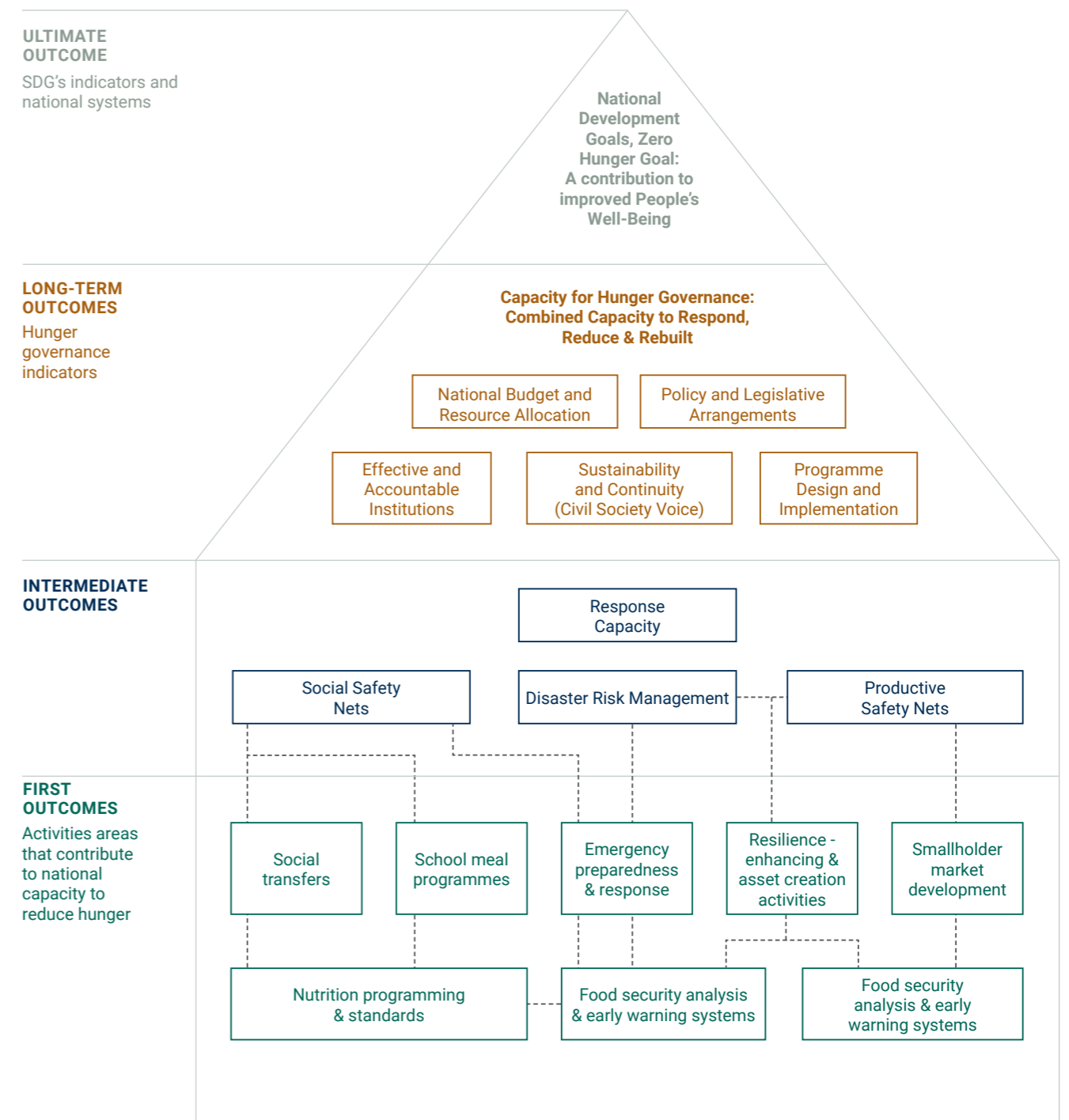


**CROSS-CUTTING THEMES:**

Partnership, sustainability and accountability for anti-hunger action

Source: WFP 2014

FIGURE 6 Outcomes indicators for capacity investment<sup>1</sup>



Source: WFP 2014

<sup>1</sup> In the figure, texts in black and the 5 C's column in the right were added by the research team to illustrate the relation between indicators and capabilities that builds up the National Capacity Index (figure 8)



TABLE 10 WFP's Capacity Development Theory of Change

LEVEL	DESCRIPTION	RATIONALE
<b>NATIONAL DEVELOPMENT GOALS</b>	Contributions to improved well-being through the zero hunger goal	The Zero Hunger Challenge and its contribution to the broader national development goal of improved people's well being can be attained through improved hunger response capacities and effective hunger governance capabilities along with inclusive economic and political development. The combination of these strategies contributes to the elimination of hunger. Improving capacity in hunger governance is about enabling public policy and action to fight hunger, assigning national accountability (both public and private) to protect individuals and communities from hunger. While no nation can completely escape the occurrence of crisis and resultant hunger, it is the government's responsibility to establish hunger governance to protect citizens from its effects as much as possible. Successful nations are those that have developed and adapted effective hunger governance systems – including public policy, legislation, processes, and institutions – to address the changing context of hunger.
<b>HUNGER GOVERNANCE CAPACITY</b>	Enacting change in behaviour and capability to improve effectiveness of national hunger governance	
<b>RESPONSE CAPACITY</b>	Enacting change in behaviour and capability to improve capacity to respond to, reduce and rebuild from the degradation of hunger	
<b>LOCAL CAPACITY</b>	Actions, processes, and systems to support the ability to ensure food access for households and communities	

