



**FAO** CAPACITY  
DEVELOPMENT

**LM 2**

**LEARNING MODULE 2**

**FAO APPROACHES TO CAPACITY  
DEVELOPMENT IN PROGRAMMING:  
PROCESSES AND TOOLS**



## NOTE TO THE READER

Thank you for taking the time to read this FAO Learning Module on Capacity Development. This module is the second in a series which will become available through the end of 2012.

All information regarding the Learning Modules will be published on the FAO Interdepartmental Working Group on Capacity Development Intranet website:

**[http://intranet.fao.org/fao\\_communications/idwgcd/](http://intranet.fao.org/fao_communications/idwgcd/)**

Thank you,  
FAO Capacity Development Team  
Office of Knowledge and Capacity for Development (OEKC)

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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
FSARD	Food security, nutrition, agriculture and rural development
KAP survey	Knowledge, attitudes and practices survey
GIZ	Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) GmbH
LFA	Logical Framework Approach
M&E	Monitoring and evaluation
MICCA	Mitigation of Climate Change in Agriculture
PESTLE	Political, Economic, Social, Technological, Legal, Environmental Analysis
RbM	Results-based Management
UNCT	United Nations Country Teams
UNDAF	United Nations Development Assistance Framework
UNDG	UN Development Group
WFP	World Food Programme

# FOREWORD

Dear Colleagues,

As Chair of the FAO Interdepartmental Working Group on Capacity Development, I am glad to introduce Learning Module 2 on “FAO approaches to Capacity Development in programming: processes and tools”.

The complex nature of Capacity Development (CD) poses many challenges for those involved in programming interventions in countries and regions.

This module is intended to support the design and implementation of strategic and participatory approaches to capacity development in the area of FAO’s mandate. It should help FAO staff and collaborators to assess existing capacities, identify capacity gaps, set priorities and objectives for interventions addressing capacity aspects, and embed sustainability considerations from the outset of a project or programme.

I would like to encourage you to apply the concepts and tools included in this module to your work as many of them have been derived from internal and external good practices, from experiences shared by FAO colleagues, and from evaluations that have been conducted on FAO’s activities in member countries.

CD in Programming is an area where there is still much room for improvement and this module aims to contribute to it.



MS. XIANGJUN YAO, DIRECTOR, OEK  
CHAIR OF THE IDWG ON CAPACITY DEVELOPMENT

## OVERVIEW AND OBJECTIVES

This module is the second in the series designed to improve Capacity Development (CD) approaches in FAO projects and programmes. 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

LM 1: Enhancing FAO's practices for supporting Capacity Development of Member Countries

LM 2: FAO approaches to 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 four major themes: engaging with national/local actors; analysing the context and assessing capacity needs; designing capacity-focused objectives and indicators (including monitoring and evaluating capacity development); and highlighting 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	Ultra-light capacity assessment
	Light capacity assessment
	Full capacity assessment
	Institutional and political economy scanning
	Stakeholders' analysis
	Drivers of change
Measuring CD: "WHAT" and "HOW"	CD-focused problem tree
	Outcome mapping
	Outcome monitoring plan
	Most significant change
	KAP Survey
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 positive engagement with different national/local actors;
- > know how to examine capacity assets and gaps in a given context;
- > be able to establish capacity-focused objectives and indicators in order to guide data collection, agree on what to monitor and evaluate and establish milestones along the way;
- > 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 developing projects and programmes; all projects and programmes should incorporate elements of capacity development.

# INTRODUCTION

Capacity development is part of the core mandate of FAO. It has been explicitly recognized as a core function<sup>1</sup> in the new 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.

A special challenge of RbM is determining how to measure and account for capacity-development efforts which are primarily achieved from the way in which CD is delivered rather than in what is delivered. 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 1A: 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.
- > Capacity development 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 and 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.

<sup>1</sup> The new FAO Strategic Framework defines eight core functions which are cross-cutting means for achieving the development outcomes. These are: monitoring and assessing trends, information and knowledge management, negotiating international instruments, policy and strategy advice, advocacy and communication, interdisciplinarity, partnerships and capacity development.

For decades,<sup>2</sup> FAO has been engaged in supporting development processes of partner countries and capacity development. 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 engage in CD processes through its work in technical areas by applying several modalities<sup>3</sup> of intervention, such as coaching and training to promote individual learning and skills development;<sup>4</sup> change management; knowledge management; network management for organizational learning and development;<sup>5</sup> 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 capacity development processes.

## BOX 2: CAPACITY DEVELOPMENT AS A JOURNEY

Capacity development 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. The bus driver and the conductor (representing the implementing team) have to pay attention to the milestones along the road, just as a project/ programme team would need to set milestones to reassess progress. The bus driver and conductor would continuously check their maps and, if needed, ask people on the way whether they were really moving towards their destination and taking the shortest possible way. Similarly, a project/programme team would also collect data, triangulate and validate the information to monitor their progress.

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. Capacity development, 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.

<sup>2</sup> See the evolution of Capacity Development in FAO in Learning Module 1, Appendix C.

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

<sup>4</sup> Learning Module 3 on "Good Learning Practices for Effective Capacity Development" explores these topics in greater depth.

<sup>5</sup> 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 POSITIVELY ENGAGING 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;
- > PROVIDE USEFUL LINKS TO KEY ONLINE RESOURCES FOR THOSE WHO WANT TO LEARN MORE ABOUT DIALOGUE INTERVIEWING AND FACILITATION TECHNIQUES.



## 1.1 POSITIVE 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."

Positive 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;
- > 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 UNDAF preparation, a wider forum for dialogue is generated and agriculture issues can be discussed and analysed with the full UNCT.

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);<sup>6</sup>
- > 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.<sup>7</sup>

## 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 negotiation<sup>8</sup> skills can help to minimize these tensions by encouraging intensive discussions between partners and promoting inclusive dialogue among stakeholders.

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<sup>6</sup> See tools 1,2 and 7

<sup>7</sup> To know more about participatory methods, see: <http://www.fao.org/Participation>

<sup>8</sup> 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](http://www.fao.org/easypol/output/browse_by_training_path.asp)

### BOX 3: FAO'S EXPERIENCE IN BANDA ACEH <sup>9</sup>

FAO's intervention in the Banda Aceh provinces<sup>10</sup> 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 capacity-development 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 no longer to develop technical options and deliver quick standardized solutions to partner countries. Now, 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.

<sup>9</sup> For further reference, please see "Negotiating fisheries co-management in Aceh province, Indonesia – Notes on Process" by John Kurien. May 2010.

