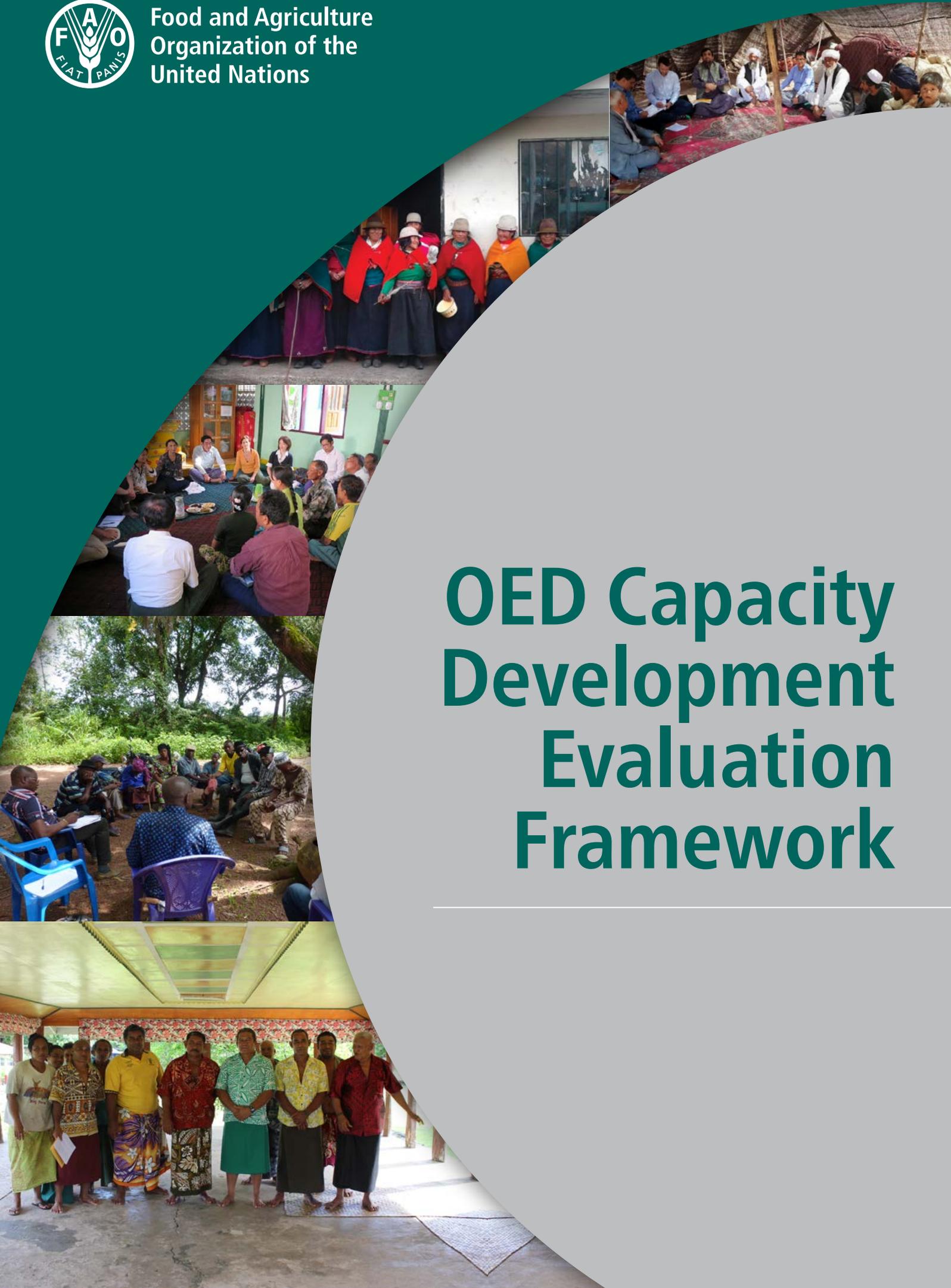




Food and Agriculture  
Organization of the  
United Nations



# OED Capacity Development Evaluation Framework



**OED GUIDANCE DOCUMENTS**

# **OED Capacity Development Evaluation Framework**

**FOOD AND AGRICULTURE ORGANIZATION OF THE UNITED NATIONS**  
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## **Acronyms and abbreviations**

CD	Capacity development
CDEF	Capacity Development Evaluation Framework
FAO	Food and Agriculture Organization of the United Nations
OED	Office of Evaluation
OPC	Partnerships, Advocacy and Capacity Development Division

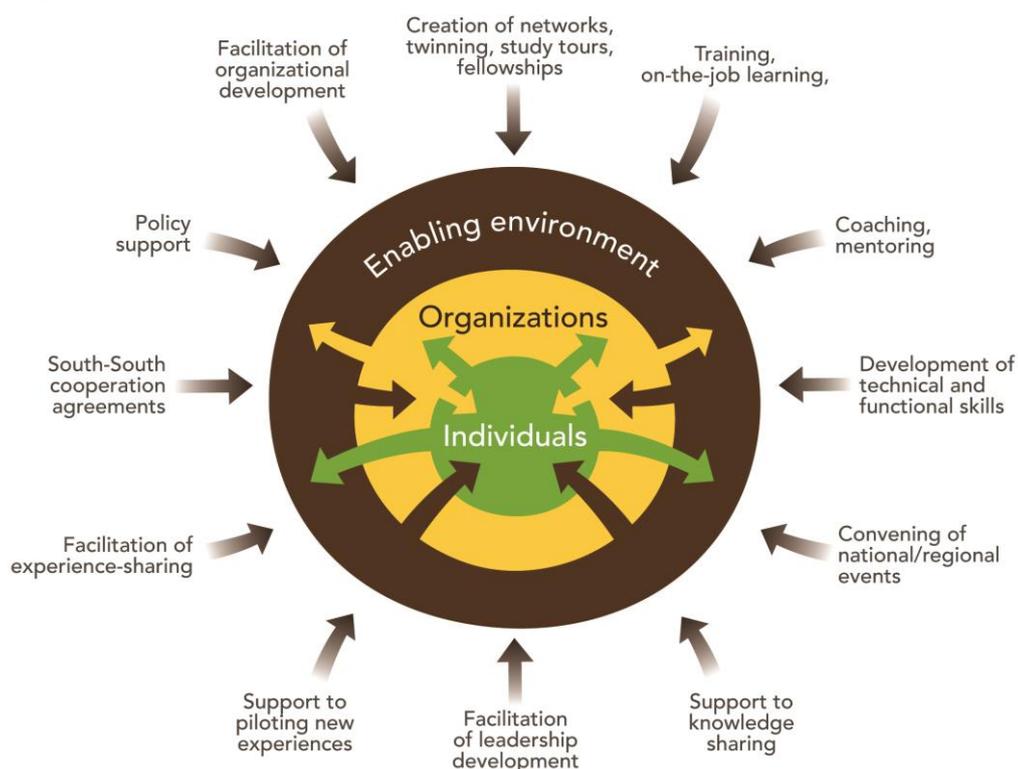
# 1. Introduction<sup>1</sup>

1. Capacity development (CD) has been a core function to achieve strategic results of the Food and Agriculture Organization of the United Nations (FAO) since its foundation in 1945. In line with development effectiveness principles, FAO recognizes that more effective CD enhances country-ownership, quality, sustainability and scale of intended results. Moreover, in FAO's Medium-Term Plan 2014-2017, over two-thirds of corporate results either implicitly or explicitly aim to enhance capacities within FAO member countries. Overall, FAO interventions have involved, implicitly and explicitly, aspects of capacity development at different levels. For example, FAO supports international efforts to defeat hunger by helping developing countries and countries in transition to modernize and improve agriculture, forestry and fisheries practices and ensure good nutrition and food security for all (FAO, 2015a).
2. Acknowledging the importance of CD in its work, in 2010 FAO launched its **Corporate Strategy on Capacity Development**.<sup>2</sup> The strategy presented three main elements: i) technical capacities; ii) functional capacities; and iii) three interdependent dimensions of capacity, namely the enabling environment, organizations and individuals. In addition, it placed emphasis on national ownership and nationally-led change processes, and highlighted the importance of using an integrated approach to address the three dimensions of capacity development. Each of these three dimensions works interdependently with the others and influences the overall impact of a CD intervention (see Chapter 2 for definition of three dimensions). As stated in FAO's CD framework *"Capacity development often involves enhancing the knowledge and skills of individuals whose work results greatly rely on the performance of the organizations in which they work. The enabling environment influences the effectiveness of organizations. Conversely, the environment is affected by organizations and the relationships between them"*.
3. Moreover, the strategy outlined other key improvements in FAO's approach to capacity development, such as: addressing "functional" capacities, as well as "technical" ones, that enable national actors to plan, lead, manage and sustain change initiatives in agriculture and rural development; promoting a sustained engagement in dialogue with CD partners and stakeholders in countries, regions, and globally; and applying longer-term approaches to interventions in country and (sub)regional programmes and/or projects. Figure 1 presents some of the key modalities used by FAO across the different dimensions.

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<sup>1</sup> The report was written by Lavinia Monforte (Evaluation Officer), Natalia Acosta (Evaluation Officer) Luisa Belli (Evaluation Officer) with contributions from Sally Berman (Capacity Development Officer) and Patrick Kalas Natural Resources Officer- Institutional and Capacity Development).

