

## MODULE II

# Linking Analysis and Strategy to Monitoring and Evaluation



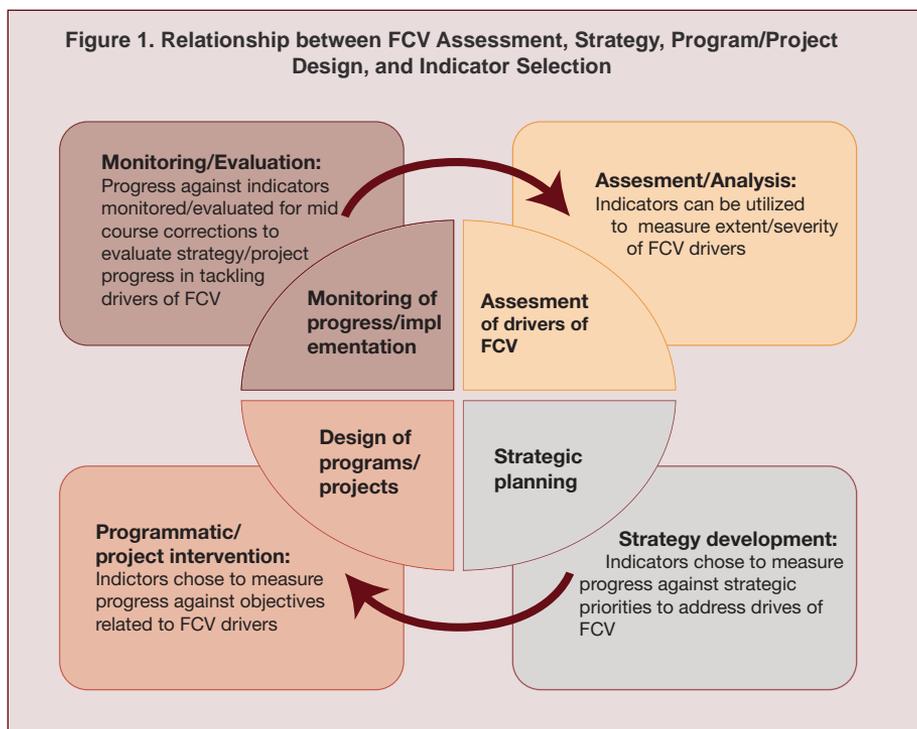
**PURPOSE:** In many FCV settings, there is a temptation to privilege intuition- rather than evidence-based investments. This is due in part to serious data deficits, but also a lack of awareness of the many drivers and effects of fragility, conflict and violence. A review of good practice highlights the importance of better connecting analysis, strategy and programming together with more robust monitoring and evaluation. This means articulating strategic and operational metrics and thinking in new and innovative ways about how best to measure change.

A central objective of the *Pilot Toolkit* is to help users improve results-based programming in environments affected by fragility, conflict, and violence. This requires appropriate metrics at different steps of the development planning process—from analysis to strategy to operations to monitoring and evaluation. This module considers the linkages between analysis and strategy and indicator selection in FCV settings. It draws attention to how indicators fit in the project and strategy development cycle, from identifying sources of fragility to monitoring and evaluating progress on strategic objectives and project-level outcomes. It also provides some further considerations when developing M&E systems in FCV environments.

## Linking FCV Analysis, Strategy, and Programming

The selection of the most appropriate indicators in FCV settings is informed by many factors. Most importantly, the choice of indicators should be determined by an analysis of the drivers of fragility, conflict, and violence. In addition, the final choice of indicators must be based on the subsequent identification of the objectives, strategy, and interventions designed to address these drivers and to build institutional resilience to respond (see Figure 1). The *Toolkit* and indicator search engine are both designed as tools to help users make the right choices. However, they are not intended to displace or replace the critical prerequisite phases of analysis and strategy development.

**Figure 1. Relationship between FCV Assessment, Strategy, Program/Project Design, and Indicator Selection**



The World Bank and other international partners are developing a range of conflict and fragility analysis and assessment tools. As signaled in previous sections of this *Toolkit*, the g7+ is also supporting fragility assessments and an associated “fragility spectrum” to assess factors contributing to instability, conflict, and violence. These frameworks are designed to inform strategic planning and programming that are FCV-sensitive and help elaborate the most appropriate priorities, objectives, and interventions tailored to a given context. The World



Bank, UN, and EU have also utilize Post-Conflict Needs Assessments in a range of country settings since 2008. Many bilateral donors, including the United Kingdom, United States, and Sweden have conflict assessment frameworks.