<sup>10</sup> 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 Food and Nutrition Security, Agriculture and Rural Development sector ;
- > 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 POSITIVE ENGAGEMENT

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

- > Do I know the champions and the relevant national and local actors?
- > Am I clear on how to engage in real dialogue and prompt 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 capacity-development 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](http://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/grp\\_skill/resource.htm](http://managementhelp.org/grp_skill/resource.htm)

Full Circle Associates – Facilitating online events:  
<http://www.fullcirc.com/resources/facilitation-resources/designing-and-facilitating-online-events/>

Bellanet – Community of practice facilitation:  
[http://www.bellanet.org/files/facilitation\\_dgroups\\_administrators\\_instructor.pdf](http://www.bellanet.org/files/facilitation_dgroups_administrators_instructor.pdf)  
(from page 45)

## IN A NUTSHELL

### Key concepts:

Positive 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.

### Real 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.

### Positive engagement can be encouraged through:

- > identification of all relevant stakeholders (stakeholder mapping exercises);
- > consultation with national and local actors;
- > 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 - Guidelines for conversations to generate possibility and action

### Useful links on dialogue interviewing and facilitation methods and techniques:

<http://www.presencing.com/tools>; [http://managementhelp.org/grp\\_skill/resource.htm](http://managementhelp.org/grp_skill/resource.htm);  
<http://www.fullcirc.com/resources/facilitation-resources/designing-and-facilitating-online-events/>;  
[http://www.bellanet.org/files/facilitation\\_dgroups\\_administrators\\_instructor.pdf](http://www.bellanet.org/files/facilitation_dgroups_administrators_instructor.pdf).





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

Prior to designing and implementing programmes and projects, it is crucial to clarify their boundaries and analyse the wider context for food security, nutrition, agriculture and rural development (FSARD) 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

To obtain information about the country context, begin by analysing key documents, such as public reform plans, poverty reduction strategies, political and economic analyses, UN agencies' Common Country Assessments (CCA) and resource partners'<sup>11</sup> country strategies. The FAO Country Brief is always a very good place to start.

Key documents relating to the country's priorities in food security and nutrition, agriculture and rural development include: the food and nutrition security strategy, agricultural sector review, agricultural sector strategy/policy framework, national agricultural investment programme and the rural development strategy.

In addition, it is essential to use dialogue and participatory approaches to discover reliable information about contextual factors. Developing shared understanding and trust among all actors involved in the diagnostic process influences the quality of the information obtained. These approaches allow local actors to make their implicit knowledge explicit so that involved parties can discover, understand and use local dynamics for their decisions.

During the FAO CPF process, the situation analysis is a key component of the formulation phase. It identifies the major development challenges and needs of a country before engaging in interventions. A capacity assessment can be used as a major instrument for the situation analysis.

The new FAO project cycle emphasizes the context analysis during the identification and formulation phases. Particularly, the formulation steps envisage a thorough problem and needs assessment, stakeholder analysis, results analysis and strategies analysis.<sup>12</sup> This should always be accompanied by a capacity assessment to provide information for the problem tree and objectives analysis.

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<sup>11</sup> The term refers to "donors" and is consistent with the terminology used in the new FAO Project Cycle.

<sup>12</sup> To know more, please refer to the New Project Cycle Practical Guidance

We can keep in mind the following broad questions 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 for the FSARD sector?

## 2.2 TOOLS TO ASSESS CAPACITIES

In the toolbox, we propose analytical tools which complement those that are proposed in the FAO CPF Guidelines and in the FAO Project Cycle Practical Guidance. These tools focus particularly on assessing capacities at the policy, organizational and individual levels and within the context of the broader political economy, institutions and stakeholders.

### 2.2.1 ASSESSING CAPACITIES FOR DEVELOPMENT INTERVENTIONS

Capacity assessments can be useful ways 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 capacity-development processes. They create the base for efforts to link country capacity assets and needs to overall development goals.

The assessment is basically a discussion with key national stakeholders on major capacity issues, perceptions and suggestions at different levels. These kinds of assessments and discussions can help involved parties make progress in CD, contribute to the development of skills and create champions for change.

Such assessments usually begin with the following questions:

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

For instance, capacity-development strategies or programmes for extension systems can define which functions extension staff need to perform; determine whether the overall regulatory framework and incentive systems are conducive to desired change; 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) model<sup>13</sup> with FAO's existing tools, FAO has developed a simple and flexible model 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. The capacity assessment process covers the three dimensions of the country capacity system: the enabling environment, organizations and individuals. It helps to highlight any serious constraints for the proposed interventions (see Box 4).

## BOX 4: ASSESSING CAPACITIES FOR THE THREE DIMENSIONS OF CAPACITY DEVELOPMENT

### Enabling environment

Policy and legal framework  
Policy commitment and accountability framework  
Economic framework and national public budget allocations  
Governance and power

### Organizations

Motivation  
Strategic, organizational and management functions (strategic leadership, inter/intra institutional linkages, programme management)  
Operational capacity (processes, systems, procedures)  
Human and financial resources  
Knowledge and information  
Infrastructure

### Individuals

Job requirements and skill levels (technical and managerial skills)  
Training and competency development

An assessment 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, its existing strengths and weaknesses.
- > **Where do we want to go?** This defines the vision of what capacity is required for the future. It involves identifying objectives.
- > **What is the best way to get there?** This will compare the future with the present situation, and identify the needs to get from the current capacity to the desired future capacity.

Defining the desired future situation permits the concerned stakeholders to discuss and reach consensus on where they can realistically expect to be in the medium term.

The final result of the assessment process is to get a picture of the priority areas for interventions which will be the basis for a future capacity-development strategy or plan of action.

<sup>13</sup> 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).



Even if there is no time or resources allocated for a capacity assessment, you can try to use this approach and structure your programme/project to answer the three questions above. Be sure to include the most relevant elements for each dimension of the capacity assessment model illustrated in Box 4; Tools 5a, 5b and 5c (in chapter 5) can support you in this process.

A capacity assessment can be implemented 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. All this involves empirical research methods (e.g. analysis of secondary data, document reviews). Usually multiple data collection methods are used to allow triangulation of data from different perspectives, different levels and different stakeholders.

A capacity assessment can be used to get the big picture of the problem across the three dimensions during the project or during the FAO CPF formulation phase. Table 2 presents other instruments that can be used to complement the picture in a specific dimension.