<sup>2</sup> <http://www.fao.org/3/a-k8908e.pdf>

**Figure 1: Key CD modalities used by FAO**

Source: FAO CD Learning Module 1 (2015a)

4. As part of the strategy's implementation plan, a series of actions around five areas were carried out to enhance FAO's core function on CD.<sup>3</sup> The Partnerships, Advocacy and Capacity Development Division (OPC) and the Interdepartmental Working Group (IDWG) on Capacity Development were established to lead and guide the implementation of FAO's Corporate Strategy on CD. This unit has led the development of FAO's CD learning modules and guidance documents,<sup>4</sup> has organized several workshops on CD aimed at strengthening FAO's staff knowledge and capacity on the design and implementation of successful CD interventions and serves as the corporate quality assurance unit for the Project and Programme Review Committee (PPRC) assessing all extrabudgetary projects of FAO.
5. In parallel, over the years, the FAO Office of Evaluation (OED) has gained extensive experience evaluating FAO's interventions on CD as part of its project, country programme and strategic-thematic evaluations. Different approaches and tools have been used to evaluate CD in FAO, based on the context and scope of the interventions under evaluation. Building on OED's valuable experience and the work carried out by OPC, OED decided to develop its "Capacity Development Evaluation Framework" (CDEF), with the purpose of harmonizing and improving OED's approach to assess CD. The

<sup>3</sup> These areas included: i) internal CD governance and coordination, ii) CD programming, iii) planning, monitoring and reporting mechanisms, iv) communication of the CD strategy, and iv) institutionalization of the CD function in FAO's human resources policies and procedures.

<sup>4</sup> <http://www.fao.org/capacity-development/resources/fao-learning-material/learning-modules/en/>

CDEF strongly builds on OED's past experiences, FAO's Strategy on CD and its capacity development framework, and the learning modules produced by OPC such as FAO's corporate good practices on monitoring and evaluation CD results (FAO, 2015b), as well as previous work on measuring the capacity and commitment to address food security and nutrition (FAO, 2014) and estimating FAO's contribution to CD within the strategic objectives (FAO, 2015c).

6. According to the 2017 Programme Evaluation Report, capacity development is a core modality of FAO support to countries. Among the programmes evaluated in the 2016/2017 biennium, the majority (63 percent) provided integrated capacity development support encompassing the individual, institutional and enabling environment levels, while about a quarter (24 percent) focused on individual trainings. There was a wealth of concrete evidence that capacity has been developed with various target groups. However, it was harder to identify long-term and higher-level impacts, such as on policy environment, institutional arrangements and knowledge systems.
7. Some factors that made the capacity development process successful were: greater use of local expertise and national institutions, working at multiple levels of influence, participatory needs' assessment across the individual and institutional levels, building a critical mass of trained personnel coupled with institutional capacity building, and post-training follow-up activities. On the other hand, weakening factors included: inadequate targeting, insufficient attention to capacity development needs at the subnational levels, focus on technical training with limited attention on operational and managerial aspects, focus on training individuals outside the institutional context where they need to use the acquired skills, lack of synergies and linkages with other initiatives and services, and inadequate resources planned for capacity development.

## **1.1 Purpose of the CD evaluation framework**

8. The present document serves as guidance on how OED evaluations can assess the processes and outcomes of FAO capacity development interventions. Although primarily targeting evaluation practitioners, the framework can be used by FAO staff engaged in project design and implementation as well as decentralized offices managing project reviews and evaluations.
9. While the first section of this document has described FAO's overall work in relation to CD, Chapter 2 presents key concepts and definitions. Next, the Chapter 3 introduces OED's intended contributions through a Capacity Development Evaluation Framework and provides guidance on how to use the CDEF. Appendices 1, 2, 3 and 4 present the CDEF matrix, questions, indicators and methodologies to be used by OED's evaluation managers, officers and consultants in conducting their evaluations. Finally, Appendix 5 presents tools, templates that can be used and approaches that should be considered in the evaluation process.



## 2. Basic concept and definitions

10. The key concepts and definitions relevant to this framework, are as follows:
  - i. **Capacity:** the ability of people, organizations and society as a whole to manage their affairs successfully (OECD, 2006).
  - ii. **Capacity development:** the process whereby people, organizations and society as a whole unleash, strengthen, create, adapt and maintain capacity over time (OECD, 2006, 2008).
  - iii. **Capacity development dimensions** (FAO Strategy on CD, 2010):
    - a. **Individual dimension** relates to the people involved in agriculture and rural development in terms of: knowledge, skill levels (technical and managerial), competencies, attitudes, behaviours and values that can be addressed through facilitation, training and competency development.
    - b. **Organizational dimension** relates to public and private organizations, civil society organizations, and networks of organizations involved in agriculture and rural development in terms of: i) strategic management functions, structures and relationships; ii) operational capacity (processes, systems, procedures, sanctions, incentives and values); iii) human and financial resources (policies, deployment and performance); iv) knowledge and information resources; and v) infrastructure.

The change in learning that occurs at individual level affects, from a results chain perspective, the changes at organizational level. An example can be the improvement in the use of databases or information systems for decision-making and partnership building effectiveness.
    - c. **Enabling environment dimension** refers to the context in which individuals and organizations work, including the political commitment and vision; policy, legal and economic frameworks and institutional set-up in the country; national public sector budget allocations and processes; governance and power structures; incentives and social norms; power structures and dynamics.

**Table 1: Capacity areas within the three dimensions**

<b>Individual</b>	Skills levels (technical and managerial skills) Competencies	Knowledge Attitudes, behaviours and values
<b>Organizations</b>	Mandates Horizontal and vertical coordination mechanisms Motivation and incentive systems Strategic leadership Inter/intra institutional linkages Programme management Multi-stakeholder processes	Organizational priorities Processes, systems and procedures Human and financial resources Knowledge and information sharing Infrastructure
<b>Enabling environment</b>	Policy and legal framework Political commitment and accountability framework Governance	Economic framework and national public budget allocations and power Legal, policy and political environment

Source: FAO CD Learning Module 2, pg. 14

- iv. **Technical capacities:** capacities that Member Countries need in the areas of food and agriculture to enable national and (sub)regional actors to carry out technical tasks to intensify production sustainably, manage natural resources, and eventually to improve food safety and security for all. These may include the Functional (FAO, 2015a).
- v. **Functional capacities:** capacities that Member Countries need to uptake and sustain changes in the agriculture and rural sector. In general, these include capacities relevant to individual and organizational effectiveness, such as management, leadership, budgeting, knowledge, information and communication technology and strategic planning, in addition to soft skills such as communication and advocacy. These skills are perceived to be a necessary complement to technical CD interventions as they empower the actors to effectively apply the new knowledge/skills and upscale the results of the intervention (FAO, 2015a).
- vi. **Outputs:** products or services produced or provided by the CD intervention (WB, 2012).
- vii. **Outcomes:** results or effects of outputs (WB, 2012), that are generally represented by changes. The World Bank "Guide to evaluating capacity development results" for example identify six standard intermediate capacity outcomes: i) raised awareness; ii) enhanced knowledge or skills; iii) improved consensus and teamwork; iv) strengthened coalitions; v) enhanced networks; and vi) new implementation know-how.

### 3. OED Capacity Development Evaluation Framework

11. Despite the progress made assessing capacity development in FAO, assessing its outcome still remains a challenge (FAO, 2015b). To further enhance the incorporation of a systematic approach to evaluate capacity development in FAO, the Office of Evaluation (OED) has developed its Capacity Development Evaluation Framework.

#### 3.1 How to use the framework

12. Integration of CD throughout all OED evaluations, through evaluation main questions and evaluation matrix, is mandatory. The framework mainly consists of:
  - i. **Overarching questions** (presented in Appendix 1) designed to ensure minimum requirements for assessing CD in evaluation are applied. It presents main questions and key aspects to look at.
  - ii. **Three tables** (Appendices 2, 3 and 4), one for each dimension proposed by FAO's CD framework, which identify specific aspects to be considered by evaluation managers and practitioner when assessing FAO's work on CD at project design, implementation and project closure, as well as at country level. The tables provide examples of evaluation questions, indicators, tools and methodologies<sup>5</sup> that can be used to assess specific CD aspects for the individual, organizational and environmental dimensions. It also offers suggestions on how to investigate interconnections among the three levels linking this to sustainability of results achieved. Furthermore, the tables separate questions and indicators to assess CD outputs and outcomes. The cross-cutting gender issue is captured in the evaluation questions and indicators proposed per dimension.
  - iii. **CD mapping tools and templates** (Appendix 5), that can be used during the evaluation design stage to unpack the CD component and during the investigation phase to map and identify under each dimension and capacity area, *inter alia*, the results of the intervention. It also presents **approaches** to be adopted during the evaluation process, i.e. the participatory approach as a means to develop capacities through the evaluation process itself and aspects to be considered such as the linkages between CD and **transformational change**.
13. The OED CD framework, both overarching questions in Appendix 1 and specific questions, indicators and methods in Appendices 2, 3, 4 and 5, are not meant to replace a results-oriented analysis but rather to enrich/complement the evaluation methodology chosen. It will be up to the

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<sup>5</sup> Examples of how the different proposed methodologies have been used to assess CD will be provided at a later stage. Meanwhile Appendices 2, 3 and 4 provide links to documents that present the methods suggested and how they have been used in the evaluation.

evaluation manager, and based on the needs of the evaluation, to decide whether a CD dedicated section should be included in the outline report or rather present the CD related analysis in the relevance and results sections.<sup>6</sup>

14. The specific steps on how to use the framework are provided below:
  - i. When drafting the Terms of Reference (TOR) the evaluation manager should make sure minimum requirements for assessing CD (Appendix 1) are applied.
  - ii. When designing the evaluation, the evaluator should first identify i) on which dimension(s) the intervention or "evaluand"<sup>7</sup> has focused on; ii) targeted client/s, their CD needs and interests; and iii) expected and unexpected CD activities results. CD mapping tools provided in Appendix 5 can be used for this purpose. Information should be collected through a desk review of project or programme documents, or scoping interviews with main stakeholders. A theory of change can also serve to capture the CD results chain. While carrying out the mapping exercise, evaluators should capture the interconnections among the three dimensions, identifying how one contributes or influences the others.
  - iii. Once the dimension(s) and information needs are identified, the evaluation manager or practitioner should check the example questions, indicators, tools and methodologies proposed in the CDEF matrix (Appendices 1,2,3 and 4) and select/adapt those which are relevant for the evaluation. The CD mapping template provided in Appendix 5 can be used during the investigation phase to map and present, *inter alia*, CD results and how they contribute to development outcomes.
  - iv. The evaluand should be involved in the evaluation process, in particular for the identification of what can be assessed and what could not, and most appropriate methods.

