



Food and Agriculture
Organization of the
United Nations

FAO APPROACHES TO CAPACITY DEVELOPMENT IN PROGRAMMING: PROCESSES AND TOOLS

LM2

LEARNING MODULE 2

Revised edition

FAO CAPACITY
DEVELOPMENT


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FAO Capacity Development

**FOOD AND AGRICULTURE ORGANIZATION OF THE UNITED NATIONS
Rome, 2015**



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FOREWORD

As Chair of the Interdepartmental Working Group on Capacity Development, I am pleased to present this second, enriched edition of the Learning Module 2 on 'FAO approaches to capacity development in programming: processes and tools'.

The module is intended to support the design and implementation of sound capacity development approaches in the area of FAO's mandate. It should help FAO staff and collaborators engage effectively with multiple actors at country and regional levels to assess existing capacities, set priorities and objectives for interventions, track capacity development results and ensure that these are sustained and up-scaled by national and/or regional institutions in member countries.

This second edition introduces some updates, notably in Chapter 2 and Chapter 3, in an effort to reflect most recent good practices and lessons learned from FAO's capacity development work on the ground as well as the evolving international practice in capacity development.

I would like to encourage you to apply the concepts and tools included in this module to your work to make FAO's efforts at country level even more sustainable and even more capable of leading to lasting change.

In a rapidly evolving and complex discipline such as capacity development, this module is a welcome contribution. I trust you will find it useful.



MARCELA VILLARREAL, DIRECTOR OPC

CHAIR OF THE INTERDEPARTMENTAL WORKING GROUP ON CAPACITY DEVELOPMENT

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ACRONYMS

CAM	Capacity Assessment Matrix
CD	Capacity Development
CPF	Country Programming Framework
DFID	Department for International Development
DoC	Drivers of Change
FAO	Food and Agriculture Organization of the United Nations
FFS	Farmer Field School
KAP survey	Knowledge, attitudes and practices survey
LFA	Logical Framework Approach
M&E	Monitoring and evaluation
RbM	Results-based Management
UNCT	United Nations Country Teams
UNDAF	United Nations Development Assistance Framework
UNDG	UN Development Group

OVERVIEW AND OBJECTIVES

This module is the second in the series designed to improve Capacity Development (CD) approaches in projects and programmes of the Food and Agriculture Organization of the United Nations (FAO). It includes examples and tools to support endogenous CD processes in the areas of FAO's mandate. Practitioners also may draw on the other Learning Modules (see box 1) which cover tools from disciplines such as organization analysis and development, learning event planning, facilitation and instructional science.

BOX 1: LEARNING MODULES (LM) FOR CAPACITY DEVELOPMENT AT FAO

LM1: Enhancing FAO's practices for supporting Capacity Development of Member Countries

LM 2: FAO Capacity Development in programming: Processes and tools

LM 3: FAO Good learning practices for effective Capacity Development

LM 4: Organization analysis and development

Learning Module 2 is organized around five major themes: engaging with national/local actors; analysing the context and assessing capacity needs; measuring CD; and building sustainability. It also offers a toolkit including examples, methods and instruments.

Table 1 provides an overview of the tools and methods that will be presented for each thematic area in the module.

THEMES	PROPOSED TOOLS AND METHODS
Engaging with national/local actors	Stakeholders mapping
	Appreciative inquiry
	Interest influence matrix
	Conversation guidelines
	Dialogue interviewing
Analysing the context and assessing capacity needs	CD-focused problem tree
	Stakeholder mapping
	Capacity assessment questionnaire
	Institutional and political economy scanning
	Stakeholders analysis
	Drivers of change
Measuring CD: "WHAT" and "HOW"	Guidance on formulating CD outputs, outcomes and indicators
	Outcome mapping / Outcome harvesting
	Monitoring and Evaluation Plan
	Most significant change
	Knowledge, attitudes and practices (KAP) survey
	5Cs
	Food Security Capacity and Commitment Country Profile
Building sustainability	Checklist for sustainability
	Principal CD aspects for projects and programmes

[Table 1] Overview of proposed tools and methods

By the end of this module, you will:

- > understand the importance of quality engagement with different national/local actors;
- > know how to assess capacity strengths and gaps in a given context;
- > be able to establish capacity-focused objectives, results (outputs and outcomes) and indicators in order to guide data collection, agree on what to monitor and evaluate and establish milestones along the way; and
- > integrate sustainability considerations in projects and programmes.

Who should use this module?

This module is intended for FAO staff and collaborators who are involved in designing and implementing projects and programmes which incorporate elements of capacity development.

INTRODUCTION

CD is part of the core mandate of FAO. It has been explicitly recognized as a core function¹ in the FAO Strategic Framework 2010-2019, which adopted results-based management (RbM) as a main method for programming at the corporate level. In order to ensure that FAO fulfils this central mandate, aspects of CD must be integrated into projects and programmes at the country level through the new FAO Country Programming Framework (CPF) and the new project cycle.

CD is a change process, and genuine CD goes beyond the realization of development outputs such as the construction of a training centre, the development of a new curriculum for extension officers or the organization of a knowledge fair event. While these outputs are important, they do not necessarily contribute to strengthening the long-term capacities of individuals and organizations in a country or region.

BOX 2: FAO DEFINITION OF CAPACITY DEVELOPMENT

WHAT IS CAPACITY DEVELOPMENT?

In FAO's corporate strategy on Capacity Development (2010), **capacity development** is defined as "the process whereby individuals, organizations and society as a whole unleash, strengthen, create, adapt and maintain capacity over time".

In planning CD interventions, it is crucial to consider the following:

- > "Capacity" is related to different dimensions: people, organizations and the enabling environment / society as a whole; these dimensions are interdependent and reinforce each other.
- > CD is primarily an endogenous process led by national actors and agencies, which is supported by FAO. It is a broad process involving social and political aspects – not only technical aspects.
- > Countries must take a lead role in enhancing their systems, structures and institutions. This will increase the likelihood that a country will be able to sustain the changes at the end of an FAO CD programme/project.
- > There is no easy one-size-fits-all solution for CD; CD interventions need to be tailored to the context of the particular country.

¹ The new FAO Strategic Framework defines seven core functions which are the critical means of action to be employed by FAO to achieve results. These are: i) norms and standard-setting, ii) data and information, iii) policy dialogue, iv) capacity development, v) knowledge and technologies, vi) partnerships and vii) advocacy and communication.

² See the evolution of CD in FAO in Learning Module 1, Appendix C.

For decades², FAO has been engaged in supporting development processes of partner countries and strengthening national capacities. However, the sustainability of such interventions is still questionable. The recent evaluation of FAO's CD activities in Africa catalysed internal reflection on how FAO can become more effective in this area, emphasizing that CD must be driven by national/local actors and their organizations who can develop their capacities and change their environment.

FAO can support CD processes through its work in technical areas by proposing several modalities³ of intervention in programmes and projects, such as coaching and training to promote individual learning and skills development⁴; change management; knowledge management; network management for organizational learning and development⁵; policy round tables; policy agenda analysis; and promotion of other forms of participation to develop legal, political and socio-economic frameworks for a conducive enabling environment. This module focuses on participatory modalities and relationship building for effective engagement in CD processes.

BOX 3: CAPACITY DEVELOPMENT AS A JOURNEY

CD is mainly a process and not just the end result of an intervention. It can be imagined as a journey on a bus to reach a city.

Let us assume that you sit at the bus station and observe that two buses are leaving at the same time and heading to the same city. However, you notice significant differences in how the two buses progress. The first bus stops after two minutes and all the passengers get out of the bus. They walk around the bus, open the engine and discuss. Then they get into the bus and stop again after five minutes.....and then the whole procedure is repeated. The other bus moves smoothly towards the city and reaches its destination after 20 minutes.

What is going on?

Imagine that the intention of the journey of the first bus was not mainly to reach the city, but to enhance the capacities of all the passengers, who intend to become future drivers and conductors. The drive to this city was just meant as an exercise to assess the capacities of the team and identify areas to strengthen their capacities for a much longer trip. They took this small trip only to get acquainted with the bus and the topography of the region. The passengers and the bus drivers used this trip primarily to strengthen their communication, decision-making and consensus-building capacities.

A trip that takes two hours instead of 20 minutes aims to reach the destination and develop capacity at the same time. CD, project design and implementation can and should be complementary. Whether your project requires only a short period of time or takes longer, it is worthwhile if it develops capacity, builds ownership and ensures sustainability in the process.

³ In the text, the word "modality" is used in a technical sense and refers to the typologies of support provided by FAO.

⁴ Learning Module 3 on "FAO Good Learning Practices for Effective Capacity Development" explores these topics in greater depth.

⁵ Learning Module 4 on "Organization Analysis and Development" elaborates on these concepts.



How can I effectively
engage with key
national and local
stakeholders?

How can I best identify
local champions and
support positive
interaction with them?



1

EFFECTIVE ENGAGEMENT WITH NATIONAL AND LOCAL ACTORS

THIS CHAPTER WILL:

- > EMPHASIZE THE IMPORTANCE OF QUALITY ENGAGEMENT WITH DIFFERENT ACTORS IN COUNTRIES AND REGIONS TO STRENGTHEN LOCAL OWNERSHIP AND LEADERSHIP;
- > REVIEW THE FOLLOWING TOOLS: STAKEHOLDER MAPPING, INFLUENCE-INTEREST MATRIX, APPRECIATIVE INQUIRY, CONVERSATION GUIDELINES AND DIALOGUE INTERVIEWING; AND
- > PROVIDE USEFUL LINKS TO KEY ONLINE RESOURCES FOR THOSE WHO WANT TO LEARN MORE ABOUT DIALOGUE INTERVIEWING AND FACILITATION TECHNIQUES.



1.1 QUALITY ENGAGEMENT

FAO's "Evaluation on CD Activities in Africa" emphasized that "...the process of engagement is particularly important to both the effectiveness and sustainability of FAO's interventions. CD cannot be rushed. It requires time-consuming participatory engagement."⁶

Quality engagement refers to substantive, two-way dialogue between FAO, local actors and key national stakeholders. It can help to:

- > identify and prioritize needs and opportunities emerging from the national and local context;
- > identify potential positive or negative impacts of an intervention;
- > gather innovative ideas;
- > encourage national/local involvement in project/programme identification, formulation, implementation and monitoring;
- > identify potential partners; and
- > monitor project/programme results and ensure that they are meeting national/local expectations.

Good CD practices show that an excellent way to increase the quality of any intervention is to engage the people who can affect or be affected by projects and programmes in dialogue throughout the project or programme cycle. Establishing and maintaining good relationships with key stakeholders is key for FAO to operate effectively in a country, to foster partnerships and to surface issues or concerns before they become potential risks.

This type of participatory approach requires an investment of time and resources. FAO staff and consultants may feel this is burdensome; however, it will result in interventions that are perceived as appropriate, effective and sustainable at national and local levels.

Briefly, what is a two-way dialogue?

Two-way dialogue begins by accurately listening to each other's views, questioning and reaching a shared understanding of the current situation and direction for improvement.

Dialogue is a special form of conversation in which the involved people express their thoughts, feelings and ideas and listen fully to the thoughts, feelings and ideas expressed by others. It is not a competition between different points of view; instead, it is a group effort to build a shared understanding towards an agreed direction.

FAO's CPF process creates an important forum for dialogue at the national/local level because it aligns FAO's intervention with the national planning cycle. Engaging in quality dialogue with all relevant actors, all key ministries (not only the Ministry of Agriculture) and the development partners – both at the central and decentralized levels – allows FAO to actively contribute to countries' development objectives in agriculture, food security and rural development and to strategically mobilize resources. In addition, if the CPF process is carried out during the United Nations Development Assistance Framework (UNDAF) preparation, a wider forum for dialogue is generated and agriculture issues can be discussed and analysed with the full United Nations Country Teams (UNCT).

⁶ Evaluation of FAO's Capacity Development Activities in Africa – March 2010 retrievable at <http://www.fao.org/3/a-k8635e.pdf>

Dialogue is an important ingredient in all phases of the new project cycle and particularly during identification, formulation and implementation. During the planning phase, good dialogue allows the identification of key stakeholders, potential positive impacts of the intervention, existing needs and assets. During implementation, continuous discussions and participation inform decisions and create partnerships.

We can promote positive engagement by:

- > identifying who to engage (stakeholder mapping exercises);⁷
- > conducting initial and ongoing consultations with stakeholders and engaging them in formulating, implementing and monitoring an intervention. This can be done in a number of ways, including group meetings, conversations with individual stakeholders, small group workshops and surveys; and
- > applying participatory approaches.⁸

1.2 VIRTUOUS DYNAMICS OF CHANGE

CD involves a broad range of stakeholders – farmers, producers, traders, civil society organizations, government agencies, research institutions, foundations and private companies –, and so the challenges of facilitating dialogue across different perspectives, mental models, power structures and interests should not be underestimated.

Capacity development processes are deeply intertwined with mindsets and power relationships which may lead to mistrust, tensions and resistance. These issues can be difficult to address; however, it is possible to create a virtuous dynamic towards change by:

- > involving all relevant stakeholders so that no one feels marginalized or excluded by the process; and
- > establishing mechanisms to build relationships and favour processes that allow discussions on divergent perspectives. Such mechanisms may include steering groups, project task forces, monitoring workshops, consultations and sounding boards to discuss progress and exchange experiences.

Local champions are potential partners who can drive the change in their countries and can advocate for certain activities to achieve development outcomes. They are attractive partners for FAO; however, they may face difficulties or tensions within their own organizations or with external stakeholders. Dialogue practices and negotiation⁹ skills can help to minimize these tensions by encouraging intensive discussions between partners and promoting inclusive dialogue among stakeholders.

⁷ See tools 1,2 and 6

⁸ To know more about participatory methods, see: <http://www.fao.org/participation>

⁹ Negotiation skills enable people with different objectives or perceptions to communicate, discuss and agree on something. The negotiation itself is a careful exploration of your position and the other person's position, with the goal of finding a mutually acceptable compromise that gives you both as much of what you want as possible. To know more about negotiation, see <http://www.mindtools.com/CommSkill/NegotiationSkills.htm> and www.fao.org/easypol/output/browse_by_training_path.asp

BOX 4: FAO'S EXPERIENCE IN BANDA ACEH¹⁰

FAO's intervention in the Banda Aceh provinces¹¹ affected by the tsunami is a good example of how the ownership and active participation of national actors can be stimulated through open and continuous dialogue from the early phases of project planning.

The focus of the intervention was on CD initiatives for the coastal communities, the fishery organizations and fishery department officials of the province and districts. The purpose was to stimulate change in attitudes and behaviour leading to sustainable and responsible marine fishery and aquaculture practices.

An initial workshop was held in March 2007 for over 100 people, including key community leaders, government staff from national, provincial and district levels and representatives from industry, NGOs, international agencies and academia. This was followed by field visits to the target districts to widely discuss the plans for work. Discussions with the various stakeholders were essential to understand the context, get an idea of what people and the fishery administration considered to be their priorities, gain a shared understanding and build a more trusted relationship. The information gathered from the field and from the workshop was used to develop and update the results framework, develop a detailed work plan for the first year, formulate the monitoring and evaluation (M&E) plan and adjust the budget. Two months later, another workshop was held in Banda Aceh (co-hosted by the Marine and Fishery Department-DKP) to illustrate the outcome of the field-level stakeholder discussions and jointly review and update the plans to adopt a very inclusive approach. There was wide participation in this second workshop, specifically from the district representatives. The same process was followed to develop the second-year work plan.

These continuous consultations ensured that operational plans could be constantly adapted.

FAO staff expended a lot of effort throughout the consultation process to facilitate respectful conversations, identify the existing potential, provide clear information and ensure a shared understanding about the purpose of the project. The results of the project have been very successful; in fact, the fishery organizations, the coastal communities and the state representatives find ways to work jointly to better manage the coastal and fishery resources.

The key lesson learned in this case was that appreciative, collaborative and adaptive implementation was important in catalysing cooperation and action among the diverse stakeholders.

1.3 A FACILITATIVE ROLE

FAO's role is not only to develop technical options and deliver quick standardized solutions to partner countries. FAO's role is primarily to facilitate and support partner countries to implement and/or develop their own technical solutions.

Facilitate means "to free from difficulties or obstacles; make easier, aid, assist." In relation to CD, facilitation refers to a process that supports individuals and organizations in managing their affairs more efficiently and effectively to achieve development results in the areas of FAO's mandate. A facilitator is a procedural expert who is there to support the client's effectiveness.

¹⁰ For further reference, please see "Negotiating fisheries co-management in Aceh province, Indonesia – Notes on Process" by John Kurien. May 2010. To know more about participatory methods, see: <http://www.fao.org/participation>

¹¹ OSRO/INS/601/ARC

Normally, the facilitator is regarded as a neutral person who takes an active role in supporting the clients to understand their options and structure their management and CD process, without taking decisions on their behalf or pre-defining the contents of the intervention (e.g. identifying the objectives, analysing certain issues, making a plan). The facilitator's role is to stimulate and enhance the work process as a means of developing group problem-solving and collaborative skills.

Facilitation is therefore a function which respects the ownership and leadership of partners, while supporting them to achieve their development goals better than before. This may involve providing them with the knowledge of a range of options, or providing real examples through pilot projects, but the objective will be to assist them to make their own choices given both cognitive and actual access to the required technologies.

Some important areas of facilitation in which FAO should be more involved are:

- > creating a conducive environment (i.e. psychological, social and physical) for effective communication and dialogue among diverse stakeholders so that they can strengthen their relationships, build trust and engage collectively in actions leading to improvement of the sectors within FAO's mandate;
- > catalysing joint learning and knowledge generation by creating a conducive space and supporting processes and tools to foster critical thinking;
- > promoting consensus-building and conflict-management processes within a multi-stakeholder setting and with other external agencies;
- > enhancing effective teamwork by applying mechanisms to catalyse synergy in diverse groups; and
- > strengthening organizational capabilities by helping groups function as a team and achieve higher performance.

1.4 TOOLS FOR QUALITY ENGAGEMENT

To foster quality engagement at the project/programme level, FAO staff and consultants might consider the following questions:

- > Do we know the champions and the relevant national and local actors?
- > Are we clear on how to engage in open dialogue and facilitate fruitful interactions with or among the potential champions?

There are some instruments in our toolbox that can help provide an answer to these questions:

Stakeholder Mapping exercises are powerful tools to identify champions and other key actors and to obtain a general overview of the stakeholder and organizational landscape. It is critical to conduct interviews with stakeholders, validate general assumptions about the stakeholders' landscape and regularly assess the status of stakeholders' relationships.

An Interest-Influence Matrix is helpful to analyse the actors' interests and power relationships and identify potential partners and opponents. This can provide valuable information for creating alliances and for developing appropriate strategies to deal with resistance.

An Appreciative Inquiry process focuses first on discovering partners' potential by identifying and analysing successful cases to generate ideas about how to initiate and sustain the new CD efforts. In analysing these good experiences, it is important to pay attention to key capacity areas (e.g. individual competencies, organizational capabilities or enabling environment factors) which contributed to the success. This can help determine ways for the new programme/project to build on existing capacities.

An appreciative inquiry into existing capacities creates the foundation for fruitful dialogue and collaboration among external agencies and national/local actors and champions. It enables all parties to discover value and support the ongoing efforts of all stakeholders.

An appreciative inquiry approach includes methods for stakeholder interviews, conference design and community organizing. It is especially recommended in emergencies or challenging situations in which the stakeholders lack the necessary capacities. Useful information can be found at <http://appreciativeinquiry.case.edu>.

Conversation Guidelines should encourage positive dialogue among stakeholders by structuring conversations to generate possibilities and action on CD issues. Guidelines may suggest sharing ideas on the desired future in a predetermined area and clarifying the roles of each actor involved in the CD process. This includes sharing each other's expectations, clarifying the intended results of the programme and finally agreeing on each other's rights and obligations.

One's own role and expectations towards others are not fixed, but undergo dynamic changes. These can evolve because of changes in power relations, a better understanding of the processes involved in CD or a better mutual understanding through the development of trustful relationship. Understanding this enables the parties to share their expectations more openly from the very beginning. All work at the project or programme level has to create avenues where roles and responsibilities can be clarified and negotiated continuously.

The Dialogue Interview is a form of open dialogue that follows the energy and content of the interviewee. It is mainly about building a relationship among the people involved in this process and about generating motivation for a collective project. It is particularly useful at the beginning of an intervention as a way of finding allies for the process and for building a flexible intervention. A useful link is www.presencing.com/tools.

Facilitation links provide a wealth of information on facilitation resources and techniques that we wish not to replicate in this module; however, for those who want to learn more about this topic, the following online resources will be helpful:

- > Free Management Library Group Dynamics – Facilitation (face-to-face and online) and basic nature of groups and how they develop: <http://managementhelp.org/groups>
- > Full Circle Associates – Facilitating online events: <http://www.fullcirc.com/resources/facilitation-resources/designing-and-facilitating-online-events>

IN A NUTSHELL

Key concepts:

Quality engagement with national and local actors is vital for ensuring that projects and programmes in countries or regions are appropriate, effective and sustainable. This chapter explores the importance of engagement through substantive dialogue and facilitation of multi-stakeholder processes.

Open dialogue:

- > increases shared understanding of the issues and strengthens mutual respect across sectors and organizations;
- > enables all stakeholders to speak from their experiences in a conducive atmosphere;
- > creates inclusive forums for discussion through compromise and consensus-building;
- > can change attitudes and overcome tensions and conflicts through active listening and collective actions;
- > helps in clarifying and negotiating roles and expectations from all involved parties;
- > leads to good project design;
- > encourages ownership and partnerships.

Facilitation for CD focuses mainly on enhancing:

- > effective communication among various stakeholders;
- > attention to content and process, providing easy access to knowledge where needed;
- > team development;
- > negotiation among various stakeholders so that better cooperation is possible;
- > support to overcome challenges, adapt to changes and generate ideas.

Quality engagement can be encouraged through:

- > identification of all relevant stakeholders (stakeholder mapping exercises);
- > consultation with national and local actors; and
- > active involvement in formulating, implementing and monitoring interventions.

Suggested tools:

Tool 1 – Stakeholders' Mapping
Tool 2 – Interest-Influence Matrix
Tool 3 – Appreciative Inquiry
Tool 4 – Conversation Guidelines

Useful links on dialogue interviewing and facilitation methods and techniques:

[www.presencing.com/ tools](http://www.presencing.com/tools); <http://managementhelp.org/groups>;
<http://www.fullcirc.com/resources/facilitation-resources/designing-and-facilitating-online-events/>



How complex it is here! This country suffers from recurring issues in managing food security, natural resources and other matters. And the issues do not appear to be solely of a technical nature...

... We really need to better understand this context!



2 ANALYSING AND UNDERSTANDING THE CONTEXT

THIS CHAPTER WILL:

- > CONSIDER THE IMPORTANCE OF ANALYSING AND UNDERSTANDING THE CONTEXT;
- > DESCRIBE HOW TO ASSESS CAPACITY STRENGTHS AND NEEDS; AND
- > PROVIDE AN OVERVIEW OF CONTEXT ANALYSIS TOOLS SUCH AS: PROBLEM TREE, STAKEHOLDER MAPPING, CAPACITY QUESTIONNAIRE, INSTITUTIONAL AND POLITICAL ECONOMY SCANNING AND DRIVERS OF CHANGE.



In the previous chapter, we explored the importance of engaging in a qualitative dialogue with national and local actors. In this chapter, we will see that an important purpose of such dialogue is to gain a shared understanding of the national, regional and international context in which an intervention will be embedded.

Prior to designing and implementing programmes and projects, it is crucial to clarify their boundaries and analyse the wider context in which individuals and organizations work; this includes understanding the factors influencing the enabling environment and existing capacity assets and needs. While this sounds easy in theory, it is one of the most challenging aspects of any intervention because of the many factors and relationships that influence the context. Interventions, which have been successful in one country or region may not be successful in another region, and successful solutions of yesterday may not lead to expected results today.

2.1 COUNTRY CONTEXT

The success of country programmes is often contingent on a good understanding of the context. Without this, programmes may be misdirected and may not achieve the intended objectives. The context includes the historical, economic, political and social background in a country as well as incentives, relationships and power balances. For programmes which aim to develop capacities, it specifically involves a thorough understanding of the capacity strengths and gaps across three dimensions – the enabling environment, organizations and individuals.

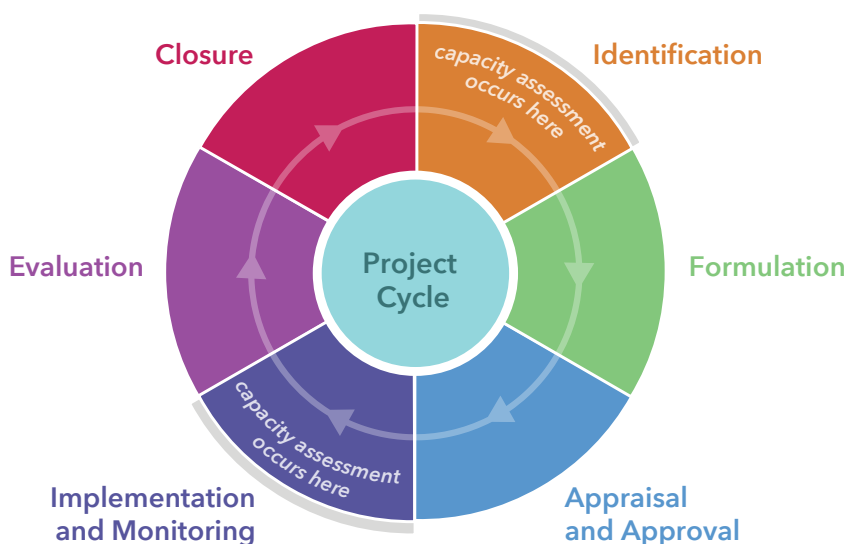
At the macro level, FAO's CPFs are primary instruments for capturing and describing the context in a country. The process for formulating CPFs is well described in existing FAO guidelines. A key component of this process is conducting a situation analysis, which identifies the country's major development challenges and needs, before designing programmes and engaging in interventions. An important part of the situation analysis is a capacity assessment, which clearly describes the capacity strengths and weaknesses of country actors (both state and non-state) and ensures a strategic and targeted project design.