The World Bank is also adjusting its own structure to better account for FCV concerns in country engagements. The Systematic Country Diagnostic (SCD)<sup>18</sup> and the Country Partnership Framework (CPF) processes are intended to better identify constraints to achievement of poverty reduction and shared prosperity and a more systematic, evidence-based, and selective approach for strategy development. Moreover, IDA17 features a commitment that “*all Country Partnership Frameworks in IDA FCSs be informed by analysis of drivers of fragility and conflict.*” In this way, FCV analysis is being systematically included in SCDs and CPFs for FCS countries.

## Strategic-Level Indicators to Match FCV Drivers

A careful analysis of fragility is a first step to targeting strategic objectives that address the main factors fueling FCV and undermining development. In fact, the World Bank now requires that if issues of conflict and fragility are identified as critical or potential constraints in reaching the goals of poverty reduction and shared prosperity, then a “fragility analysis” is required.<sup>19</sup> Such an assessment can provide an opportunity to probe the drivers of instability within a given country and help start identifying how they might be addressed.

A fragility assessment examines whether a country or a specific sub-region features internal and external dynamics that might trigger violence and social tensions and undermine poverty reduction and shared prosperity in the long term. It asks whether the country has institutions with sufficient legitimacy and capacity to cope with these potential stresses. The *pilot Toolkit* provides useful input into the selection of appropriate indicators to be used for the exercise and guidance on data sources, survey development, and use of new technologies. The fragility analysis issues a comprehensive assessment of the following features in a country:

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- 18 This is a WBG-led assessment of the constraints a country has to address and the opportunities it can embrace to accelerate progress toward the World Bank’s goals of ending extreme poverty and promoting shared prosperity.
  - 19 Fragility analysis builds on available sources (such as the Conflict Assessment Framework, Country Social Analysis, Political Economy Analysis, and Poverty and Social Impact Analysis) and includes further research and consultations as needed. The objective of a fragility analysis is therefore threefold: (i) diagnose the roots of the crisis; internal and external divisions and threats; and institutional strengths and weaknesses that impact fragility, conflict, and violence in a country; (ii) build a greater understanding and consensus within the country team on the drivers of conflict and fragility to ensure that they inform the design and implementation of projects; and (iii) provide operationally relevant recommendations on how the country strategy can address the identified drivers of fragility through WBG financed interventions.

- historic, social, cultural, and economic roots of fragility, conflict, crime, and violence;
- internal and external divisions and stresses;
- forward-looking threats and risks to stability (political, security, economic, social cohesion);<sup>20</sup>
- institutional strengths—legitimacy, authority, and capacity of state and non-state actors (immune system) to cope with identified stresses; and
- entry points for exiting fragility and likely implementation challenges for development interventions.

Even before undertaking a fragility assessment, it is important to recall that there are no definitive answers; conflict, fragility, crime, and violence have multiple causes. The aims of the analysis therefore must be realistic and modest. However, decision-makers need to have as much data and analysis as possible to make informed decisions about their portfolio design, project implementation, and staff safety. The shape of any eventual response will be contingent on context: specific activities may address root causes or simply tackle symptoms to contain the problem. For example, a country management unit may elect to adopt a pillar to address a particular driver or adapt an approach that cuts across the portfolio; and some responses will be long-term and others focus on short-term delivery.

Whatever indicators are ultimately selected, they should be based on a theory of change that links strategy and program or project interventions in various sectors—whether service delivery, governance, capacity building, or community development—with specific outputs and outcomes intended to address the drivers of conflict and fragility (see Box 4).

## Operational Indicators to Match FCV Drivers

In FCV settings, program and project design must also be sensitive to the FCV drivers. The results frameworks for projects and programs, therefore, require attention to the FCV dimensions, even for sectoral areas that may not directly tackle conflict and fragility challenges. For example, a core outcome of service delivery in fragile and conflict-affected settings may involve the enhancement of **citizen confidence, inclusion and equity alongside measures of service delivery**.

Indicators should measure the conventional sector indicators—for example the

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20 The World Bank study “Societal Dynamics and Fragility: Engaging Societies in Responding to Fragile Situations” (SDV 2013) analyzes the interactions among these various factors, as well as how the factors influence fragility and resilience.



#### **Box 4. Reviewing Country Strategies (CAS/ISN) Results Frameworks in FCV Contexts**

A recent World Bank assessment of Country Assistance Strategy (CAS) and Interim Strategy Notes (ISN) reviewed more than 50 strategies developed between 2008 and 2012. The evaluation addressed six areas: (i) the drivers of fragility conflict, and violence; (ii) the alignment of strategies' pillars and operations with that analysis; (iii) the identification of implementation planning challenges (during the horizon of the strategies); (iv) the adequateness of risk frameworks; (v) the quality of result frameworks; and (vi) the use of strategic partnerships.