ASSESSMENT DIMENSIONS	SUGGESTED INSTRUMENTS
Enabling environment	Capacity assessment* Drivers of change* Institutional and political economy scanning* PESTLE*** (political, economic, social, technological, legal, environmental analysis) Policy analysis tools (in FAO EASY POL) Stakeholder analysis* "4Rs: Roles, Responsibilities, Revenues, Relationships" ***
Organizations	Capacity assessment* Appreciative interviews* Force field analysis Institutional analysis*** Organizational performance assessment*** Outcome mapping Stakeholder mapping* SWOT analysis (strengths, weaknesses, opportunities, threats) KAP survey (Knowledge, Attitude and Practices)*
Individuals	Capacity assessment* Appreciative interviews* Competency assessment Observation ** Outcome mapping* Task and job analysis** Learning needs analysis** KAP survey (Knowledge, Attitude and Practices)*
<p>* This tool is described in this module and provided in the toolbox.  ** This tool will be provided in Learning Module 3: Enhancing learning practices for effective capacity development  *** This tool will be provided in Learning Module 4: Organization analysis and development</p>	

**[Table 2]** Selected instruments for assessments by capacity dimensions

Depending on the scope of the capacity assessment, three checklists and a capacity assessment matrix (CAM) can be used in conjunction with other technical tools or incorporated into them. These checklists include:

- > the “ultra-light” checklist includes 20 questions and looks at the “broad picture” of what is necessary to strengthen capacities in the FSARD sector in a country. It can be linked to national planning processes, the UNDAF and the FAO Country Programming Framework.
- > the “light” checklist with 59 questions builds on the previous one and deepens the discussion on capacity assets and needs for functional capacities to lead countries’ change processes.
- > the “in-depth” checklist with 128 questions concentrates on a thematic area (e.g. food security and nutrition) to prepare a strategic capacity-development intervention. This checklist has been developed in collaboration with WFP.

The three checklists and the CAM are provided in the toolbox (numbers 5, 5a, 5b, 5c, 5d) with a description of the capacity-assessment process. The toolbox also includes two examples of a tailored checklist for Climate Change Adaptation and Mitigation in Agriculture for an assessment at the national and local levels, which have been elaborated within the MICCA programme framework.

## BOX 5: ASSESSING TECHNICAL AND FUNCTIONAL CAPACITY IN BHUTAN

An example of the combination of technical and functional capacity assessment can be derived by FAO’s experience in Bhutan.<sup>14</sup>

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.

<sup>14</sup> This experience has been summarized by the FAO Case study 1 – Country Report – The Kingdom of Bhutan. Capacity-building needs assessment series: Implementing an integrated approach to food safety, plant and animal health (biosecurity) 2008.

## ASSESSING TECHNICAL AND FUNCTIONAL CAPACITY IN BHUTAN

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 websites and in the WHO (World Health Organization) website) 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 and it 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 used then to guide national efforts in this area and as an advocacy tool to donors.

### 2.2.2 ANALYSING THE EFFECTS OF THE ENABLING ENVIRONMENT

Two tools are useful in analysing the effects of the enabling environment on the performance of key organizations: The Institutional and Political Economy Context Scanning and the Stakeholder Analysis described in the EC Toolkit<sup>15</sup> 2009.

The Institutional and Political Economy Context Scanning seeks to highlight how the key functions of organizations can be influenced positively or negatively by institutional and political economy factors which reach beyond the sector, and the Stakeholder Analysis focuses on the interests and power of stakeholders. One can assume that most stakeholders have an implicit understanding of political economy factors and legitimate reasons for being for or against CD 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 analyses.

Political economy and stakeholder analysis also can risk becoming superficial, particularly if it is done in a short workshop setting with different stakeholders without the benefit of having time to build trusting relationships with major national counterparts. While this may not be the preferred option, it nevertheless could be a way to start the process if time is very restricted.

FAO experiences show that key players operating at a senior level in a sector often have a tacit and very nuanced understanding of important contextual factors, but may not find it in their interests to share this insight with others or to make it public. The value of contextual information can be extremely high and therefore difficult to get. Thus, before performing such analysis, it is important to consider carefully how it 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.

<sup>15</sup> [http://ec.europa.eu/europeaid/infopoint/publications/europeaid/documents/174a\\_cdtoolkit\\_march09.pdf](http://ec.europa.eu/europeaid/infopoint/publications/europeaid/documents/174a_cdtoolkit_march09.pdf)

These tools allow you to map the key factors and stakeholders which will influence the success of any CD or change process. For successful CD processes, it is necessary to have a conducive environment and the active support and involvement of at least some of the influential key players. The CD efforts will face extreme challenges if powerful actors are against them, either actively or passively.

Tool 7 presents a stakeholder analysis with a different level of complexity and sensitivity than Tools 1 and 2 in Chapter 1. Choosing among these instruments will really depend on the context and on the sensitivity of the topic that is addressed through the analysis.

In summary, these two tools help to answer the following questions:

- > Which context factors explain why the current capacity is what it is?
- > Which context factors are enabling or constraining CD and change?
- > Who has an interest in the status quo and in changing capacity?

These qualitative data must be collected and analysed by people with intimate knowledge of the context and stakeholders. 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 these questions 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 would only be achieved if another group had been included.

### 2.2.3 DRIVERS OF CHANGE (DOC)

Another tool for analysing the context is the Drivers of Change. This approach, developed by DFID,<sup>16</sup> emphasizes the fact 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.

- > **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.

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<sup>16</sup> <http://www.gsdr.org/docs/open/DOC59.pdf>

There is no unique model for DoC. This methodology encourages the formation of country teams consisting of people with different views and implicit and explicit understanding of the particular country context. It stimulates them to reflect collectively on questions about the dynamics involved in capacity-development efforts. Tool 8 includes the DFID framework for the basic country analysis.

## 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 and 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.
- > The chapter has suggested some methodologies to carry out context analyses such as Capacity Assessments and the Stakeholder Analysis, which are applicable at the enabling environment, organizational and individual levels; the Institutional and Political Economy Scanning and Drivers of Change are applicable at the enabling environment level.
- > 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 5 - (A,B,C,D) Capacity assessments; Tool 5a - Capacity assessments – ultra-light checklist; Tool 5b - Capacity assessments – light checklist; Tool 5c - Capacity assessments – in-depth checklist; Tool 5d - Capacity assessment matrix – summary table; Tool 6 - Institutional and political economy context scanning; Tool 7 - Stakeholders' analysis; Tool 8 - Drivers of change.



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

Who monitors what, using which method?





## 3.1 CAPACITY DEVELOPMENT IN THE LOGICAL FRAMEWORK APPROACH AND RESULTS-BASED MANAGEMENT

There are various methodologies for blending capacity-development processes with objective-oriented monitoring. Traditional project management concepts such as the Logical Framework Approach (LFA) or results chain approaches are primarily designed to deal with complexities that can be structured beforehand.

LFA is strong in developing logically sound strategic plans, indicators, tables and diagrams in the form of a project planning matrix and then linking them with action plans in a very systematic and structured form. The approach is powerful because it provides clarity for resource partners and actors about the strategy, monitoring mechanism, planned activities and needed resources. Once such detailed planning is done, implementation focuses on carrying out the activities as planned so that intended outputs can be delivered and intended outcomes can take place.