Source: WFP 2014

FIGURE 7 National Capacity Index

**National Capacity index =**  
Response Capacity Index Disaster Risk Management + Response Capacity Index Social Safety Nets + Response Capacity Index Productive Safety Nets

3

Individual Response Capacity

HUNGER GOVERNANCE INDICATORS	LATENT	EMERGENT	MODERATE	SELF-SUFFICIENT
<b>HGI 1</b> Strong, effective and accountable anti-hunger institutions	No DRM/SSN/PSN agency	Elements of some institutional features for DRM/SSN/PSN are established with limited core capability characteristics	DRM/SSN/PSN institution functions moderately. The core capability characteristics are being met at an intermediate level	DRM/SSN/PSN institution is fully functional at an optimal level and all five core capability characteristics are met at a high level
<b>HGI 2</b>	...	...	...	...

**Formula: Score 1 to 4 to each Core Capability (total X/5)**

Source: Own elaboration based in WFP, 2009

Annex 3. WFP's Capacity Development Policy Framework (summarized)

<b>VISION</b>	WFP's capacity-development vision encompasses steady improvement in the design and implementation of nationally owned sustainable hunger solutions based on conducive food policies and institutions, effective national food assistance organizations and competent individual practitioners.		
<b>MISSION</b>	WFP's capacity-development objective is therefore to achieve nationally owned sustainable hunger solutions based on increased capacity for efficient and effective design, management and implementation of tools, policies and programmes to predict and reduce hunger.		
	<b>ENABLING ENVIRONMENT</b>	<b>INSTITUTIONAL LEVEL</b>	<b>INDIVIDUAL LEVEL</b>
<b>OUTCOMES</b>	<p>Laws, policies and strategies that prioritize the reduction of hunger and food Insecurity are adopted and implemented.</p> <p>Laws, policies and strategies to foster the role of civil society in sustainable hunger solutions are developed and implemented.</p> <p>Ministries and agencies with responsibility for hunger reduction and food security are adequately and sustainably resourced.</p>	<p>Financially viable and well-managed national food assistance agencies are operating effectively.</p> <p>Viable multi-sectoral partnerships to address the causes of hunger and food insecurity are functioning</p>	<p>Successive cohorts emerge of empowered individuals and communities capable of designing and implementing efficient and effective food assistance programs and policies.</p>
	These outcomes should be generated at distinct scales and over different timeframes: individual level outcomes can be expected in the short term of one to three years; organizational level outcomes can be anticipated in the medium term of three to seven years; policy and institutional outcomes can be projected for the long term of seven years or more.		
<b>OUTPUTS</b>	<p>United Nations Development Assistance Frameworks, PRS and national plans of action that prioritize the reduction of hunger and food insecurity are developed.</p> <p>Legislation and policy and strategy documents that prioritize the role of civil society in sustainable hunger solutions are developed.</p> <p>The resource needs of ministries and agencies with responsibility for hunger reduction and food security are prioritized and budgeted in national development plans and PRS.</p>	<p>Business and operational plans for financially viable and well-managed national food assistance agencies are developed.</p> <p>Formal and informal networks and platforms for multi-sectoral debate, consensus building and partnership in food systems are developed and supported</p>	<p>Successive cohorts emerge of individuals and communities trained in the design and implementation of efficient and effective food assistance programmes and policies, including in gender-disaggregated needs assessment, targeting, food quality and quantity management, market analysis, information management and local tendering.</p>
<b>ACTIVITIES</b>	<p>At the policy and institutional level, WFP's activities include providing technical advice and facilitating high-level consultations and informed advocacy and outreach.</p> <p>At the organizational level, WFP's activities include the development of business plans and guidelines for implementing food assistance, secondment of staff, support for stakeholder organizations and networks, and provision of equipment and capital services.</p>		<p>Design and implementation of training workshops, exchange visits and targeted hosting of partner staff.</p>

## Annex 4. WFP's Capacity Development Strategic Priorities (summarized)

Continued enhancement of WFP's role and impact in capacity development will depend on the extent to which capacity development is prioritized during the transition to a food assistance agency, while also supporting that process of change