At the level of projects and programmes, the new FAO project cycle calls for a context analysis during a project's identification or implementation phases, including a thorough analysis of problems, stakeholders, results and options (see figure 1).¹² The situation analysis at the CPF level is conducted at a broader level (usually the sector level), while the context analysis in a project formulation is targeted to the project objectives.

To obtain information about the country context, begin by analysing key documents that are particularly relevant when formulating a new CPF. These include, for example, public reform plans, poverty reduction strategies, political and economic analyses, UN agencies' Common Country Assessments (CCA)/United Nations Development Assistance Frameworks (UNDAFs) and resource partners' ¹³ country strategies. For a project proposal, FAO's country briefs, country annual reports and CPFs are always a very good place to start.

¹² To know more, please refer to FAO's Guide to the Project Cycle.

¹³ The term refers to "donors" and is consistent with the terminology used in the new FAO Project Cycle.



[Figure 1] Project cycle

Key documents which elaborate on the priorities highlighted in the CPF include: the food and nutrition security strategy, agricultural sector review, agricultural sector strategy/policy framework, national agricultural investment programme and the rural development strategy.

The following broad questions should be considered when analysing the context:

- > What are the historical, economic, political and social issues that need to be considered to better understand capacity constraints within the enabling environment and among organizations and individuals?
- > What other issues (e.g. conflicts, crises, values) are important to consider?
- > What existing change processes at the international, national, regional and local levels should be considered for the future intervention?
- > What are the country's top priorities in terms of capacities within the sectors of FAO's mandate?

2.2 HOW TO CARRY OUT A CAPACITY ASSESSMENT

2.2.1 ASSESSING CAPACITIES FOR DEVELOPMENT INTERVENTIONS

A capacity assessment is a useful way to look inside the "country capacity system" and initiate a focused dialogue between resource partners and national and local actors about meaningful interventions to strengthen national capacities to drive development. It creates the basis to link country capacity assets and needs to overall development goals.

The assessment is basically a set of discussions with key national stakeholders on major capacity issues, perceptions and suggestions, together with an analysis of the information collected. It can help involved parties develop a common vision of the underlying capacity issues and create champions for change,

thereby building country ownership of the development goal. It also helps to provide data for the baseline measurements for monitoring purposes.

The assessment is much stronger, more legitimate and has more validity if it is nationally driven by local partners. Joint assessments and self-assessments are stronger than externally-led assessments, and therefore identifying and establishing partnerships with national champions is essential in the assessment process.

In addition, developing a shared understanding and trust among all actors involved in the diagnostic process influences the quality of the diagnosis. It is important to use effective dialogue and participatory approaches to uncover reliable information about the local context. These approaches allow local actors to make their implicit knowledge explicit so as to discover, understand and use local dynamics for decisions.

Capacity assessments usually begin with the following questions:

- > Capacity for what?
- > Capacity for whom?

For instance, capacity assessments for extension systems can: define which functions extension staff, research institutes and NGOs need to perform; determine whether the overall regulatory framework and incentive systems are conducive to desired change; examine whether the actors providing extension services are well-coordinated at the local level; and define which interventions are needed to achieve intended results.

The reason for carrying out assessments is not “to know everything about everything”, but to conduct an appropriate level of analysis to support decisions regarding CD for the initiative under consideration. Depending on the sectoral, thematic or technical perspective, different aspects of capacity can be assessed by using different tools.

By blending elements of the UN Development Group (UNDG) model¹⁴ with FAO’s existing tools, FAO has developed a simple and flexible approach which can be adapted to the type of assessment that is going to be carried out and which can be used in conjunction with other technical tools.

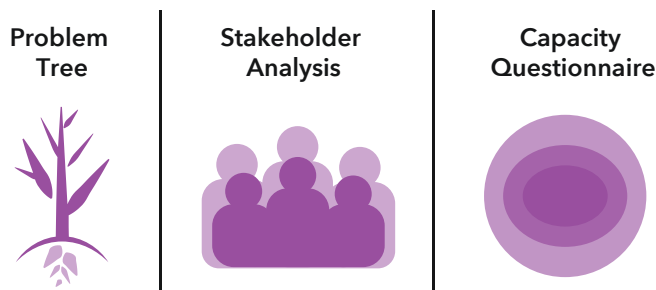
2.2.2 CAPACITY ASSESSMENT TOOLS

FAO recommends that, as a start, a capacity assessment should include three basic tools (see Figure 2). These are a Problem Tree to answer the question ‘Capacity for what?’ (see tool 9); a Stakeholder Mapping to understand what actors might need to be influenced, empowered or included and to answer the question ‘Capacity for whom?’ (see tool 1); and a Capacity Questionnaire (see tool 5). There are other tools which, depending on the context, can be used (see tools 2, 6, 7 and 8 as well as many other tools in LM3 and LM4).

These tools complement those that are proposed in the FAO CPF Guidelines and in the FAO Project Cycle Guidelines with a particular focus on assessing capacities at the policy, organizational and individual levels and within the context of the broader political economy, institutions and stakeholders.

¹⁴ UNDP and UNDG have developed a capacity assessment framework which has:

- three points of entry for a systemic approach to understand the determinants of capacity development (the enabling environment, the organizational and the individual);
- four core issues (institutional arrangements, leadership, knowledge and accountability);
- functional and technical capacities (engage stakeholders; assess a situation and define a vision and mandate; formulate policies and strategies; budget; manage and implement; evaluate).



[Figure 2] Three basic tools of capacity assessment

Problem Tree

The Problem Tree identifies the cause-and-effect factors of a problem and helps to identify the root causes of a problem and which capacities are needed. It should be developed as a participatory group activity (from six to eight people is often a good group size). It's important to ensure that groups are structured in ways that enable particular viewpoints to be expressed – especially viewpoints of the less powerful. The quality of the tree depends on involving the right people.

The Problem Tree is useful given that it can be converted into a “Capacity Objective Tree”, which uses exactly the same structure as the Problem Tree, but with the problem statements (i.e. negatives) turned into objective statements (i.e. positives). The Objective Tree can be used to identify outputs and outcomes and thus it can help develop a logframe.

Stakeholder Mapping

Stakeholder mapping is an essential step in the context analysis that helps to understand the many stakeholders involved in a given issue at the country level. During stakeholder mapping, it becomes clear who may be passively or openly opposing the initiative and who supports it. Stakeholder mapping tools (e.g. tool 9) help identify whose capacities need to be strengthened, who needs to be influenced or involved and who are the potential champions. The results of the stakeholder mapping provide a clear picture about who needs to be interviewed, who should work as national champions together with the project team, where advocacy and influence are needed and whose capacities need to be strengthened.

Capacity Questionnaire

The Capacity Questionnaire explores the three dimensions of the country capacity system: the enabling environment, organizations and individuals. Box 5 illustrates capacity areas of the three dimensions around which capacity questions should be formulated.

BOX 5: CAPACITY AREAS WITHIN THE THREE DIMENSIONS OF CD

Enabling environment	Policy and legal framework Policy commitment and accountability framework Economic framework and national public budget allocations Governance and power Legal, policy and political environment
Organizations	<div> Mandates Motivation and incentive systems Strategic leadership Inter/intra institutional linkages Programme management Multistakeholder processes </div> <div> Organizational priorities Processes, systems and procedures Human and financial resources Knowledge and information sharing Infrastructure </div>
Individuals	Skill levels (technical and managerial skills) Competencies Knowledge Attitudes, behaviours and values

A Capacity Questionnaire compares the existing capacities with desired capacity levels to reach important development results for the future. It is guided by the following three main questions:

- > **Where are we now?** This defines the present capacity level, i.e. the existing strengths and weaknesses.
- > **Where do we want to go?** This defines the vision of what capacity is required for the future.
- > **What is the best way to get there?** This will compare the future with the present situation, and identify how to get from the current capacity to the desired future capacity. Addressing this question allows the concerned stakeholders to discuss and reach consensus on where they can realistically expect to be in the medium term.

BOX 6: OVERVIEW OF THE CAPACITY QUESTIONNAIRE

Tool 5 offers three checklists of questions with varying levels of detail which can be used to develop your questionnaire for a relevant sector and country. These checklists are:

- > the “ultra-light” checklist with 20 questions;
- > the “light” checklist with 59 questions; and
- > the “in-depth” checklist with 95 questions.

Tool 5 also includes a description of the capacity assessment process and the Capacity Assessment Matrix (tool 5d), an organizing framework for understanding the capacity assessment. The toolbox also includes several examples and a sample Terms of Reference for a consultant to work on a capacity assessment.

Planning a capacity assessment

Information for a capacity assessment is collected by using a mix of approaches, depending on the scope of the assessment and the issues under review. Methods include desk studies, focus group discussions with selected stakeholders, key informant interviews, structured self-assessment workshops and broad

consultations. Information collected needs to be analysed and summarized. Usually effective data collection methods allow triangulation of data from different perspectives, different levels and different stakeholders.

A capacity assessment should be properly planned and resourced, which involves selecting the assessment tools, the capacity questions and identifying the assessment team (see tool 15, Template for Capacity Assessment Planning). Table 2 presents other tools that can be used to complement the picture in each of the three dimensions. All tools to be used in the assessment process should be tailored for the sector, location and scope of the programme or project.

When you are working on a small project and/or making a brief intervention, you may not go through the full range of tools or steps; however, if you keep the capacity assessment process in mind, you will be able to identify the biggest capacity gaps in the relevant context. You will avoid training one group of people, only to find that in that particular situation, success could only have been achieved if another group had been targeted.

The final result of the assessment process is a picture of the priority areas for interventions which will be the basis for a future CD strategy or plan of action. At a strategic level, this can be particularly helpful in defining CPF results, and at a project level, in defining the activity areas. A capacity assessment report is an important result of the process. It should summarize the major capacity strengths and gaps and indicate actions needed to address the gaps.

ASSESSMENT DIMENSIONS	SELECTED ASSESSMENT TOOLS
Enabling environment	Capacity questionnaire* Drivers of change* Institutional and political economy scanning* PEST*** (political, economic, social, technological analysis) Policy analysis tools (in FAO EASY POL) Stakeholder analysis* 4Rs: Rights, responsibilities, revenues and relationships *** Outcome mapping*
Organizations	Capacity questionnaire* Appreciative inquiry* Force field analysis Organizational performance assessment*** Outcome mapping* Stakeholder mapping* SWOT analysis (strengths, weaknesses, opportunities, threats) KAP survey*
Individuals	Capacity questionnaire* Appreciative inquiry* Competency assessment Outcome mapping* Task analysis** Learning needs assessment checklist** KAP survey*
<p>* This tool is described in this module and provided in the toolbox. ** This tool is provided in Learning Module 3: FAO Good learning practices for effective capacity development *** This tool is provided in Learning Module 4: Organization analysis and development</p>	

[Table 2] Selected tools for capacity assessments

BOX 7: ASSESSING TECHNICAL AND FUNCTIONAL CAPACITY IN BHUTAN

An example of combining technical and functional capacity assessments can be derived from FAO's experience in Bhutan.

In 2007, FAO started discussions with Bhutan's national regulatory authority for food safety, plant and animal health to understand their interest in assessing their biosecurity capacity needs. From the very beginning, the Executive Director of the Bhutan Agriculture and Food Regulatory Authority (BAFRA) showed a deep interest in engaging in this type of process. From 28 March to 6 April 2007, an FAO officer, an international consultant and representatives of the FAO regional and country offices conducted an exploratory mission to reach a joint understanding of the capacity issues related to biosecurity in Bhutan. They worked with BAFRA staff to determine the assessment process and methodology. During this mission, they also conducted a SWOT analysis, and the results were revised in the actual assessment mission.

During the scoping phase, high-level support revealed the need to conduct a whole analysis of the Bhutanese biosecurity system, considering the enabling environment dimension (i.e. the policy framework and legislation) and the organizational dimension (i.e. the organizational arrangements, communication channels among key stakeholders and the technical capacities of the laboratories in terms of inspection, verification, enforcement, quarantine and certification, diagnostic services, emergency preparedness and response, risk analysis, monitoring and surveillance). The objectives, which included individual capacity assessment, were to prepare a description of the Bhutanese biosecurity system, capabilities and needs and to finalize a five-year action plan using the assessment as a baseline.

The assessment process was implemented during a second mission between November and December 2007. The process included analysing pertinent documentation (including legislation, FAO field projects, reports available in Bhutanese Government Web sites and in the World Health Organization Web site) and interviewing officials and staff from a number of departments, including BAFRA, the departments of livestock, forestry and agriculture, the Council of Research, the national biosecurity centre and the national plant protection centre. A profile of Bhutan's biosecurity context was developed and its existing capacity and performance was assessed. A stakeholder analysis was also conducted which revealed that the biosecurity sector was dominated by government agencies.

During a final national consultation, options to address the identified needs were generated and a subsequent action plan was jointly developed with the main stakeholders. The action plan was then used to guide national efforts in this area and as an advocacy tool to donors.

2.2.3 ANALYSING THE ENABLING ENVIRONMENT

FAO experiences show that key players in a sector often have a tacit and very nuanced understanding of important contextual and governance factors.¹⁵ They may not find it in their interests to share this insight with others or to make it public. Contextual information can be extremely sensitive and valuable. Thus, before performing any analysis, it is important to consider carefully how this information is going to be used (i.e. to be shared with others or thought of as part of the internal preparation for strategic decision-making). You may need to have one-on-one discussions and reassure the interlocutor about preserving confidentiality. In addition, you need to guard against a biased perspective and triangulate the information with stakeholders from different interest groups. Capacity data generally should be collected and analysed by people with intimate knowledge of the context and stakeholders such as national focal points.

One of the most useful tools used to assess the enabling environment – the Institutional and Political Economy Context Scanning – seeks to highlight how the key functions of organizations can be influenced

¹⁵ For information about governance issues, specifically on how FAO can interact more effectively with the political environments in which it operates, refer to the Policy and Governance Support Unit in the Economic and Social Development department.

positively or negatively by institutional and political economy factors which reach beyond the sector. One can assume that most stakeholders have an implicit understanding of political economy factors and legitimate reasons for being for or against a specific intervention and use their insights to pursue their intentions. Making this explicit and discussing this openly may create tensions and end in controversial debates. Therefore, it is important to be clear about why, when and with whom to conduct such an analysis.

Another tool for analysing the enabling environment is the Drivers of Change (DoC) (see tool 8). This approach, developed by the Department for International Development (DFID), emphasizes that donors' strategies, in order to be effective, must be based on a sound understanding of key factors influencing changes in a country system. The DoC methodology offers a flexible framework which can be adapted to a country. It focuses on power relations and on the institutional and structural factors affecting the political will for desired change. It is based around a three-fold conceptual model of individual agents, structural features and mediating institutions.

IN A NUTSHELL

Key concepts:

- > For any intervention in countries and regions, it is important to understand contextual factors and how organizations and individuals operate in a specific culture and context.
- > Thorough context analyses should avoid premature or unsustainable interventions; however, they should not be mechanical or based on superficial information.
- > Contextual analyses need to draw on local knowledge from a broad range of sources. They require open and committed discussions with key national/local stakeholders as well as trust, respect and sensitivity when dealing with political, social and institutional information.
- > There are methodologies that can be used to carry out context analyses, such as the Problem Tree, the Stakeholder Mapping and Capacity Questionnaires. These are applicable at the enabling environment, organizational and individual levels .
- > It is important to use a mix of instruments and to triangulate the information from multiple discussions with key players in order to arrive at a realistic judgement about the opportunities and threats for a certain intervention.
- > Finally, no matter how small the activity or intervention, you should always carry out some contextual analysis and understand the individual and organizational capacity gaps that will need to be addressed while undertaking your activity. For very small interventions, even a mental checklist would be better than nothing. Remember that without the dialogue and participatory analysis, there will always be less ownership and your intervention will be less sustainable.

Suggested tools:

Tool 1 – Stakeholders' Mapping
Tool 5 – Capacity Assessment Checklists/Questionnaires
Tool 6 – Institutional and Political Economy Context Scanning
Tool 7– Stakeholders' Analysis
Tool 8 – Drivers of Change
Tool 9 – Problem Tree
Tool 15 – Capacity Assessment Planning Template



How can we design meaningful objectives and results to track the effect of our activities in terms of capacity changes?

Who monitors what, using which method?



3 MEASURING CD: “WHAT” AND “HOW”

THIS CHAPTER WILL:

- > DISCUSS HOW TO TRACK CD USING RESULTS-BASED MANAGEMENT;
- > DEFINE CAPACITY OBJECTIVES, OUTCOMES, OUTPUTS AND INDICATORS;
- > CONSIDER APPROACHES TO MONITOR AND EVALUATE CD.



This chapter will focus on tracking CD within results-based-management (RbM) and the Logical Framework Approach (LFA)¹⁶, which is in accordance with FAO standard operating procedures. Guidance on the formulation of CD-specific outcomes, outputs and indicators is provided as well as ideas on planning for monitoring and evaluating capacity changes.

RBM’s logic starts with specifying the desired results followed by the resources needed to achieve them. At the heart of this approach is the LFA – a well-established project management approach designed to develop logically sound strategic plans, indicators, tables and diagrams in the form of a project planning matrix which is then linked with action plans in a systematic and structured form.

Within RBM, it is important to know and be able to demonstrate progress in developing capacities of member countries. Tracking capacity change is challenging because it implies looking at factors which are often intangible and complex to measure, such as the application of new knowledge, the performance of organizations and how conducive the enabling environment is within a specific sector. These challenges are further compounded by the challenges of many development projects which often change course during implementation. Nevertheless, it is important to track changes across the three capacity dimensions and for technical and functional capacities within FAO’s RBM mechanisms in order to improve the impact and sustainability of development interventions.

Let’s examine one example of strengthening capacities of producer organizations. To track capacity change, FAO needs to know whether: (1) trained producers actually apply the knowledge gained (as opposed to tracking the number of training sessions being delivered to producers); (2) producer organizations actually perform better and deliver services to their members; and (3) the policy and institutional environment is conducive and has the political will to support producer organizations (see Table 3).

WHAT CONSTITUTES A GOOD CD RESULT?		
	OUTPUT LEVELS	OUTCOME LEVEL
INDIVIDUALS	Did producers learn new knowledge/skills/behaviours?	Are trained producers actually applying new knowledge/skills/behaviours? → ADOPTION
ORGANIZATIONS	Do organizations have improved mandates and systems in place	Are organizations delivering better services? → PERFORMANCE
ENABLING ENVIRONMENT	Are new/improved policies and frameworks in place?	Do policies and institutional frameworks allow implementation and sustainability of changes? → COMMITMENT & POLITICAL WILL

[Table 3] Capacity changes to track

3.1 IDENTIFYING CD OBJECTIVES, RESULTS AND INDICATORS

CD is generally described as a learning process when dealing with individuals and as a change and transformation process when dealing with the enabling environment and organizations in a country or

¹⁶ For an extensive explanation on RBM principles and LFA, please refer to the FAO project cycle practical guidance: Planning during formulation phase.

region. Change and learning are the guiding principles to define objectives of an intervention. To define effective objectives, it is necessary to have a baseline assessment that provides specific information on existing capacities and gaps. The capacity assessment process described in chapter 2 is a useful tool to establish such a baseline.

Besides the general guidance to make objectives SMART (i.e. specific, measurable, achievable, results-oriented and time-bound), FAO suggests applying its CD framework¹⁷ when defining CD objectives. This means assessing and identifying the CD dimensions and, where possible, the types of capacities (e.g. the technical and functional capacities)¹⁸ that are targeted through the intervention.

Table 4¹⁹ illustrates an example of a project and its activities which address strengthening both technical and functional capacities across the three CD dimensions.

PROJECT OBJECTIVE: IMPROVING SUSTAINABLE PRODUCTION OF AGRICULTURE IN THE MOUNTAIN REGION OF NEPAL			
<p>Specific CD objectives:</p> <ul style="list-style-type: none"> > Improve the capacities of extension agents through technical trainings > Enhance the creation and exchange of knowledge among extension officers > Strengthen partnering capacities of the extension officers with farmer unions and universities > Strengthen the capacities of the Ministry of Agriculture to formulate policies for sustainable production with positive effects on the enabling environment 			
DIMENSION OF CD	CD ACTIVITIES ADDRESSING TECHNICAL CAPACITIES	CD ACTIVITIES ADDRESSING FUNCTIONAL CAPACITIES	ACTORS/STAKEHOLDERS
Individual learning (purpose: To promote individual learning, self-reflection and skills development)	Technical trainings and learning initiatives Communication and awareness-raising initiatives on technical issues	Coaching and facilitation Abilities and skills in negotiation and mediation	Individuals and small groups
Organizational change (purpose: To promote organizational development and learning to increase performance)	Technical expert services Technical support for organization development	Change management Changes of systems and processes, mandates, procedures and regulations Knowledge management and facilitation of knowledge and experience exchanges Creation of networks and coordination mechanisms	Governmental bodies, community-based organizations, civil society and the private sector

¹⁷ The FAO CD framework is explained in Chapter 3 of Learning Module 1 "Enhancing FAO Practices for Supporting CD of Member Countries".

¹⁸ Technical capacities refer to technical tasks carried out by FAO in the areas of its mandate. The functional ones refer to soft capacities relevant for uptaking and sustaining changes in the sectors of FAO's mandate. These include capacities to formulate and implement policies and strategies; to participate in policy debates; to create access, manage and share knowledge; to initiate and sustain networks and partnerships; and to design, implement, monitor and evaluate interventions. For instance, functional capacities, such as lobbying and advocacy with policy-makers, can ensure that technical issues (i.e. climate-smart agriculture approaches) are embedded in policy frameworks.

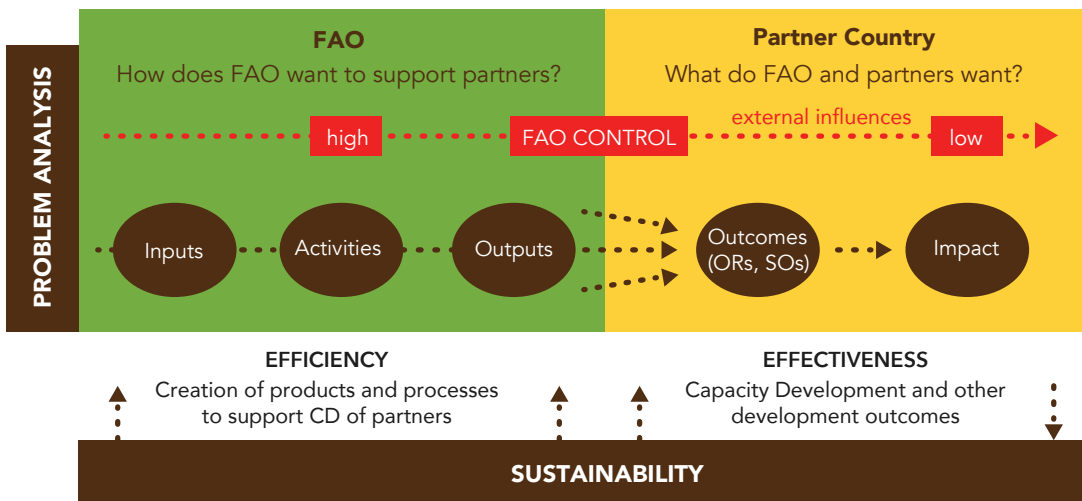
¹⁹ Adapted from GIZ 2009 "Capacity Works" - Tool 5

Change in the enabling environment (purpose: To enhance legal, political and socio-economic frameworks that are conducive to CD)	Expert services for policy development and review	Policy advisory services	Actors and groups of actors who participate in the negotiation of rules at all levels
	Technical support to national planning processes	Agenda analyses, round tables and other forms of participation to negotiate rules, policies and their implementation	
	Technical consultations	In-process facilitation of negotiations	

[Table 4] Capacity development highlights within a project

Within the Logical Framework, there are five links from inputs to impact (i.e. Inputs->Activities->Outputs->Outcomes->Impact). FAO attribution for results is stronger at lower levels of the results chain. At higher levels in the results chain (e.g at the outcome level), FAO attribution is weaker because while results are influenced by FAO's actions, they are not directly attributable to FAO as the context (e.g. political, economic) influences results at this level. Figure 3 visualizes a results chain and highlights what is in FAO's direct sphere of influence and what is beyond its control.

RESULTS CHAIN



[Figure 3] Overview of a results chain embedding Capacity Development

FAO projects and programmes intend to create outputs, which contribute to the achievement of development results (outcomes and impact) of the member country. In order to increase the sustainability of such efforts, it is important to consider CD-relevant issues, especially at the following three levels: activities, outputs and outcomes. In line with RBM logic, let's start with the impact level first.

Impact

Impact refers to the overall challenge we are trying to address and the longer-term structural changes we desire to see. All FAO programmes are linked to longer-term effects or positive changes²⁰ which contribute to the three global goals²¹ of member countries. However, impact is influenced by many factors, and it is difficult to link it causally with programme outcomes and outputs in a linear way. Outputs and outcomes can help evaluate to what extent a programme has increased capacities, started processes of change within countries for the enabling environment and its organizations or started processes of learning for individuals.

Outcomes (Results)

Outcomes describe a specific change for individuals or organizations and are a medium-term or intermediary result linked to the outputs generated by the programme/project. Unlike outputs, the achievement of outcomes lies outside of the full control of the project or programme. Specific examples of outcomes across CD dimensions are shown in Figure 4.

CAPACITY RELATED OUTCOMES > RESULTS		
	DIMENSION	EXAMPLE
INDIVIDUALS	Individuals apply new skills and knowledge	Workshop participants apply new techniques systematically
ORGANIZATIONS	Organizations perform better	National data unit produces high quality information on food security
ENABLING ENVIRONMENT	Policies are implemented with strong political commitment and stakeholder participation	Policy frameworks are nationally implemented

[Figure 4] Examples of capacity outcomes

Outputs (Results)

Outputs are initial results of products and services, and contribute to the achievement of outcomes. Figure 5 provides examples of CD-specific outputs.

CAPACITY RELATED OUTPUTS > "RESULTS"		
	DIMENSION	EXAMPLE
INDIVIDUALS	Individuals acquire new skills and knowledge	Workshop participants able to produce data on food security
ORGANIZATIONS	Organizations' capacity to perform is strengthened	Visions, mandates and priorities reviewed and defined
ENABLING ENVIRONMENT	Actions are taken to enhance political will and develop and implement policies	Participatory processes to reform policy framework established

[Figure 5] Examples of capacity outputs

Tool 16b provides further practical examples of CD-focused outputs across the three dimensions.