This methodology can be used in stable environments and in projects and programmes with predictable outputs and outcomes and clear causal links. However, even in a stable environment, it is important that CD outputs and outcomes are used and that the process for achieving outputs is clearly framed by ensuring ownership and using local expertise. The outputs need to be specified so that not only the end product, but also the process, is measured. For instance, a policy document should not be “produced” by a consultant; the consultant must be responsible for facilitating country officers in its development so that national actors are able to develop a policy on their own in the future. The indicators that measure success should include this participation and knowledge transfer.

FAO is widely using the LFA in its field projects, CPF and Strategic Framework. It further needs to ensure that CD is included as a measurable outcome in an LFA, even where the intervention is not designed as a stand-alone CD project.

We will show in the next sections how capacity-development aspects can be shaped and integrated in RbM and in an LFA.<sup>17</sup>

## 3.2 CLARIFYING GOALS AND OBJECTIVES

Capacity development 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 region. Hence, change and learning should be used as guiding principles to define goals, objectives and indicators for any FAO intervention. To define effective goals and objectives, it is generally necessary to have a baseline assessment that provides specific information on existing capacities and gaps. The capacity assessment framework proposed in chapter 2 is a useful tool to do such a baseline.

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<sup>17</sup> For an extensive explanation on RbM principles and LFA, please refer to the FAO Project Cycle Practical Guidance, Planning during formulation phase.



A distinction should be made between:

- > a goal, which relates to the key issue or problem that needs to be addressed in the long term, beyond the life of the project or programme; and
- > the specific objectives that the project or programme aims to achieve upon completion or soon after. Normally, objectives are at the outcome level, i.e. medium-term changes to be encouraged through FAO's intervention.

The general guidance to write objectives is to make them SMART: specific, measurable, achievable, results-oriented and time-bound. This common guidance can be applied to capacity-focused objectives. To define them, FAO suggests applying its CD framework.<sup>18</sup> This means identifying the dimensions and, where possible, the types of capacities (e.g. the technical and the functional capacities) that are targeted through the FAO intervention.

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 FSARD sector. 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.

Table 3 combines the three dimensions with the technical and functional capacities and helps to visualize how an intervention addresses CD-related aspects in each dimension with a specific focus. This table can be used as an assessment matrix to clarify the objectives of a project or programme addressing capacity issues. It has been adapted from a tool on "Consultancy Strategies in CD" developed by GIZ.<sup>19</sup>

For instance, let us assume that a project is seeking to "improve sustainable production of agriculture in the mountain region of Nepal". Its four focus areas in terms of capacity might be:

- > improving the capacities of extension agents through technical trainings(A)
- > enhancing the creation and exchange of knowledge among extension officers (B)
- > strengthening partnering capacities of the extension officers with farmer unions and universities (C)
- > strengthening the capacities of the Ministry of Agriculture to formulate policies (D) for sustainable production with positive effects on the enabling environment (E)

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<sup>18</sup> The FAO CD framework is explained in Chapter 3 of Learning Module 1 "Enhancing FAO Practices for Supporting CD of Member Countries".

<sup>19</sup> GIZ 2009 "Capacity Works"- Tool 5

DIMENSION OF CD	TECHNICAL	FUNCTIONAL	ACTORS
<p><b>Individual learning</b></p> <p>Purpose:</p> <p>Promote individual learning, self-reflection and skills development</p>	<p><b>(A)</b></p> <p>Focus:</p> <ul style="list-style-type: none"> <li>&gt; Technical trainings and learning initiatives</li> <li>&gt; Communication and awareness-raising initiatives on technical issues</li> </ul>	<p><b>(B)</b></p> <p>Focus:</p> <ul style="list-style-type: none"> <li>&gt; Coaching and facilitation</li> <li>&gt; Abilities and skills in negotiation and mediation</li> </ul>	<p>Individuals and small groups</p>
<p><b>Organizational change</b></p> <p>Purpose:</p> <p>Promote organizational development and learning to increase performance</p>	<p>Focus:</p> <ul style="list-style-type: none"> <li>&gt; Technical expert services</li> <li>&gt; Technical support for organization development</li> </ul>	<p><b>(C) (D)</b></p> <p>Focus:</p> <ul style="list-style-type: none"> <li>&gt; Change management</li> <li>&gt; Changes of systems and processes, mandates, procedures and regulations</li> <li>&gt; Knowledge management and facilitation of knowledge and experience exchanges</li> <li>&gt; Creation of networks and coordination mechanisms</li> </ul>	<p>Governmental bodies, community-based organizations, civil society and the private sector</p>
<p><b>Change in the enabling environment</b></p> <p>Purpose: Build legal, political and socio-economic frameworks that are conducive to CD</p>	<p><b>(E)</b></p> <p>Focus:</p> <ul style="list-style-type: none"> <li>&gt; Expert services for policy development and review</li> <li>&gt; Technical support to national planning processes</li> <li>&gt; Technical consultations</li> </ul>	<p>Focus :</p> <ul style="list-style-type: none"> <li>&gt; Policy advisory services</li> <li>&gt; Agenda analyses, round tables and</li> <li>&gt; Other forms of participation to negotiate rules, policies and their implementation</li> <li>&gt; In-process facilitation of negotiations</li> </ul>	<p>Actors and groups of actors who participate in the negotiation of rules at all levels</p>