### 3.2 The CDEF Matrix

[See Appendices 1, 2, 3 and 4]

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<sup>6</sup> An option could also be to use in the evaluation report, the CD mapping template provided in Appendix 5, to present evaluation results (under each dimension and capacity area: Pre-existing situation; CD needs at intervention start; Targeted actors; Intervention modalities; Results of CD intervention; Contribution to development outcomes; Follow-up actions needed.)

<sup>7</sup> The subject of an evaluation, typically a program or system rather than a person.

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**PACT** Capacity Development Evaluation Framework <https://www.pactworld.org/>

**UNITAR**, Quality Assurance Framework

**UNITAR**, Guidance on Evaluating Application of Knowledge Skills Awareness and Attitudes

## Appendix 1. Minimum requirements for assessing CD in evaluation

1. Capacity development (CD) is a core function of the Food and Agriculture Organization of the United Nations (FAO) helping to achieve the sustainable delivery of FAO's strategic results within Member Countries and as such should be systematically assessed in all Office of Evaluation (OED) evaluations. General questions presented in the table below should be included in the Terms of Reference (TOR)/Evaluation Matrix as minimum requirement for mainstreaming CD.
2. The OED CD framework is not meant to replace a results-oriented analysis but rather to enrich/complement the evaluation methodology chosen. Integration of CD throughout all OED evaluations, through evaluation main questions and evaluation matrix, is mandatory. It will be up to the evaluation manager, and based on the needs of the evaluation, to decide whether a CD dedicated section should be included in the outline report or rather present the CD related analysis in the relevance and results sections.<sup>8</sup>
3. The underlying concept of FAO CD framework is that to achieve a long-lasting development of capacities and to obtain measurable impact and changes in peoples' lives CD needs to be addressed at all levels, individual, organizational and at enabling environment. Neglecting one level will undermine the effectiveness of the intervention.<sup>9</sup> The CDEF is therefore considering the three dimensions separately through dedicated indicators, questions and tools, but also looking at the balance among them, as well as to their interaction, interconnections and synergies (see interconnections at end of the matrices in Appendices 2, 3 and 4).<sup>10</sup>
4. When CD is not addressed at all levels, the evaluators should also investigate which interconnections and synergies the initiative should have generated to contribute to development results<sup>11</sup> and transformational change (see Appendix 5 for general introduction to the topic and Appendices 2,3 and 4 for some examples of questions and indicators - under outcomes and interconnections).<sup>12</sup>
5. The table below presents minimum requirements to systematically assess CD, main questions and key aspects to look at. Please refer to the detailed appendices for specific questions, indicators and tools that can be inserted into the evaluation matrix. It will be up to the evaluator or evaluation manager to select relevant questions, indicators and methods from Appendices 2, 3 and 4 and to adapt them to the evaluation. While developing the theory of change for the intervention, it is important to unpack the CD component to support the selection of adequate questions, indicators and tools to be included in the evaluation methodology (see Appendix 5 for CD mapping tools and the importance of adopting a participatory approach).

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<sup>8</sup> An option could also be to use in the evaluation report, the CD mapping template provided in appendix 5, to present key elements related to the CD component of the initiative been evaluated

<sup>9</sup> See appendix 5

<sup>10</sup> One for each FAO CD level

<sup>11</sup> It is crucial to establish causal-relationships between CD outcomes and development results.

<sup>12</sup> These will be further developed after the piloting phase through which practical examples will be collected.

<b>Evaluation question</b>	<b>What must we focus on?</b>
<b>DESIGN<sup>13</sup></b>	
<b>To what extent has the project [or programme or FAO] responded to identified capacity needs across the three CD dimensions [or only one or two], and how have they capitalized on existing capacities?</b>	<ul style="list-style-type: none"> <li>a) A participatory Capacity Needs Assessment (CNA) across the three CD levels (individual, organizational, enabling environment), or similar exercise, was conducted prior/during intervention design.</li> <li>b) The CNA includes gender/youth/indigenous population, and vulnerable groups, as relevant.</li> <li>c) The CNA, or any other preliminary assessment process, also accounts for existing capacities (institutional, organizational and individual) and to capitalize and harmonize on/with them.</li> </ul>
<b>INDIVIDUAL LEVEL</b>	
<b>To what extent did the intervention enhance target beneficiaries' functional and technical skills and their knowledge? [output - attribution]</b>	<ul style="list-style-type: none"> <li>a) Individuals targeted will likely act as agents of change within an organization [dissemination/adoption].</li> <li>b) Target participants (men and women) acquire new technical knowledge, skills (both technical and functional) and behaviours.</li> <li>c) Delivery: quality of the implementation modality adequate for the target audience/participants.</li> <li>d) Behavioural change.</li> <li>e) Follow-up: target participants are adopting new knowledge and skills in their work/daily activities.</li> <li>f) Factors facilitating or hindering quality training implementation.</li> </ul>
<b>Are target beneficiaries implementing/using them and demonstrate changes in attitudes and practices? [outcome - contribution]</b>	
<b>ORGANIZATIONAL LEVEL</b>	
<b>To what extent did the intervention contribute to improve the performance of the organization and promote institutional changes?</b>	<p>Contribution to:</p> <ul style="list-style-type: none"> <li>a) Improved organizational performance policies/strategies/programmes (against its goals).</li> <li>b) Improved internal organization (management, coordination, teamwork, behaviours).</li> <li>c) Flexibility in responding to changes in demands.</li> </ul>
<b>ENABLING ENVIRONMENT</b>	
<b>What are the outcomes at enabling environment level, within the intervention/CPF framework?</b>	<ul style="list-style-type: none"> <li>a) Awareness of main issues among stakeholders.</li> <li>b) Empowerment of governmental (including decentralized entities) and non-governmental actors.</li> <li>c) Multi-sectoral and cross-organizational mechanisms in place for policymaking.</li> <li>d) New/improved policies in place.</li> <li>e) Adequate allocation of resources and financing for the implementation of policies and policy/legal frameworks.</li> </ul> <p>Adequate accountability mechanism and monitoring frameworks to track policy implementation.</p>

<sup>13</sup> In CPEs, the evaluation team should assess whether: a) CD is mainstreamed in the CPF; b) a capacity assessment at country level was conducted and, in a participatory manner; c) FAO is supporting actors of change (see Appendix 2) in contributing to CD at organizational/enabling environment level.

### **SUSTAINABILITY/INTERCONNECTIOS**

**How sustainable are the achieved results on capacity development?**

**What mechanisms are in place to ensure sustainability?**

**To what extent the achievement of CD outputs and outcomes contributed to achieve development outcomes?**

**What transformational change the intervention has contributed to generate (or has the potential to) from its work on CD dimensions and the creation of virtuous interconnections?**

- a) The impact of results achieved at [insert the level/s] on the other levels of the FAO CD framework.
- b) Virtuous connections among the three levels established to ensure sustainability of results achieved.
- c) Participatory process across the intervention to ensure country/participants ownership.
- d) Positive contribution of CD on development results and on their sustainability.
- e) Evidence/preliminary signs of transformational changes that make (or have the potential to) a lasting difference to people's lives for the better.

## Appendix 2. Individual level

Design/Implementation		
Questions	Indicators <sup>14</sup>	Methodology/tools <sup>15</sup>
<p><u>Design:</u></p> <ol style="list-style-type: none"> <li>1. Was a Learning Needs Assessment (LNA)<sup>16</sup> conducted for target beneficiaries/participants?</li> <li>2. Did the project, programme or CD intervention take into account the needs and views of other relevant actors in its design? How was this process carried out? [<i>participation</i>]</li> <li>3. Are the areas targeted by the CD efforts (e.g. <i>technical skills and functional skills development in planning, budgeting, partnering, negotiating</i>) relevant to the specific sector and identified needs?</li> <li>4. Did the project identify existing capacities and institutions on which to build its capacity development efforts? If so, how?</li> <li>5. What selection criteria was used to select the project participants? Was this approach appropriate? [<i>Consider the need to include leaders and implementers</i>]</li> <li>6. Is the project targeting individuals with the potential of contributing to knowledge dissemination within the organization, adoption/implementation of new knowledge, skills, and behaviours by the institution? [<i>See also organizational level</i>]</li> <li>7. Was the project duration realistic to achieve the expected results and objectives at individual level?</li> <li>8. Did the trainings include a component on gender and youth issues to promote cultural change in the organization?</li> <li>9. Did the project results matrix include clear baselines (e.g. number of permanent staff vs. contract, level of knowledge and capacity at beginning of project) and objectives in line with assessed needs and risks?</li> </ol>	<p>Assessment by technical expert on the quality of the training:</p> <ol style="list-style-type: none"> <li>i) Composition of trainees groups in terms of beneficiaries' background, gender and role in the organization/household.</li> <li>ii) Type of new knowledge, skills and behaviours [<i>including both technical and functional<sup>17</sup> capacities</i>] included in trainings programmes compared with those identified in the LNA and/or considered relevant by the evaluation team.</li> <li>iii) Appropriate balance of technical and functional capacities to be enhanced have been selected and addressed in the CD programme.</li> <li>iv) Presence of components in the training addressing gender and youth issues.</li> </ol> <p><u>Verifiers:</u><sup>18</sup></p> <ul style="list-style-type: none"> <li>✓ Participants who like to act as agents of change within an organization [<i>e.g. those who have or will have (after the training) a key/stable position in the organization; working on specific areas which need to be strengthened inside the organization</i>] or appropriate to ensure uniform high quality of participants [<i>particularly in initiatives to train the trainers are targeted by the training programmes</i>].</li> <li>✓ At least x% of training participants are women.</li> <li>✓ The trainings address gender issues such as women role in the specific sector, women empowerment and participation in the decision-making process and other vulnerable groups issues.</li> <li>✓ The project has followed a participatory process in conducting the LNA and in designing capacity development tools at individual level.</li> </ul>	<ul style="list-style-type: none"> <li>➤ Desk analysis of i) the targeted participant selection process (including the profile of the participants and selection criteria); ii) the LNA and or/sector needs analysis if there is no CNA; iii) participants lists and attendance rates, if data is available or it is possible to ex-post reconstruct it.</li> <li>➤ Mapping and analysis of trainings programmes conducted by the project.</li> <li>➤ Interviews with key informants.</li> </ul>

<sup>14</sup> UNITAR quality assurance framework and indicators are here included and adapted.