An important consideration in formulating results (outputs and outcomes) is to take into account both the product (i.e. "what" result is to be achieved) and the process (i.e. "how" the result will be achieved). Including both aspects in the formulation can lay the foundation for sustainability through increased ownership and commitment by all the partners.

For instance, at the individual level, the output should describe the process of knowledge acquisition through a learning initiative (e.g. training, coaching, study tour). At the organization level, it should

²⁰ A Theory of Change approach can be useful to develop a logframe. See, for instance, Theory of Change – DFID's useful study on Theories of Change http://r4d.dfid.gov.uk/pdf/outputs/mis_spc/DFID_ToC_Review_VogelV7.pdf

²¹ Refer to FAO's Strategic Framework: <http://www.fao.org/about/what-we-do/en/>

describe the action or steps that are taken to improve the organizational functioning (e.g. coordination, teamwork, management, goals, objectives, responsibilities). At the enabling environment level, it should show the participatory nature of conducting policy reviews or policy development (e.g. policy needs assessment jointly designed).

The example below illustrates capacity outputs for an intervention like the Farmer Field Schools (FFS)²²:

EXAMPLE OF A PRODUCT-ONLY OUTPUT	EXAMPLE OF A BETTER PROCESS-AND-PRODUCT OUTPUT
Curriculum for FFS is developed	<ul style="list-style-type: none"> > Capacity of the training institute or producer organization to develop an FFS curriculum is strengthened > FFS curriculum design workshop is planned jointly with the National Training Institute and farmer organizations > Staff of the National Training Institute and farmer organizations are trained on applying the FFS curriculum

[Table 5] How to identify capacity-focused objectives



The first output focuses on a product (the “what”), which in this case is the curriculum for the FFS. The second focuses on the process (the “how”) as well as the product. Good CD practice stipulates that a combination of a product-oriented and process-oriented output is required.

In summary, by reflecting on the following questions, outputs can be formulated in a capacity-focused way:

- > Whose capacity is developed?
- > What capacity is developed?
- > How do activities ensure that capacities are developed?

During the formulation stage of a programme or project, particular attention needs to be given to the “jump” from CD outputs to outcomes as this is often a weak link within results-frameworks.

The example for innovation systems below clearly shows the link between the CD output and outcome (i.e. practices are adopted as a result of the organizational capacities that are strengthened at the output level):

FAO Strategic Objective: Increase and improve provision of goods and services from agriculture, forestry and fisheries in a sustainable manner

Strategic Objective Outcome: Producers and natural resource managers adopt practices that increase and improve the provision of goods and services in the agricultural sector production systems in a sustainable manner.

Strategic Objective Output: Organizational capacities are strengthened to support innovation and the transition towards more sustainable production systems.

²² To read about FFS in India, please refer to <http://www.fao.org/3/a-av172e.pdf>

Activities

Activities (i.e. modalities of intervention) are the tasks to carry out in order to achieve results. Activities provide many opportunities to involve individuals and partner organizations in enhancing capacities to run development programmes.

It is important to recognize that training or workshops are not the only way to enhance capacities. Examples of activities that promote learning at the individual level include: technical trainings or learning initiatives; communication and awareness raising; and coaching and facilitation activities (see Learning Module 3 for more information). Activities that enhance performance at the organization level or that encourage change in the enabling environment include: technical support for organizational analysis and development, knowledge management and facilitation of knowledge and experience exchange; technical or managerial support to create/develop networks; and technical support for national planning processes, policy advocacy, in-process facilitation of negotiations, design and implementation and policy round tables.

It is important to consider that capacities are strengthened through action and reflection cycles; therefore, the actors whose capacities we want to strengthen should be actively involved beginning with the planning phase of activities.

Questions to explore during the planning phase are:

- > Who should be involved (i.e. national/regional/local champions) and how should they be involved in designing and implementing activities?
- > How can activities be designed using existing procedures, methodologies and structures?

Indicators

Indicators show progress towards achieving determined objectives and results. They allow us to answer the question “How do we know whether or not what we planned has happened?”

When defining relevant indicators for CD, a distinction should be made between:

- > **indicators of process**, which describe the processes that have been facilitated in countries or regions so that dynamic changes are encouraged through the implementation of participatory approaches; and
- > **indicators of product**, which offer evidence that a concrete result has been achieved through an FAO intervention.

For instance, the development of a new law is an indicator of the skills of a country's legal department; it is an indicator of product. An indicator of process could be the process through which the government consulted and negotiated with civil society, the private sector and internally about the formulation of a law.²³

Indicators of process are extremely important for CD, even if they are subjective and difficult to measure. Examples would be the quality of interactions among institutions, the ability of a team to think strategically or the networking capacity of an organization. While these are not easy to capture, they are important signals of change.

EXAMPLES OF CAPACITY RELATED INDICATORS	
DIMENSION	EXAMPLE
INDIVIDUAL	Output: Number of food producers with newly aquired knowledge by 2015 Outcome: Proportion of food producers applying knowledge to increase food production by 2017
ORGANIZATIONAL	Output: Number of information systems established by December 2015 Outcome: Effective and regular information sharing mechanisms in place by 2017
ENABLING ENVIRONMENT	Output: New sector policy formulated by 2015 Outcome: New policy implemented by 2017

[Figure 6] Examples of capacity indicators

Tool 16c provides further examples of CD-focused indicators across the three CD dimensions.

Finally and pulling all levels together, Tool 17 is an example of a results chain which highlights CD. It is designed to guide FAO staff in the formulation of each level of the chain, from impact to activity, including questions to help in the careful crafting of programmes and projects.

²³ This example has been adapted from LenCD “How to notes” - How to formulate capacity indicators for different contexts and levels by Jenny Pearson (2011) retrievable at (<http://www.lencd.org/learning/howhttp://www.lencd.org/group/learning-package>).

BOX 8: TRACKING CAPACITY DEVELOPMENT RESULTS FOR SUSTAINABLE LAND MANAGEMENT (SLM) IN EAST AFRICA²⁴

The Transboundary Agroecosystem Management project for the Kagera River Basin illustrates how tracking capacity development comprehensively across the individual, organizational and enabling environment can be systematically integrated into the results framework.

This project was implemented in Tanzania, Uganda, Rwanda and Burundi as part of the Global Environmental Fund for 6,8M USD, 2010-2015. The goal was to adopt an integrated ecosystems approach for the management of land resources in the Kagera Basin thus contributing to climate change adaptation, mitigation, increased food security and more sustainable rural livelihoods. The four project components to enhanced sustainable land management (SLM) were (a) Effective transboundary coordination and information sharing to promote SLM, (b) Enabling policy, planning and legislative conditions in place to support SLM, (c) Enhanced capacity and knowledge at all levels (field, districts, countries, regions) for the promotion of – and technical support for – SLM and agroecosystems in the basin and (d) SLM practices implemented and benefiting land users.

The mid-term review found that the monitoring and reporting framework established at the beginning of the project was not adequate to capture the desired capacity changes at objectives and outcome levels given the limited focus on individual capacities. In line with these recommendations, the CD outcome indicators were revised for each CD dimension with specific emphasis on capturing the organizational and enabling environmental dimension (see table below). The revisions substantially increased the quality of the subsequent implementation as it allowed for deeper and more systematic tracking of CD results.

CD DIMENSIONS	OUTCOME INDICATORS	TARGETS
Individuals	Proportion of Farmer Field Schools (FFS) farmers who changed their land management related practices Proportion of service providers and districts involved in the project implementation having adopted agro-ecosystem management concepts, approaches, assessment methods, and/or practices in their work	75% of FFS farmers adopting new practices on their farm 75% of technical stakeholders adopted new approaches, methods and practices
Organizations	Agencies, organizations or communities collaborate more effectively to formulate and implement land management policies or bye-laws FFS model for SLM learning and up scaling adopted by districts or national ministry Project's supported data on land resources and management hosted and used by organizations and ministries	1 collaboration mechanism created e.g. watershed committees 50% of districts in the project area or 1 national ministry At least 1 or 2 organizations and ministries in each country have hosted and are using the data in their work
Enabling Environment	Increased dialogue, coordination and consultation among key actors, different types of actors, and/or between central and decentralized government authorities Number of revised/updated policies, plans, programmes or strategies related to sustainable land management based on policy recommendations Regional linkages on transboundary issues consolidated	1 national multi-stakeholder process for knowledge sharing organized e.g. consultations, networks, consultative forums, stakeholder platforms, partnerships 2 policy recommendations discussed through multi-stakeholder processes, and resulting in 1 revised/updated policy, programme or strategy 1 transboundary issue between adjacent countries discussed and Action Plan defined

References

Project website: <http://www.fao.org/in-action/kagera/home/en/>

Log frame: <http://www.fao.org/in-action/kagera/project-overview/project-information/en/>

M&E Plan: <http://www.fao.org/documents/card/en/c/39dca6e2-e0ba-4faa-a3f9-7476fb20ca30/>

²⁴ Contribution from Janie Rioux, FAO Natural Resources Officer.

3.2 PREPARING TO MONITOR

Monitoring can be defined as the ongoing process by which stakeholders obtain regular feedback on the progress being made towards achieving their goals and objectives. Contrary to many other definitions which treat monitoring as merely reviewing progress made in implementing actions or activities, the definition used in this Learning Module focuses on reviewing progress against achieving goals. In other words, monitoring in this Learning Module is not only concerned with asking “Are we taking the actions we said we would take?” but also “Are we making progress on achieving the results that we said we wanted to achieve?” The difference between these two approaches is extremely important. In the former approach, monitoring may focus on tracking projects and the use of the organization’s resources. In the latter approach, monitoring also involves tracking strategies and actions being taken and figuring out what new strategies and actions need to be taken to ensure progress towards the most important results, particularly at national and local level.

In short, monitoring is considered an ongoing process closely linked with the strategic direction of a project. In the past, monitoring has often focused on measuring inputs, activities and outputs.

The foundations for monitoring are laid at the planning stage of an intervention. Monitoring is a continuous function that uses systematic observation and data collection to provide a programme’s management team and key stakeholders with evidence about the progress towards achievement of desired results. An effective monitoring system needs to plan for collecting data, but also for analysing data, reporting, reviewing and using findings. Monitoring data creates the information needed to determine whether a project is heading in the right direction and whether the services/products it generates are being used by the national or local partners/stakeholders and, ultimately, by participants.²⁵ Monitoring CD requires a balance between accountability (i.e. reporting on results for resource partners) and learning (i.e. providing space for continuous learning, reflection and identification of unintended results).

Critical elements for monitoring CD

Monitoring and evaluating CD processes and the resulting “products” of a project/programme can be extremely challenging. An ongoing debate focuses on clarifying the specific features of the intervention, especially if it has a capacity component, and suggests that “a broader learning approach to monitor CD outcomes might be better for learning and adaptive management and ultimately for measuring impact which can be told through a story than using predetermined quantitative indicators”.²⁶

The following aspects are critical:

- > **Make monitoring and evaluation (M&E) part of reflective practice and learning:** Monitoring becomes an essential discipline to enhance learning and assist in continually steering the project towards success and sustainability. Intensive monitoring is used to enhance the capacities of the core team to observe, analyse, reflect and take evidence-based decisions conducive to reaching the desired outcomes. Such a continuous reflective practice in itself is a core outcome of any programme and significantly enhances the capacity of the actors to manage their affairs successfully. Therefore, it is important that monitoring be done jointly with local actors and not by external experts, as this will not contribute to CD.
- > **Seek participation, common understanding and ownership:** CD is a collaborative effort by multiple actors which requires cooperation and shared understanding about potential results, problems,

²⁵ This terminology is consistent with the new FAO Project Cycle and refers to project beneficiaries.

²⁶ Institute of Development Studies: Learning purposefully in capacity development- Why, what and when to measure?, July 2008.

suitable interventions and appropriate M&E mechanisms. Different actors have their own views about success and failure and how to collect and interpret data. Considering this, M&E is not only about defining methods of measurement; it is a collaborative dialogical process to make sense of the results and determine how they can be improved (see box 8).

Involving stakeholders at different stages of monitoring is critical to keep the project on track. It allows checking perceptions about progress, provides signals of eventual problems, verifies assumptions and risks, identifies needs for adjustments or course corrections and fosters ownership and mutual accountability throughout the process.

Monitoring for CD is highly participatory; however, it goes beyond participatory techniques to gather information or organize a workshop to develop indicators. It means involving national/local actors intensively in expressing their views about changes and reasons for such changes.

BOX 9: DECIDING WHAT CAPACITIES TO TRACK

Actors involved in a programme may have different perspectives about how to track CD. Resource partners may be more interested in assessing the success of the programme in terms of quick and visible results; the national Ministry for Agriculture may be interested in strengthening its abilities to run such programmes in the future; the NGO partner's interest may be mobilizing farmers through group formation; and the farmers may want to increase their livelihood quickly.

As an example, how can we monitor the impact of an Farmer Field School (FFS) where farmers meet regularly, observe their fields, reflect on their observations through experimental learning and decide whether to apply pesticides?

- > Shall we monitor the reduction of pesticides?
- > Shall we focus on increase of yield?
- > Shall we focus on increase of income per hectare?
- > Shall we monitor the strengthening of the farmers' analytical skills?
- > Shall we monitor the strengthening of certain functional capacities in the areas of communication, systems thinking, teamwork?
- > Shall we monitor the networking of different FFS groups, which form an alliance to advocate for their interests?
- > Shall we monitor the self-confidence and empowerment of the FFS members?

Given the different perspectives of actors on what to monitor, it is recommended that during the project formulation stage for all actors to communicate, negotiate and agree on the core results expected from the programme. This shared understanding becomes the base for designing an M&E system and providing direction on appropriate methods, indicators and tracking mechanisms.

- > **Agree on rules for evidence-based decisions:** Monitoring allows us to observe changes in capacities and take decisions regarding next steps and corrective actions based on these observations. These next steps might be corrective measures, additional activities or ending activities. This requires a common understanding with clear rules from the beginning about how monitoring will be done and how data will be collected and used.
- > **Consider the context, interrelationships and change of practice:** CD cannot be monitored without a deeper understanding of the contextual factors and relationships that influence, sustain and enable

or disable the use of individual competencies and organizational capabilities. Context-specific methodologies are important. Instead of focusing on specific aspects and trying to be very accurate in this area, it is more important to pay attention to the whole context in which CD efforts are embedded. The real guiding principle for M&E in CD is, “It is better to be approximately correct than exactly wrong”.

- > **Consider qualitative methods to complement quantitative measurements:** Overall, tracking capacity changes requires using multiple forms of evidence and opinion with a broad range of perspectives to generate meaningful insights. Quantitative methods to measure CD efforts often do not fully capture changes in behaviour, practice, relationships and actions among people, groups and organizations. To complement quantitative methods, it is important to give adequate consideration to qualitative methods such as in-depth interviews or focus group²⁷ discussions. These approaches can elicit responses about changed awareness, knowledge, attitudes, beliefs or behaviours of individuals or can assess changes of performance in organizations (e.g. processes, relationships, coordination mechanisms, systems, terms of references).

3.3 EVALUATING CD ASPECTS OF FAO’S INTERVENTIONS

The aims of monitoring and evaluation are very similar: to provide information that can help inform decisions, improve performance and achieve planned results. The key distinction between monitoring and evaluation is that evaluations are conducted independently to provide managers and staff with an objective assessment of the extent to which either completed or ongoing activities are achieving stated objectives and contributing to decision-making. Evaluations, like monitoring, can be applied to many things, including an activity, project, programme, strategy, policy, topic, theme, sector or organization. Monitoring and evaluation are closely interrelated and mutually reinforcing as many issues – such as data collection, effective planning through a clear results framework and the clear articulation of results – are of concern in both processes.

Similar to monitoring CD, a participatory evaluation process is recommended in order to capture and evaluate CD results, encourage learning, strengthen consensus and deepen stakeholder ownership and commitment. In a participatory evaluation process, external evaluators and representatives of agencies and stakeholders design and conduct the evaluation together and collaboratively interpret the data.

These processes can be used by project/programme stakeholders to reflect on key capacity outcomes and strategic changes. They can be useful to gain agreement with involved actors about changes in project direction and to improve action through discussion of capacity problems, objectives, emerging issues, options for actions and lessons learned.

Furthermore, a participatory evaluation process is increasingly viewed as an opportunity to strengthen country-level evaluation capacities. This implies that stakeholders should also be engaged in responding to and following up on evaluation recommendations. Having direct responsibility for evaluation processes and outputs strengthens capacity and reinforces ownership.

Challenges in evaluating capacity outcomes

Evaluating capacity outcomes can provide an opportunity to reflect and learn while tracking progress in capacities across the three dimensions (i.e. individual, organizational and enabling environment). Traditional results-based evaluations may not address long-term sustainability and may overlook

²⁷ Learning Module 3 on “Good learning practices for effective capacity development” provides guidance on how to organize a focus group.

processes that are less tangible and difficult to measure, such as political dimensions, learning, attitudes and behavioural and organizational changes.

For instance, the FAO Evaluation of CD activities in Africa suggested that the “logical framework approach (adopted when CD interventions were well-defined and time-bound) should be complemented with participatory approaches and system thinking to meet the needs of individuals and organizations, as well as the institutional opportunities and constraints in a complex environment”.²⁸ It drew on various methodological tools to assess both the results and the processes followed in FAO CD activities including: logic models, participatory and systems approaches, benchmarking against good practices and lessons learned.

In addition and as highlighted in the previous sections, two fundamental questions need to be considered: “capacity for what” and “capacity for whom”. Any evaluation/review exercise should address these, in addition to the “why” and “how”. Quantitative²⁹ and qualitative³⁰ indicators need to be combined to measure the perceptions and points of view of different target groups involved in CD processes.

Capacity areas for evaluation

The recent debate on evaluating capacity outcomes is moving beyond focusing on learning at the individual or activity level only, i.e. recording the number of people trained. The evolved approaches move towards evaluating how learning outcomes are part of a process to address capacity challenges through a programme/project intervention.

In recent years, more nuanced results-based evaluation approaches aim to capture outcomes at the enabling environment, organizational and individual levels. These approaches combine different techniques and qualitative and quantitative data collection methods to enrich findings and the learning process. They aim to capture different types of outcomes closely related to learning, change of practices, interactions between groups, organizations, institutions, uptake of practices, relationships for decision-making and opinions related to policies. By measuring these different types of outcomes, CD programmes can demonstrate how they have contributed to building sustainable capacities in countries.

Methods and tools to monitor and evaluate CD

There are different methods and tools to monitor CD, most of which are coherent with existing FAO standard operating procedures involving Logical Framework Approach and RBM. To monitor and evaluate CD results, it is important to examine all of the CD dimensions (i.e. individual, organizational and enabling environment) across all the programmatic pillars. For example, CD in the enabling environment is linked to policy support and strategy formulation; CD at the organizational strengthening level is linked to technological and technical cooperation and CD at the individual level is linked to community-level support and skills development.

Table 6 illustrates M&E approaches by CD dimension and shows how interventions can use different M&E approaches depending on the capacity aspect that is being addressed.

²⁸ Evaluation of FAO's Capacity Development Activities in Africa – March 2010 retrievable at <http://www.fao.org/3/a-k8635e.pdf>

²⁹ **Quantitative indicators** can include target values or not. They express an objective in figures or words. If possible, quantitative indicators with target values should be set to be able to concretely establish the degree to which a programme's objectives have been achieved (e.g. 80 percent of the participants developed implementation plans). Without target values, they can express progress (e.g. the number of water utilization plans implemented; the reduction in customer complaints within a given period; or the increase in participating actors using new guidelines in a planning process within a given period). They can be especially suited to gaining an initial overview of whether goals can/could be achieved.

³⁰ **Qualitative indicators** generally explain the reasons for an activity's success or failure, such as the quality of water utilization plans; the satisfaction of actors with a planning process; an expert assessment of curricula quality; or the attendance at conferences changing politicians' perception of the HIV/AIDS problem.

CD DIMENSIONS	EXAMPLE OF INTERVENTION	METHODS
Enabling environment	Update and implement policies on food crisis management	<ul style="list-style-type: none"> > Food Security Commitment and Capacity Profile > Outcome harvesting
Organizations	Support the development of new processes or procedures to improve organizational functioning of the food security agency	<ul style="list-style-type: none"> > Organizational/capacity assessment > Benchmarking with existing procedures > Appreciative interviews > Outcome mapping > Outcome harvesting > KAP survey
Individuals	Food and nutrition security trainings Coaching on food security management programmes	<ul style="list-style-type: none"> > Most Significant Change > Outcome mapping > Outcome harvesting > Appreciative interviews > Competency assessment > KAP survey

[Table 6] M&E approaches by Capacity Development dimension

In addition to the guidance provided in the FAO Project Cycle, the following tools and methods from Table 6 can be easily applied when monitoring and evaluating CD in FAO programmes and projects:

- > **M&E plan (Tool 10)** A monitoring plan is used to plan and manage data collection and can include plans for data analysis, reporting and use. Tool 10 includes a sample of the minimum requirements to develop a monitoring plan. In addition, Tool 10 Example 5 offers an example of a capacity-focused M&E plan tailored to CD activities related to South-South cooperation programmes.
- > **Knowledge, attitudes and practices (KAP) survey (Tool 13)** KAP surveys have been widely used and valued around the world for at least 40 years in public health, water supply and sanitation, family planning, education and other programmes. KAP surveys are generally cost-effective and use fewer resources than other social research methods because they are highly focused and limited in scope. KAP surveys assess the impact of knowledge and learning activities on an individual's behaviour and practices in response to a specific intervention.
- > **Most Significant Change (MSC) (Tool 12)** MSC is a participatory storytelling technique to capture expected and unexpected outcomes among beneficiaries and stakeholders. It is participatory because project stakeholders are involved in deciding the type of change to be recorded and in analysing the data. In this process, involved stakeholders collect and systematically select significant change stories emanating from the project/programme and discuss the value of change. MSC was used by the evaluation team that assessed the FAO CD activities in Africa (see Tool 12 Example 6).
- > **Outcome mapping³¹ (Tool 11)** Outcome mapping is an empowering, participatory methodology developed by the International Development Research Centre that can be used to create M&E mechanisms that allow organizations to document, learn and report on their achievements. The originality of this approach lies in its shift away from assessing the products or deliverables of a programme/project to focus on changes in behaviour, practices, relationships, actions and activities in the people, groups and organizations which drive the change and the development process. Outcome mapping allows programming by developing a vision, identifying strategies to move towards that

³¹ For more on outcome mapping, join the online learning community at www.outcomemapping.co.

vision and monitoring the process in a qualitative way while respecting the ownership of the local/national partners. It unites process-monitoring issues with outcome evaluation.

- > **Outcome harvesting**³² Outcome harvesting is a reflective and participatory six-step method that allows project managers, evaluators and resource partners to identify, formulate, verify and understand outcomes. This approach is inspired by defining outcomes as a change of practice, behaviour, relationships, actions, policies or practices of an individual group organizations, communities or institutions. It is applicable for M&E approaches focusing on the contribution of change agents to desired changes at the outcome level of behaviours, relationships, actions, activities, policies or practices of social actors.
- > **Food Security Commitment & Capacity Profile (Tool 18)** The balanced score card is used by different organizations to inform management of areas in need of CD while providing a tool for regularly monitoring progress towards implementing an organization's corporate strategy. FAO has adapted this methodology to obtain a quick but comprehensive view of the level of commitment and capacity of national authorities towards food and nutrition security. The main purpose of the Food Security Commitment and Capacity Profile (FSCCP) is to inform a dialogue between national authorities and development partners, prioritize investments and monitor public performance over time. The FSCCP captures the extent to which a country is committed and has the capacity to act upon food insecurity and malnutrition by assessing four essential success factors: 1) policies, programmes and legal frameworks; 2) human and financial resources; 3) governance, coordination mechanisms and partnerships; and 4) evidenced-based decision-making.

To complement the above-mentioned methods and tools, the following state-of-the art approaches may also be considered:

> **Intermediary CD outcomes**

To capture CD outcomes and ultimately development outcomes, the World Bank Institute³³ proposes including an additional layer in RBM – the intermediary outcome level specifically dedicated to CD. According to this approach, in order to achieve any development outcomes, capacity outcomes need to first be enhanced. It highlights the importance of learning for development results and emphasizes the importance of empowering local actors who can drive change processes in countries. This approach looks at institutional impacts in terms of sociopolitical, policy-related and organizational changes using a standardized set of capacity indicators linked to three key areas of change associated with learning. They can be used to track and measure CD outcomes (e.g. changes in behaviours and attitudes, changes in the interactions among groups or changes in policy products and plans).

> **5C's approach**

Another approach used to evaluate interventions with capacity aspects was developed by the European Centre for Development Policy Management (ECDPM). It focuses on CD's contribution to five core organizational capabilities as criteria to assess organizations:

- > the capability to survive and act;
- > the capability to relate to external stakeholders;

³² Ford Foundation MENA Office (2012) Outcome Harvesting.

³³ World Bank Institute (2009), "Capacity development result framework, A strategic and results-oriented approach to learning for capacity development".

³⁴ ECDPM (2007), "A balanced approach to monitoring and evaluating capacity and performance".

- > the capability to achieve coherence;
- > the capability to deliver on development results; and
- > the capability to adapt and self-renew.

> **Realist evaluation**

This approach focuses on the specific CD context in which a programme is implemented. It addresses the questions: “What works?”, “For whom?”, “When?” and “Why?”. Whereas the conventional counterfactual approach focuses on the comparison group and often pays very little attention to the “factual”, realist evaluation seeks to understand in detail the mechanisms through which a CD intervention operates and how different sectors of the target population are affected.

> **Process tracing**

This approach examines the little steps along the way and asks “Could there have been another way of doing each step? And what difference would this have made?”. The programme portfolio intervention is broken up into components and examined by looking at the lines of evidence and contribution among the three levels of CD (i.e. individual, institutional and enabling environment).

> **Pipeline design**

When CD activities are implemented in phases over a period of time (e.g. when pilot areas are scaled up), participants in CD work from the project’s later phases can be used as comparison groups for participants involved in the earlier phases.