**[Table 3]** How to identify capacity-focused objectives

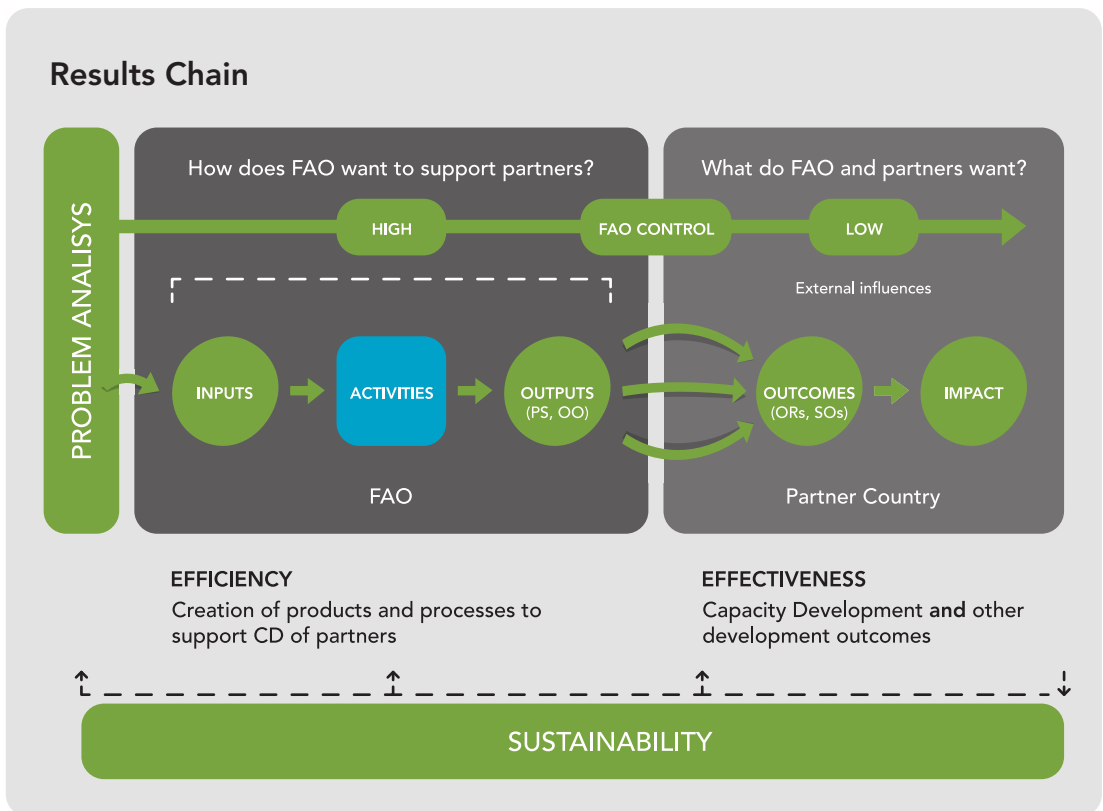
### 3.3 INCORPORATING CAPACITY DEVELOPMENT IN A RESULTS CHAIN

Results chains<sup>20</sup> and logframes are widely used in FAO work to clarify the strategy of a programme or project. Both approaches are similar and focus on the formulation of a development hypothesis, which connects resources, activities, outputs and outcomes in a logical, linear way.

Normally logframes and results chains have five links from inputs to impact:

Inputs->Activities->Outputs->Outcomes->Impact

Diagram 1 visualizes a results chain and highlights what is in FAO's direct sphere of influence and what is beyond its control.



[Diagram 1] Overview of a results chain embedding CD

<sup>20</sup> A results chain is a logical chain linking desired results/outcomes and resource decisions, considering all of the required conditions for realization. To learn more on this topic, please refer to the FAO Project Cycle Practical Guidance, Planning during Formulation phase.

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.

### Activities

Activities (i.e. modalities of intervention), or the tasks we will carry out, provide many opportunities to involve individuals and partner organizations in projects or programmes to enhance their individual and organizational capabilities to run development programmes. 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. Activities that can encourage changes at the organization level or in the enabling environment may include: technical support for organization 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 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 from the planning phase of such activities. The questions to consider are:

- > How can we involve national/regional/local champions in designing and implementing activities?
- > How can programme or project activities build on existing procedures, methodologies and potential?

### Outputs

Outputs are often defined as the products and services to be enhanced by implementing programme or project activities; they contribute to the achievement of outcomes.

If they focus on CD, M&E may be more challenging, but they create the foundation for sustainability of the intended results because partners who develop their capacities increase their ownership and commitment to the outcomes. Let us demonstrate this using a simple example of an intervention like the Farmer Field Schools (FFS):<sup>21</sup>

EXAMPLE OUTPUT A	EXAMPLE OF IMPROVED FORMULATION OUTPUT B
Curriculum for FFS is developed	Capacity of the training institute to develop an FFS curriculum is strengthened  FFS curriculum design workshop is designed jointly with the National Training Institute  Staff of the National Training Institute are trained on the FFS curriculum

<sup>21</sup> To read about FFS in India, please refer to: [http://www.fao.org/docs/eims/upload/275868/India\\_Farmer\\_Field\\_Schools\\_final.doc](http://www.fao.org/docs/eims/upload/275868/India_Farmer_Field_Schools_final.doc)

## Output A

In this example, the output focuses on a product, which in this case is the curriculum.

The curriculum can be developed:

- > by external international actors or national consultants, which may not contribute much to capacity development as they simply transfer a curriculum which was successful in another country without considering the local context. A successful project will enable the partner country to do this unaided or with fewer inputs in the future.
- > by engaging in dialogue with local agencies and actors, strengthening their knowledge and their capacity to develop their own curricula in future. They achieve this by being actively involved in the curriculum development process.

Therefore, if the output indicates the process that has led to the development of the curriculum, or makes explicit reference to capacity-development aspects, it is possible to assess its quality and appropriateness in terms of capacity development.

In summary, a product-oriented output cannot be considered a good capacity-focused output. It is too vague and does not necessarily imply a capacity-development process.

## Output B

There are many ways to formulate capacity-focused outputs, depending on how much emphasis is given to processes that develop individual competencies, organizational capabilities, policies, regulations and so on.

The output used here as an example focuses only on one broad aspect, i.e. strengthening the capabilities of an organization involved in developing an FFS curriculum. The programme still focuses on curriculum development, but how it is going to be developed also is embedded in the output. The language used is still a bit vague; however, it already emphasizes that the capacity of relevant actors and organizations needs to be developed and that one of the proposed processes is the collaborative design of an FFS curriculum development workshop.

Generally, capacity development can be enhanced by paying more attention to how certain outputs are achieved. When this is reflected in the formulation of outputs, the CD aspects are anchored in the results chain.

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 describe the action or steps that are taken to improve the organizational functioning (e.g. coordination, team work, management, goals, objectives, responsibilities). At the enabling environment level, it can show the willingness to undertake policy reviews or policy development, for example policy needs assessment jointly designed.

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?

Table 4 provides a list of indicative outputs, adapted from the United Nations Development Programme (UNDP) and the World Bank Institute (WBI).