<sup>15</sup> Through the tools mentioned below, the evaluation team should consult relevant key stakeholders [*in this case trainees, trainers, project team members, trainees supervisors, etc.*] making sure women/young are equally represented [*both those who participated and those who could have participated*].

<sup>16</sup> Guidance on how to conduct LNA is available on FAO Capacity Development Portal: <http://www.fao.org/capacity-development/resources/practical-tools/learning-needs/en/>

<sup>17</sup> Functional skills are those relevant to individual and organizational effectiveness, such as management, leadership, budgeting, knowledge, information and communication technology and strategic planning, in addition to soft skills such as communication and advocacy.

<sup>18</sup> Verifier: data or information that enhances the specificity or the ease of assessment of an indicator.

<p><b>Implementation:</b></p> <ol style="list-style-type: none"> <li>1. How was the training implemented/delivered? Was the quality/implementation modality adequate for the target audience/participants?</li> <li>2. What were the factors facilitating or hindering quality training implementation/delivery and learning processes?</li> <li>3. Did women and other vulnerable groups have equal access to learning opportunities during the training sessions?</li> <li>4. Were follow-up activities to the learning event planned and implemented?<sup>19</sup></li> </ol>	<ul style="list-style-type: none"> <li>➤ Factors facilitating/hindering learning during training implementation.<sup>20</sup></li> <li>➤ The degree to which participants find the training favourable, engaging and relevant to their jobs. [KPM level1]</li> <li>➤ The degree to which participants are actively involved in and contributing to the learning experience. [KPM level1]</li> <li>➤ The project has ensured women have the same learning space as men during the trainings.</li> <li>➤ Type and adequacy of activities to women and men different roles/responsibilities and cultural variables.</li> </ul>	<ul style="list-style-type: none"> <li>➤ Mapping and analysis of programme trainings conducted.</li> <li>➤ <a href="#">New World Kirkpatrick Model</a> (level 1 and 2).</li> <li>➤ <a href="#">KAP survey</a> (reconstruct the baseline through the survey itself if missing). Include perception and experience-based questions.</li> <li>➤ Should it not be possible to run a KAP survey, “key informant interviews” and “focus group discussions” should be designed after it.</li> </ul>
<b>Outputs</b>		
<b>Questions</b>	<b>Indicators</b>	<b>Methodology/tools</b>
<ol style="list-style-type: none"> <li>1. Did target participants acquire new technical knowledge, skills and behaviours? How many (men and women)?</li> <li>2. <i>If addressed by the CD intervention or relevant to the project:</i></li> <li>3. Have the targeted beneficiaries/participants improved their soft skills or functional capacities? [Please refer to appropriate skills set for the intervention. Examples might be: i) capacity to cooperate internally and with other organizations; ii) capacity to transfer knowledge internally and to other organizations active in the same sector; iii) capacity engagement in strategic and political processes; capacity to address/manage complexity; iv) others: negotiation, communication, partnering, etc.]</li> </ol>	<ul style="list-style-type: none"> <li>➤ Number or percentage of participants satisfied with the CD activities.</li> <li>➤ Number or percentage of participants that feel confident they acquired new skills (both technical and functional), knowledge, confidence and commitment [KPM level 2] (perception). [Analyse the indicator according to differences in the profile of the beneficiaries (gender, years of experience, years/role in the organization/household/etc.)]</li> <li>➤ Number or percentage of women/young participants that feel confident they acquired new skills (both technical and functional), knowledge (perception).</li> <li>➤ Qualitative reports from supervisors of training participants shows participants’ skills improvement (both technical and functional).</li> <li>➤ Type of new knowledge, skills and behaviours [including soft skills or functional capacities, if relevant] acquired by the participants, and their learning rating, compared with those identified in the CNA.</li> <li>➤ At least x% of women participants over total participants acquired new knowledge and skills.</li> </ul> <p><u>Verifiers:</u></p> <ul style="list-style-type: none"> <li>➤ At least x% of participants are satisfied with the programme, training and in general with the CD activities they were involved in.</li> <li>➤ At least x% of participants acquired the necessary knowledge and skills to ensure upscale of knowledge dissemination and adoption of skills learned.</li> <li>➤ At least x% of the subjects addressed during training were acquired by participants.</li> </ul>	<ul style="list-style-type: none"> <li>➤ New World Kirkpatrick Model (level 1 and 2).</li> <li>➤ KAP survey (reconstruct the baseline through the survey itself if missing). Include perception and experience-based questions.</li> <li>➤ Should it not be possible to run a KAP survey, “key informant interviews” and “focus group discussions” should be designed after it.</li> <li>➤ Pre/post-analysis (comparisons between actual level of knowledge/skills/behaviours and the level registered with the CNA and/or the reconstructed baseline through the KAP survey).</li> <li>➤ Direct observation/field visits.</li> </ul>
<b>Outcomes</b>		
<b>Questions</b>	<b>Indicators</b>	<b>Methodology/tools</b>
<ol style="list-style-type: none"> <li>1. Did key stakeholders show enhanced capacities (both technical and functional) in implementing [here insert reference to the appropriate skills set for the intervention]?</li> </ol>	<ul style="list-style-type: none"> <li>➤ Number or percentage of participants that demonstrate knowledge or skills (both technical and functional) in trained areas (validation of experience).</li> <li>➤ Examples of application of the new acquired knowledge and skills by</li> </ul>	<ul style="list-style-type: none"> <li>➤ KAP survey (reconstruct the baseline through the survey itself if missing). Include perception and experience-based questions.</li> <li>➤ Should it not be possible to run a KAP survey, “key informant interviews” and “focus group discussions” should be designed after</li> </ul>

<sup>19</sup> Guidance on follow-up activities to learning events to be found here: <http://www.fao.org/capacity-development/resources/practical-tools/follow-up/en/>

<sup>20</sup> The evaluation team should analyse all factors affecting training implementation, in consultation with training participants and their supervisors. In general, these are linked to: delivery mode and learning method, personal and context-related factors – see FAO learning module 3.

<ol style="list-style-type: none"> <li>2. Did the training activities contribute to the equal enhancement of knowledge, skills and behaviours of both women and men, taking into consideration particular characteristics of the sector and cultural variables?</li> <li>3. Which of the new skills learned are key stakeholders adopting more/less and why?</li> <li>4. What changes, in terms of attitudes and practices can be identified as a contribution from the CD intervention?<sup>21</sup></li> <li>5. To what extent targeted project/programme outcomes occur as a result of the training? [KPM level 4]</li> <li>6. Are individuals disseminating/sharing acquired knowledge and skills within [household or co-workers]?</li> <li>7. To what extent has the project contributed to enhance sustainability of knowledge dissemination [for example: training of trainers; trainings targeting both central and decentralized organization levels; inter-organizational trainings, etc.]?</li> </ol>	<p>participants (men and women) in their work.</p> <ul style="list-style-type: none"> <li>➤ Qualitative reports from supervisors of training participants shows participants' skills implementation.</li> <li>➤ Changes compared to the base scenario (frequency/magnitude) in the use of the different acquired skills.</li> <li>➤ Factors affecting the use of new acquired skills and knowledge. [Processes and systems that reinforce, encourage and reward performance of critical behaviours on the job – KPM level 3]</li> <li>➤ Degree of improvement of the quality of programmes, projects, plans, services delivered compared to the base scenario. [Critical behaviours are on track to create a positive impact on desired results – KPM level 4]</li> <li>➤ Degree of change compared to the base scenario (frequency/magnitude) on: i) productivity levels; ii) income; iii) creation of interest groups/associations; iv) effectiveness of adaptive measures implemented; v) women participation in the decision-making progress; vi) etc.</li> <li>➤ Number and type of new partnerships and collaborations [e.g. with and among food security and nutrition stakeholders] established as a result of the new acquired skills.</li> <li>➤ There is evidence that other people, not directly involved in trainings, are using knowledge and skills targeted by the project.</li> <li>➤ Type and adequacy of activities or mechanisms implemented by the project to ensure sustainability.</li> </ul>	<p>it.</p> <ul style="list-style-type: none"> <li>➤ New World Kirkpatrick Model (level 3 and 4).</li> <li>➤ Desk review and comparison with LNA or reconstructed baseline scenario of i) reports from supervisors of training participants; ii) any document available that can provide examples of the application/change in the use of new skills; iii) any service, plan, project, delivered by the trainees; iv) relevant norms/regulations.</li> <li>➤ <a href="#">Quantitative Comparative Analysis (QCA)</a> see also paper at this <a href="#">link</a>.</li> <li>➤ Mapping and analysis of trainings (or other formal/informal knowledge sharing events) launched by key stakeholders as a result of the project (if any).</li> <li>➤ Mapping of the coordination established between trainings and career advancement/development (include gender-disaggregated data and examples of professional career development).</li> <li>➤ <a href="#">Outcome mapping/Outcome harvesting</a>.</li> <li>➤ Direct observation/field visits.</li> </ul> <p>For impact assessment:</p> <ol style="list-style-type: none"> <li>a. In the existence of a baseline: <a href="#">Diff in Diff (DD)</a> and <a href="#">Propensity Score Matching (PSM)</a> methodologies.</li> <li>b. Without a baseline: try to explore (if any) the differences in the timing of trainings/workshops among beneficiaries.</li> </ol>
<b>Interconnections with other levels</b>		
<b>Questions</b>	<b>Indicators</b>	<b>Methodology/tools</b>
<ol style="list-style-type: none"> <li>1. What changes at community level can be observed as a result of the adoption of new skills/knowledge/behaviour acquire by targeted beneficiaries/participants (e.g. civil servants trained on community-based interventions)? [See organizational level]</li> <li>2. Do individuals have adequate support within their work environment to engage in learning events and put in practice their newly acquired skills? [See organization level/enabling environment]</li> <li>3. Do the trainees have the conditions to adopt new knowledge, skills and behaviours (changed regulations, plans, programmes, financial and technical support, and possibility to exchange on good practices)?</li> <li>4. To what extent did the adoption of new skills, knowledge and behaviours by targeted beneficiaries/participants have a positive impact at organizational and enabling environment level?</li> <li>5. Is the environment changed enough to enable women to implement and share new acquired knowledge and skills? [Link with enabling environment]</li> <li>6. Do people have a better understanding about the organizational issues, about how to prepare a strategic plan, etc.? [Link with organization level]</li> </ol>	<ul style="list-style-type: none"> <li>➤ Positive changes (skills, knowledge and behaviours) in individuals holding key positions contributed to changes at organizational level (the organization is better positioned and has better programmes in place to deliver and operate in the specific sector). [See organizational level]</li> <li>➤ Individuals can exchange their good practices in ad hoc established working groups.</li> <li>➤ Evidence of cultural change, triangulation of measures of cognitive, attitudinal and behavioural change in an organization or environment.</li> <li>➤ CD is embedded in the organization work plan and regular learning events are organized and implemented.</li> <li>➤ Financial resources are allocated to promote staff career development (by the organization or through a donor).</li> <li>➤ Factors affecting the use of new acquired skills and knowledge by women.</li> <li>➤ Changes on the cultural perception of women and/or in norms/regulations, give women enough "space" to implement acquired skills.</li> </ul>	<ul style="list-style-type: none"> <li>➤ Desk review and comparison with CNA or reconstructed baseline scenario of i) organization regulations/roadmaps/work plans; ii) knowledge material/databases if any;</li> <li>➤ KAP survey (reconstruct the baseline through the survey itself if missing). Include perception and experience-based questions.</li> <li>➤ Should it not be possible to run a KAP survey, "key informant interviews" and "focus group discussions" should be designed after it.</li> <li>➤ Direct observation/field visits.</li> </ul>