IN A NUTSHELL

Selected tools:

- Tool 10 – M&E Plan
- Tool 10 – Example 5: Logframe Example for South-South Exchange Project
- Tool 11– Outcome Mapping
- Tool 12 – Most Significant Change (MSC)
- Tool 12 – Example 6: MSC for CD Evaluation in Africa
- Tool 13 – Knowledge – Attitude – Practice (KAP) Survey
- Tool 16a – Capacity-focused Outcomes
- Tool 16b – Capacity-focused Outputs
- Tool 16c – Capacity-focused Indicators
- Tool 17 – Guided Capacity-focused Results Chain
- Tool 18 – Food Security Commitment and Capacity Profile

IN A NUTSHELL

Key concepts:

- > Carefully defining intended CD objectives, outcomes, outputs and indicators is a critical step in tracking CD.
- > It is important to track what capacities are to be developed and whose. Tracking CD looks into questions of changes in practice such as “are trained producers actually applying new knowledge or practices?”, “are producer organizations performing better through delivering services to its members?” and “are the policy and institutional frameworks conducive with political will to allow implementation of change processes?”.
- > Participatory monitoring and evaluation approaches are key to capture CD results, encourage learning and strengthen stakeholder ownership and commitment.
- > Monitoring CD is an ongoing process by which stakeholders obtain regular feedback on the progress being made towards achieving their capacity goals and objectives. The foundations for monitoring are laid at the planning stage of an intervention. It is an essential discipline to enhance learning and assist in continually steering the project towards success and sustainability.
- > Tracking CD involves defining what to measure and how to measure it.

Defining what to measure means defining specific CD objectives, outcomes, outputs and indicators by :

- > using the FAO CD framework and clarifying the dimension that is targeted (e.g. individuals, organizations, the enabling environment);
- > clearly identifying the actors or organizations whose capacities are to be developed through the project/programme by conducting a participatory stakeholder capacity assessment at the inception stage to define a baseline;
- > specifying the type of capacity that is to be developed (e.g. technical, functional) to ensure the sustainability of the programme or project; and
- > defining both product (i.e. what concrete result has been achieved through an FAO intervention) and process (i.e. how the products have been achieved in countries or regions) indicators.

Defining how to monitor and evaluate CD involves:

- > agreement on methods, tools and rules for evidence-based decisions so that the findings of the monitoring are used to steer the implementation process;
- > multiple forms of evidence and a broad range of perspectives to generate insights that are meaningful to understand the complex aspects involved in CD; this especially uses qualitative methods such as focus groups and in-depth interviews;
- > not only defining methods of measurement but a collaborative dialogical process among key stakeholders to make sense of the results and determine how they can be improved;
- > reflection and learning which can happen in various formal or informal ways with key individuals, groups or teams; and
- > considering participatory monitoring and evaluation approaches to strengthen stakeholders ownership and sustainability.



4

HIGHLIGHTS ON SUSTAINABILITY

THIS CHAPTER WILL:

- > ELABORATE ON KEY SUSTAINABILITY ASPECTS;
- > PROVIDE SUGGESTIONS ON HOW TO EMBED SUSTAINABILITY IN PROJECT DESIGN AND IMPLEMENTATION; AND
- > REVIEW THE FOLLOWING TOOLS: CHECKLIST FOR SUSTAINABILITY AND JOB AID FOR CD-FOCUSED PROJECTS/PROGRAMMES.



The word “sustainability” is derived from the Latin *sustinere* (*tenere*, to hold). Dictionaries provide more than ten meanings for sustain, the main ones being to “maintain”, “support” or “endure”³⁵. The Development Assistance Committee (DAC) of the Organization for Economic Cooperation and Development states that “a development project/programme is sustainable when it is able to deliver an appropriate level of benefits for an extended period of time after major financial, managerial and technical assistance from an external donor is terminated”. This definition applies to interventions in countries and regions and refers to the continuation of certain activities after the termination of support from an external agent like FAO.

The Evaluation of FAO’s CD Activities in Africa emphasizes that “despite many effective and relevant interventions, FAO CD activities are, for the most part, unsustainable. There is very little emphasis to sustainability and too much is given to immediate results and outputs. This is evident in the project timeframes and modalities; the lack of understanding by FAO staff of the importance of process to CD; lack of focus on institutionalizing CD activities and building the political will to sustain them...”³⁶

4.1 SUSTAINABILITY IN THE NEW FAO PROJECT CYCLE

The new FAO Project Cycle stresses the importance of sustainability in FAO interventions. It has become a key criterion for appraising and monitoring the quality of FAO’s projects in the various phases of the cycle and particularly during design, formulation and implementation of activities. The aspects of sustainability³⁷ that are emphasized are:

- > ownership and involvement of national/local actors, particularly vulnerable groups;
- > policy support and commitment;
- > institutionalization of results and processes;
- > existence of an exit strategy.

The following sections will elaborate on these aspects.

4.2 OWNERSHIP AND INVOLVEMENT OF NATIONAL/LOCAL ACTORS

For CD support to contribute to sustainable results, it cannot bypass the issue of national/local ownership, even in emergency situations. The review of FAO good practices in CD revealed³⁸ that progress in this area depends on the level of ownership and involvement of country actors in change processes at central and local levels. Different aspects of ownership include ownership of a strategy, process or outcomes.

FAO’s intervention in Kosovo to develop a strategy for educating rural people demonstrates that early involvement of government officials in the design of the methodology and in the elaboration of work plans and assessment of needs was key to establishing ownership towards a common vision and goals.

³⁵ See <http://dictionary.reference.com/browse/sustainability>

³⁶ Evaluation of FAO’s Capacity Development Activities in Africa – March 2010 retrievable at <http://www.fao.org/3/a-k8635e.pdf>

³⁷ These aspects have been highlighted also in the Evaluation of FAO’s Capacity Development Activities in Africa together with encouraging networking and developing capacities at a decentralized level.

³⁸ See <http://www.fao.org/capacity-development/resources/good-practices/en/>.

Also, FAO's experience on land consolidation in Central and Eastern Europe shows that country-driven national strategies were developed by adopting an incremental participatory approach. Governments started an internal process of analysis to prepare for developing the necessary policy, legislative and programme instruments for land consolidation and pilot projects to develop and test techniques in this area.

The common approach followed by FAO in these experiences:

- > strengthened the leadership role of partners and worked closely with them to get key stakeholders on board;
- > encouraged partners to share their views and develop ideas;
- > established a shared understanding of strategies and objectives;
- > realized jointly with national/local actors the context analysis, the project idea and implementation; and
- > engaged continuously with national/local actors through qualitative dialogue.³⁹

4.3 POLICY SUPPORT AND COMMITMENT

Policy support and commitment for change is essential for sustainable projects and programmes. The Evaluation of FAO's CD Activities in Africa found that "...a more active engagement with the governments... is needed to develop the required enabling environment which includes motivation, incentives and will in order to expand sustainable capacities once developed" through FAO's interventions.

What does this imply?

Findings from a recent FAO study on "Influencing Policy Processes: Lessons from experience"⁴⁰ revealed the following:

- > "Influencing policy processes requires a focus not only on technical skills but also on soft skills such as negotiation, facilitation, consensus building and conflict resolution" to understand the positions of influencing parties at the policy level. Chapter 1 of this module already expanded on some of these concepts. The information can be complemented by the tools available in the FAO EasyPol website: <http://www.fao.org/easypol/output/>.
- > It is important to identify the right stakeholders, and particularly the national champions, at the policy level who have the expertise, authority and connections to support or oppose a CD process. Tools 1, 2 and 7 can support this type of analysis.
- > It is important to understand the local and internal dynamics, power relations and influential networks in a country. To identify drivers of change, it is useful to conduct a capacity assessment to assess existing policy and legal frameworks, policy commitment and accountability frameworks and institutional responsibilities. Tool 5 in any of its formats can help this diagnosis.
- > It is valuable to broaden the spectrum of stakeholders beyond government counterparts.

³⁹ See chapter 1 on instruments and tips for dialogue.

⁴⁰ The publication is retrievable at <http://www.fao.org/docrep/011/i0137e/i0137e00.htm>

4.4 INSTITUTIONALIZATION OF RESULTS AND PROCESSES

A review of good FAO and other international practices shows that supporting national/local actors to internalize change can be done by:

- > ensuring full participation in the design of projects and programmes;
- > facilitating the adoption of new policies and supporting their implementation;
- > supporting the incorporation of new knowledge into national curricula;
- > supporting the implementation of new procedures in the functioning of institutions;
- > designing project activities as core activities of national/local organizations; and
- > encouraging internal organizational changes that put staff in a position to use new competencies in daily tasks.

The following are good and bad examples of institutionalizing results and processes:

- > In Gambia⁴¹, FAO worked closely with the staff of the Forestry Department and with a local NGO to adapt manuals and field guidelines to local contexts. As a result of this, FAO training approaches were incorporated into the Government Community Forestry Implementation Guidelines and into the Curriculum of the Forestry School.
- > In Mozambique⁴², FAO supported policy development on accessing and using land and natural resources. It also supported implementation and awareness-raising on the new laws among public-sector agencies and the wider society. FAO worked with a key “national champion” – the Centro de Formação Jurídica e Judiciária (CFJJ) – which had a clear institutional mandate and position within the Ministry of Justice. The project activities were designed as CFJJ core activities.
- > In Ghana⁴³, FAO supported the development of an Information System in Agriculture Science and Technology. The project followed a participatory approach in design, implementation and management. It involved a broad base of stakeholders including the local scientists, policy-makers and librarians. It was managed collegially by a Project Management Committee formed by representatives of the seven institutes that had to pilot the approach.
- > In Burkina Faso⁴⁴, FAO designed a project to support the promotion of organic Karité Butter for export; however, it did not involve the Ministry of Trade (which was responsible for export promotion) in the project before its termination. The result was that everything ended after the project closure.

4.5 EMBEDDING AN EXIT STRATEGY

Programmes and projects are, by nature, interventions aimed at achieving defined results with limited resources in a specific sector with local partners. Therefore, they are planned to create measurable outputs and make the allocation of resources transparent for the resource partners, implementing agencies and other stakeholders.

⁴¹ The full case study is retrievable at <http://www.fao.org/capacity-development/resources/good-practices/en/>.

⁴² The full case study is retrievable at <http://www.fao.org/capacity-development/resources/good-practices/en/>.

⁴³ Evaluation of FAO's Activities on Capacity Development in Africa – Annex X- Ghana Country Report.

⁴⁴ Evaluation of FAO's Activities on Capacity Development in Africa, page 22.

However, if we restrict our attention only to creating outputs without considering how to strengthen the capacities of the national system – and particularly of the individuals and organizations involved in our work –, we may face extreme challenges in handing over the project or programme. The programme/project can only be sustainable when external agencies withdraw if local partners have developed a sense of ownership and have strengthened their capacities in the areas required.

FAO's successful experiences reveal that it is important to have a clear exit strategy from the very beginning of the intervention. This enables FAO staff and partners to define exactly which capacities at the national or local levels have to be strengthened, so that national/local partners can take over the process once a project/programme is closed. In this respect, it is important to clarify from the very beginning:

- > the type of capacities needed to ensure the sustainability of the programme;
- > the organizations and individuals who will play a key role in taking over the outputs of the programme/project and continue implementing activities after its completion;
- > the handover mechanism; and
- > the level of commitment from national/local actors to continue activity.

FAO's experience in Banda Aceh provides important insights about the relevance of embedding sustainability considerations starting with the design phase. While many international agencies and NGOs that were supporting the Aceh provinces after the terrible tsunami began dealing with handover issues during their "closing" periods, FAO had already embedded its exit strategy within its planned activities. The stakeholders had invested a lot of time in clarifying: which capacities had to be strengthened before the end of the programme; future roles; and mechanisms and modalities to cope with the changed situation. The following table provides a very brief snapshot of the sustainability plan that was developed with the national stakeholders in Aceh during the design phase in May 2007 and May 2008.

ACTIVITY TO CONTINUE POST-PROJECT	FAO SUPPORT END DATE	WHO WILL TAKE UP THE ACTIVITY	MECHANISMS FOR HANDOVER	COMMITMENTS FROM NATIONAL ACTORS TO CONTINUE ACTIVITY	COMMENTS
Establishment of a provincial fisheries and aquaculture steering committee (SC)	Feb 2010	Marine and Fishery department – DKP and the Governor's Aceh Green Commission were closely involved in the activities. The latter will take over the role of the steering committee in 2010	The SC was legitimated by a Governor's decree in Feb 2009. The programme staff and the DKP staff were to develop a Sector Management Plan, a development plan and guidelines on better management practices. After approval by the Governor through the SC, they will be adopted and pursued by DKP.	Commitment to the SC has been made through the Governor's decree.	The Commission will become a permanent body dealing with key fisheries issues and will be legalized through a regulation and therefore able to count on an annual operating budget.

Promotion of district-level coordination of fisheries and aquaculture development	April 2010	Activity taken up by the Marine and Fishery department – DKP by the province	Good practices in government coordination will be collected under the current intervention and embedded into the official planning process.	Interest has been shown by the north district DKP to adopt some of the practices that will be introduced by the project into district government planning.	Genuine commitment from each district is the main mechanism for sustainability.
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[Table 7] Sustainability plan in Banda Aceh

4.6 TOOLS

Two simple tools are proposed to encourage reflection and strategic action on CD:

Checklist for Sustainability

This tool includes a simple checklist which will support programme/project staff and consultants to consider key sustainability aspects when designing, formulating and implementing projects and programmes. It emphasizes all the aspects that have been discussed throughout this module, including:

- > considering the three dimensions of capacity (i.e. policy, organizations, individuals) and their interactions;
- > using dialogue and participatory approaches;
- > analysing needs;
- > jointly defining objectives and results;
- > embedding an exit strategy;
- > identifying conditions and constraints for implementation;
- > analysing existing capacities.

Job Aid on CD aspects for Projects and Programmes

This tool helps practitioners quickly review the principal focus areas for tailored support of CD. It offers the following 13 pointers for effective CD:

- > Respecting ownership and nurturing leadership
- > Understanding the context
- > Analysing the existing capacities
- > Enhancing the active participation of national/local actors in the planning process
- > Defining the problem to be solved in terms of capacity
- > Identifying potential solutions
- > Designing an after-project vision
- > Implementing collaboratively
- > Defining programme objectives
- > Composing the implementation and management team
- > Budgeting
- > Monitoring and evaluating
- > Disseminating findings

IN A NUTSHELL

Key concepts:

This final chapter highlights key sustainability aspects and reinforces the messages provided throughout the module.

Sustainability is the vision of the future that should be envisaged when designing projects and programmes. It is ensured when certain conditions are respected such as:

- > identifying important national/local actors and their agendas at an early stage;
- > examining the existing capacities of individuals, organizations and the enabling environment;
- > encouraging ownership of approaches, processes and strategies;
- > supporting policy commitment for change;
- > anchoring results and processes in national/local institutions or in existing country processes; and
- > designing an exit strategy from the conception phase of a project/programme.

Selected tools:

Tool 14 – Sustainability Checklist

Job Aid – Principal CD Aspects for Projects and Programmes



5

SELECTED TOOLS FOR CAPACITY DEVELOPMENT PRACTITIONERS

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TOOL

1

STAKEHOLDERS' MAPPING

Mapping of stakeholders for CD processes is a useful tool to help understand the support or opposition you may get from different actors for a planned change. However, before showing this kind of sensitive information in formal documents or reports, an agreement should be reached about how to collect and present it.

When to use it

It should be conducted and used during the planning stage of a project or programme.

What it is

It is a map that plots stakeholders by their power and by their active or passive support or neutrality.

How to use it

To build the map, you need to analyse your stakeholders according to the following categories:

Stakeholder power

Stakeholders all have power, whether it is the formal power invested in a position of authority or the social power of being able to persuade others to support or oppose the CD process.

Those with higher power are likely to be your most useful supporters or most dangerous opponents; thus, a power analysis helps you prioritize your focus on stakeholders.

Active and passive support and resistance

Some people will actively support the change, working long hours to help it succeed. Others will work the other way, actively seeking to undermine your efforts.

Neutral actors in the middle

In the middle are the neutral actors who neither support nor oppose the change. They are often playing a waiting game, looking out for who is going to win the game. Once they have made this decision, then they will act.

Other neutral actors are simply undecided. Some people decide quickly while others need more reflection or persuasion. Work hard to persuade them and you may well gain support and build ownership.

Once you have done this analysis, you can write the stakeholders' names in the appropriate boxes. One technique for doing this in a team is to write the names of the stakeholders on Post-It Notes and stick them up on a big chart on the wall.

		OPPOSITION		NEUTRAL	SUPPORT	
		ACTIVE OPPONENT	PASSIVE OPPONENT		PASSIVE SUPPORTER	ACTIVE SUPPORTER
STAKEHOLDER POWER	HIGH					
	MEDIUM					
	LOW					

Adapted from http://changingminds.org/disciplines/change_management/stakeholder_change

TOOL

2

INTEREST — INFLUENCE MATRIX

When to use it

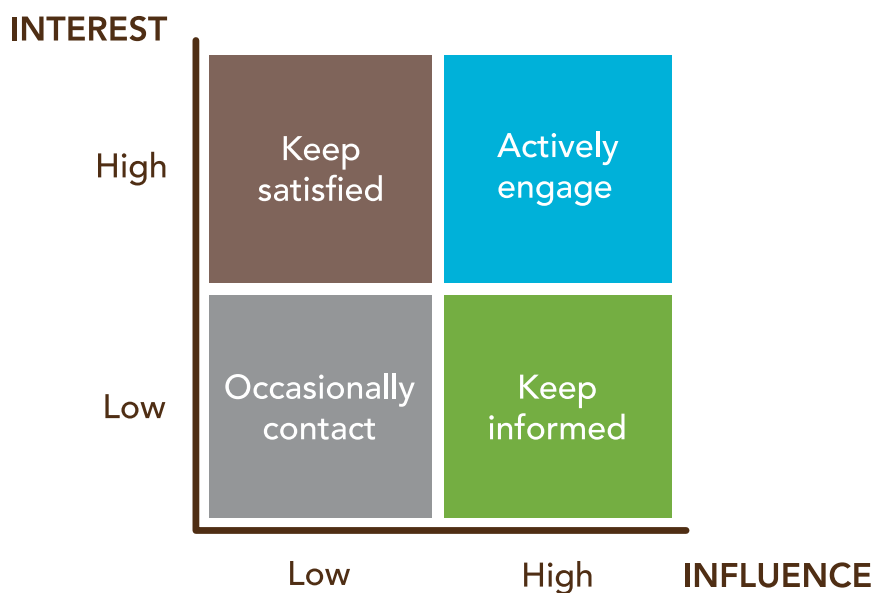
This tool can be used during the identification and/or formulation phase of the project cycle and during the formulation phase of the FAO CPF.

What it is

This is a matrix that helps to understand the role that local stakeholders and development partners should play in CD processes. "Interest" indicates their concern and support for CD change, and "influence" indicates their ability to resist or positively influence the CD process.

How to use it

To use the grid, write people's names on Post-It Notes and stick them on a chart of the grid on the wall. The graphic below shows how to read it.



Low interest, low influence

These are relatively unimportant actors, but keeping in touch with them is a good idea, just in case their status changes.

High interest, low influence

These people can be difficult because it is easy to ignore them as they apparently cannot derail the change, although if they are sufficiently upset, they may gain influence and negatively affect the change process.

Remember that minorities can be very powerful, particularly if they band together or if they get powerful allies.

Low interest, high influence

People with a low interest in the change will not be particularly worried about what you are doing, so they are not too much of a problem in the actual change. A problem can appear when they are persuaded to act for those who oppose the change. Therefore, it is important to keep them involved, for example, with regular meetings that explain the truth of what is happening.

High interest, high influence

These people are both significantly affected by the change and most able to do something about it, by either supporting or opposing the changes. It is particularly important to engage them in the change, ensuring that they understand what is going on and creating a sense of ownership for them of what is being done.

Source: http://changingminds.org/disciplines/change_management/stakeholder_change

TOOL

3

APPRECIATIVE INQUIRY

When to use it

An appreciative inquiry process is useful when you wish to stimulate a constructive dialogue among different actors during the whole project cycle or during the FAO CPF process.

What it is

Appreciative Inquiry is a methodology based on the belief that the way you conduct an inquiry affects the outcome. If you inquire into problems, you are likely to find more of them. But if you try to find out more of what is already working, you are likely to find more of what is good. That gives you the basis to construct and develop more positive outcomes. For instance, you listen to people in your unit and realize there's a lot of positive work going on, but it's not showing up in the formal reporting or meetings. You want to build on it and make it more visible. You decide to use the appreciative inquiry process to identify what's already working well so the organization can do more of it in different contexts.

How to use it

An appreciative inquiry process uses a cycle of five steps known as the 5-D model:

- > **Define:** Establish the focus and scope of the inquiry through conversations with the local champions or supporters of the CD process.
- > **Discover:** Elicit stories of the involved organization or party at its best. Usually begin by conducting interviews in pairs, capturing the stories and sharing them with larger groups.
- > **Dream:** Collect the wisdom of the stories and use it to imagine the future, representing it in any of several forms.
- > **Design:** Using elements of the stories and dreams that have been gathered, ask small groups to think of steps that lead to a future based on the best of the past and the present.
- > **Deliver:** Implement the proposed design, according to the resources available in the organization or system.

SAMPLE QUESTIONS TO USE IN AN APPRECIATIVE INQUIRY PROCESS

- > When did you feel the team/group performed really well? What were the circumstances during that time?
- > Can you describe a time when you were part of, or observed an extraordinary display of, cooperation between diverse organizations or groups? What made that possible?
- > Can you describe an organization or incident that you feel is a great example of collaboration? What were the circumstances that led to it? What were the consequences?

Source: FAO IMARK module "Knowledge sharing for development"
Additional reference: <http://www.kstoolkit.org/Appreciative+Inquiry>

When to use them

A Conversation for Possibility is most appropriate during the early stages of the programming process, when different actors are working together to create a vision.

A Conversation for Action can be held at all stages of the CD process, whenever joint or individual action is required.

What they are

A Conversation for Possibility is a conversation to envisage the future as a rich scenario of inspiring possibilities. It is about sharing creative and imaginative ideas. Questions of feasibility are of no concern at this stage. Rather, a Conversation for Possibility is intended to bring out intuitive and aspirational views of how the best possible future might appear.

A Conversation for Action helps to clarify individual responsibilities and roles and create a common understanding of who is accountable for what. It also helps to take the collaborative process a step further, turning possibilities into concrete activities.

How to use them

These tools should be conducted as part of a brainstorming session around a set of specific, strategic, open questions that encourage reflection and imagination and do not elicit simple 'yes' or 'no' answers.

A Conversation for Possibility should continue for at least 15 minutes, although it could last up to an hour. Examples of suitable 'open' questions include:

- > What is the purpose of our initiative?
- > What do we, as FAO staff, expect from our partners?
- > What do our partners expect from us?

TOOL

4

GUIDELINES FOR CONVERSATIONS TO GENERATE POSSIBILITY AND ACTION

What do our partners expect from themselves?

A Conversation for Action can start around a series of open questions such as:

- > What actions do we need to take to achieve this?
- > Who will take what actions, by when?
- > Who might be angry, annoyed, irritated or disappointed with us or with our activities?
- > Who can support this initiative?

Source: Adapted from "The Partnering Toolbook"

TOOL

5

CAPACITY ASSESSMENT (A,B,C,D)

When to use them

These tools are used during the formulation phase of the FAO CPF for the situation analysis and during the identification and formulation phase of the project cycle.

What they are

Capacity assessments are structured discussions with key national stakeholders on major capacity issues, perceptions and suggestions at different levels. They allow the comparison of existing capacities with desired levels of capacities. They are guided by three main questions:

- > Where are we now?
- > Where do we want to go?
- > What is the best way to get there?

In **Tools 5a, 5b and 5c**, we propose three checklists (i.e. ultra-light, light, in-depth) that include questions which can track processes, outputs or qualitative aspects of the enabling environment, the organizational level and the individual level.

The ultra-light checklist focuses on the three dimensions of the CD framework and can be used for broad discussions at the UNDAF or country programming level. It includes 20 questions.

The light and in-depth checklists combine the three dimensions with the functional capacities (i.e. the capacity to formulate and implement policies, the capacity to generate and share knowledge, the capacity to build alliances and networks and the capacity to design and implement programmes). They include, respectively, 59 and 130 questions and allow a deeper discussion for a strategic analysis that will form the basis for a future intervention.

Tool 5d illustrates the FAO Capacity Assessment Matrix (CAM) Summary Table, which can be used to bring together the results of the assessment process:

- > the first and second columns show the dimensions and the selected capacity areas under assessment;
- > the third column provides a snapshot of the existing situation and lists the main findings generated by the context analysis and the key informant or group interviews;
- > the fourth column includes national stakeholders' suggestions about where they wish to be in the medium term;
- > the fifth column compares the present with the future situation and identifies the needs;
- > the last three columns are for suggested interventions, responsible actors and assigned priorities for the future interventions for each capacity area. The priorities can be assigned as follows: 1= urgent; 2= medium term; 3= long term; 4= not a priority.

The CAM can be used as a synthesis tool after completion of any of the three types of assessments. The only difference is that in the light and ultra light assessments, the second column detailing the capacity areas may not be needed.

How to use them

To carry out a capacity assessment, follow these main steps:

Preparatory phase

- 1) **Scope the assessment in dialogue with national counterparts:** This defines the purpose of the capacity assessment and obtains a shared vision of the capacity constraints and opportunities. The purpose should indicate the objective(s) of the CD process. Key actions include the following:
 - > Hold discussions with key national counterparts and FAO Country/Regional/Sub-regional offices to assess the interest and readiness for the assessment process.
 - > Organize an exploratory workshop to explain the CD concept, present the assessment methodology and begin to identify key issues as perceived by relevant stakeholders.
- 2) **Analyse stakeholders:** Tool 1 and Tool 7, which propose different levels of complexity and sensitivity, offer two ways of mapping and analysing stakeholders which can influence the CD process.
- 3) **Analyse the context:** Tools 2, 6, 7 and 8 illustrate possible methods for conducting a context analysis.