DIMENSIONS	CAPACITY-FOCUSED OUTPUTS
INDIVIDUAL	<ul style="list-style-type: none"> <li>&gt; New skills and knowledge acquired</li> <li>&gt; Participant understanding of an issue improved</li> <li>&gt; Awareness of local/national leaders on important topics increased</li> </ul>
ORGANIZATIONAL	<ul style="list-style-type: none"> <li>&gt; Clear definition of roles and responsibilities among different agencies or organizations</li> <li>&gt; Visions, mandates and priorities improved</li> <li>&gt; Planning processes improved</li> <li>&gt; Consensus to use knowledge-sharing mechanisms among national ministries reached</li> <li>&gt; Linkages between research and extension bodies established</li> <li>&gt; Collaboration increased</li> <li>&gt; Coordination mechanism established at regional or national level among relevant organizations</li> <li>&gt; Increased access to information</li> <li>&gt; Improved partnering capacities</li> </ul>
ENABLING ENVIRONMENT	<ul style="list-style-type: none"> <li>&gt; Policy discussions initiated</li> <li>&gt; Participatory processes put in place to advance the policy agenda</li> <li>&gt; Stakeholders involved in sector planning process</li> <li>&gt; Policy needs assessment jointly designed</li> <li>&gt; Policy and legislative framework reviewed</li> </ul>

**[Table 4]** Illustrative examples of capacity- focused outputs

The “FAO work planning guidelines and toolkit 2012–2013” describes outputs of an FAO intervention at two levels: (1) products and services (PS) are “the final output of an activity or of a combination of activities...”; and (2) organizational outputs (OO) are “a significant, measurable output essential to the achievement of and causally linked to an organizational result”<sup>22</sup>. These are the results for which FAO units are accountable. Achieving them contributes to an outcome, or organizational result, identified by the strategy teams. The example below examines organizational outputs.

EXAMPLE ORGANIZATIONAL OUTPUT A	EXAMPLE OF IMPROVED FORMULATION ORGANIZATIONAL OUTPUT B
Strengthened legal frameworks for food safety	Governments have reviewed or revised policies and strategies for ensuring a safe food supply

Organizational Output A is unclear. We cannot know if this result entails a capacity-development process or not. Organizational Output B highlights more precisely who develops which capacities. It reflects an action that is expected to be accomplished by national actors. The capacity-development process is implicit

### Outcomes

Outcomes describe a specific change for individuals or organizations – outside the activity domain of the programme or project – which is linked to the outputs generated by the programme/project.

The following considerations are important when formulating capacity-focused outcomes:

- > The national/local partners should create and use the outputs developed by the programme/project. Involving partners and collaborating with them in all steps of the project cycle, or during the CPF process, increases their ownership as well as the context specificity of outputs and outcomes.
- > Outcomes should reflect how the outputs will contribute to intended positive changes for key actors or in organizational practices in the national system. For instance, at the individual level, the outcome should describe if the individual is applying and using the acquired knowledge. At the organizational level, it should indicate whether organizations are delivering their services, accomplishing their mandates or performing more efficiently. At the enabling environment level, the outcome should state whether the policy, legislative and institutional frameworks allow implementation of a change process.
- > While outcomes cannot be controlled directly by the programme or project team, certain changes can be attributed to or supported by the programme or project processes to better achieve products and services.
- > Outcomes should be thought of not only in terms of new products and services (for the three dimensions of the capacity framework), but also in terms of facilitated processes (e.g. participatory process initiated/activated/expanded, collaboration increased among different organizations). Table 5 provides some examples of capacity-focused outcomes related to the three dimensions of the capacity framework, the four functional capacities and one technical area.

<sup>22</sup> Source: FAO work planning guidelines and toolkit 2012-2103 biennnum

DIMENSIONS	FUNCTIONAL 1: POLICY AND NORMATIVE	FUNCTIONAL 2: KNOWLEDGE CAPACITY	FUNCTIONAL 3: PARTNERING	FUNCTIONAL 4: IMPLEMENTATION	TECHNICAL
INDIVIDUAL	New skills and knowledge used/applied by policy-makers	Increased awareness of FSARD issues  Proven ability to share information on FSARD issues	Improved individual motivation for partnering  Strengthened cooperation and networking capacity	New skills and knowledge used in project/ programme management, financial management, M&E, project design  Staff follow standards of good practices  Participant attitude changed  Participant confidence improved	Ministry of Agriculture staff can carry out vulnerability analysis
ORGANIZATIONAL	Data on FSARD issues are collected by national institute of statistics and disseminated to inform policy decisions  Strengthened organizational capabilities to formulate policies	Created or enhanced knowledge-sharing networks among national/ international actors on FSARD  Key actors organized in communities of practices for FSARD  Application of best management practices	Formal partnership agreements are signed  Informal network created or enhanced among food-security agencies  Participatory process initiated/ activated/ expanded  Increased collaboration among organizations	FSARD agencies incorporate systems and processes on financial management, project management.  Agencies with responsibility on FSARD issues are adequately resourced  Organizations adopt new plans, systems and clear strategies  Organizations delivering their services	New M&E framework for food and nutrition security programmes is applied at a local level  Enhanced collaboration among organizations involved in food and nutrition security



DIMENSIONS	FUNCTIONAL 1: POLICY AND NORMATIVE	FUNCTIONAL 2: KNOWLEDGE CAPACITY	FUNCTIONAL 3: PARTNERING	FUNCTIONAL 4: IMPLEMENTATION	TECHNICAL
ENABLING ENVIRONMENT	<p>Policy/law/ strategy proposed to decision-makers</p> <p>Adopted policy and strategies address relevant FSARD issues</p> <p>Consensus reached on policy reform</p>	<p>Good FSARD practices are nationally/ locally adopted</p>	<p>Functioning networks for advocacy of policy measures are established</p>	<p>Degree to which policy decisions are implemented</p>	<p>Decision-makers support publicly the new anti-hunger and vulnerability strategy</p> <p>An operating budget is allocated for the new food security strategy</p>

**[Table 5]** Examples of capacity outcomes by dimensions and by functional and technical capacities

Consider the following example for developing outcomes that are more capacity-focused:

EXAMPLE OUTCOME A	EXAMPLE OF IMPROVED FORMULATION OUTCOME B
<p>Members and stakeholders have improved formulation of policies and standards that facilitate the implementation of the Code of Conduct for Responsible Fisheries and other international instruments, as well as a response to emerging issues.</p>	<p>The principles included in the Code of Conduct on Responsible Fisheries have been incorporated into the objectives of National Policy on Fishery Resources.</p>

Outcome A is a bad example because it contains multiple results in a single statement, making it difficult to measure. There are three results in this statement: "improved formulation", "facilitate implementation" and "response to emerging issues"; furthermore, the emerging issues are not defined. Outcome B is measurable by the extent to which the policy document at the country level includes the principles of the Code of Conduct on Responsible Fisheries.

In the "FAO Medium-term Plan 2010-2013", outcomes are the objectives of FAO programmes, and they are formulated at two levels as organizational results (ORs) and strategic objectives (SOs). The ORs are mid-term effects (i.e. a four-year timeframe) or intended positive changes for national partners who directly interact with the programme. The SOs are longer-term objectives (i.e. a ten-year timeframe) that contribute to the overall impact of FAO's work.