<sup>21</sup> Examples: more openness to team work and collaboration; improved social cohesion or collaboration among divisions (at institutional level); more openness and recognition by men on the importance of women's participation and contributions to decision-making processes; increased women participation in decision-making processes at local development committees, in farmer associations, schools and at household level.

## Appendix 3. Organizational level

Design/Implementation		
Questions	Indicators	Methodology/tools <sup>22</sup>
<p><u>Design:</u></p> <ol style="list-style-type: none"> <li>1. Was an organizational/institutional needs assessment across national and sub-national levels conducted?<sup>23</sup> If so, were the institutional needs (e.g. planning) linked to individual capacity enhancement plans?</li> <li>2. Was information on staff rotation and evolution captured as part of the needs assessment? [<i>Linked and important for the sustainability strategy</i>]</li> <li>3. Was the project duration realistic to achieve the expected results and objectives at institutional level?</li> </ol>	<p>Assessment by technical expert of the institutional needs assessment:</p> <ol style="list-style-type: none"> <li>i) Identification of main institutional needs against organization mandate.</li> <li>ii) Linkages with the individual capacity enhancement plans.</li> </ol> <p>The project design reflects the institutional needs assessment and context/time constrains</p>	<ul style="list-style-type: none"> <li>➤ Desk analysis of i) the institutional needs assessment; ii) individual capacity enhancement plans, if any; iii) institution charter and any other informative material (mandates, structure, systems, coordination mechanisms and main activities implemented).</li> <li>➤ Interviews with key informants.</li> </ul>
<p><u>Implementation:</u></p> <ol style="list-style-type: none"> <li>1. Did the project, during its implementation, respond in a flexible manner to new demands as a result of changes in leadership/management/others?</li> <li>2. Did the project, during its implementation, establish linkages with ongoing related projects financed by same/other partners?</li> </ol>	<ul style="list-style-type: none"> <li>➤ Satisfaction level of organization members in relation to the process followed by the project to improve mandates, structure and systems.</li> <li>➤ Number and synergies established by the project with other initiatives.</li> </ul>	<ul style="list-style-type: none"> <li>➤ Mapping and analysis of interventions conducted.</li> <li>➤ Perception<sup>24</sup> and experience-based<sup>25</sup> survey (reconstruct the baseline through the survey itself if missing).</li> <li>➤ Should it not be possible to run the survey, "key informant interviews" and "focus group discussions" should be designed after it.</li> </ul>

<sup>22</sup> Through the tools mentioned below, the evaluation team should consult relevant key stakeholders [*in this case trainees, trainers, project team members, trainees, supervisors, etc.*] making sure women/young are equally represented [*both those who participated and those who could have participated*].

<sup>23</sup> See more guidance on FAO's Learning Module "Organizational Analysis and Development" (<http://www.fao.org/3/a-i3538e.pdf>) and FAO's "Institutional capacity assessment approach for national adaptation planning in the agriculture sector" (<http://www.fao.org/3/i8900EN/i8900en.pdf>)

<sup>24</sup> This includes opinion-based questions (e.g. thinking about your daily work, how useful do you think the training was?).

<sup>25</sup> This includes questions exploring the occurrence and frequency of an event (e.g. how many times per week did you attend the training?).

Outputs		
Questions	Indicators	Methodology/tools
<ol style="list-style-type: none"> <li>1. How has the intervention/FAO contributed to improved mandates and systems in the hosting organizations (government institutions/farmer associations)? If so, which ones?</li> <li>2. How has the intervention/FAO contributed to improve organizational policies, strategies and programmes?</li> <li>3. How has the intervention/FAO contributed to improve the internal organization of the institution, its planning processes, horizontal (i.e. between sectors and stakeholders) and vertical (i.e. between national and sub-national levels) coordination, management and teamwork?</li> </ol>	<ul style="list-style-type: none"> <li>➤ Number and quality of improved mandates and systems in place [E.g. <i>strategic organizational plan or mandate, organizational priorities and objectives clearly identified based on needs</i>]</li> <li>➤ Quality and user-friendliness of the databases and/or the systems set with the project's support</li> <li>➤ Percentage or number and quality of key strategies/programmes developed with project support and/or as a result of the new acquired techniques [E.g. <i>organizational gender policy, improved food security or family farming programme</i>]</li> <li>➤ Number and quality of improved or developed work plans/actions plans.</li> <li>➤ Quality of the manuals, standard operating procedures (SOPs) and guidelines developed through the project.</li> <li>➤ Existence of an improved organizational structure (chart).</li> <li>➤ Clear Terms of Reference (TORs) and objectives for the organization and its various units</li> <li>➤ Clarity on roles and responsibilities by different staff involved.</li> <li>➤ Existence of consultative working group, with clearly defined mandate and/or TORs for decision-making.</li> <li>➤ Number and frequency of coordination meetings.</li> <li>➤ Level of participation of staff or stakeholders in the coordination meetings.</li> <li>➤ Existence of incentives for compliance in the organization.</li> </ul>	<ul style="list-style-type: none"> <li>➤ Perception and experience-based survey (reconstruct the baseline through the survey itself if missing). Include questions on coordination, management and teamwork.</li> <li>➤ Should it not be possible to run a survey, "key informant interviews" and "focus group discussions" should be designed after it.</li> <li>➤ Pre/post-analysis (mandates, systems, organizational policies, coordination mechanisms, strategies, programmes, planning processes, work plans, action plans, standard operating procedures, knowledge material produced if any).</li> <li>➤ Direct observation/field visits.</li> </ul>
Outcomes		
Questions	Indicators	Methodology/tools <sup>26</sup>
<ol style="list-style-type: none"> <li>1. At public sector level, have career/recruitment plans reflected the increase in capacity at individual level (e.g. increase in incentives/salaries or more visibility of career evolution)? [Related to the improvement of the 'professionalization' in the organization]</li> <li>2. Are the institutional strategies and programmes reaching and benefiting a wider group of beneficiaries (upscaling) as a result of the CD intervention? (<i>Distribution of services: serving more communities or locations</i>)</li> <li>3. Has there been any evolution or improvement in terms of strategies or programmes at the institutional level? (E.g. <i>due to the awareness raised there is an improvement in stakeholder ownership and financial allocation - budget to specific policy instruments targeted by the CD intervention</i>)</li> <li>4. Is the institution/organization providing better support</li> </ol>	<ul style="list-style-type: none"> <li>➤ Diffusion of know-how [E.g. <i>trained staff are delivering outputs as a direct result of the training</i>]</li> <li>➤ Examples on use of developed manuals, SOPs and guidelines.</li> <li>➤ Budget assigned and expenditure for the targeted institutional programmes and strategies.</li> <li>➤ Increase in beneficiaries and coverage [E.g. <i>number of regions and/or communities benefiting from the programmes</i>]</li> <li>➤ Changes seen in the framework: <ul style="list-style-type: none"> <li>✓ Improvements in existing institutional policies, programmes and strategies.</li> <li>✓ Number and quality of new strategies or programmes developed and under implementation.</li> <li>✓ Public budget assigned and expenditures for the targeted programmes and strategies.</li> </ul> </li> <li>➤ Perception on quality of services from i) programme beneficiaries – population; and ii) institutions staff.</li> <li>➤ Evidence of improved services provided to community members by</li> </ul>	<ul style="list-style-type: none"> <li>➤ <a href="#">KAP survey</a> (reconstruct the baseline through the survey itself if missing). Include perception and experience-based questions.</li> <li>➤ Should it not be possible to run a KAP survey, "key informant interviews" and "focus group discussions" should be designed after it.</li> <li>➤ Mapping and pre/post-analysis of projects/programmes/activities launched by the institution as a result of the project (attribution) or thanks to the contribution of the project to improved capacities/mandates/work plans/etc. [<i>Contribution</i>]</li> <li>➤ Desk review: i) budget assigned and expenditure for the targeted; ii) reports on the institutional outreach in terms of regional coverage and beneficiaries.</li> <li>➤ Mapping of the M&amp;E system in place and its use.</li> <li>➤ <a href="#">Quantitative Comparative Analysis (QCA)</a> see also paper at this <a href="#">link</a>.</li> <li>➤ <a href="#">Outcome mapping / Outcome harvesting</a>.</li> <li>➤ Direct observation/field visits.</li> <li>➤ Review of public development indicator (more for impact evaluations or CPEs).</li> </ul>