Implementation phase

- 1) **Dialogue with decision-makers to seek high level support:** This step involves meeting(s) with high-level and senior government officials to develop a shared understanding of capacity development and to agree on why the assessment is being conducted (i.e. capacity for what? capacity for whom?) and on the process to be followed. The meetings are intended to be an informative session and an opportunity to review the process and adapt it to fit the requirements of the country. Key actions include a kick-off presentation to introduce the capacity-development concept and capacity-assessment methods and to agree on:
 - > capacity development as a multidimensional concept;
 - > the information that is needed and how it will be collected;
 - > how stakeholders will be consulted;
 - > the timeframe of the assessment;
 - > the required financial and human resources.
- 2) **Dialogue with relevant international stakeholders at the country level:** This step involves consultative meetings with other international stakeholders, particularly the UNCT, to explain the purpose of the assessment process and what it aims to achieve. These meetings also can be times to seek support on the process and its outcomes. A key action is a kick-off presentation about the capacity-assessment purpose, approach and process that will be followed.

- 3) **Establish the capacity-assessment team:** Ideally, a multistakeholder assessment team could help to stimulate an information exchange and collaboration among different institutions and build ownership for follow-up actions. It should be led by representatives of the agencies or of the areas concerned with the assessment, because they have knowledge of the context and topic. Generally speaking, it is important to combine sector-specific expertise with cross-cutting expertise on soft issues relevant for CD. Key actions include the following:
- > agree on the methodology for the capacity assessment (the scope and objective of the process will influence the methodology);
 - > determine the need for external support in terms of research activities and facilitation;
 - > select and adapt the proposed checklists to the particular CD issues identified during the exploratory discussions.
- 4) **Assess capacity assets and needs:** As mentioned in the methodology section, usually a mix of approaches and instruments should be used. They generally depend on the available information, the particular needs and situation of the country, the capabilities of the assessment team and the accessibility of timing and resources. In addition, the assessment can look at the whole “country system” (i.e. the three dimensions and technical and functional capacities) and at the existing linkages or it can be more limited and look at the capacity of a single government organization (e.g. its functioning, communication channels and linkages with private organizations and civil society). Key actions include the following:
- > use the tailored checklists to carry out different interviews, focus groups, self assessment workshops and analyses of secondary data;
 - > document findings.
- 5) **Document and validate results with national stakeholders and prioritize follow-up actions:** **This step summarizes the capacity-development needs for all levels of capacity, based on the previous analysis. It provides an overview of the priority area with suggested interventions that will form the basis of the future CD plan or strategy. Once the assessment process is completed, the results need to be communicated to all involved parties so that findings can be cross-checked and a consensus can be reached on the priority areas for CD interventions. Key actions include the following:**
- > Fill in the CAM to present key findings;
 - > Organize a final workshop or a structured consultation to arrive at a common vision and start prioritizing areas of future intervention;
 - > Choose a professional facilitator who can guide the group discussion by asking questions and probing.

TOOL

5A

CAPACITY ASSESSMENTS — ULTRA-LIGHT CHECKLIST FOR FAO CPF / UNDAF / JOINT PROGRAMMES

Where are we now?

Where do we want to be?

What is the purpose of your assessment? Are you involved in the FAO CPF process? Are you involved in the UNDAF formulation? Are you involved in a joint programme with other agencies?

The following questions need to be considered to gain an initial understanding of capacity-development assets and needs at country / regional / local levels.

They can be useful during the CPF or the UNDAF formulation. Part of this information may already be available through existing reports where analysts have documented the main FSARD and capacity issues. However, the advantage of this checklist is that it offers a structured way to engage in dialogue with national counterparts or other agencies using existing information and channelling the discussion across the three dimensions of CD to assess where they are and where they expect to be in the medium term.

Dimension: Enabling environment

- 1) What policies and national strategies exist? Do these policies and strategies define national objectives and priorities adequately?
- 2) Is the country a signatory to major international declarations, initiatives and codes?
- 3) To what extent are such political commitments (at the international level) actively implemented?
- 4) In the existing policies, what are the performance improvements that are needed?
- 5) What are the known capacity weaknesses at the policy level?
- 6) Are there national sources of funding to support this area of work?

Dimension: Organizations (i.e. formal, informal, public and private, including CBOs and CSOs)

- 7) Which ministries and institutions work on this issue? Which ministries/departments (central and local level) are involved in the development, administration, implementation and enforcement of legislation and regulations?
- 8) Do the different ministries/departments and institutions involved in the sector have adequate technical capacity? Are the technical capacities of civil society organizations (CSOs) and the private sector adequate?
- 9) What are the strengths and weaknesses at the institutional level?
- 10) Is institutional knowledge at a sufficient level? Is there adequate practical experience in the sector?
- 11) Is institutional knowledge up to date with the latest approaches in this area?
- 12) Does the relevant ministry/department have a training programme to improve staff skills at various levels?
- 13) Over the last 12 months, to what extent have ministries /departments and other institutions (NGOs and CSOs) experienced turnover of competent staff? Which factors contributed to the turnover (e.g. recruitment, promotion, staffing, supervision, personnel evaluation, salary structures)?
- 14) Are there mechanisms for ensuring coordination, information exchange and effective policy implementation? What are the strengths and weaknesses of such mechanisms?

Dimension: Individuals

- 15) What skills are needed in this sector? What skills are commonly found in this sector?
- 16) Are there clear requirements for skill levels for individuals?
- 17) Are there learning opportunities to prepare individuals to respond to country needs at a technical level?
- 18) Is there adequate practical experience in the sector?
- 19) Are individuals up to date with the latest approaches in the sector?
- 20) Are individuals familiar with relevant equipment?

Where are we now?**Where do we want to be?**

The following questions build on the ultra-light capacity assessment checklist and allow deepening of the discussion on the capacity assets and needs in relation to the functional capacities, which are necessary for countries to lead their change processes.

Overall, the questions will help to understand the following issues for each functional capacity:

- > What are the capacity strengths and weaknesses for policy formulation and implementation? (Functional capacity 1)
- > What is the country's capacity to generate, share and adapt relevant knowledge at the enabling environment, organizational and individual levels? (Functional capacity 2)
- > What are the country's capacities in partnering at the enabling environment, organizational, and individual levels? (Functional capacity 3)
- > What are the country's capacities to formulate and implement relevant programmes? (Functional capacity 4)

FUNCTIONAL CAPACITY 1

POLICY AND NORMATIVE CAPACITY = capacity to formulate and implement policies and legislation

Dimension: Enabling environment

- 1) What supportive policies, strategies and initiatives exist to directly or indirectly address the relevant ARD issues? Are they adequate and are they properly implemented?
- 2) Is the country a signatory to major international declarations, initiatives and codes, relevant to the sector? To what extent are such political commitments at the international level actively implemented?
- 3) What percentage of public expenditure is devoted to the sector?
- 4) What is the influence of the political arena on the sector?

Dimension: Organizations (i.e. formal, informal, public and private, including CBOs and CSOs)

- 5) Are there clear mandates among the different ministries/departments for the development and administration of relevant legislation?
- 6) Is there a mechanism for intersectoral collaboration?
- 7) Are there institutional processes and procedures for policy planning and development?
- 8) To what extent are CSOs and the private sector involved in such processes?
- 9) Does the relevant ministry/department have a programme for staff training to improve skills at various levels?
- 10) Over the last 12 months, to what extent have ministries/departments experienced turnover of competent staff? Which factors contributed to it (recruitment, promotion, staffing, supervision, personnel evaluation, salary structures etc.)?
- 11) To what extent are existing policies and regulations accessible (i.e. in printed or online formats) and easy to understand?
- 12) To what extent are civil society, private sector and service delivery organizations knowledgeable about the existing legislation?

Dimension: Individuals

- 13) What skills are available to respond to needs at the policy level?
- 14) Are there learning opportunities to prepare individuals to respond to country needs at the policy level?



FUNCTIONAL CAPACITY 2

KNOWLEDGE CAPACITY = capacity to access, generate, manage and exchange relevant knowledge and adapt it to local systems

Dimension: Enabling environment

- 15) Do national legislation and regulations enable adequate access to, and management and exchange of information and knowledge in the relevant sector?
- 16) Is access to research, education and training regulated by legislation or regulations?
- 17) What percentage of public resources are devoted to national research activities?

Dimension: Organizations (i.e. formal, informal, public and private, including CBOs and CSOs)

- 18) Which agencies (central, regional, local) are involved in research activities and in the production and delivery of knowledge? Do their mandates clearly state these activities?
- 19) Do agencies (central, regional, local) adequately access, manage and exchange information and knowledge in the relevant sector?
- 20) Are there institutional processes for knowledge-sharing?
- 21) Is there a national research and training institute dedicated to the relevant issues (or does the country have access to one in the region)?
- 22) Does it have an active programme of research in the thematic area?
- 23) Does the institution have the capacity to encourage knowledge networks and information-sharing for better access to information and knowledge?
- 24) Does the institution have the capacity to absorb and process relevant knowledge and adapt it to local needs?
- 25) Is technology (e.g. PCs, communication technology, Internet access) available and allocated appropriately?

Dimension: Individuals

- 26) Is there competent staff to carry out research activities?
- 27) Are there any training opportunities for national staff?
- 28) Has any training been carried out in knowledge-sharing techniques?



FUNCTIONAL CAPACITY 3

PARTNERING CAPACITY = capacity to connect, advocate and engage in networks, alliances and partnerships

Dimension: Enabling environment

- 29) Is the country part of a supra-national or regional partnership network? How is the country involved in it? What benefit is the country receiving from it?
- 30) Are authorities interested in establishing national/supra-national/local partnerships?
- 31) Do authorities have the capacity to mobilize funds from external sources?
- 32) Do authorities have the capacity to assess the share of external assistance in national development budgets and maintain a good balance?

Dimension: Organizations (i.e. formal, informal, public and private, including CBOs and CSOs)

- 33) Are national organizations interested in developing partnerships with other organizations? In what type of partnership are they mostly interested?
- 34) Who are the main stakeholders in the sector? How are relations among them?
- 35) Over the last 12 months, in what formal partnerships have the national institution(s) engaged?
- 36) To what extent do staff have the necessary skills to engage in dialogue with other stakeholders and in strategic partnerships?
- 37) Do national agencies have the capacity to support access to information belonging to other organizations and partners?
- 38) Are there mechanisms in place to foster information-sharing and resolve eventual disputes among partners to foster trust and cooperation?

Dimension: Individuals

- 39) Are the relevant skills in place to support partnership-building in the relevant sectors?
- 40) Are there learning opportunities to strengthen negotiation and communication skills ?



FUNCTIONAL CAPACITY 4

IMPLEMENTATION = the capacity to manage and implement programmes from planning to monitoring and evaluation

Dimension: Enabling environment

- 41) Does legislation enable the successful implementation of programmes?
- 42) Are central and decentralized authorities committed to programme implementation and how is this commitment reflected in accountability mechanisms?
- 43) Does the government provide adequate funding to programmes in the relevant sector?
- 44) Are there external funds for such programmes and initiatives?

Dimension: Organizations (i.e. formal, informal, public and private, including CBOs and CSOs)

- 45) Which major national agencies are involved in programme implementation?
- 46) Are their mandates clear?
- 47) Do agencies have the knowledge to design, implement, monitor and evaluate programmes?
- 48) Is knowledge in financial management, human resources management, accounting, planning, budgeting and M&E at a sufficient level?
- 49) What are the most important functions for these agencies to carry out? Are there any gaps?
- 50) Is the quality and quantity of such services acceptable?
- 51) Are there systems to monitor and evaluate programme implementation?
- 52) Are CSOs and CBOs involved in programme implementation?
- 53) What concrete measures have been taken at the national level to diversify the source of funding?
- 54) Over the past year, what problems or challenges, if any, did the institution(s) face with regard to the availability of resources for ARD programme activities?
- 55) Do national and local implementation bodies have sufficient access to information about good practices?

Dimension: Individuals

- 56) Is staff of national and subnational implementation bodies adequately trained or prepared to carry out implementation functions (from project design to evaluation)?
- 57) How often over the last 12 months have staff members been trained?
- 58) Are there on-the-job training programmes or learning opportunities for programme designers and implementers?
- 59) Are there learning opportunities to strengthen managerial capacities?

Where are we now?

Where do we want to be?

DIMENSION: ENABLING ENVIRONMENT

Policy and legal frameworks

- 1) What supportive policies, strategies and initiatives exist to address food and nutrition security issues?
- 2) Note the name of the policies or regulations that exist, year of enactment, year of the most recent revision and current status.
- 3) Do the policies clearly define objectives and priorities?
- 4) Do they include an outline of the policy measures to be implemented?
- 5) Do they define the institutional set-up?
- 6) Do they define roles, responsibilities and rights in policy implementation?
- 7) Have any policy reviews been undertaken in the last five years? What were the key recommendations? What is the status of their implementation?
- 8) Do these policies favour pro-poor development?
- 9) Do national legislation and regulations enable adequate access to, and management and exchange of, information and knowledge on food security?
- 10) Are research, education and training on food and nutrition security issues adequately regulated?
- 11) Does the country participate in national/regional networks on food and nutrition security?

Policy commitment and accountability frameworks

- 12) Is the country a signatory to major relevant international Conventions or Declarations dealing with the right to food (particularly the International Covenant on Economic, Social and Cultural Rights)? If so, provide details.
- 13) To what extent and how does the country participate in international fora or debates on food security?
- 14) How is political commitment and support to food and nutrition security demonstrated?
- 15) Is there political will to address the needs of the most vulnerable?

- 16) Is there government commitment to the use and maintenance of food and nutrition security information systems?
- 17) Are national authorities committed to establishing partnerships in food and nutrition security?
- 18) Is intersectoral work seen to add value to the work and outputs of single agencies involved in food and nutrition security?
- 19) Are central and decentralized authorities committed to implementing food and nutrition security programmes? If so, how is this reflected in terms of (vertical) accountability?

Economic framework and national public-sector budget allocations

- 20) Are there national sources of funding for food and nutrition security initiatives? Is the amount commensurate to meet the needs of the sector?
- 21) Are there external sources of funding to address needs in this area?
- 22) Are public resources currently allocated to sectoral education and research on food and nutrition security?
- 23) Do authorities have the capacity to mobilize funds for food and nutrition security initiatives from external or other sources?
- 24) Do authorities have the capacity to assess the share of external assistance on food and nutrition security initiatives in national development budgets?
- 25) Is allocation of resources transparent to such programmes (i.e. from central government to subnational and local governments)?
- 26) Do subnational and local governments have the capacity to provide reports on these programmes/ initiatives? Is this information consolidated with central government public expenditure reports?

Governance and power structures

- 27) To what extent does the legislation reveal contradictions or areas of overlap in responsibilities for activities in this area?
- 28) To what extent are national/local food and nutrition security agencies subject to political influences?

DIMENSION: ORGANIZATIONS (I.E. FORMAL, INFORMAL, PUBLIC AND PRIVATE, INCLUDING CBOS AND CSOS)

Mandates, roles and priorities

- 29) Are there clear mandates among the different ministries/departments involved in food and nutrition security?
- 30) Which ministries/departments (central/local level) are involved in the development and administration of food and nutrition security legislation and regulation? Are their roles clear?
- 31) Which organizations (central, regional, local) are involved in research activities related to food and

nutrition security and in vulnerability analysis? Do their mandates state this?

- 32) Is there one agency that has the mandate to serve as a focal point for food and nutrition security activities?
- 33) Are organizations' priorities consistent with their mandates?
- 34) Are respective roles and responsibilities well defined or are there any overlapping responsibilities?

Motivation and incentive systems

- 35) What drives the organizations to engage in this area and what are its incentives to operate (e.g. financial gains, visibility, playing a change agent role?)
- 36) Are incentive systems established for staff working in organizations (e.g. career progression paths)?
- 37) Are national organizations interested in developing partnerships with other organizations? What types of partnerships? For what purpose(s)?

Strategic leadership, inter/intra-institutional linkages and programme management

- 38) Who is leading the organizations? Is it a technical or political appointment?
- 39) Are the organizations's leadership functions ensured effectively and strategically? If yes, how? If not, why not?
- 40) To what extent and how do relevant agencies collaborate?
- 41) Is there a mechanism for ensuring coordination and information exchange to support effective policy or programme implementation? If yes, which organizations or departments participate and at what level?
- 42) Do organizations have the capacity to lead and support the participation of non-state actors in multi-stakeholder processes or platforms on food and nutrition security?
- 43) Are research institutes and non-state actors able to participate in policy and programme formulation?
- 44) Over the last 12 months, in what formal partnerships have the organization(s) engaged?
- 45) Is there any evidence that partnerships are helping the organization meet its objectives? If so, please specify (e.g. financial benefits, technical skills, new networks).
- 46) Do organizations have the know-how to design, implement, monitor and evaluate food and nutrition security programmes?
- 47) What are the most important functions for such organizations to carry out? Are such functions performed adequately? Are there any gaps?

Processes, systems and procedures

- 48) Are there clear processes and procedures to develop and implement food and nutrition security policies?
- 49) Do current processes for policy formulation and implementation allow involvement of CSOs, NGOs and other non-state actors?

- 50) What is the current quality of food and nutrition security information systems?
- 51) Have protocols for data collection standards been established and implemented?
- 52) Is there any formalized process allowing stakeholder consultations on food and nutrition security issues?
- 53) Do agencies have the capacity to set up and maintain inclusive processes to involve civil society and CBOs and other stakeholders in programme and project implementation?
- 54) Are there documented procedures or standards for programme implementation (e.g. planning, quality management, monitoring and evaluation)?
- 55) Have protocols for standards in data collection been established and implemented (e.g. sampling, format for the exchange of data)?

Human and financial resources

- 56) Do organizations have the capacity to develop policies and strategies for the management of their human resources?
- 57) Do organizations have written job descriptions for the functions and responsibilities of their staff?
- 58) When were job descriptions last updated?
- 59) When was a learning needs assessment last conducted?
- 60) Do organizations have access to learning opportunities to improve skills of their staff at various levels, including technical and soft skills (e.g. partnering skills, communication, project management) ? If so, which ones?
- 61) How often over the last 12 months have staff members at public institutions been trained?
- 62) To what extent was such training relevant to staff needs? Has any monitoring of learning results been done?
- 63) Over the last 12 months, to what extent have organizations experienced turnover of competent and trained staff?
- 64) How have the following factors contributed to this turnover: recruitment, promotion, staffing, supervision, personnel evaluation, salary level?
- 65) How have the same factors contributed to staff retention?
- 66) Is there an adequate number of staff (national and subnational) who are specialized in food and nutrition security issues?
- 67) Is the current level of financial resources dedicated to food and nutrition research programmes adequate?
- 68) Over the past year, what problems or challenges, if any, did organizations face regarding resources for programme activities?

Knowledge and information

- 69) To what extent are existing food and nutrition security policies and regulations accessible (in printed or online formats) and easy to understand?
- 70) To what extent are civil society, private sector and service delivery organizations knowledgeable about the existing legislation on food security?
- 71) Are there formal or informal mechanisms for knowledge- and information-sharing?
- 72) Are staff adequately informed on global policy issues related to food security?
- 73) Which agencies are responsible for food and nutrition security information activities (e.g. early warning, vulnerability analysis) for policy planning?
- 74) Do organizations have the capacity to absorb/process global knowledge on food and nutrition security and adapt it to local needs?
- 75) Are there national research bodies on food and nutrition security issues? If yes, which thematic areas are covered?
- 76) Are there any twinning arrangements among research bodies? If yes, how many?
- 77) Do organizations have the capacity to engage in data collection processes? Are data used to influence policy decisions? Is there a mechanism to ensure regular update and follow-up of collected statistics?
- 78) How is food and nutrition security information shared (e.g. reports, bulletins, newsletters, websites)?
- 79) Do national and local implementation bodies have access to food and nutrition security information, innovations and good practices?
- 80) Are there examples of using local knowledge in project/programme activities?
- 81) How do competent authorities and competent bodies share information with each other?
- 82) Are there formal or informal mechanisms for sharing information within and between agencies, including government, research institutes, UN agencies and civil society?

Infrastructure

- 83) What tools (e.g. software, technology) are available for an integrated analysis of food and nutrition security?
- 84) Are agricultural inputs, vehicles for programme monitoring, computers or technical equipment available to ensure a quality programme/service?

DIMENSION: INDIVIDUALS

Skills and competencies

- 85) Do organizations' staff perform their functions according to job descriptions? If not, what are their actual job functions?
- 86) Do organizations' staff have the required technical skills to perform their functions effectively?
- 87) Do organizations' staff have the required leadership, managerial and other functional skills necessary to maintain and upscale results (e.g. programme management, advocacy, communication, negotiations, policy analysis, partnership building)?
- 88) What are the key strengths of organizations' staff?
- 89) What are the gaps in skills and competencies that hinder achievement of individuals and organizational goals? Which ones are most critical to address?
- 90) What are the perceptions of the organizations' staff members of their own strengths and weaknesses?
- 91) What learning opportunities are available, and which ones should be made available to address those gaps?

Attitudes, behaviours and values

- 92) Are individuals' work behaviours consistent with their roles and functions? If not, why not?
- 93) Do individuals have adequate support within their work environment to engage in learning events and to practice newly learned skills and work behaviours?
- 94) What is the perception of individual staff members of their own role within their organization?
- 95) What would staff members like to change in their own role? Is the change possible in the short/medium term?

TOOL

5D

CAPACITY ASSESSMENT MATRIX — ORGANIZING FRAMEWORK

DIMENSIONS	CAPACITY AREAS	EXISTING SITUATION WHERE ARE WE NOW?	DESIRED SITUATION WHERE DO WE WANT TO BE?
ENABLING ENVIRONMENT	Policy and legal frameworks		
	Policy commitment and accountability framework		
	Economic framework and national public-sector budget allocations		
	Governance and power structures		
ORGANIZATIONS	Motivation		
	Strategic, organizational and management functions		
	Operational capacity		
	Human and financial resources		
	Knowledge and information		
	Infrastructure		
INDIVIDUALS	Job requirements and skills levels		
	Competency development		

[illegible]

TOOL

5

EXAMPLE 1

CAPACITY ASSESSMENT MATRIX MODEL RELATED TO FOOD AND NUTRITION IN THE POLICY AREA

DIMENSIONS	CAPACITY AREAS	EXISTING SITUATION WHERE ARE WE NOW?	DESIRED SITUATION WHERE DO WE WANT TO BE?
ENABLING ENVIRONMENT	Policy and legal framework	<ul style="list-style-type: none"> > What supportive policies, strategies and initiatives exist to address food and nutrition security issues? > Note the name of the policies or regulations, year of enactment, year of the most recent revision and current status. > Does the policy clearly define food and nutrition security objectives and priorities? > Does it include an outline of the policy measures to be implemented? > Does it define the institutional set-up? > Does it define roles, responsibilities and rights in policy implementation? > Have any policy reviews been undertaken in the last five years? What were the key recommendations? What is the status of their implementation? > Are these policies favouring pro-poor development? 	What policies, strategies and initiatives should exist five years from now to support food and nutrition security issues?
	Economic framework and national public-sector budget allocations	<ul style="list-style-type: none"> > Are there national sources of funding for food and nutrition security initiatives? Is the amount sufficient to meet the needs of the sector? > Are there external sources of funding? > Is there a clear budget breakdown between government and donor funds? 	What percentage of public expenditure should be devoted to food and nutrition security initiatives five years from now?

CAPACITY DEVELOPMENT NEEDS	SUGGESTED INTERVENTIONS (EXAMPLE OF OPTIONS) WHAT IS THE BEST WAY TO GET THERE?		PRIORITIES (1-4) 1 = URGENT 2 = MEDIUM-TERM 3 = LONG-TERM 4 = NOT A PRIORITY
What are the major gaps in the national policy framework on food and nutrition security?	<ul style="list-style-type: none"> > Review the existing policy and legislation to identify possible gaps, overlaps, inconsistencies > Increase policy-makers' awareness of the policy issues to be addressed for food and nutrition security > Establish a task force for food and nutrition security policy formulation > Diagnose the food and nutrition security situation > Draft the new legislation /policy 	Ministry of Agriculture	1
What is needed to mobilize increased public funding? What are the implications for such reallocation?	<ul style="list-style-type: none"> > Engage in advocacy work through media > Conduct awareness-raising campaigns 	Ministry of Planning	1

DIMENSIONS	CAPACITY AREAS	EXISTING SITUATION WHERE ARE WE NOW?	DESIRED SITUATION WHERE DO WE WANT TO BE?
ORGANIZATIONS	Motivation	<ul style="list-style-type: none"> > Which ministries/departments (central/local level) are involved in the development and administration of food and nutrition security legislation? > Are there clear mandates among the different ministries/departments involved in the development and administration of food and nutrition security legislation? 	What should be the desired institutional set-up in the medium term?
	Strategic, organizational and management functions	<ul style="list-style-type: none"> > To what extent and how do the concerned agencies collaborate? > Is there a mechanism to ensure coordination, information exchange and effective policy implementation? If yes, what is its mandate? Which ministries participate and at what level? Does it meet regularly? Does it have a permanent secretariat? 	How should intersectoral collaboration be ensured in the medium term?
	Operational capacity	<ul style="list-style-type: none"> > Are there clear processes and procedures for food and nutrition security policy development or implementation? > To what extent are CSOs and NGOs involved in policy processes? > Can the ministry rely on sufficient and competent human resources in food and nutrition security? 	How should such policy processes be improved in the medium term?
INDIVIDUALS	Job requirements and skills levels	<ul style="list-style-type: none"> > Do policy staff have the required technical and managerial skills (e.g. to undertake high-level negotiations and policy analysis)? > What types of skills would be needed to perform effectively? 	What skills should be available at the policy level in the medium term?
	Competency development	<ul style="list-style-type: none"> > What type of learning opportunities would be needed to develop appropriate competences for policy formulation and implementation in food and nutrition security? 	What type of learning opportunities should be available?