EXAMPLE ORGANIZATIONAL RESULTS A	EXAMPLE OF IMPROVED FORMULATION ORGANIZATIONAL RESULTS B
<p>Institutional, policy and legal frameworks for food safety/quality management that support an integrated food chain approach</p> <p>Better management of natural resources, including animal genetic resources, in livestock production</p>	<p>High-quality National Agriculture Investment Plans are developed by national actors adopted and reflected in public budget allocations</p>

### Organizational Results A

The first OR does not explicitly describe the intended strengthening of capacities of national partners through FAO's action. Its focus is simply on the end products of FAO's activity and we do not really know if countries will really have developed capacities in that specific area.

The second OR is not clear because "better management" is very vague terminology and is difficult to observe.

### Organizational Result B

This OR allows verification of the final result of FAO's activity, i.e. the development of high-quality National Agriculture Investment Plans which undoubtedly bring change in the country. It also emphasizes that this change is led by national actors who are serious and committed to these plans as they are reflected in sectoral budgets for agriculture. In addition, this indicator is specific enough because it refers to a measurable outcome, such as the existence of an Investment Plan and its reflection in national budgets.

### The use of indicators

Indicators are targets that show progress towards achieving determined objectives. They 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:

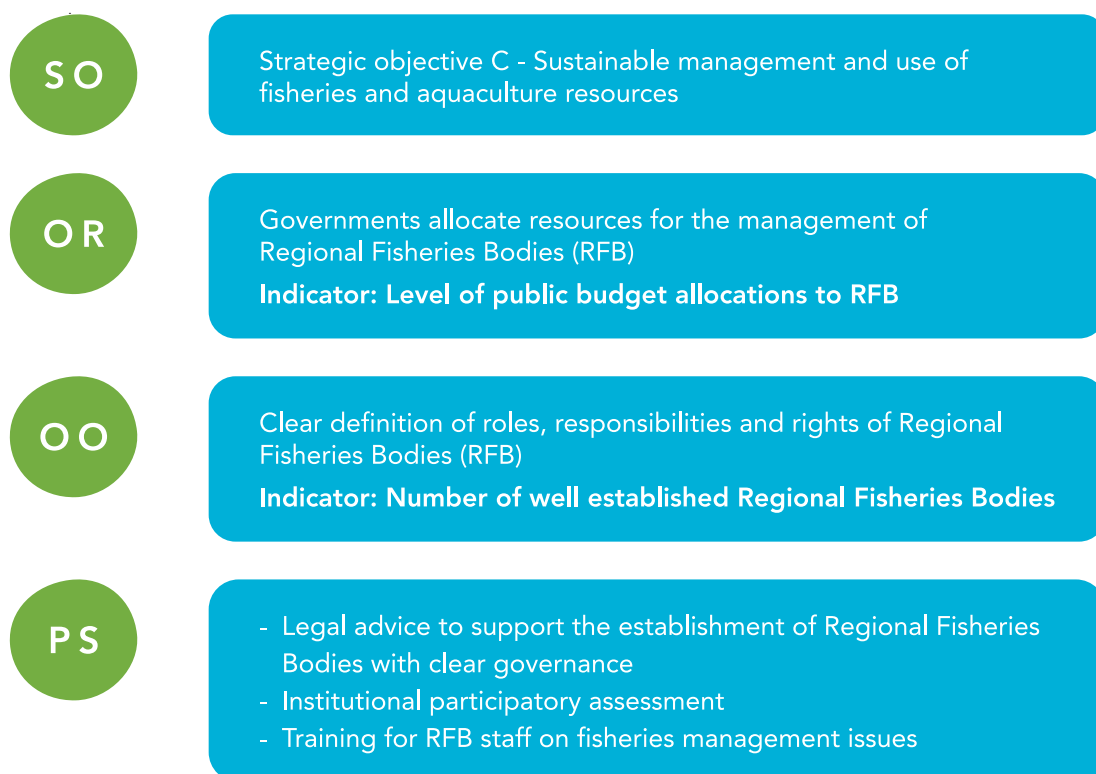
- > **indicators of process**, in terms of processes that have been facilitated in countries or regions so that dynamic changes are encouraged through the implementation of participatory approaches;
- > **indicators of product**, meaning the evidence that a concrete result has been achieved through an 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.<sup>23</sup>

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 to consider.

Below are two hypothetical examples showing the incorporation of CD in the FAO Medium-term Plan 2010-2013 and Programme of Work and Budget 2012-2013. These examples illustrate the relationship between outcomes, outputs and indicators.

### Example 1:



<sup>23</sup> 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/group/learning-package>).

## Example 2:

SO

**Strategic objective F: Sustainable management of land, water and genetic resources and improved responses to global environmental challenges affecting food and agriculture**

OR

Governments are formulating policies for inclusive agricultural innovation systems, including natural resource management and climate change issues

**Indicator: Number of countries using FAO advice on agriculture innovation in the policy formulation process**

OR

Advocacy with policy-makers for policy deliberations on agriculture innovation, including natural resource management and climate change issues

**Indicator: Number of awareness-raising events for policy-makers on agriculture innovation, including natural resource management and climate change issues facilitated in the country/region by FAO**

PS

- Awareness-raising campaign at national and local levels on agriculture innovation, including natural resource management and climate change issues
- Publication of good practices on agriculture innovation issues to be widely disseminated in the country
- Regional sensitization workshops for policy-makers on agriculture innovation, including natural resource management and climate change issues

## Impact

Impact refers to the overall problem we are trying to address. All FAO programmes are linked to longer-term effects or positive changes which contribute to the three Global Goals<sup>24</sup> 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. For FAO, the idea is to draw realistic conclusions and move its reflection from attribution to contribution of a programme/project. 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.

<sup>24</sup> The three Global Goals of Members: 1. reduction of the absolute number of people suffering from hunger, progressively ensuring a world in which all people at all times have sufficient safe and nutritious food that meets their dietary needs and food preferences for an active and healthy life; 2. elimination of poverty and the driving forward of economic and social progress for all, with increased food production, enhanced rural development and sustainable livelihoods; 3. sustainable management and utilization of natural resources, including land, water, air, climate and genetic resources, for the benefit of present and future generations.

### 3.4 A CAPACITY DEVELOPMENT-FOCUSED RESULTS CHAIN

A results chain is a logical chain of results designed to achieve an overall longer-term objective or goal. Results chains can be used to bring all stakeholders along on the CD process because its potential outcomes and impacts can only be obtained through shared understanding and effective partnership with national/local stakeholders. This is especially true for capacity outcomes which normally require changed attitudes, behaviours, competencies, procedures and systems to be successfully embedded within organizations. They allow each stakeholder to see where and how they contribute to the overall goals of the intervention.

Below is an example of a CD-focused results chain which summarizes:

- > a description;
- > what the project/programme should achieve, from the overall goal down to specific activities;
- > examples of indicators for the three dimensions of capacity: individuals, organizations and the enabling environment; and
- > assumptions and risks.