<sup>26</sup> See FAO's Learning Module 4 on OD for more possibilities <http://www.fao.org/3/a-i3538e.pdf>

<p>and services to the population as a result of the CD intervention? (<i>Quality of services: improved institutional support at field level</i>)</p> <p>5. Has the organization improved the M&amp;E of its programmes and strategies? (<i>E.g. actively collecting and analysing up-to date data on development goals and related indicators</i>)</p> <p>6. Have CD plans and M&amp;E tools been designed and its management embedded within the institutions (if beneficiary is public sector).</p>	<p>the organization [<i>E.g. more frequent visits to farmers, new, better or functioning extension service, more guidance provided</i>]</p> <ul style="list-style-type: none"> <li>➤ M&amp;E system in place including data collection systems [<i>E.g. information and early warnings system, food price monitoring and analysis tool, LAC food security scale</i>]</li> <li>➤ Public development indicators showing, for example, increase irrigation ha, increase in students attending schools, food security decrease.</li> <li>➤ Number of plans and M&amp;E tools in use in the organization.</li> </ul>	
<b>Interconnections with other levels</b>		
<b>Questions</b>	<b>Indicators</b>	<b>Methodology/tools</b>
<p>1. To what extent did positive changes at organizational level have a positive impact at individual and enabling environment level?</p> <p>2. Are their specific mechanisms in place to promote organizational learning starting from individuals perceptions/experiences? [<i>E.g. regular staff surveys to measure barriers, challenges and bottlenecks in the workplace – to use their new acquired skills.</i>] [<i>link with individual level</i>]</p> <p>3. Does the organization provide individuals the conditions (changed regulations, plans, programmes, financial and technical support, and possibility to exchange on good practices) to adopting new knowledge, skills and behaviours? [<i>Link with individual level</i>]</p> <p>4. Do people have a better understanding about the organizational issues, about how to prepare a strategic plan, etc.? [<i>Link with individual level</i>]</p>	<ul style="list-style-type: none"> <li>➤ Existence of formal structures and/or mechanisms to capture and share knowledge and experiences from implementation of programmes and joint work.</li> <li>➤ Individuals can exchange their good practices in ad hoc established working groups.</li> <li>➤ CD is embedded in the organization work plan and regular learning events are organized and implemented.</li> <li>➤ Evidence of cultural change, triangulation of measures of cognitive, attitudinal and behavioural change in an organization or environment.</li> <li>➤ Financial resources are allocated to promote staff career development (by the organization or through a donor).</li> <li>➤ Factors affecting the use of new acquired skills and knowledge by women.</li> <li>➤ Changes on the cultural perception of women and/or in norms/regulations, give women enough "space" to implement acquired skills.</li> </ul>	<ul style="list-style-type: none"> <li>➤ Desk review and comparison with CNA or reconstructed baseline scenario of i) organization regulations/road maps/work plans; ii) knowledge material/databases if any.</li> <li>➤ KAP survey (reconstruct the baseline through the survey itself if missing). Include perception and experience-based questions.</li> <li>➤ Should it not be possible to run a KAP survey, "key informant interviews" and "focus group discussions" should be designed after it.</li> <li>➤ Direct observation/field visits.</li> </ul>

## Appendix 4. Enabling environment

Design/Implementation		
Questions	Indicators	Methodology/tools <sup>27</sup>
<p><u>Design:</u></p> <ol style="list-style-type: none"> <li>1. Was an assessment of the enabling environment conducted (governance/socio-cultural context, institutional political economy)?<sup>28</sup> If so, were identified needs linked to individual and institutional capacity building plans?</li> <li>2. What specific activities were contemplated in the project design to influence or improve the enabling environment?</li> <li>3. Was the project duration realistic to achieve the expected results and objectives at enabling environment level?</li> </ol>	<p>Assessment by technical expert of the enabling environment assessment:</p> <ul style="list-style-type: none"> <li>✓ Identification of main needs against project objectives and enabling environment needs.</li> <li>✓ Linkages with the individual and institutional capacity building plans.</li> </ul> <p>The project design reflects the needs assessment at enabling environment level and context/time constraints.</p>	<ul style="list-style-type: none"> <li>➤ Desk analysis of i) the enabling environment assessment (see FAO); ii) individual and institutional capacity building plans, if any; iii) sector and socio-cultural aspects.</li> <li>➤ Interviews with key informants.</li> </ul>
<p><u>Implementation:</u></p> <ol style="list-style-type: none"> <li>1. If no specific activities were contemplated during the design phase: did the project incorporate any activities to create a favourable enabling environment during its implementation? [E.g. <i>project team might have realized this was a necessity during implementation</i>]</li> <li>2. Did the project, during its implementation, respond in a flexible manner to new demands/needs?</li> </ol>	<p>See above.</p> <p>Satisfaction level of stakeholders involved.</p>	<ul style="list-style-type: none"> <li>➤ Mapping and analysis of interventions conducted.</li> <li>➤ Perception<sup>29</sup> and experience-based<sup>30</sup> survey (reconstruct the baseline through the survey itself if missing).</li> <li>➤ Should it not be possible to run the survey, “key informant interviews” and “focus group discussions” should be designed after it.</li> </ul>

<sup>27</sup> Through the tools mentioned below, the ET should consult relevant key stakeholders [in this case trainees, trainers, project team members, trainees supervisors, etc.] making sure women/ young are equally represented [both those who participated and those who could have participated]

<sup>28</sup> For guidance see FAO’s Learning Module 2 <http://www.fao.org/3/a-i5243e.pdf>

<sup>29</sup> This includes opinion-based questions (e.g. thinking about your daily work, how useful do you think the training was?)

<sup>30</sup> This includes questions exploring the occurrence and frequency of an event (e.g. how many times per week did you attend the training?)

Outputs		
Questions	Indicators	Methodology/tools
<ol style="list-style-type: none"> <li>Are effective and inclusive multi-stakeholder platforms and processes in place for policy formulation, planning and/or implementation?<sup>31</sup></li> <li>Did FAO promote or establish mechanisms to support the participation of marginalized groups in policy processes?</li> <li>To what extent have different stakeholders been involved in the multi-stakeholder platforms and coordination mechanism? [<i>Is it inclusive for all stakeholders? What is the level of participation of the different stakeholders?</i>]</li> <li>Are there new/improved policies, strategies, frameworks in place? [<i>Are these policies based on clear evidence? Do they reflect the recommendations from policy reviews and needs assessments?</i>]</li> <li>Have the new and/or revised policies and frameworks been approved or adopted?</li> <li>Did FAO contribute to the establishment of information systems to support evidence-based policymaking or revisions? [<i>E.g. early warning or food security information systems to feed into policymaking</i>]</li> <li>What activities were carried out to influence the political will?</li> <li>What decisions and commitments have been made in support of the policy initiative?</li> </ol>	<ul style="list-style-type: none"> <li>➤ Number of multi-stakeholder coordination meetings.</li> <li>➤ Existence of TORs and plans for the coordination mechanism in place.</li> <li>➤ Level of stakeholder participation in setting priorities.</li> <li>➤ Number and type of mechanism established by FAO or with FAO's support.</li> <li>➤ Level of participation of civil society actors, including indigenous people, private sector, rural institutions in: i) coordination and multi-stakeholder meetings; and ii) the formulation and revision of political frameworks.</li> <li>➤ Number and quality of new/improved policies, strategies or frameworks in place.</li> <li>➤ Number and quality of new/improved policies, strategies or frameworks approved or adopted by parliament.</li> <li>➤ Number and quality of new/improved information systems for evidence-based policymaking.</li> <li>➤ Type of activities promoted by the project.</li> <li>➤ Number and types of decisions and commitments reflecting political will to implement policies/frameworks.</li> </ul>	<ul style="list-style-type: none"> <li>➤ <a href="#">KAP survey</a> (reconstruct the baseline through the survey itself if missing). Include perception and experience-based questions. Include questions on participation and coordination.</li> <li>➤ Should it not be possible to run a KAP survey, "key informant interviews" and "focus group discussions" should be designed after it.</li> <li>➤ Pre/post-analysis (comparisons of policies, strategies or frameworks against the CNA and/or the reconstructed baseline through the KAP survey) based on technical criteria set by the evaluation team.</li> <li>➤ Direct observation/field visits.</li> <li>➤ Track effectiveness of multi-stakeholder processes (see FAO LM4 Chapter 3 on MSPs <a href="http://www.fao.org/3/a-i3538e.pdf">http://www.fao.org/3/a-i3538e.pdf</a>).</li> </ul>
Outcomes		
Questions	Indicators	Methodology/tools
<ol style="list-style-type: none"> <li>What is the level of awareness of [<i>relevant issue</i>] also at legal/political level across stakeholders (<i>Government, donors, local authorities, private sector, civil society</i>)?</li> <li>What is the level of multi-stakeholder participation and civil society engagement at decision-making level?</li> <li>Is there empowerment of non-governmental actors (civil society, communities or any other actor in the sector/issue) that guarantees the continuation of the</li> </ol>	<ul style="list-style-type: none"> <li>➤ Perception on quality of services from: i) programme beneficiaries – population; and ii) institutions staff.</li> <li>➤ Evidence of improved services provided to community members by the Organization [<i>e.g. more frequent visits to farmers, new, better or functioning extension service, more guidance provided</i>].</li> <li>➤ M&amp;E system in place including data collection systems [<i>e.g. information and early warnings system, food price monitoring and analysis tool, LAC food security scale</i>].</li> </ul>	<ul style="list-style-type: none"> <li>➤ Perception/experience-based survey (reconstruct the baseline through the survey itself if missing). Include questions on services provided, level of empowerment, communication, transparency, participation, accountability mechanism, awareness.</li> <li>➤ Should it not be possible to run the survey, "key informant interviews" and "focus group discussions" should be designed after it.</li> <li>➤ <a href="#">New World Kirkpatrick Model</a> (level 3 and 4).</li> </ul>