CAPACITY DEVELOPMENT NEEDS	SUGGESTED INTERVENTIONS (EXAMPLE OF OPTIONS) WHAT IS THE BEST WAY TO GET THERE?		PRIORITIES (1-4) 1 = URGENT 2 = MEDIUM-TERM 3 = LONG-TERM 4 = NOT A PRIORITY
How can the existing roles and responsibilities be rationalized?	<ul style="list-style-type: none"> > Review mandates, structures and capacity > Develop administrative structures with clearly defined roles, responsibilities and accountabilities 	Ministry of Agriculture, Department of Agriculture	4
What needs to be changed to ensure intersectoral collaboration?	<ul style="list-style-type: none"> > Establish Senior Food and Nutrition Security Focal Points in all relevant agencies > Establish an Intersectoral body with clear ToRs to coordinate, facilitate and monitor policy implementation > Establish Food and Nutrition Security Committees at central and decentralized levels with clear reporting lines 	Ministry of Agriculture Department of Agriculture	2
What are the major gaps or constraints?	<ul style="list-style-type: none"> > Develop processes and procedures to respond to existing needs 		2
What is needed to develop the necessary skills?	<ul style="list-style-type: none"> > Analyse the required skills 		1
What is needed to put in place adequate learning programmes?	<ul style="list-style-type: none"> > Develop and deliver tailored learning solutions > Conduct training needs analysis 		1

CHECKLIST ADAPTED TO CLIMATE-CHANGE MITIGATION AND ADAPTATION IN AGRICULTURE AT THE NATIONAL LEVEL

Where are we now?

Where do we want to be?

Dimension: Enabling environment

Policy and legal frameworks

- 1) What supportive policies and other national communications/strategies exist for climate change and agriculture (addressing mitigation, adaptation and land-use change)?
- 2) Note the name of the policies or regulations that exist, year of enactment, year of the most recent revision, current status and planned developments.
- 3) Do national climate-change and/or agriculture policies define objectives, and priorities enabling the successful implementation of climate-smart agricultural practices?
- 4) Do the climate-change and/or agriculture policies include outlines of measures to implement climate-change activities within the agricultural sector?
- 5) Do climate-change and/or agriculture policies define the institutional set-up to implement climate-change activities within the agricultural sector?
- 6) Do climate-change and/or agriculture policies define roles, responsibilities and rights for policy implementation?

Policy commitment and accountability frameworks

- 7) To which international agreements in the realm of climate change has the country subscribed?
- 8) To what extent are such international commitments in the area of climate change actively implemented?
- 9) To what extent and how does the country participate in international fora or debates on climate change?
- 10) How are political commitment and support for climate change and climate-smart agriculture (i.e. mitigation and adaptation) demonstrated?

Economic framework and national public-sector budget allocations

- 11) Are there national sources of funding to support the implementation of measures for climate-smart agricultural practices?
- 12) To what extent does the legislation reveal contradictions or areas of overlap in responsibilities among agencies involved in climate-smart agricultural practices?

Dimension: Organizations (i.e. formal, informal, public and private, including CBOs and CSOs)

Motivation

- 13) Which ministries/departments (central/local level) have the mandate to work on climate change and on agriculture/land-use issues? Are their mandates clear?
- 14) Which other important national and international institutions (e.g. multilateral, bilateral, CSOs and NGOs) are in the country working on climate change and climate change/agriculture/land use?

Strategic, organizational and management functions

- 15) To what extent and how do the concerned national agencies collaborate?
- 16) Is there a mechanism for ensuring coordination, information exchange and effective policy implementation? If yes, please clarify it. Which ministries/agencies participate and at what level? What are the strengths and weaknesses of such mechanisms?

Human resources

- 17) Are the ministry/department staff at the central level adequately prepared to deal with climate change and specifically climate-change/land-use change issues?
- 18) What is most needed at the central level to improve knowledge and skills on climate change and specifically climate-change/land-use change issues (e.g. workshops on specific topics, training, guidebooks)?

Knowledge and information

- 19) To what extent are existing policies and regulations on agricultural mitigation accessible (in printed or online formats) and easy to understand?
- 20) To what extent are the ministry staff, rural civil society and private sector knowledgeable about the existing legislation on climate change (and agriculture/land-use change)?
- 21) Are there mechanisms for knowledge-sharing at the ministry levels?
- 22) Are staff of relevant agencies adequately informed on global climate-change issues?
- 23) Which data are available at the national level on emissions from the agriculture sector and more specifically on crops/livestock/agriculture production sectors for carbon/non-CO₂/GHG inventories? Which tier level is used for carbon accounting? Does reporting of carbon stocks from the agriculture/land-use sectors take place?
- 24) Do any calculations at the national level exist on the mitigation potential of the crops/livestock/agriculture production sectors?

Dimension: Individuals

Job requirements and skill levels

- 25) What types of skills are needed at the central/decentralized level to integrate climate-change concerns into agricultural policies (e.g. to attend international climate-change negotiations)?
- 26) Which types of skills are missing at the national level to support data collection on emissions from the agriculture sector and support the national GHG inventories?

Competency development

- 27) Which types of learning and further education opportunities exist and which are needed to develop appropriate competence in the area of GHG accounting/climate-change negotiations?

TOPIC: AGRICULTURE, LIVESTOCK AND FISHERIES**Section 1: Policy formulation and decision-making processes**

The main existing food security and nutrition policies (and strategies) including those that are being developed are (include policies for short- and long-term decision-making)

CURRENT FOOD SECURITY AND NUTRITION POLICIES	STATUS (DRAFT, CURRENT, OBSOLETE)

Additional food security and nutrition policies/strategies needed or changes to existing policies and strategies:

FUTURE FOOD SECURITY AND NUTRITION POLICIES (TO BE FORMULATED)

Section 2: Analysis and production of food security information

The main food security and nutrition reports currently produced by the government, FAO, and others are the following:

FOOD SECURITY AND NUTRITION REPORT (OR BULLETINS)	AWARENESS 1 TO 5 (LOW TO HIGH)	SOURCE (INSTITUTIONS E.G MINISTRY OF AGRICULTURE, HEALTH, ENVIRONMENT, FAO/ FSNAU, OTHER UN AGENCIES, NGOS)

Information and reports that should be produced in the future or changes needed to existing reports are the following:

FUTURE FOOD SECURITY AND NUTRITION REPORT	BY WHOM SHOULD THE REPORT BE PRODUCED?

The skills of individuals in food security and nutrition information systems:

SKILLS	INSTITUTION (E.G. MINISTRY OF AGRICULTURE, SAVE THE CHILDREN)	NUMBER OF STAFF	ESTIMATED NUMBER OF ADDITIONAL STAFF NEEDED
Planning & coordination for data collection and survey			
Data collection			
Data analysis			

Report-writing		
Dissemination		
Other...		

Section 3: Information systems on food security and nutrition: data collection

The main types of data being collected (and by whom) and the frequency:

DATA COLLECTED	YES	NO	INSTITUTION COLLECTING	FREQUENCY (WEEKLY, MONTHLY, QUARTERLY, YEARLY)
Market prices (including different commodities, inputs, etc.)				
Trade statistics				
Crop production				
Crop pest & disease				
Livestock holdings				

Fishing				
Fruit and vegetable production				
Nutrition				

Keeping in mind the key uses and intended uses of food security and nutrition information and the reports needed, indicate the institutions which should collect each data item and with what frequency:

DATA COLLECTED	YES	NO	INSTITUTIONS WHICH SHOULD COLLECT DATA, WHETHER LOCAL NGO, INTERNATIONAL AGENCIES, OR STATE ACTORS	FREQUENCY (WEEKLY, MONTHLY, QUARTERLY, YEARLY)
Market prices (including different commodities, inputs, etc.)				
Trade statistics				
Crop production				
Crop pest & disease				
Livestock holdings				
Fishing				
Fruit and vegetable production				
Nutrition				

Section 4: Information systems on food security and nutrition: data collection

The existing coordination mechanisms for food security and nutrition, the purpose, members and leaders:

EXISTING COORDINATION MECHANISMS	PURPOSE	MEMBERS	LEADERS

The needed coordination mechanisms for food security and nutrition, the purpose, members and leaders:

EXISTING COORDINATION MECHANISMS	PURPOSE	MEMBERS	LEADERS

The responsibility of the coordination mechanism:

RESPONSIBILITY	YES/NO
Data management	
Analysis	
Report-writing	
Dissemination	
Planning and coordination	
Information-sharing	

The presence and participation of women in the existing and desired coordination mechanisms. (1 to 3: low to high).

EXISTING COORDINATION MECHANISMS	PRESENCE OF WOMEN (SCORE: 1-3)	PARTICIPATION OF WOMEN (SCORE: 1-3)	DESIRED COORDINATION MECHANISMS	PRESENCE OF WOMEN (SCORE: 1-3)	PARTICIPATION OF WOMEN (SCORE: 1-3)

FOR CAPACITY ASSESSMENT FOR CLIMATE-SMART AGRICULTURE NATIONAL/LOCAL CONSULTANT

Under the overall supervision of the Coordinator of the Programme and the administrative supervision of the FAO representative, the incumbent will undertake a capacity assessment in the areas of climate-change mitigation and adaptation. He/she will create space for exchanges, collecting information and preparing for the analysis.

Objectives:

The assessment aims to provide an overview of the current status of the national and local capacity-development opportunities and capacity constraints in the area of climate-change mitigation and adaptation activities in agriculture. It will enable firm collaboration modalities and joint action planning in the area of climate-change mitigation and adaptation. In addition, it will enable national authorities and FAO to decide on scope and modalities of intervention for support to Capacity Development (CD) in the area of climate-change mitigation and adaptation.

Expected outputs:

- > Capacity Questionnaire, drawing from the Capacity Assessment Checklist(s)
- > Background information report on capacity-development needs as they relate to the national agriculture and climate-change sector
- > Assessment of key organizations and institutions in the climate-change and agriculture sector. Rationale for why specific organizations were selected. This should include, for example, cross-cutting ministries, civil society organizations, user associations, oversight bodies, private sector organizations and NGOs.
- > A draft report highlighting capacity needs and opportunities at policy, organizational and individual levels. Emphasis can be on the following, if possible: assessed readiness for change, potential prime movers (i.e. influential actors) of change, resistance to change and change strategy.
- > Capacity assessment plan indicating the assessment team, tools, and partners.
- > One workshop for key stakeholders to validate findings from different interviews and to draft an initial capacity strategy. The Capacity Assessment Matrix can guide this work.
- > Draft capacity-development strategy to integrate climate change into the agriculture sector, addressing mitigation and adaptation issues for the national and local levels.

The capacity assessment will be based on surveys, focus group interviews, individual interviews, a workshop, review of key national documents and web sources.

Competencies

- > Advanced university degree in agriculture economics, environment (planning and management), agriculture or political science
- > Skills in communication, partnering and facilitation
- > Experience with participatory assessment processes and knowledge of CD processes desirable
- > Knowledge about climate change and agriculture issues
- > Good ability to write in English and knowledge of local languages for interviews

Duration

- > Two months

TOOL

6

INSTITUTIONAL AND POLITICAL ECONOMY CONTEXT SCANNING

When to use it

During the formulation phase of the FAO CPF for the situation analysis, and during the identification and formulation phase of the project cycle.

What it is

The Institutional and Political Economy Context Scanning is a matrix which is framed as a checklist to help assess typical institutional and political economy factors (i.e. budget allocations, influences on policy-making, influences on organizational capacities, accountability and monitoring processes, networking and external relations) across sectors that may influence the prospects for successful capacity development. However, it is important to “think beyond the box” – there may be other factors to consider which are not included in the checklist. The tool is designed to map the situation as it is, not as it should be.

How to use it

The tool allows a dialogue about the readiness for the intervention among people with interests and voice or power. The readiness is obviously influenced by the objectives and the scope of the CD intervention. Therefore, the tool cannot be used in the abstract — it must refer at least to a broad indication of the direction of the CD process. While an initial picture can be built in a workshop setting based on perceptions and anecdotal evidence, qualitative data collection methods must be applied to get a more accurate estimate.

SECTOR CAPACITY AREA	1 = FULLY AGREE	2 = AGREE	3 = DISAGREE	4 = STRONGLY DISAGREE	IMPLICATIONS FOR CAPACITY DEVELOPMENT OR REFORM AT THE SECTORAL LEVEL
A. WIDER CONTEXT INFLUENCING POLICY-MAKING					
A1: SECTOR POLICIES ARE NORMALLY ENDORSED BY CABINET					
A2: SECTOR POLICIES ARE NORMALLY ENDORSED BY PARLIAMENT					
A3: SECTOR POLICIES ARE ENDORSED BY MINISTRY OF FINANCE					
A4: POLITICAL PARTIES ARE DRIVEN BY POLICY POSITIONS					
A5: FORMAL POLICIES ARE GUIDING ACTIONS OF MINISTERS					
A6: FORMAL POLICIES ARE GUIDING CIVIL SERVANTS					

A7: POLICY FAILURES HAVE POLITICAL CONSEQUENCES					
A8: COMPLIANCE WITH POLICIES AND LAWS IS HIGH					
B. SECTOR RESOURCES, BUDGET ALLOCATION MECHANISMS AND PUBLIC FINANCIAL MANAGEMENT					
B1: THE BUDGET PROCESS IS POLICY-DRIVEN					
B2: THE BUDGET IS LARGELY EXECUTED AS PLANNED					
B3: THE BUDGET ENVELOPE TO SECTORS BALANCES SALARIES AND RECURRENT COSTS					
B4: THE BUDGET ENVELOPE MATCHES THE FINAL SECTOR PLAN					
B5: FUNDS ARE MADE AVAILABLE TO SECTORS IN A TIMELY MANNER					
B6: TRANSFERS AND ALLOCATIONS ARE TRANSPARENT					
C. FACTORS INFLUENCING ORGANIZATIONAL CAPACITY					
C1: MATERIAL INCENTIVES FOR PERFORMANCE IN THE PUBLIC SECTOR ARE REASONABLE					
C2: NON-MATERIAL INCENTIVES ARE REASONABLE					
C3: STAFF STRENGTH AND COMPETENCIES MATCH POLICY AMBITIONS					
C4: PUBLIC-SECTOR EMPLOYMENT IS NOT LINKED TO PATRONAGE					
C5: EFFECTIVE CIVIL SERVICE REFORM ADDRESSES PERFORMANCE CONSTRAINTS					
C6: A PERFORMANCE CULTURE IS GENERALLY PRESENT					
C7: FRONT-LINE SERVICE PROVIDERS HAVE THE MEANS AND RELEVANT AUTONOMY TO DELIVER					
C8: LEADERSHIP PRACTICES STIMULATE STAFF TO PERFORM AND TAKE INITIATIVES					
D. WIDER FRAMEWORK FOR ACCOUNTABILITY AND MONITORING					
D1: AUDITS ARE EFFECTIVE AND OBSERVATIONS LEAD TO ACTIONS OR SANCTIONS					
D2: PARLIAMENTARY OVERSIGHT IS EFFECTIVE					
D3: MONITORING IS OF REASONABLE QUALITY AND USED FOR ADJUSTMENTS					
D4: MONITORING DATA ARE PUBLICLY AVAILABLE					

SECTOR CAPACITY AREA	1 = FULLY AGREE	2 = AGREE	3 = DISAGREE	4 = STRONGLY DISAGREE	IMPLICATIONS FOR CAPACITY DEVELOPMENT OR REFORM AT THE SECTORAL LEVEL
D5: CIVIL SOCIETY IS ENGAGED IN MONITORING					
D6: USER GROUPS HAVE VOICE					
D7: PUBLIC INSTITUTIONS ARE SENSITIVE TO COMPLAINTS					
E. NETWORKING AND RELATIONS WITH CRITICAL STAKEHOLDERS, INCLUDING DEVELOPMENT PARTNERS					
E1: THERE IS A BROAD TRADITION FOR FORMAL AND INFORMAL CONSULTATIONS					
E2: PUBLIC SECTOR ORGANIZATIONS COOPERATE EASILY WITH EACH OTHER					
E3: DEVELOPMENT PARTNERS ARE PLAYING SECOND FIDDLE ONLY					
E4: STAFF CAN NETWORK ACROSS ORGANIZATION BOUNDARIES WHEN RELEVANT					
F. OTHER					

Source: European Commission, Toolkit for CD March 2009

TOOL

7

STAKEHOLDERS' ANALYSIS

When to use it

It can be used during the formulation phase of the project cycle and during the formulation phase of the FAO CPF.

What it is

The Stakeholders' Analysis tool is a matrix with five columns and as many rows as necessary to cover all significant stakeholders:

- > The first column includes an example of a stakeholders' category list. The suggested groups can be relevant from a sectoral perspective; those listed are purely illustrative and are only included to invite broad thinking about potentially important stakeholders.
- > The second column refers to the interests pursued by the actors and the aims they are trying to achieve. Note that most actors pursue a mix of conflicting interests. The analysis of stakeholders' interests may be summarized on a three-point scale: supportive (+1), neutral (0) or opposing (-1).
- > The third column relates to the stakeholders' power to influence. Knowing who knows whom, why and how may be essential to understand the patterns of influence. The relative power of stakeholders for influencing can be summarized on a three-point scale: high (3), medium (2) or low (1).
- > The fourth column refers to the importance of the issue. Stakeholders may have interests in the outcome of CD processes, and they may have considerable resources, but they may assign higher or lower importance to the issue and thus be more or less engaged in whether the CD process moves ahead. Again, a three-point scale can be useful: high (3), medium (2) or low (1).
- > The fifth column includes the stakeholders' summary score. The summary score combines the interests, power and importance for each stakeholder. Multiplying the scores in each of the other columns will combine into a single score between +9 (high power, high importance in favour of CD), 0 (not effectively a stakeholder) and -9 (high power and high importance against CD). The scores, which can be summed up for all stakeholders, will give a rough idea about the overall balance for or against the CD intervention and the controversy levels that can be expected (i.e. high scores both for and against reform would indicate likely high levels of conflict/controversy). Obviously, a stakeholder analysis would not likely be precise enough to be summarized in one score showing the overall balance; however, an overall score derived from adding the scores for all stakeholders might indicate the chances of success for the CD intervention.

How to use it

Various methods can be used to identify and analyse stakeholders, such as brainstorming, interviews with key informants or focus groups. It is important to cross-check the list by asking key people to comment critically on the list you produce. Finally, this analysis should be used to reach an agreement on how best to involve people so that different interests can best be represented in the different phases of programming.

STAKEHOLDERS BY CATEGORY (EXAMPLES)	INTERESTS PURSUED SUPPORTIVE = +1 NEUTRAL = 0 OPPOSING = -1	POWER TO INFLUENCE HIGH = 3 MEDIUM = 2 LOW = 1	IMPORTANCE OF THE ISSUE HIGH = 3 MEDIUM = 2 LOW = 1	SCORE MAX = 9 (HIGH POWER AND HIGH INTEREST) MIN = -9 (HIGH POWER BUT NOT INTEREST)
LEGISLATIVE BODY AND POLITICAL PARTIES				
THE CABINET AND TOP ECHELONS				
FINANCE, PLANNING, CROSS-CUTTING ENTITIES				
EXECUTIVE CIVIL SERVANTS IN THE SECTOR				
FRONTLINE AGENCIES				
CHECKS AND BALANCES BODIES, JUDICIARY				
LABOR UNIONS, PROFESSIONAL/ INDUSTRIAL ASSOCIATIONS				
POPULAR, SOCIAL, ETHNIC, RELIGIOUS MOVEMENTS				
ACADEMICS, MEDIA, NGOS				
INFORMAL ECONOMIC ELITES/GROUPS				
LOCAL POWER-HOLDERS				
FUNDING AGENCIES				

Source: Adapted from European Commission, Toolkit for CD March 2009

When to use it

During the formulation phase of the FAO CPF when carrying out a situation analysis and during the identification and formulation phase of the project cycle.

What it is

This tool is a qualitative country analysis which aims to provide an understanding of the prevailing political and economic processes – specifically, the incentives, relationships and power balances between different groups and individuals. It encompasses the following sections:

- 1) Basic country analysis – covering the social, political, economic and institutional factors affecting the dynamics and possibilities for change.
- 2) Medium-term dynamics of change – covering policy processes, in particular the incentives and capacities of agents operating within institutions.
- 3) Role of external forces – including the intentional and unintentional actions of donors.
- 4) Link between change and poverty reduction – covering how change is expected to affect poverty and over what period of time.
- 5) Operational implications – covering how to translate an understanding of the context into strategies and actions.
- 6) How we work – covering organizational incentives, including those promoting or impeding the retention of country knowledge.

In the DoC analysis, the focus is on the following:

- > Agents refer to individuals and organizations pursuing particular interests, including the political elite; civil servants; political parties; local government; the judiciary; the military; faith groups; trade unions; civil society groups; the media; the private sector; academics; and donors.
- > Structural features include the history of state formation; natural and human resources; economic and social structures; demographic change; regional influences and integration; globalization, trade and investment; and urbanization. These are deeply embedded in the context and often slow to change.
- > Institutions include the rules governing the behaviour of agents, such as political and public administration processes. They include informal as well as formal rules. Institutions are more susceptible to change in the medium term than structural features.

How to use it

A team of international and national consultants carry out interviews, research activities and consultations

in a country and write a summary report. It is essential that the team conducting the DoC analysis include people with a very good knowledge of the country.

Here is an example of questions to ask in a basic country analysis (section 1)

> Foundational factors

- > Is there a political community?
- > Does government control the territory?
- > How have the basic characteristics of the political system been shaped by the history of state formation, political geography, geo-strategic position and embedded social and economic structures?
- > Is the government dependent on taxpayers?

> Institutional factors

- > How 'institutionalized' are the bureaucracy, policy mechanisms, political parties and CSOs?
- > How embedded is the constitution?
- > What is the basis of political competition and the composition of the political elite?
- > How important is ethnicity?
- > How is power shared between the political executive, the military, the legislature, the judiciary, other levels of government, the private sector and religious organizations?

> Short-term factors

- > What is the government's bureaucratic and financial capacity?
- > Key mechanisms for vertical and horizontal accountability?
- > Political resources (including point in the electoral cycle)?

Source: <http://www.gsdc.org>

TOOL

9

CAPACITY-FOCUSED PROBLEM TREE

When to use it

During the planning phase of the project cycle

What it is

This tool identifies a capacity issue as a core problem, as well as its effects and root causes. This method helps initiate and follow up on the collaborative design and implementation phase. It is an interesting tool that helps clarify the precise capacity-development objectives that the intervention aims to achieve. It is helpful to develop and/or revise a logframe and reach clarity about the outputs that will be monitored.

How to use it

Step 1: Start by brainstorming about all major capacity problems identified during the context analysis or derived from a capacity assessment. Within the group, decide on the core capacity problem for the enabling environment, organizations and individuals.

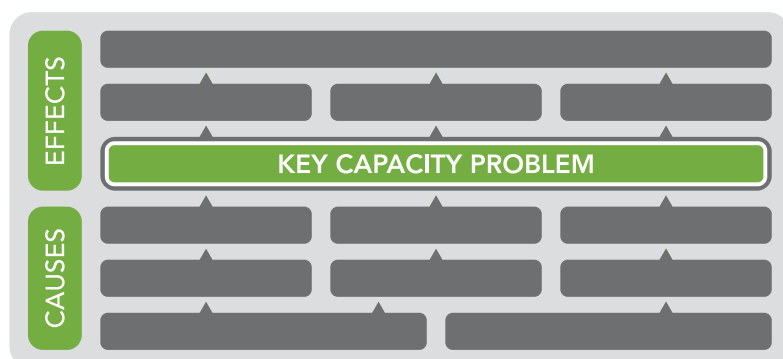
Step 2: Draw a "tree" and write the key capacity problem on the trunk. If you think there is more than one key capacity problem, you need to draw one tree per problem.

Step 3: Encourage the stakeholders to brainstorm on the causes of the key capacity problem and write them on cards. Prioritize the causes.

Step 4: Discuss the capacity factors that are possibly contributing to the causes. Focus on the factors that are potential drivers of change and write them on the roots of the tree.

Step 5: Look at the effects/impacts of the capacity problem and write down the primary effects on the branches of the tree.

Step 6: The diagram generated in this exercise provides a basis for discussion and can be converted into a capacity objectives tree, turning the negative statements into positive ones.



TOOL

10

M&E PLAN

When to use it

To support teams or groups involved in programme/project activities to develop outcomes and measurable indicators

What it is

This tool is an information sheet that has the following minimum requirements:

- > a definition of results at various levels, including the envisaged use of the information;
- > a definition of each indicator;
- > the source, method, frequency and schedule of data collection;
- > the team or individuals responsible for ensuring data are available on schedule;
- > resources needed to implement the monitoring activities.

It is also advisable to plan for how the data will be analysed, reported, reviewed and used to inform decisions.