The findings of the review are sobering, suggesting considerable room for improvement. Less than 40 percent of these documents had solid analysis of the drivers of fragility and managed to translate them into pillars and operations. Only 10 percent had adequate risk frameworks, while nearly 50 percent had poorly formulated results frameworks. Just a few strategies truly engaged in strategic partnerships. More optimistically, strategies developed after the 2011 WDR performed better across most areas than those produced before the report.

Most worrisome, results frameworks received the lowest ratings of all evaluation areas. The assessment found that results frameworks should be more fragility-relevant and linked to country-specific priorities on peacebuilding and state-building, as well as to nationally owned fragility self-assessment through the New Deal (where applicable). According to the baseline study, "this approach would also require strengthening national capacity to collect data (including quantitative, qualitative, and perception-based data) and monitor fragility-related indicators." In addition, the discussion on results in country strategies should not be carried out in isolation but in relation to risk frameworks, given the impact of risks on portfolio performance.

extent of access and quality of service—but also include additional dimensions such as whether these activities include marginalized groups, all castes, are divided among genders, and other factors (see Table 1). In other words, not just how much and how well are services rendered, but who do they reach and is there disparity in their quality, i.e., the relation between service delivery and the drivers of conflict.

In other FCV settings, the underlying theory of change for selected thematic or core indicators may need to be specified. For example, in relation to biodiversity, there is growing evidence that areas brought under higher biodiversity protection, including parks and conservation zones, can play a role alternately in escalating and reducing conflict. In other words, the expansion of biodiversity can alternately drive and/or prevent fragility and conflict. Likewise, when considering agriculture extension and irrigation and drainage, there are important potential

**Table 1. Examples of Outcome Indicators for Service Delivery in FCV Settings\***

<b>Inclusion and equity</b>	<b>Community voice and accountability</b>	<b>Capacity and sustainability</b>	<b>Governance and resource management</b>
Percent of budget allocated to pro-poor priorities	Percent of citizens aware of access and use of information services	Percent of services maintained and functioning after (x) years	Percent of citizens in forest area with access to information on sale of logging concessions
Percent of children feeling safe going to school		Percent of expected budget transferred from central government	Percent of revenues from mineral extraction invested in local infrastructure and services
Percent of rural population with access to sanitation		Percent of government staff trained/qualified	Number of dispute resolutions established/addressed
<p><i>*A basic principle is that all indicators should be disaggregated by identity group, gender, age, geographical area, etc.</i></p>			

dividends in the formation of associations. The formation of agricultural associations or operational water associations, for example, may have the additional effect of building social capital, networks of reciprocity, and new forms of associational ties that could enhance the resilience of communities and individuals to fragility and conflict.

A final point relates to accounting for perception in relation to a range of sector indicators (see Module V). World Bank teams and implementing partners often focus on measuring concrete and tangible outputs and outcomes. Yet in FCV settings, the role of perception in shaping the onset, recurrence, and termination of instability is critical. A key objective is to restore citizen confidence in public institutions and strengthen government legitimacy. Examples include indicators that track beneficiary sentiments about the responsiveness of project investments.

Another priority is ensuring that indicators account for community voice and accountability. Indeed, the silencing of communities and the absence of transparency can be preconditions for fragility and conflict. During service delivery, it is important to monitor the extent of community engagement in decision-making processes, including in relation to budget development, allocation processes, availability of grievance redress mechanisms, and other activities. Understanding the extent to which public officials are held accountable, as well as the changes in levels of empowerment among different groups, are critical markers of peacebuilding and state-building.



## Standard Methods and Lessons in Designing Monitoring and Evaluation

Once clear linkages between FCV analysis, planning, and M&E have been established, teams need to identify the appropriate methods and tools. The results framework and the M&E arrangements<sup>21</sup> are critical elements that should be considered. Steps to establish good quality results frameworks and M&E arrangements for projects in fragile and insecure areas should include the following:

- Define a clear results chain between the project objective and the planned activities.
- Define a realistic project development objective and include any objectives related to FCS and peacebuilding or state-building if the project is targeting those areas. The attribution between the objective and the activities needs to be clear and strong as supported by the indicators.
- Define high quality indicators for the results framework and identify indicators to capture FCS-related issues that are addressed by the project.
- Establish baseline data for the indicators.
- Define an appropriate and context-specific M&E system.