<b>NATIONAL CAPACITY ASSESSMENTS</b>	<b>PARTNERS</b>	<b>LEARNING</b>
<p>Laws, policies and strategies that prioritize the reduction of hunger and food insecurity are adopted and implemented.</p> <p>Laws, policies and strategies to foster the role of civil society in sustainable hunger solutions are developed and implemented.</p> <p>Ministries and agencies with responsibility for hunger reduction and food security are adequately and sustainably resourced.</p>	<p>WFP will continue to invest in partnerships at all levels of operation and policy engagement, led by the country offices.</p> <p>Strategic partnerships will be explored with other United Nations agencies and regional and national organizations that have capacity development mandates. Partnerships with organizations with expertise in newly prioritized areas of work will be particularly important (e.g leveraging local and regional food procurement, cash and voucher programming, climate change adaptation, disaster risk reduction, social protection and policy dialogue.)</p>	<p>WFP must continue to develop its own capacity to develop capacity. Skills will be enhanced in new areas (e.g leadership in complex environments, business planning, team-building, management, gender awareness, networking, partnership development and advocacy) WFP will also develop capacities relevant to Purchase for Progress, climate change adaptation and voucher and cash-based programmes for hunger reduction. Opportunities to facilitate South-South cooperation and sharing of best practices will continue to be prioritized.</p>
<b>MONITORING, EVALUATION AND REPORTING</b>	<b>AWARENESS RAISING AND INCENTIVES</b>	<b>FUNDING</b>
<p>This problem is complex and highly context-specific. WFP will continue to develop rigorous, transparent and flexible indicators for monitoring and evaluating capacity-development interventions that are applicable in the contexts in which the country offices work.</p> <p>This is a major challenge, but it must be addressed</p>	<p>The impact of WFP's capacity-development investments will be largely defined by the degree to which staff perceive the importance of capacity development in their work, and by the degree to which capacity development is mainstreamed and funded in program activities.</p> <p>WFP will invest in a process of communication and awareness-raising regarding the capacity development policy, stressing the links with the new strategic direction and the need to focus on facilitating national empowerment.</p>	<p>Capacity development requires dependable medium-term funding to ensure that it can be developed systematically. A sustainable funding mechanism for "cash-only" initiatives such as capacity development is under consideration in the context of the review of WFP's financial framework.</p>

## Annex 5. Resources

SUBJECT	REFERENCES
<b>Sourcing information on participatory approaches to M&amp;E and Impact Assessment and participatory statistics</b>	<p>Chambers, R. (2007) 'Who Counts? The Quiet Revolution of Participation and Numbers', IDS Working Paper 296, Brighton: IDS <a href="http://www.ntd.co.uk/idsbookshop/details.asp?id=1006">http://www.ntd.co.uk/idsbookshop/details.asp?id=1006</a></p> <p>Chambers, R. (2010) A Revolution Whose Time Has Come? The Win-Win of Quantitative Participatory Approaches and Methods, IDS Bulletin Special Issue: People-centred M&amp;E: Aligning Incentives So Agriculture Does More to Reduce Hunger, Vol 41, Issue 6 p44-55</p> <p>Cateley, A., Burn, J., Abebe, J. and Suji, O. (2008) Participatory impact assessment: a guide for practitioners, Feinstein International Center downloadable from: <a href="http://www.preventionweb.net/english/professional/publications/v.php?id=9679">http://www.preventionweb.net/english/professional/publications/v.php?id=9679</a></p> <p>Parks, W., Gray Felder, D., Hunt, and Byrne, A. Who Measures Change: An introduction to participatory monitoring and evaluation for communication for social change <a href="http://www.intrac.org/data/files/resources/177/who_measures_change.pdf">http://www.intrac.org/data/files/resources/177/who_measures_change.pdf</a></p>
<b>Exploring links between accountability and learning</b>	<p>Guijt, I (2010) Accountability and Learning – exploding the myth of incompatibility between accountability and learning INTRAC, <a href="http://snv-website-2015.live.dpdn.com/public/cms/sites/default/files/explore/download/capacity_development_in_practice.pdf">http://snv-website-2015.live.dpdn.com/public/cms/sites/default/files/explore/download/capacity_development_in_practice.pdf</a></p>
<b>Outcome Mapping</b>	<p>Jones, H. and Hearn, S. (2009) Outcome Mapping a realistic alternative for monitoring and evaluation, ODI Background Note, Overseas Development Institute <a href="http://www.odi.org.uk/resources/download/4118.pdf">http://www.odi.org.uk/resources/download/4118.pdf</a></p>
<b>Most significant change</b>	<p>Davies, R. and Dart, J (2004) The Most Significant Change Technique: A guide to its use <a href="http://www.mande.co.uk/docs/MSCGuide.pdf">http://www.mande.co.uk/docs/MSCGuide.pdf</a></p>
<b>Evaluation approaches for advocacy</b>	<p>Jones, H. (2011) A guide to monitoring and evaluating policy influence, Overseas Development Institute Background Notes, ODI <a href="https://www.odi.org/sites/odi.org.uk/files/odi-assets/publications-opinion-files/6453.pdf">https://www.odi.org/sites/odi.org.uk/files/odi-assets/publications-opinion-files/6453.pdf</a></p> <p>O'Flynn, M. (2009), Tracking Progress in Advocacy: Why and how to monitor and evaluate advocacy projects and programmes <a href="https://www.intrac.org/resources/tracking-progress-advocacy-monitor-evaluate-advocacy-projects-programmes/">https://www.intrac.org/resources/tracking-progress-advocacy-monitor-evaluate-advocacy-projects-programmes/</a></p>

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