Sample outcome monitoring plan

OVERALL OUTCOME/ OUTPUT	INDICATORS FOR OUTPUT/ OUTCOME	METHOD OF DATA COLLECTION	DATA SOURCES	FREQUENCY OF DATA COLLECTION (E.G. QUARTERLY)	WHO IS RESPONSIBLE	RESOURCES NEEDED	WHO WILL USE THE INFORMATION
OUTCOME 1	Indicator 1						
	Indicator 2						
OUTPUT 1	Indicator 1						
	Indicator 2						
OUTCOME 2	Indicator 1						
	Indicator 2						
OUTPUT 2	Indicator 1						
	Indicator 2						

Adapted from: Handbook on Monitoring and Evaluating for Results, UNDP Evaluation Office 2002

TOOL

10

EXAMPLE 5

SAMPLE LOGICAL FRAMEWORK FOR THE SOUTH-SOUTH COOPERATION (SSC) PROJECTS

Expected impact: Increased regional and national food security in country / region XYZ

OUTCOME 1	INDICATORS/TARGETS	DATA SOURCES	ASSUMPTIONS
FOOD SECURITY PROGRAMME PARTICIPANTS APPLY THEIR NEW CAPACITIES TO IMPROVE THE FOOD SECURITY SITUATION	<ul style="list-style-type: none"> > % of programme participants applying new practice/technology as a consequence of CD activities > Quality (including relevance and timeliness) of services provided by hosting organizations in support of food security, as perceived by programme participants > Number of programme participants reporting positive changes in their food security situation (e.g. changes in productivity, income, nutrition and child feeding practices) as a result of using their new capacities 	<ul style="list-style-type: none"> > Direct observation > KAP survey to programme participants 	<ul style="list-style-type: none"> > The staff of the hosting organizations has the means and willingness to improve the relevant "services" to support the implementation of food security programmes. > The staff of the hosting organization has the means and willingness to transfer knowledge. > Programme participants are willing to apply their new capacities. > The necessary external conditions exist (e.g. existence of a market, infrastructure).
OUTPUT 1.1 – IMPROVED CAPACITIES OF STAFF OF HOSTING ORGANIZATIONS IN ACTIONS FOR FOOD SECURITY	<ul style="list-style-type: none"> > Better knowledge of new practices/ technologies for food security > Better understanding of the constraints and possible actions and strategies to improve the food security situation 	<ul style="list-style-type: none"> > KAP survey to staff of hosting organization 	
OUTPUT 1.2 – IMPROVED CAPACITIES OF STAFF OF THE HOSTING ORGANIZATIONS TO TRANSFER KNOWLEDGE	<ul style="list-style-type: none"> > Increased capacities to conduct training/provide extension services > Ability to establish and manage demonstration plots > Increased number of innovative learning events such as farmers' field days, etc. 	<ul style="list-style-type: none"> > KAP survey to staff of hosting organizations > Progress reports 	

OUTCOME 2	INDICATORS/TARGETS	DATA SOURCES	ASSUMPTIONS
HOSTING ORGANIZATIONS AND PEOPLE'S ORGANIZATIONS ⁴⁷ IMPROVE THEIR CAPACITY TO FORMULATE AND IMPLEMENT ACTIONS FOR FOOD SECURITY	<ul style="list-style-type: none"> > Adequate budget and human resources allocated to support actions for food security > Number, type and quality of needed equipment and technologies made available to support the implementation of food security programmes > Clarity of priorities, internal structure and objectives of the organizations in support of food security > Improved sharing of knowledge within and between organizations 	<ul style="list-style-type: none"> > Interviews with staff of the hosting organizations > Interviews with members of the people's organizations > Direct observation > Reports/documents of the organizations 	<ul style="list-style-type: none"> > The supported organizations have the means and (political) willingness to improve the services in support of national and household food security. > The supported organization has the willingness to improve its internal planning processes. > The supported organization has the willingness to share information and knowledge.
OUTPUT 2.1 – ORGANIZATIONAL MANDATE, PRIORITIES AND OBJECTIVES IMPROVED	<ul style="list-style-type: none"> > Strategic organizational plan/mandate developed > Priorities and objectives of the organization clearly identified and responding to needs > Increased outreach and targeting of the service providers (e.g. number of people reached, number of women and vulnerable households receiving services, geographical coverage) 	<ul style="list-style-type: none"> > Interviews with key informants > Interviews with staff of the hosting organizations > Interviews with members of the people's organizations > Reports/documents of the organizations 	
OUTCOME 2	INDICATORS/TARGETS	DATA SOURCES	ASSUMPTIONS
OUTPUT 2.2 – PLANNING PROCESSES IMPROVED	<ul style="list-style-type: none"> > Work plans/action plans developed/improved > Project ideas/proposals developed/improved > Staff involved in planning processes 	<ul style="list-style-type: none"> > Interviews with key informants > Interviews with staff of the hosting organizations > Interviews with members of the people's organizations > Reports/documents of the organizations 	

OUTPUT 2.3 – INTERNAL ORGANIZATION, COORDINATION, MANAGEMENT AND TEAMWORK IMPROVED	<ul style="list-style-type: none"> > Improved organizational structure (organization chart) > Improved managerial capacities within the organizations > Clear ToRs and objectives for the organization and its various units > Regular coordination meetings > Quality and efficiency of teamwork 	<ul style="list-style-type: none"> > Interviews with key informants > Interviews with staff of the hosting organizations > Interviews with members of the people's organizations > Direct observation > Reports/documents of the organizations 	
OUTPUT 2.4 – INCREASED ACCESS TO INFORMATION AND IMPROVED KNOWLEDGE SHARING PRACTICES (NETWORKS, ETC.)	<ul style="list-style-type: none"> > Membership in informal networks > Improved knowledge sharing practices 	<ul style="list-style-type: none"> > Interviews with key informants > Interviews with staff of the hosting organizations > Interviews with members of the people's organizations > Direct observation 	

OUTCOME 3	INDICATORS/TARGETS	DATA SOURCES	ASSUMPTIONS
THE POLICY, LEGISLATIVE AND INSTITUTIONAL FRAMEWORKS ALLOW IMPLEMENTATION OF ACTIONS FOR FOOD SECURITY WITHIN THE CONTEXT OF NATIONAL/ REGIONAL FOOD SECURITY PROGRAMMES	<ul style="list-style-type: none"> > Adequacy of national budget allocated to food security programmes/strategies > Quality and appropriateness of policies and legislative framework for the implementation of food security programmes > Adoption of national food security strategies/plans > Implementation of food security strategies 	<ul style="list-style-type: none"> > National strategies, policies and budgets > Annual reports of national food security programme(s) > Annual reports of national food security institutions 	The Government has the willingness, capacity and means to develop the selected sector(s) and to implement the national development strategies
OUTPUT 3.1 – THE POLICY AND LEGISLATIVE FRAMEWORKS FOR THE IMPLEMENTATION OF FOOD SECURITY PROGRAMMES HAVE IMPROVED	<ul style="list-style-type: none"> > Policies formulated and legislative framework(s) developed for sectors related to food security 	<ul style="list-style-type: none"> > Review of available documentation 	
OUTPUT 3.2 – COORDINATION BETWEEN INSTITUTIONS FOR THE IMPLEMENTATION OF FOOD SECURITY PROGRAMMES HAS IMPROVED	<ul style="list-style-type: none"> > National multidisciplinary working groups/task force on food security established > Representation of different institutions/sectors in these working groups > Regular interinstitutional coordination meetings 	<ul style="list-style-type: none"> > Interviews with people involved in the working groups/task force > Minutes of the food security working group meetings 	

Source: Adapted from the M&E Toolkit for South-South Cooperation Projects (TCSF-Integrated Food Security Support Services)

When to use it

Outcome mapping is most often used for large programmes. It provides a structured framework for programme design, outcome and performance monitoring and evaluation. However, parts of it can be used for smaller projects where you want to think through how to influence changes in behaviour to achieve a new goal.

What it is

It is a participatory methodology to create outcome maps for organizations where monitoring and evaluation are primarily intended to support learning and improvement. Outcomes are defined as changes in the behaviours, relationships, activities or actions of the people, groups and organizations with whom a programme works directly. Outcome mapping introduces monitoring and evaluation considerations at the planning stage of a programme. It actively engages groups and teams in designing a learning-oriented plan and encourages self-reflection.

How to use it

The outcome mapping process is divided into three stages (A-C) and twelve steps (1-12). The process is shaped through a facilitated three-day workshop where the facilitator adapts the materials to the needs of the group.

A. Intentional design = helps establish consensus about the desired macro-level changes a programme will aim to achieve and plan the strategies it will use. It answers the following four questions:

- 1) To what vision does the programme aim to contribute? (WHY)
- 2) With whom (i.e. individuals/groups/organizations) does the programme interact? (WHO)
- 3) What changes are being sought? (WHAT)
- 4) How will the programme contribute to the change process? (HOW)

STEP 1. Vision

- > Format: facilitated discussion
- > Duration: 2 hours
- > Topic: The group has to describe in few sentences what the programme is supposed to accomplish. The outcome is a shared vision statement about the broad development changes the programme is trying to bring about.

STEP 2. Mission

- > Format: facilitated discussion
- > Duration: 2 hours
- > Topic: The group has to respond on how the programme can best contribute to the achievement of the vision. The outcome is a shared mission statement.

STEP 3. Boundary partners

- > Format: facilitated discussion
- > Duration: 1 hour
- > Topic: The group is stimulated to identify all the actors the programme needs to work with and list their different functions. The outcome is a list of people, organizations and groups that will have a direct role or have an interest in programme implementation and monitoring.

STEP 4. Outcome challenges

- > Format: facilitated discussion
- > Duration: 30 minutes
- > Topic: Each participant is asked to provide an answer to the following questions: "Ideally, in order to contribute to the vision, how will you, as a programme partner, be behaving differently?" and "What new relationships will have been built?". The outcome is that the facilitator will encourage the discussion and organize the various responses into an outcome challenges statement.

STEP 5. Progress markers

- > Format: facilitated discussion
- > Duration: 45 minutes
- > Topic: The facilitator asks each participant to identify milestones that have to be reached by the implementing actors to accomplish the vision. Specifically: what they would expect to see accomplished, what they would like to see, and what they would love to see. The group discusses the changes in behaviours they would like to see and that are necessary for change. The outcome is that the group needs to agree about the progress markers and capture the major changes necessary for the CD process.

STEP 6. Strategy maps

- > Format: facilitated discussion
- > Duration: 1 hour
- > Topic: The facilitator asks the group to write down 7-10 strategies that would respond to the focus question: "How will the programme contribute to the achievement of the outcome challenges in the next months?" The group then is divided into subgroups to discuss answers and come up with the five best strategies to link the three dimensions of the capacity framework – individuals, organizations and the enabling environment – and different types of strategies categorized according to causality, persuasion and building

supportive networks. The facilitator and the group review the completed strategy maps and prioritize based on the human and financial resources available. The outcome is a two-by-three matrix (strategy map) that is completed and agreed on. The first row labels individuals or groups that are going to be influenced by the programme; the second row labels the enabling environment in which individuals and organizations operate. Environment strategies are meant to indirectly influence individuals and groups by altering the setting in which they operate. The three columns report strategies based on causal influences (i.e. cause a direct effect), persuasive influences (i.e. tries to influence the drivers of change) and building supportive networks. From the strategy maps, a workplan with responsibilities and a timeline can be developed.

STEP 7. Organizational practices

- > Format: facilitated discussion
- > Duration: 30 minutes
- > Topic: The facilitator encourages the group to identify organizational practices that the programme can use to be effective. The discussion is facilitated around the following eight major practices and the key actions that can be associated with each of them: 1. prospecting for new ideas, opportunities and resources; 2. seeking feedback from key informants; 3. obtaining the support of higher-level decision bodies; 4. assessing and redesigning products, services, systems and procedures; 5. checking up on implementing partners; 6. sharing the best wisdom with the world (dissemination of lessons); 7. experimenting to remain innovative; and 8. engaging in organizational reflection. For the outcome, the facilitator writes on a flipchart the suggested actions for each of the practices and asks the group to determine which actions it wants to undertake during programme implementation. These key actions can be monitored during the next stage in step 11.

B. Outcome and performance monitoring provides a framework for monitoring a programme through a systematized self-assessment process. It is based on the following data collection tools: Outcome Journal, Strategy Journal, Performance Journal.

STEP 8. Monitoring priorities

- > Format: facilitated discussion
- > Duration: 1 hour
- > Topic: The facilitator describes the three types of monitoring priorities that outcome mapping can help to track: 1. the implementing partners, through the outcome journal; 2. the programme's strategy using the strategy journal; and 3. the organizational practices, through the performance journal. The facilitator stimulates a discussion about how the monitoring data will be used, as this will help to set monitoring priorities. The outcome is that a monitoring sheet/plan will be compiled, including the following information: the monitoring priorities (1 to 3); who will use the information; purpose of the information; when the information is needed; who will collect the information; how often it will be collected; how it will be collected; and proposed monitoring tools (see steps 9,10,11)

STEP 9. Outcome journal (progress markers)

- > Format: facilitated discussion

- > Duration: 30 minutes
- > Topic: For each implementing partner, the facilitator asks the group to complete a monitoring worksheet, highlighting the outcome challenge and the progress markers related to a working area and rating their programme contribution to the indicated outcomes (i.e. high, medium or low). The facilitator encourages discussion around the most appropriate method to gather data, responsible actors, frequency of monitoring meetings and use of data. The outcome is a compilation of the outcome journal, which includes the following elements: description of change, contribution of factors and actors, source of evidence, unanticipated change, lessons/required programme changes/reactions.

STEP 10. Strategy Journal (strategy maps)

- > Format: facilitated discussion
- > Duration: 1 hour
- > Topic: The facilitator reviews the various components of the programme strategy with the group, i.e. activities implemented, their effectiveness, outputs, required follow-up and lessons learned. The facilitator then supports the group to discuss the strengths and weaknesses of their practices or strategies. The facilitator stimulates the discussion around the most appropriate method to gather data, responsible actors, frequency of monitoring meetings and use of data. The outcome is the development of the strategy journal, which includes the description of activities, their effectiveness, the outputs, the required programme follow-up or changes, the lessons and the date of the next monitoring meeting.

STEP 11. Performance Journal (organizational practices)

- > Format: facilitated discussion
- > Duration: 1 hour
- > Topic: The facilitator helps the group to customize a performance journal based on the practices identified during step 7, and then reviews them with the group. The purpose is to offer a way for the programme to reflect and gather data on the proposed actions. The outcome is the development of the performance journal, which identifies for each organizational practice examples of indicators, sources of evidence and lessons.

C. Evaluation planning helps the programme identify evaluation priorities and develop an evaluation plan.

STEP 12. Evaluation plan

- > Format: facilitated discussion
- > Duration: 2 hours
- > Topic: Discussion around a set of evaluation priorities, such as learning needs, accountability and reporting requirements or partners' information needs. The facilitator asks the group to identify who will use the evaluation findings, how and when, the key questions, the possible sources of information, the evaluation methods, who will conduct and manage the evaluation, the timeline and costs. The outcome is the development of an evaluation plan.

Source: Outcome mapping. Building learning and reflection into development programs-IDRC 2001.

Additional reference: <http://www.kstoolkit.org/Outcome+Mapping>

TOOL

12

MOST SIGNIFICANT CHANGE

When to use it

Most Significant Change can be used in two ways:

- > as an **ongoing monitoring tool** to support project/program improvement by assessing perceptions of stakeholders during the project/program;
- > as an **evaluation tool** assess the perceptions of project/program effectiveness after the project/program has ended, combined with other evaluation techniques.

What it is

It is a participatory storytelling technique used for monitoring and evaluation of outcomes. It is especially helpful to unearth unexpected outcomes of interventions which cannot be tracked with indicators.

The tool actively involves stakeholders in searching for significant project or programme outcomes, interpreting them and then deciding what type of change is valuable and needs to be recorded. It can be considered a “story approach” because it tends to answer the following questions:

- > Who did what?
- > When?
- > Why?
- > Why is it important?

The benefits of using MSC in FAO's CD interventions

- > It helps capture qualitative aspects of an intervention, especially, as in the area of capacity development, where the impact of an intervention can be described more effectively by qualitative rather than quantitative indicators.
- > It's highly participatory as it involves stakeholders around a dialogue of what important changes are
- > It helps improving an ongoing program by focusing the direction of work towards explicitly valued directions

How to use it

The process involves collecting significant change stories emanating from the project/ programme activities and then including designated stakeholders in selecting them. Once changes have been captured, the people sit together, document and read the stories aloud and have regular and often in-depth discussions about the value of the reported changes.

- STEP 1.** Jointly define broad domains of change (e.g. decision-making skills, on-farm practice, organizational capabilities, etc.)

- STEP 2.** Collect stories describing change in the identified domains and explaining 'why' that particular change was considered relevant
- STEP 3.** Analyse stories and filter them up through the level of authorities typically found in a programme/organization. Select most relevant stories and indicate the criteria used for selecting them.
- STEP 4.** Consolidate significant stories and share them with programme stakeholders and steering committee, for them to gain knowledge about the (preliminary) outcomes of the programme and to learn which unexpected outcomes are valued or not valued by different stakeholders
- STEP 5.** Identify how often different types of MSC were reported within given periods
- STEP 6.** Use stories to steer programme to better meet needs and move towards valued directions.

Example of how MSC has been used in FAO

SOME EXAMPLES OF QUESTIONS:

- > During the last six months, in your opinion, what was the most significant change that took place in the area of (...) which has resulted from the intervention?
- > Why you think this is a significant change?
- > What difference has it made already (in your practice, life, etc.) or will it make in the future?
- > How have the CD activities helped individuals learn and change?
- > How have CD activities helped the organization to change? Has it made a difference to the decision-making process, provided incentives and opened up new opportunities?
- > What needs to change in the future to make the intervention more effective?

Adapted by from: FAO CD Learning Module 2 , TOOL 12 / J. Dart and R. Davies, A Dialogical, Story-Based evaluation Tool: The Most Significant Change Technique, American Journal of Evaluation 2003 n.24

FOCUS GROUP DISCUSSIONS/WORKSHOPS WITH BENEFICIARIES AND KEY STAKEHOLDERS

Beneficiary assessments:

The purpose of these discussions/workshops is to get feedback directly from people who are either served by FAO partner organizations who have been on the receiving end of CD; or people who participated in CD activities and stakeholders affected by the impact of CD learning initiatives.

Focus group:

The focus group should aim to bring a diverse group of direct and indirect participants in CD activities together to think about outcomes and impacts. The selection of participants for the focus group is governed by the need to identify a wide range of viewpoints if possible (e.g. men and women farmers, young people, people from different socio-economic groups). Information from focus groups is likely to play a crucial role in guiding the interpretation of data from other forms of inquiry, such as key informant interviews and stakeholder interviews.

A crucial point to bear in mind is that a focus group is not a series of individual interviews conducted in a group, so it should not be used as a tool for generating statistics about the individual participants. A focus group is not expected to provide statistics, such as information relating to the percentage of participants with particular characteristics or the percentage of participants receiving particular CD training. The purpose of the focus group is to get people to discuss things as a group. The interaction among group members is part of the process and should be encouraged. Check whether group members are in agreement with statements by asking questions such as “Is that what everyone thinks?” or “Does everyone agree with xyz?”

The following topic guide and questions is a tool to adapt to the local circumstances. It is also suggested that participants from some of the CD activities be asked to relate the Most Significant Change that has occurred as a result of the project. These can be shared by participants in either the focus group or at a workshop where participants are divided into small working groups. In discussions, the groups will select the Most Significant Changes that they feel best represent their common experience. These will be recorded and included in the country reports.

In the group interviews, there is no need to identify the names of the participants, but only the number of participants in the group, their gender (male/female) and range of ages (adults/young/elderly).

Checklist for participants

- 1) What capacity-development activities were implemented and how would you rank their usefulness? (The team should make some explanatory notes about their understanding of why people in the community consider some activities to have been useful and some not so useful.)

CAPACITY DEVELOPMENT ACTIVITY IN WHICH BENEFICIARIES PARTICIPATED	USEFULNESS 1 (TOTALLY USELESS) TO 5 (VERY USEFUL)

- 2) What exactly did you learn from these capacity-development activities? (Construct a list of main lessons.)
- 3) How was it decided that the CD was needed?
- 4) How was it decided who should participate in the CD?
- 5) Are women able to participate effectively? If not, what are the constraints?
- 6) Do you think there is a better way to decide what is needed in the community and how to select participants?
- 7) How was the CD activity carried out? Do you think this could be improved? Was the delivering person/organization effective?
- 8) Could it be done better in the future? Does there need to be more training/materials/advice in the future?
- 9) Ask several people to share with other group members what has been the most significant change resulting from the CD activities. Select the domain of change most relevant to the group or some other relevant domain of change, such as the following:
 - > the nature of people's participation in production/marketing/processing/ conservation/ development activities
 - > the quality of people's lives
 - > the ability of households to meet their food security needs
 - > the
- 10) Identify the local FAO partner institution(s) involved in the CD and ask people to identify the main services that this institution provides in the community.
- 11) Which, if any, local organizations are involved in these activities? After the FAO/partner intervention, was there a significant change (positive or negative) in the work and/or quality of services provided?
- 12) Ask the group to identify what capacity-development activities (or changes) they would most like to see in their community or individual lives in the future.
- 13) Ask the group how they think FAO partner organizations could support them in participating in these capacity-enhancing activities. .

Checklist for key informant interviews for CD directed at organizations

The following tools and questions might be useful in key informant interviews when determining effectiveness of CD in organizations. Be selective; not all questions will be relevant for every organization or for all capacity-development activities.

Please write the name(s) and contact detail(s) of the key informant (s) and position in the organization.

- 1) What were the main needs the capacity-development activity/project was supposed to address in your organization/geographical area?
- 2) What functions or tasks was the CD supposed to improve? (For each capacity-development activity, complete the table below. If a single capacity-development activity was directed at more than one group of people or functions, use additional lines.)

WHOSE CAPACITY	CRITICAL FUNCTION (I.E. CAPACITY TO DO WHAT)	EXISTING CAPACITY	STRATEGY FOR CHANGE	CAPACITY INDICATORS

- 3) What did the CD project do to address these needs (e.g. a summary description of the work done or sponsored by FAO/government, including activities aimed at process, behavioural change and conventional inputs such as training, technical advisory services and equipment supply)?
- 4) Please rate the quality of the services provided by the FAO Capacity Development Project. If you are not aware of the services, reply "don't know".

	VERY POOR	POOR	GOOD	VERY GOOD	DON'T KNOW
TRAINING (E.G. REFRESHER COURSES)					
TECHNICAL ADVICE AND SUPPORT					
POLICY ADVICE AND SUPPORT					
ADVOCACY (E.G. TO INCREASE RESOURCES FROM GOVERNMENT)					
INFORMATION-SHARING					
OTHER (PLEASE SPECIFY)					

Please elaborate on the problem(s) identified.

- 5) In your opinion, how successfully did projects or activities address needs or promote improved performance of tasks?

CAPACITY DEVELOPMENT ACTIVITY	USEFULNESS 1 (TOTALLY USELESS) TO 5 (VERY USEFUL)

Make a few explanatory notes to support performance assessment, if needed.

- 6) In general, how would you rate the collaboration between your institution and the FAO-supported Capacity Development Programme?

VERY GOOD	GOOD	POOR	VERY POOR	NO DIRECT COLLABORATION
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Please provide examples of good and/or bad collaboration.

- 7) What organizational or local factors (positive or negative) affected the pace and direction of capacity development (e.g. the state of economy, policy and legal framework, political trends, informal 'rules of the game', degree of complexity, conflicts within organizations or between partners)?
- 8) Looking back over the last six months, what do you think has been the most significant change in the nature of the organization's effectiveness? Consider in particular whether there has been improvement in the decision-making process, delivery (of products or services?), relations among staff and relations between the organization and its suppliers or customers.
- 9) Do you have any suggestions for changes that should be made to the capacity-development activities sponsored by FAO/government to make them more effective and more relevant to felt needs?

When to use it

A KAP survey can be conducted at any point while programming activities for a project. It is particularly useful if conducted in the early phases of a project after the overall objectives have been determined because the data can be used to establish a baseline for comparison when the project is finished.

What it is

It is a methodology used to assess the impact of knowledge and learning activities on individuals' behaviours and practices. It can be adapted to assess the changes in the practices of an organization. There are many variations in how to use this methodology, and the data can be analysed quantitatively or qualitatively, depending on the survey objectives and design. The intent here is to give practitioners an initial exposure to this type of methodology.

How to use it

The methodology involves developing a written standardized questionnaire to assess three levels of learning:

- > Level 1 – the knowledge of individuals or groups on a particular topic
- > Level 2 – the change in attitudes as a consequence of acquiring the knowledge
- > Level 3 – the change in practices as a consequence of applying the knowledge.

Following are some sample questions that can shape a KAP survey:**Knowledge**

- 1) Are you familiar with the following topic?
- 2) How would you rate your understanding of the topic after attending the training/learning initiative?
(1= none; 2= low; 3=medium; 4=high; 5= very high)

Attitudes

- 3) Do you think the information provided in the training is useful to your work?
- 4) Is this knowledge influencing your behaviour? How?

Practices

- 5) Are you practising what you learned?
- 6) Are you using the knowledge that you learned from the learning initiative? Can you provide examples?

To read more on KAP surveys, please refer to: http://www.anthropologymatters.com/index.php?journal=anth_matters&page=article&op=viewArticle&path%5B%5D=31&path%5B%5D=53
http://www.stoptb.org/assets/documents/resources/publications/acsm/ACSM_KAP%20GUIDE.pdf

TOOL

14

CHECKLIST FOR SUSTAINABILITY

When to use it

For designing and implementing sustainable projects and programmes in countries

DESIGN AND FORMULATION STAGES	YES	NO	HOW?
1. HAVE WE IDENTIFIED IMPORTANT NATIONAL/ LOCAL ACTORS AND THEIR EXPECTATIONS?			
2. HAVE WE ANALYSED JOINTLY WITH NATIONAL/LOCAL ACTORS THE VARIOUS INTERESTS, OPPORTUNITIES AND RISKS AT POLICY AND ORGANIZATIONAL LEVELS?			
3. HAVE WE EXAMINED THE EXISTING CAPACITIES AT THE POLICY ENABLING ENVIRONMENT, ORGANIZATIONAL AND INDIVIDUAL LEVELS?			
4. HAVE WE ACTIVELY INVOLVED NATIONAL/LOCAL ACTORS IN ANALYSING THE SITUATION AND DESIGNING THE PROJECT/PROGRAMME?			
5. HAVE WE JOINTLY AGREED WITH NATIONAL/LOCAL ACTORS ON OBJECTIVES AND MODALITIES OF INTERVENTION?			
6. DO WE HAVE THE INSTRUMENTS TO MONITOR AND STEER THE PROJECT/ PROGRAMME WITH SELECTED NATIONAL/LOCAL ACTORS?			
7. HAVE WE EMBEDDED AN EXIT STRATEGY OR AN AFTER-PROJECT VISION IN OUR PROJECT/PROGRAMME CLARIFYING THE HAND-OVER MECHANISMS AND THE LEVEL OF COMMITMENT OF NATIONAL/LOCAL ACTORS?			
8. HAVE WE ADEQUATELY CONSIDERED CONDITIONS AND CONSTRAINTS FOR IMPLEMENTATION?			
9. HAVE WE ANCHORED PROJECT/PROGRAMME ACTIVITIES INTO NATIONAL/LOCAL INSTITUTIONS?			
10. HAVE WE ANCHORED PROJECT/PROGRAMME ACTIVITIES IN EXISTING NATIONAL/LOCAL PROCESSES?			
11. IS OUR PROJECT/PROGRAMME BUILDING ON PREVIOUS INTERVENTIONS IN THE SAME AREA?			
12. EVEN IF OUR INTERVENTION IS TARGETING ONE DIMENSION (E.G. POLICY, ORGANIZATIONAL OR INDIVIDUAL LEVEL), ARE WE AWARE OF THE "COMPLEMENTARY" MEASURES OF OTHER ACTORS IN OTHER DIMENSIONS?			
IMPLEMENTATION			
13. HAVE WE CREATED MECHANISMS FOR CORRECTION, ADJUSTMENT AND RE-PLANNING DURING IMPLEMENTATION?			
14. HAVE WE DEVELOPED LINKAGES BETWEEN INSTITUTIONS?			
15. DO KEY ACTORS AND RELEVANT ORGANIZATIONS AT THE NATIONAL LEVEL HAVE THE CAPACITIES TO CONTINUE THE ACTIVITIES?			
16. HAVE WE DEVELOPED ENOUGH CAPACITIES AT THE DECENTRALIZED LEVEL?			
17. HAVE OUR PROJECT/PROGRAMME ACTIVITIES ENCOURAGED THE CREATION OF FORMAL/INFORMAL NETWORKS?			
18. EVEN IF OUR INTERVENTION IS TARGETING ONE DIMENSION, ARE WE COORDINATING OUR ACTIVITIES WITH THOSE OF OTHER ACTORS WORKING IN OTHER DIMENSIONS?			
19. ARE WE CARRYING OUT THE NECESSARY TRANSITION ACTIVITIES AS ENVISAGED IN THE EXIT STRATEGY/AFTER-PROJECT VISION?			