A recurrent mistake when designing M&E arrangements for an intervention in FCV contexts is not defining the roles and responsibilities for data collection, reporting, and use of the information. Also, there is often low institutional capacity and lack of interest by government partners with regard to M&E arrangements. The FCV context requires particular consideration when it comes to building the M&E system:

- **Be pragmatic.** Go for “good enough” monitoring arrangements as opposed to perfect systems. In the early operations it might be necessary to use available data, even with mixed quality standards; you can fix data quality during implementation.
- **Build country M&E capacity and systems.** Building the national M&E systems from the start should be a key focus of the FCS project. This part of the project is a longer process that may not yield results in the short run but will pay back in the mid and long term.
- **Plan and budget for M&E capacity activities.** M&E capacity building should be part of the design and the implementation stage.

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21 For more details and examples on how to develop the results frameworks and M&E arrangements refer to [http://www.un.org/esa/coordination/pdf/rbm\\_report\\_10\\_july.pdf](http://www.un.org/esa/coordination/pdf/rbm_report_10_july.pdf).

- **Make the M&E system work for the government.** This effort will contribute to the government's interest in and efforts to make the M&E system work. These efforts could include embedding M&E work into decision-making processes, fundraising purposes, and communication strategies.
- **Consider phasing of government M&E responsibilities.** This phasing should follow in line with respective capacity strength; at the beginning of the project M&E work might need to be done mostly by consultants while local capacity is being built. At a later stage, government will assume more responsibilities.

A question confronting World Bank teams relates to the **timing and duration** of monitoring and evaluation. On one hand, there are short-term imperatives to show results. On the other, the reality is that many programs and projects will not yield outcomes or impacts for years. A key factor for all M&E in FCV contexts relates to supporting national capacity to take part in the process. The Paris Declaration commitments provide some guidance in this respect, and teams can work to help build capacity with counterparts to eventually oversee and manage M&E processes. To the extent possible, national partners should be involved in the design, coordination, management, and interpretation of findings and not just serve as conduits for data.

In addition to standard monitoring and evaluation tools, development agencies are using a wide assortment of tools to track results in fragile and conflict-affected environments.<sup>22</sup> These are often undertaken as part of a “system,” rather than just one-off exercises. Moreover, they often seek to assess perceptions of end users and community-level metrics drawing on participatory methods. Some widely used examples include:

- **Likert scales** are often used to score and rank data about opinions on an ordinal (as opposed to interval) scale. They are typically used to form a baseline with repeat surveys undertaken to show changes over time. They cannot necessarily explain why or how changes happened, but they can usefully complement statistical analysis.
- **Community scorecards** are participatory, though quantitative, tools to assess local perceptions of the quality, efficiency, and transparency of community service providers and performance.<sup>23</sup> They are useful for identifying changing perceptions and as baseline data to identify changes over time.
- **Composite indices** can be used to track a combination of metrics. They can allow for better analysis of trends. They typically draw on existing standardized datasets (see Module III) and may include a system of weights. It is critical that the methodology of such indices is fully transparent.

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22 See, for example, Stern et al. (2012).

23 See Singh and Shaw (2003).



- **Incident reporting** consists of systemic reporting on a range of discrete events. It assesses the frequency, intensity, spatiality, temporality, and other features of these incidents. This can be used to review media reports, human rights studies, or other sources of data.
- **Participant diaries and video logs** are participatory tools used to develop perception-based data on attitudes, behaviors, and motivations. They are based on testimonies and self-reporting and can be, when properly designed, used to generate time-series data.
- **Social network analysis** is routinely used to better understand the patterns of relationships between individuals, groups, and institutions. It can be conducted at multiple administrative levels ranging from the household to international scale (the former by using new technology—see Module VI). They examine, for example, the centrality, prominence, and brokerage of connections.
- **Most significant change and global giving story** methods are participatory and qualitative and explore “the most important changes.” They tend to be undertaken in extremely data-scarce environments and seek to privilege local voice and metrics.
- **A growing number of impact evaluations** demonstrate promising lessons. Some two-dozen robust scientific impact evaluations related to FCV topics have been undertaken over the past decade including those associated with E4P and DIME.<sup>24</sup> These are considered the “gold standard” and require time, resources, and capacities.

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24 Large n impact assessments have employed a wide range of approaches—individual randomization, group-based randomization, quasi-experimental design (including regression discontinuity design), encouragement design, natural experiments, and others.

## Additional Resources

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