<sup>31</sup> For guidance see «CFS-HLPE Report "Multi-stakeholder partnerships to finance and improve food security and nutrition in the framework of the 2030 Agenda" <http://www.fao.org/3/CA0156EN/CA0156en.pdf>

<p>change process?</p> <p>4. Are there well-functioning governmental and multi-sectoral coordination mechanisms [e.g. <i>different ministries, public research institutions, etc.</i>] to address [relevant topic] and for policymaking?</p> <p>5. To what extent did the capacity development process contribute to enhance commitment at political level for [relevant topic]?</p> <p>6. Are the new/improved policies and frameworks being implemented through national programmes and strategies, initiatives and plans?</p> <p>7. Is there adequate allocation of resources and financing for the implementation of policies and policy/legal frameworks?</p> <p>8. Are there adequate accountability mechanism and monitoring frameworks to track policy implementation?</p> <p>9. Is there an adequate mechanism for the uptake of relevant information/lessons learned, from the accountability mechanism and national information system, for designing/updating of policies and programmes for [relevant topic]?</p> <p>Should the project focus on food security and nutrition, the Food Security Commitment and Capacity Profile (FSCCP) methodology could be implemented (see methodology/tools column).</p>	<ul style="list-style-type: none"> <li>➤ Public development indicators showing increase irrigation ha, increase in students attending schools, food security decrease.</li> <li>➤ Degree of common understanding on the political issues and needs.</li> <li>➤ Level of empowerment (participation and involvement) of non-governmental actors in policy matters (clear messages, communication skills).</li> <li>➤ Degree of participation of community stakeholders in decisions regarding local public services.</li> <li>➤ Functioning of multi-sectoral and cross-organizational mechanisms, platforms and networks. <ul style="list-style-type: none"> <li>-TORs for the network or platform.</li> <li>-Decisions made reflecting changes in political frameworks and coordination work at institutional level.</li> </ul> </li> <li>➤ Percentage of resources increase or resource allocation to implement policies/frameworks.</li> <li>➤ Number/existence of plans and programmes coherent with new policies/frameworks under implementation.</li> <li>➤ Existence of effective accountability mechanism/monitoring frameworks to track policy implementation.</li> </ul>	<ul style="list-style-type: none"> <li>➤ Desk review and comparison with CNA or reconstructed baseline scenario.</li> <li>➤ <a href="#">Quantitative Comparative Analysis (QCA)</a> see also paper at this <a href="#">link</a>.</li> <li>➤ <a href="#">Outcome mapping</a> / <a href="#">Outcome harvesting</a>.</li> <li>➤ Direct observation/field visits.</li> </ul> <p>For impact assessment:</p> <ol style="list-style-type: none"> <li>a. In the existence of a baseline: <a href="#">Diff in Diff (DD)</a> and <a href="#">Propensity Score Matching (PSM)</a> methodologies.</li> <li>b. Without a baseline: try to explore (if any) the differences in the timing.</li> </ol> <p>For the Food Security Commitment and Capacity Profile (FSCCP) <a href="http://www.fao.org/3/a-i3998e.pdf">http://www.fao.org/3/a-i3998e.pdf</a> Figure 1 for dimensions and indicators. The methodology proposed to measure commitment can be adjusted to other technical areas as well.</p>
<b>Interconnections with other levels</b>		
<b>Questions</b>	<b>Indicators</b>	<b>Methodology/tools</b>
<p>1. What results or changes can be seen at community and household level as a result of the new/improved policy implementation? [E.g. <i>better inter-institutional coordination and collaboration between government at central and departmental level</i>]</p> <p>2. Is the environment changed enough to enable women to implement and share new acquired knowledge and skills? [Link with enabling environment]</p>	<ul style="list-style-type: none"> <li>➤ Number of communities benefiting from new programmes under implementation.</li> <li>➤ Type of changes identified as a result of the new policy/programme implementation.</li> <li>➤ Evidence of cultural change, triangulation of measures of cognitive, attitudinal and behavioural change in an organization or environment.</li> <li>➤ Changes on the cultural perception of women and/or in norms/regulations, give women enough "space" to implement acquired skills.</li> </ul>	<ul style="list-style-type: none"> <li>➤ Desk review and comparison with CNA or reconstructed baseline scenario of i) organization regulations/roadmaps/work plans; ii) knowledge material/databases if any.</li> <li>➤ KAP survey (reconstruct the baseline through the survey itself if missing). Include perception and experience-based questions.</li> <li>➤ Should it not be possible to run a KAP survey, "key informant interviews" and "focus group discussions" should be designed after it.</li> <li>➤ Direct observation/field visits.</li> </ul>

## Appendix 5. Evaluating capacity development – the process

### 1. Design stage – CD Mapping Tools

1. During the *evaluation design stage*, it is important to identify who and how the capacity development (CD) intervention (or component) is targeting and what capacities are targeted. This in order to select from the Office of Evaluation (OED) Capacity Development Framework the most appropriate evaluation questions, indicators and methodologies to be included in the evaluation design. The mapping tools below provide comprehensive examples.

#### 1.1 Whose capacity has been developed?

2. The first thing that the evaluation manager should identify is the dimension(s) the intervention or “evaluand” has focused on.

**Figure 2: The Who of the intervention**



3. A stakeholder mapping exercise can be useful to identify power relationships among stakeholders and towards the initiative being implemented as well as their support or resistance to change. This proves particularly useful to design the participatory component (see section 4) of the evaluation methodology and when analysing potential/evidence for transformational change (see section 5). Tables 2 and 3 below provide templates<sup>32</sup> that could be used to this purpose.

<sup>32</sup> Adapted from:

[https://changingminds.org/disciplines/change\\_management/stakeholder\\_change/stakeholder\\_change.htm](https://changingminds.org/disciplines/change_management/stakeholder_change/stakeholder_change.htm)

**Table 2: Power - Support matrix**

		Opposition		Neutral <sup>34</sup>	Support <sup>33</sup>	
		Active opponent	Passive opponent		Passive supporter	Active supporter
Stakeholder power <sup>35</sup>	High					
	Medium					
	Low					

4. An alternative, similar to the option suggested above, could be to map stakeholders according to their influence and interest in the initiative being implemented.

**Table 3: Influence – Interest matrix**

	Low influence <sup>36</sup>	High influence
High interest <sup>37</sup>		
Low interest		

5. Another articulated tool for stakeholder analysis is the 10 building blocks methodology<sup>38</sup> from GIZ, the Federal Enterprise for International Cooperation. It also offers tools and methods useful to include a participatory approach (see section 3 below) in evaluation. It is worth to mention that it is currently applied in the design and implementation of GEF (Global Environment Facility) and GCF (Green Climate Fund) projects.

<sup>33</sup> Some people will actively support the change while others will work the other way. These active people are where much focus often happens. However, there is often a silent majority who are more difficult to classify. These may be in gatekeeper positions, where rather than taking positive action, they can subtly support or oppose the change by allowing things to happen or quietly blocking and hindering progress.

<sup>34</sup> In the middle are 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.

<sup>35</sup> Stakeholders all have power, whether it is the formal power invested in a position of authority or it is social power of being able to persuade others to support or oppose the change. Those with higher power are likely to be the most useful supporters of the initiatives or most dangerous opponents - thus power analysis helps prioritize your focus on stakeholders.

<sup>36</sup> Influence indicates stakeholder's ability to resist or positively influence the CD process.

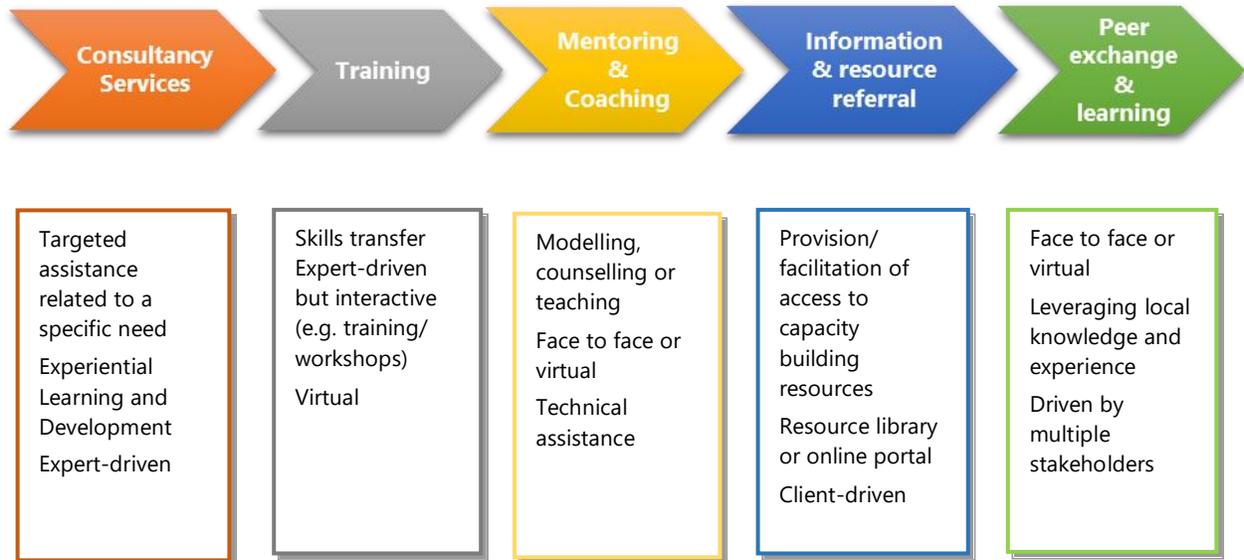
<sup>37</sup> Interest indicates stakeholders concern and support for the (CD) change.

<sup>38</sup> <https://www.fsnnetwork.org/sites/default/files/en-svmp-instrumente-akteuersanalyse.pdf>

## 1.2 How is capacity being developed?

- During the evaluation design stage, the “how” should be identified in the implementation modalities of the CD intervention in order to select the proper methodological tools for the evaluation.