TOOL

15

TEMPLATE FOR CAPACITY ASSESSMENT PLANNING

WHAT TOOLS WILL YOU USE? CONFIRM WHETHER YOU WILL USE THE THREE BASIC TOOLS OR OTHERS CONSIDERING THE TIME AND RESOURCES REQUIRED.	<p>Examples:</p> <ul style="list-style-type: none"> > Problem Tree (tool 9) > Stakeholder mapping (tool 1) > Capacity Assessment Matrix (tool 5D) > Others (tools 6 and 7)
WHAT QUESTIONS WOULD YOU ASK ABOUT THE THREE DIMENSIONS? (SEE TOOL 5)	<ul style="list-style-type: none"> > Enabling Environment <ol style="list-style-type: none"> 1. 2. > Organizations <ol style="list-style-type: none"> 1. 2. > Individuals <ol style="list-style-type: none"> 1. 2.
WHAT STAKEHOLDERS WILL BE ASSESSED? WHAT QUESTIONS PERTAIN TO WHICH STAKEHOLDERS?	

<p>WHO WILL CARRY OUT THE ASSESSMENT (WHO IS ON THE ASSESSMENT TEAM)?</p>	
<p>WHAT APPROACHES WILL YOU USE TO CARRY OUT THE ASSESSMENT ?</p>	<ul style="list-style-type: none"> > Desk review > Focus groups > Interviews > Surveys > other
<p>HOW WILL THE FINDINGS OF THE ASSESSMENT BE SUMMARIZED? HOW WILL ACTION BE TAKEN ON THEM ? IT IS NECESSARY TO VERIFY HOW THE FINDINGS FROM CAPACITY QUESTIONS WILL BE USED.</p>	<p>Examples :</p> <ul style="list-style-type: none"> > Project team, Assessment team or FAO consultant analyzes the findings, runs a validation workshop with stakeholders and writes a final report summarizing the findings by capacity dimension, highlighting the priority areas to address and the possible actions to address the gaps. > Project team, Assessment team or FAO consultant analyzes the findings, runs a validation workshop with stakeholders and writes a project proposal for a donor.

EXAMPLES OF CAPACITY-RELATED OUTCOMES IN FOOD SECURITY AND NUTRITION AT COUNTRY LEVEL

CAPACITY DEVELOPMENT DIMENSIONS	EXAMPLES OF CAPACITY-RELATED OUTCOMES
INDIVIDUAL: INDIVIDUALS APPLY NEW SKILLS KNOWLEDGE	<ul style="list-style-type: none"> > New food security and nutrition-related skills or knowledge applied by technical staff of ministries, practitioners and policy-makers > Local and national leaders include food security and nutrition in national plans > Individuals regularly apply skills to network, partner and collaborate with food security and nutrition stakeholders > Individuals apply new techniques for conducting food security and nutrition assessments
ORGANIZATIONAL: ORGANIZATIONS PERFORM BETTER THROUGH ADOPTING ROLES, RESPONSIBILITIES, PROCESSES, PROCEDURES AND STRATEGIES, WHILE COLLABORATING EFFECTIVELY IN NETWORKS, FORMAL AND INFORMAL PARTNERSHIPS	<ul style="list-style-type: none"> > Agencies or organizations collaborate more effectively to formulate and implement food security and nutrition policies > Effective knowledge-sharing mechanisms in place among relevant ministries or organizations > New formal partnership agreements between ministries and civil society organizations operationalized > New systems and processes operational for food security information systems or programme management in national organizations > Organization's services enhanced as a result of new vision, mandate and priorities > Data on food security and nutrition issues are collected by national institute of statistics and disseminated to inform policy decisions
ENABLING ENVIRONMENT: THE ENABLING ENVIRONMENT IS CONDUCTIVE TO THE INTENDED IMPACT INCLUDING BROADLY ACCEPTED POLICIES AND LAWS, MULTI-STAKEHOLDER PARTICIPATION PROCESSES AND POLITICAL WILL FOR EFFECTIVE IMPLEMENTATION	<ul style="list-style-type: none"> > Food security and nutrition policies and legal frameworks implemented > Effective and inclusive multi-stakeholder platforms in food security and nutrition sector planning and implementation processes in place > Recommendations from policy reviews and needs assessments reflected in new policies > National policy implementation agenda aligned with roadmap on food security and nutrition > Financial provision for food security and nutrition policy implementation allocated within national budget

EXAMPLES OF CAPACITY-RELATED OUTPUTS IN FOOD SECURITY AND NUTRITION AT COUNTRY LEVEL

CAPACITY DEVELOPMENT	EXAMPLES OF CAPACITY-RELATED OUTCOMES
INDIVIDUAL: INDIVIDUALS ACQUIRE NEW SKILLS KNOWLEDGE	<ul style="list-style-type: none"> > New skills, knowledge on food security and nutrition issues acquired by technical staff of ministries, producers and policy makers > Awareness of local/national leaders on food security and nutrition issues increased > Individual skills strengthened in networking, partnering and collaboration between food security and nutrition stakeholders > Improved confidence of ministry staff to apply new techniques for conducting food security and nutrition assessments
ORGANIZATIONAL: ORGANIZATIONS' CAPACITY TO PERFORM AND DELIVER IS STRENGTHENED	<ul style="list-style-type: none"> > Roles and responsibilities clarified among different stakeholders for the formulation and implementation of food security and nutrition policies > Improved knowledge-sharing mechanisms defined among national ministries in areas relevant to food security and nutrition > Mechanisms established to improve partnering capacities among ministries and civil society organizations > New systems and processes defined in agencies for food security information systems or programme management > Organizational visions, mandates and priorities reviewed, defined or revised > Data collection mechanisms for food security at national and regional level established/enhanced
ENABLING ENVIRONMENT: PRELIMINARY RESULTS TOWARDS AN ENABLING ENVIRONMENT CONDUCIVE TO THE INTENDED IMPACT INCLUDING BROADLY ACCEPTED POLICIES AND LAWS, MULTI-STAKEHOLDER PARTICIPATION PROCESSES AND POLITICAL WILL FOR EFFECTIVE IMPLEMENTATION	<ul style="list-style-type: none"> > Food security and nutrition policies and legal frameworks formulated, approved or adopted > Multi-stakeholder participatory processes to reform legal and policy framework established > Policy needs assessment in food security and nutrition jointly designed and conducted with all stakeholders > Consensus of key decision-makers reached on national food security and nutrition roadmap > Political commitment to newly established food security processes formalized (e.g. through official declaration, minister or presidential speech, sectoral budget allocation)

EXAMPLES OF CAPACITY-RELATED INDICATORS IN FOOD SECURITY AND NUTRITION AT COUNTRY LEVEL

CAPACITY DEVELOPMENT	EXAMPLES OF CAPACITY-RELATED INDICATORS
OUTCOMES	<p>Individuals</p> <ul style="list-style-type: none"> > Proportion of producers who changed their practices or behaviours by date x > Number of national /local ministries staff adopting new food security and nutrition standards in their day-to-day work by date x <p>Organizations</p> <ul style="list-style-type: none"> > Quality of producer organization's service delivery to clients or members improved as a result of revised mandates or improved management practices (e.g. operating procedures, monitoring and evaluation frameworks etc) by date x > Number of policy decisions informed by newly collected food security data by date x > Satisfaction with level of information and knowledge shared among relevant food security ministries or organizations by date x > Number of guidance material locally issued on food security-related and project management by date x <p>Enabling environment</p> <ul style="list-style-type: none"> > Number of new food security and nutrition policies, plans or programmes implemented by date x > Quality of food security-related legal frameworks, policy frameworks or strategies adopted or implemented by date x > Amount of national budget allocated to food security programmes by date x > Level of participation in food security sector planning processes by date x
OUTPUTS	<p>Individuals</p> <ul style="list-style-type: none"> > Number of producers who can demonstrate knowledge of food security-related issues by date x > Number / proportion of individuals who feel confident to conduct a food security and nutrition assessment by date x > Extent to which participants have changed their own perceptions on the importance of food security issues by date x > Number / percentage of individuals who feel confident to disseminate / teach new food security methods to their peers by date x <p>Organizations</p> <ul style="list-style-type: none"> > Number of organizational plans, processes or regulations produced by date x > Number of organizations that identified or revised own goals, objectives and priorities in areas relevant to food security by date x > Number / frequency of inter-ministerial coordination meetings held by date x > Number and / or quality of partnerships among organizations established by date x <p>Enabling environment</p> <ul style="list-style-type: none"> > Number of food security and nutrition policies and legal frameworks reviewed, formulated, or approved by date x > Level of gender representation in multi-stakeholder platforms for food security and nutrition policy discussions by date x > Multi-stakeholder forum or platform for policy discussion established by date x > Ground rules on inclusive participation in multi-stakeholder forums formulated by date x

TOOL

17

GUIDED CAPACITY-FOCUSED RESULTS CHAIN

A results chain is a logical chain of results designed to achieve an overall longer-term objective or goal. This example of a CD-focused results chain shows the intended results of a programme or project at all levels from impact through activities. Questions are embedded within it to guide the formulation of all levels of the results chain with a CD focus. At each level, assumptions and risks should be formulated; the higher you move up the hierarchy, the more you will need to make and monitor realistic assumptions.

RESULTS CHAIN	DESCRIPTION	DESCRIPTION OF INDICATORS	ASSUMPTIONS/ RISKS
Impact: Is capacity development reflected in the goals formulated at international and national levels?	Long-term impact focusing on development results which implicitly or explicitly refer to overall capacity development of the country	National self-sufficiency in food production achieved	Development effectiveness principles applied (e.g. country ownership, mutual accountability) with strong political commitment

RESULTS CHAIN	DESCRIPTION	DESCRIPTION OF INDICATORS	ASSUMPTIONS/ RISKS
Outcomes: What are the potential changes in the medium term for the enabling environment, for organizations and for individuals? Outcomes: Which capacities will have to be developed to enable national organizations and individuals to deliver these outcomes?	What changes can we see in the way individuals or organizations do things differently or apply learning?	Individuals <ul style="list-style-type: none"> > Number of food producers who apply the new knowledge to increase food production > Number of farmers who changed their practices, behaviours > Number of farmers who are fully aware of climate-smart agriculture practices > Number of agriculture officers who perceive there are positive changes in agriculture practices > Number of national/local staff following new standards Organizations <ul style="list-style-type: none"> > Collaboration formally established among groups/ teams/different organizations > Leadership recognized > Improved management practices (e.g. decision-making, coordination meetings, M&E) > Consensus reached among different agencies on important topics > Number of communities that can develop an action plan > Number of national/local leaders who report increased motivation in supporting a particular topic > Quality of services provided by relevant bodies > Clear governance for relevant organizations > Improved information sharing among organizations Enabling environment <ul style="list-style-type: none"> > New policies, plans and programmes adopted > New policies and strategies implemented > Quality and appropriateness of policies > Amount of national budgets 	What external factors are important to ensure that the envisaged capacity-development process takes place? What may hinder the national partners to make use of their strengthened capacities to contribute to the achievement of development goals? How do the efforts of national stakeholders affect the capacity-development processes?

RESULTS CHAIN	DESCRIPTION	DESCRIPTION OF INDICATORS	ASSUMPTIONS/ RISKS
Outputs: Which results are expected in the short term for the enabling environment, organizations and individuals through the implementation of programme activities?	Which individuals and organizations have learned from the activities?	Individuals <ul style="list-style-type: none"> > Number of food producers and farmers acquiring the new knowledge > Number of farmers and agriculture officers who are aware of new methods Organizations <ul style="list-style-type: none"> > Number and type of outputs produced (e.g. structures, plans, processes, regulations) > Processes created to increase consensus and foster coalition and networks > Goals, objectives and priorities of the organization clearly identified > Regular coordination meetings > Partnerships among organizations > Enabling environment > Policy review completed > Policy briefings completed > Forum for policy discussion created > Inter-institutional coordination meetings organized 	What may hinder the local partners from making use of their strengthened capacities in taking actions?

RESULTS CHAIN	DESCRIPTION	DESCRIPTION OF INDICATORS	ASSUMPTIONS/ RISKS
Activities: Which modalities are required to stimulate changes and learning at the individual, organizational and enabling environment levels?	What types of activities have been implemented to develop capacities at the individual, organizational or enabling environment levels?	Individuals <ul style="list-style-type: none"> > Structured learning initiatives and training programmes facilitated in the country/region > Communication and awareness-raising initiatives organized > Resource materials for learning and training developed Organizations <ul style="list-style-type: none"> > Technical and/ or functional support for organization development <ul style="list-style-type: none"> > Support to group formation > Facilitation of organization analysis > Facilitation of organization design > Facilitation of coordination meetings > Advocacy initiatives for partnership building > Facilitation of knowledge and experience exchange Enabling environment <ul style="list-style-type: none"> > Technical support for policy development/review provided > Technical support to national planning processes provided > Technical and expert consultations facilitated > Policy needs assessment jointly designed with national stakeholders 	What may hinder the local partners from making use of their strengthened capacities in taking actions?

FAO has adapted the 'balanced score card' methodology to assess and track performance of national authorities in terms of their commitment and capacity to act on food insecurity and malnutrition. The balanced score card is used widely by different organizations to inform management of areas in need of capacity development, and provides a tool for regularly monitoring progress towards implementing an organization's corporate strategy. The resulting Food Security Commitment and Capacity Profile (FSCCP) provides a quick but comprehensive view of the level of commitment and capacity of national authorities regarding food and nutrition security.

The FSCCP captures the extent to which a country is committed and has the capacity to act upon food insecurity and malnutrition in four 'Essential Success Factors' or dimensions:

- 1) **Policies, programmes and legal frameworks:** i.e. the country has comprehensive policies/strategies and investment programmes – based on evidence, addressing underlying causes of food insecurity and adopting a twin-track approach – that is supported by a legal framework.
- 2) **Human and financial resources:** i.e. policies/strategies, programmes and legislation are translated into effective action through the allocation of the necessary financial and human resources and solid administrative capacity of governments.
- 3) **Governance, coordination mechanisms and partnerships:** i.e. government regards food and nutrition security as an interdisciplinary priority by setting up high-level inter-ministerial units responsible for the design, implementation and coordination of food and nutrition security responses, while ensuring accountability through its support to independent human rights institutions that provide people with means to file violations of the right to food. Further, government takes on a lead role in managing partnerships and coordinated action across a broad range of actors and sectors involved in food and nutrition security at national/decentralized levels, creating space for civil society participation.
- 4) **Evidenced-based decision-making:** i.e. decision-making on food and nutrition security draws on evidence generated through functional information systems set up to monitor trends, track and map actions, and assess impact in a manner that is timely and comprehensive, and allow lessons learned to be fed back into the policy process.

⁴⁵ <http://www.fao.org/3/a-i3998e.pdf>

Each of the four dimensions is represented by four indicators to allow the extent to which the essential success factors are present in a given country to be measured.

1) Policies, programmes and legal frameworks:

- i. Existence of a current national cross- or multi-sectoral policy/strategy which includes an explicit objective to improve food security and/or nutrition;
- ii. Existence of a national government cross- or multi-sectoral investment programme that addresses food security and/or nutrition;
- iii. Comprehensive government response; and
- iv. Constitutional guarantee of the Right to Food.

2) Human and financial resources:

- i. Adequacy of public expenditure on food and nutrition security;
- ii. Adequacy of government human resources dedicated to food and nutrition security;
- iii. Adequacy of food security/nutrition knowledge enhancement efforts; and
- iv. Effective resource use.

3) Governance, coordination mechanisms and partnerships:

- i. Existence of a high-level inter-ministerial food and nutrition security mechanism;
- ii. Accountability mechanism;
- iii. Existence of well-functioning governmental coordination mechanisms to address food and nutrition security; and
- iv. Multi-stakeholder participation and civil society engagement.

4) Evidenced-based decision-making:

- i. Existence of well-functioning and comprehensive national food and nutrition security information system;
- ii. Existence of well-functioning mapping system of food and nutrition security action;
- iii. Existence of well-functioning government structures for regular monitoring and evaluating of food and nutrition security policies/strategies and national programmes; and
- iv. Informed decision-making.

Each of the four dimensions will be classified according to **five broad categories of levels of commitment and capacity**: high, moderate-high, moderate-low, low and no/negligible. Classification is done on the basis of the scores given to the four indicators that represent each dimension. Scoring is done through primary and secondary data. The outcome is a country commitment and capacity profile, which provides a narrative of the four dimensions.

When to use it

The country commitment and capacity profile can be used in different ways:

- > To inform dialogue between national authorities and development partners on strengthening the enabling environment for food security and nutrition and prioritizing investments
- > To monitor public performance on improving food security and nutrition over time
- > To monitor capacity-development efforts of projects/programmes aimed at strengthening the enabling environment of governments for food security and nutrition.

The benefits of using FSCCP in FAO's CD interventions

- > It helps identify gaps in the enabling environment in need for capacity development
- > It contributes to assessing the impact of capacity development efforts

How to use it

The FSCCP dimensions are classified in broad categories of levels of commitment and capacity on the basis of the scores given to the indicators within each dimension, using primary and secondary data collection. The FSCCP includes the following main data sources, by dimension:

- > **Dimension 1 (policies, programmes and legislation):** Key policy/strategy documents related to agriculture, food security, nutrition and national development/poverty, programme documents of government national food and/or nutrition programmes, FAOLEX and UN treaty series website
- > **Dimension 2 (human and financial resources):** FAOSTAT, World Bank Atlas of Social Protection, National MDG progress reports, the MDG monitoring website, World Bank Worldwide Governance Indicators and expert opinion survey
- > **Dimension 3 (governance, coordination mechanisms and partnerships):** Expert opinion survey
- > **Dimension 4 (evidenced-based decision-making):** Expert opinion survey

Primary data are collected through an expert opinion survey, using a structured questionnaire with

questions and statements, allowing respondents to indicate which statement is best applicable to their country. The respondents will include a selected number of experts working on food security and nutrition in the country and representing government, UNDG Technical Cooperation agencies, international donors/financial institutions, research institutions/academia, civil society and the private sector.

The expert opinion survey and the secondary data provide the basis for the profile; they determine which score is given to each of the 16 indicators. All indicators use a 0 to 1 scale, with 1 being high and 0 low/negligible. Ideally, the final scoring within the FSSCP is expected to foster dialogue among key actors involved in food security and nutrition in the country. Upon completion of data collection, the draft profile may be shared and discussed in a meeting (or series of meetings) in order to build a dialogue process on the outcomes and enhance ownership by national stakeholders.

1. Respecting ownership and nurturing leadership

Understand and stimulate ownership and leadership as key drivers for motivation and for initiating the necessary changes in the area of capacity development.

- > Does the programme respect and support ownership of national/local actors? How?
- > Does the programme nurture champions to take the lead in CD processes?

2. Understanding the context

Each region and country has a unique environment providing the base for capacity to emerge and develop. Understanding this context and the dynamics at work is key for supporting organizations and individuals in their capacity-development efforts.

- > Which contextual factors influence CD processes (e.g. fragile state, new economy, transition economy, developed country)?
- > What existing assets and contextual factors are involved (e.g. economic, social, political, cultural, physical, natural)?

3. Analysing the existing capacities

It is important to analyse existing capacities so that a tailored intervention can be designed. Such an analysis has to address the various dimensions and different types of capacities and include the dynamics prevailing in the system.

- > What capacities are needed in this context?

- > Which dimensions of the capacity framework need strategic actions (e.g. for the enabling environment – legislation or administration; for organizations – systems, structures or processes; for individuals – skills and competencies)?
- > What functional (e.g. policy, knowledge, partnering, implementation) or technical capacities need improvement?

4. Enhancing the active participation of national/local stakeholders in the planning process

Cooperation with national and local stakeholders and genuine participation ensure that the programme design and solutions are really appropriate to the local context and that after its completion, the programme can be handed over to partners who have the capacity to follow up or scale up the programme.

- > Does the programme actively involve national/local stakeholders (including local consultants) in planning and implementation processes so that their capacities are strengthened?
- > Does the programme ensure that local champions are involved throughout the programme cycle?

5. Defining the problem to be solved in terms of capacity

As a proper problem analysis is the base for defining objectives and selecting appropriate alternatives, it is crucial to define problems from a capacity-development perspective. We need to understand how development problems (e.g. biodiversity conservation, sustainable management of agriculture, climate-change adaptation, disaster risk management) are linked with existing capacities of individuals, organizations and the enabling environment.

- > Do the existing levels of capacity for the enabling environment, organizations and individuals affect the identified problems?
- > Can the programme ensure that the definitions of problems and the identification of causes reflect the different dimensions of capacities at various levels?
- > Which lack of capacity contributes to the prevalence of the problem?

6. Identifying potential solutions

When identifying potential solutions to the analysed problems (e.g. improving extension services, strengthening capacities of local communities for community-based resource management, improving coordination mechanisms across sectors), the intervention has to anticipate how these solutions will contribute to strengthening capacities of relevant actors and organizations, or the enabling environment.

- > Will the identified solutions contribute to developing the capacities of individuals and organizations, and the enabling environment?

7. Designing an exit strategy

When designing interventions, it is important to consider their sustainability and how the programme can be handed over at the end of the period.

- > What is the level of commitment from national stakeholders to continue activities?
- > What types of capacities need to be strengthened to ensure the sustainability of the programme?
- > Who will take up the activities when the programme ends?
- > What is the hand-over mechanism?

8. Selecting a collaborative implementation methodology and approach to promote learning

Selecting a collaborative implementation methodology and approach to promote learning

- > Do programme activities build on existing procedures, methodologies and potentials?
- > Do implementation procedures ensure the strengthening of core competencies for the actors involved in the process?
- > What are the key modalities of intervention that stimulate learning and change?

9. Defining the programme objective (outcome), outputs, activities, risks and assumptions

As capacity development involves dynamic processes, it is crucial to agree with partners about intended capacity outcomes and clarify the processes and outputs contributing to the intended outcomes. It is also important to focus on logically planned results and be aware of results emerging in the course of a programme so that these insights can be used to continuously steer the process to ensure capacity development. As capacity development involves interactions among multiple actors, organizations and the surrounding environment, it is important to carefully monitor risks and assumptions and use these to modify the programme.

- > Are the programme objectives or outcomes capacity-focused? Are partners in agreement about them?
- > Do the outputs reflect capacity-development aspects?
- > Whose capacity is developed and which dimension is targeted?
- > What capacity is developed (e.g. functional or technical capacities)?
- > How is capacity developed (e.g. processes and/or products)?
- > Are risks and assumptions realistically identified?

10. Composing the implementation and management team

Ownership and leadership are substantially enhanced when the implementation and management team includes local actors who participate fully in the decision-making processes.

- > Are national/local actors/organizations actively involved in programme/project activities?
- > Does the programme strengthen their management and implementation capacities in order to ensure future sustainability?

11. Budgeting

In order to contribute to sustainable CD, capacity-development efforts must be reflected in budget allocations, and a substantial amount of the programme budget must be invested in processes that support CD interventions.

- > Are sufficient funds allocated for capacity-development measures and processes?

12. Monitoring and evaluation process

A capacity-focused M&E system should be used in any development programme, not just in programmes which explicitly address capacity issues.

Monitoring is a continuous process of collecting data on the specified outputs and outcomes to show whether the programme is moving in the right direction. Through a capacity-focused monitoring approach, the programme's team observes to what extent a programme's outputs contribute to strengthening capacities of national actors (individuals and organizations) and proposes corrective paths if the capacities are weakened or if the programme is not strengthening the capacities as intended.

Evaluation is a periodic assessment of programme performance based on specified indicators. A capacity-focused evaluation process uses methods to assess the effects on the capacities of national actors/organizations and the achievement of the outcomes. It also measures how the programme's outputs have affected the different dimensions and types of capacities. Defining indicators to measure progress is part of the planning process. As much as possible, the indicators must be capacity-disaggregated according to the type and level of capacities that are targeted.

- > Are capacity outcomes and indicators formulated?
- > Does the programme monitor unexpected effects on capacities?
- > Does the programme ensure that decisions and steering processes are based on monitoring data?
- > Is evaluation paying sufficient attention to capacity-development aspects?

13. Disseminating findings

In order to institutionalize learning within the country and within FAO and to influence donors and policy-makers to strengthen capacity development, appropriate mechanisms to share knowledge have to be in place from the very beginning. The dissemination of programme results and findings inside FAO and with external development partners should highlight the differential impact of the programme on country capacities in terms of new products and new processes stimulated in countries.

- > How are projects/programmes insights gained, documented and shared within the programme as well as with external partners?

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Recommended websites

- > **Capacity.org** <http://www.capacity.org>
- > **European Centre for Development Policy Management (ECPDM)** <http://www.ecdpm.org/>
- > **FAO** <http://www.fao.org/capacity-development/en/>
<http://www.fao.org/participation>
<http://www.kstoolkit.org>
<http://www.fao.org/easypol/output/>
- > **Impact Alliance** <http://www.impactalliance.org>
- > **LenCD** <http://www.LenCD.org>
- > **OECD-DAC** <http://www.oecd.org> (under Governance and Development)
- > **Overseas Development Institute** <http://www.odi.org>
- > **The International Network on Conflict and Fragility** <http://www.oecd.org/dac/incaf>
- > **UNDP** <http://www.undp.org>
- > **WB Capacity Development Resource Centre** <http://go.worldbank.org/TFIPT5BOR0>
- > **World Bank Institute** <http://www.wbi.org>



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