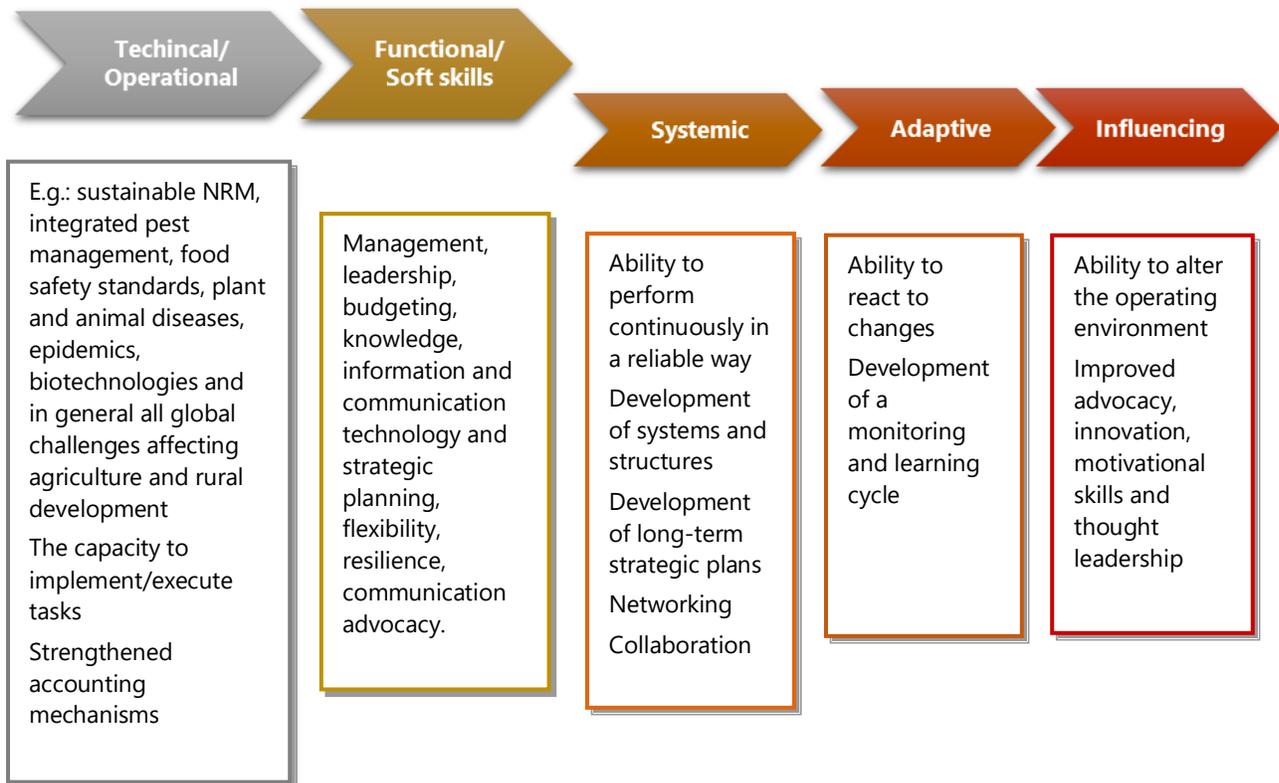
**Figure 3: The How of the intervention**



### 1.3 What capacities are being targeted?

7. The figure below presents generic examples on capacity development results that can be mapped; also a theory of change (TOC) exercise can serve the purpose. On the basis of desk review and preliminary interviews with key stakeholders during the evaluation scoping phase, each of the below “capacities area” (Technical and Functional in particular), related to the initiative being evaluated, should be identified and then validated during the investigation phase. Figure 4 below offers a breakdown of functional and soft skills in systemic, adaptive and influencing. Unexpected as well as negative results might also emerge during the validation stage (for related methods see Appendices 1, 2, 3 and 4).

**Figure 4: The What of the intervention**



## 2. Investigation phase – CD Mapping Matrix Template

8. During the *investigation phase*, the below *Capacity Development Mapping Matrix Template* could be used to map key elements related to the CD component of the initiative being evaluated and/or present them in the evaluation report. Information should be inserted here by the evaluation team in a bullet point format and refer to specific paragraphs/sections of the evaluation report.
9. The evaluation team should be able to fill in the CD by i) using the CD mapping tool and/or TOC exercise, scoping interviews and desk review; ii) mainstreaming minimum requirements for evaluating CD provided in Appendix 1; and iii) using selected questions, indicators and methods provided in Appendices 2,3 and 4.

**Table 4: Capacity Development Mapping Matrix Template**

<b>Dimensions</b>	<b>Capacity areas<sup>39</sup></b>	<b>Pre-existing situation<sup>40</sup></b>	<b>CD needs at intervention start<sup>41</sup></b>	<b>Targeted actors<sup>42</sup></b>	<b>Intervention modalities<sup>43</sup></b>	<b>Results of CD intervention<sup>44</sup></b>	<b>Contribution to development outcomes<sup>45</sup></b>	<b>Recommendations/suggested actions<sup>46</sup></b>
<b>Enabling environment</b>	Policy and legal framework							
	Policy commitment and accountability framework							
	Economic framework and public-sector budget allocation							
	Governance, power and institutional political economy structure							
<b>Organizations</b>	Knowledge and information							
	Strategic, organizational and management functions including mandates, horizontal and vertical coordination)							
	Operational capacities							
	Human and financial resources							
	Infrastructure							
<b>Individuals</b>	Technical skills and competencies development							
	Functional/soft skills (including systemic, adaptive, influencing)							

<sup>39</sup> More can be added if relevant to the initiative been evaluated.

<sup>40</sup> Describe situation both in terms of existing capacities/instruments/policies etc. and major issues to be addressed.

<sup>41</sup> From desk review, scoping interviews and if available Capacity Needs Assessment or similar exercise. We include here what was the situation (or what was available) and the related need. See Appendices 2,3 and 4.

<sup>42</sup> See Figure 3 above.

<sup>43</sup> See Figure 4 above.

<sup>44</sup> What capacity has been developed under the relevant capacity areas? Some examples are available in Figure 3.

<sup>45</sup> To what extent the achievement of CD outputs and outcomes contributed to achieve development outcomes? What transformational change can be observed?

<sup>46</sup> Follow-up actions needed: what capacities still need to be developed? Why? For what?

### **3. Developing capacities through the evaluation process – participatory approach**

10. In an evaluation that uses a participatory approach,<sup>47</sup> common goals/needs are identified, differences are valued, findings validated, results celebrated, and corrective measures discussed by all stakeholders involved, in an inclusive environment aiming at cooperation.<sup>48</sup>
11. Such evaluation approach has the benefit, *inter alia*, to increase likelihood of acceptance of evaluation findings and implementation of recommendations. It also has the potential to develop capacities of stakeholders involved in the evaluation exercise. In particular soft and systemic skills, such as networking, collaboration, communication, problem solving, flexibility, advocacy, etc.
12. This kind of approach is particularly relevant in evaluating the CD component of an intervention that ideally should target actors of change, turn targeted beneficiaries into actual participants and build on existing capacities and strengths.
13. Capacity development of stakeholders, linked to the evaluation process itself, should be presented in the evaluation report.

### **4. The importance of the CD dimensions interconnection and interdependence**

14. The underlying concept of FAO CD framework is that to achieve a long-lasting development of capacities and to obtain measurable impact and changes in peoples' lives CD needs to be addressed at all levels - individual, organizational and at enabling environment. Neglecting one level will undermine the effectiveness of the intervention.<sup>49</sup>
15. The CDEF is therefore considering the three dimensions separately through dedicated indicators, questions and tools, but also looking at the balance among them, as well as to their interaction, interconnections and synergies (see interconnections at end of the matrices in Appendices 2, 3 and 4).

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<sup>47</sup> Participatory evaluation is an approach that involves the stakeholders of a programme or policy in the evaluation process. This involvement can occur at any stage of the evaluation process, from the evaluation design to the data collection and analysis and the reporting of the study. For more information please visit the website: [https://betterevaluation.org/en/plan/approach/participatory\\_evaluation](https://betterevaluation.org/en/plan/approach/participatory_evaluation)

<sup>48</sup> Modalities should be selected and designed on the basis of a stakeholders mapping (see Tables 1 and 2).

<sup>49</sup> As stated on FAO's CD framework "Capacity development often involves enhancing the knowledge and skills of individuals whose work results greatly rely on the performance of the organizations in which they work. The enabling environment influences the effectiveness of organizations. Conversely, the environment is affected by organizations and the relationships between them."

## 5. Transformational Change

16. Transformational change is the process whereby positive development results are achieved and sustained over time, and replicated beyond the development programme boundaries. They generate behavioural change and capacities, as well as institutionalizing policies, programmes and projects within national strategies and practices.<sup>50-51</sup>
17. An evaluation should assess transformational change (or its potential to occur). The CD framework presents a phased approach for the evaluation of transformational change.<sup>52</sup> However, considering that transformational change cannot emerge from separate dimensions, but rather from their close interaction leading to a virtuous cycle, the detection and assessment of any transformational change strongly relies on the interconnections among CD dimensions. Some of the key questions to be used in assessing transformational change are: What transformational change emerged from the intervention? To which transformational change did the intervention contribute? Which is the potential to create transformational change? Which virtuous interconnections of the CD dimensions contributed to the emerging change?
18. The CDEF also provides some questions, indicators and tools to identify signs of transformational change. These will be further developed and enriched after the CDEF piloting phase which also aims to collect practical examples on suggested (and non) methodologies implemented.

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<sup>50</sup> Adapted from the United Nations Development Programme (UNDP) definition.

<sup>51</sup> The definition excludes short-term, transitory impact. The evaluator should seek evidence of significant development results which have been demonstrably sustained over a period of time, or are likely to, as opposed to results which unravelled or came undone after the development cooperation came to an end. This is an important measure of real transformational change.

<sup>52</sup> Assessing CD activities products and results at each CD level, assess their contribution to development results, the interconnections among CD dimensions and the impact on one another and finally, investigate evidence or signs of transformational change.

## **Other appendices**

Appendix 6. Examples of how to use the tools and methods from both evaluation and project implementation.

*[This appendix will be developed at a later stage, after collecting examples during the official piloting phase]*





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