The column for assumptions and risks is a key instrument because it forces all stakeholders to agree on assumptions regarding which outputs and outcomes will potentially lead to enhanced capacity. At each level of the chain, many assumptions can be formulated; the higher you move up the capacity objective hierarchy, the more you will need to make and monitor realistic assumptions. Assumptions and risks are normally identified during the initial phases of programme design, and they represent a key area to monitor constantly for your intervention. Identifying them correctly helps you know if your strategy has a reasonable chance of success, or if it is based on unlikely assumptions.

RESULTS CHAIN	DESCRIPTION	EXAMPLE OF INDICATORS	ASSUMPTIONS/RISKS
<p><b>Impact</b></p> <p>Is capacity development reflected in the goals formulated at international and national levels?</p>	<p><b>Global goals</b></p> <p>Highest impact focusing on development results which implicitly or explicitly refer to overall capacity development of the country</p>	<p>National self-sufficiency in food production achieved</p>	

RESULTS CHAIN	DESCRIPTION	EXAMPLE OF INDICATORS	ASSUMPTIONS/RISKS
<p><b>Outcomes</b></p> <p>What are the potential changes in the medium term for the enabling environment, for organizations and for individuals?</p> <p>Which capacities will have to be developed to enable national organizations and individuals to deliver these outcomes?</p>	<p>What changes can we see in the way individuals or organizations do things or apply learning?</p>	<p><b>Individuals:</b></p> <p>Number of food producers who apply the new knowledge to increase food production</p> <p>Number of farmers who changed their practices, behaviours</p> <p>Number of farmers who are fully aware of climate-smart agriculture practices</p> <p>Number of agriculture officers who perceive there are positive changes in agriculture practices</p> <p>Number of national /local staff following new standards</p> <p><b>Organizations:</b></p> <p>Collaboration formally established among groups/ teams/ different organizations</p> <p>Leadership recognized</p> <p>Improved management practices (e.g. effective decision-making, coordination meetings, M&amp;E systems)</p> <p>Consensus reached among different agencies on important topics</p> <p>Number of communities that can develop an action plan</p> <p>Number of national/local leaders who report increased motivation in supporting a particular topic</p> <p>Quality of services provided by relevant bodies</p> <p>Clear governance for relevant organizations</p> <p>Improved information sharing among organizations</p> <p><b>Enabling environment</b></p> <p>New policies, plans and programmes adopted</p> <p>New policies and strategies implemented</p> <p>Quality and appropriateness of policies</p> <p>Amount of national budgets allocated to certain programmes</p>	<p>What external factors are important to ensure that the envisaged capacity-development process takes place?</p> <p>What may hinder the national partners to make use of their strengthened capacities to contribute to the achievement of development goals?</p> <p>How do the efforts of national stakeholders affect the capacity-development processes?</p>

RESULTS CHAIN	DESCRIPTION	EXAMPLE OF INDICATORS	ASSUMPTIONS/RISKS
<p><b>Outputs</b></p> <p>Which results are expected in the short term for the enabling environment, organizations and individuals through the implementation of programme activities?</p>	<p>Which individuals and organizations have learned from the activities?</p>	<p><b>Individuals:</b></p> <p>Number of food producers and farmers acquiring the new knowledge</p> <p>Number of farmers and agriculture officers who are aware of new methods</p> <p><b>Organizations:</b></p> <p>Number and type of outputs produced (e.g. structures, plans, processes, regulations)</p> <p>Processes created to increase consensus and foster coalition and networks</p> <p>Goals, objectives and priorities of the organization clearly identified</p> <p>Regular coordination meetings</p> <p>Partnerships among organizations</p> <p><b>Enabling environment:</b></p> <p>Policy review completed</p> <p>Policy briefings completed</p> <p>Forum for policy discussion created</p> <p>Inter-institutional coordination meetings organized</p>	<p>What may hinder the local partners from making use of their strengthened capacities in taking actions?</p>

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

### 3.5 PREPARING TO MONITOR

In the past, monitoring has often focused on measuring inputs, activities and outputs. Although this is important to assess the efficiency of a programme/project, FAO is increasing its efforts to monitor the achievement of outcomes, which are improved changes at the national and local levels.

The foundations for monitoring are laid at an intervention’s planning stage. Monitoring is a continuous function that uses systematic observation and collection of data to provide the management team and key stakeholders of an ongoing programme with evidence on 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.<sup>25</sup> The perceptions of key stakeholders and participants about progress and achievements are crucial to keep the project/programme on track, provide signals of eventual problems and identify needs for adjustments or corrections in the course of the project.

Monitoring for CD is highly participatory; however, it entails more than just using 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.

### **Creating a monitoring system**

Monitoring and evaluating CD processes and resulting “products” can be extremely challenging. The 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”<sup>26</sup>.

The following aspects are critical:

#### **> Seek participation and common understanding**

Capacity development is a collaborative effort by multiple actors which requires cooperation and shared understanding about potential results, problems, 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 more a collaborative dialogical process to make sense of the results and determine how they can be improved.

Let us again take the example of Farmer Field Schools. How can we monitor the impact of an FFS where farmers meet regularly, observe their fields, reflect on their observations 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 focus on increase of income per member of the FFS?
- > 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?

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

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

These are not theoretical questions; they are based on a hypothesis about the effects of the programme and its intended results.

As this example demonstrates, the actors involved in such a programme may have different perspectives about the importance of the programme in terms of capacity development. 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.

This makes it necessary 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.

The following ideas address how CD aspects might be highlighted in M&E processes:

- > Embed CD aspects in the results chain so that monitoring (in the FFS example) focuses on measuring the reduction of pesticides, the increase in production and income and the strengthening of technical or functional capacities of farmers, extension agents and farmer associations.
- > Focus on behavioural changes by coaching national partners to define their change process. For example, Outcome Mapping can be useful for tracking behavioural changes of former extension workers, who shift to the new role of facilitators.
- > Use methods, such as the Most Significant Change (MSC) technique, to track unexpected outcomes. The MSC technique collects stories that describe changes experienced by individuals, such as capacity changes for farmers.
- > Use a Knowledge Attitudes Practice (KAP) survey, which is a methodology to collect information on what your target group knows about a topic. It is based on the assumption that knowledge can influence behaviour and assesses whether individual or group behaviour has been changed by a change in knowledge.

Overall, conducting M&E of capacity issues requires using multiple forms of evidence and opinion and a broad range of perspectives to generate meaningful insights. It is important to give adequate consideration to qualitative methods, such as in-depth interviews or focus group<sup>27</sup> discussions, to elicit responses about changed attitudes, beliefs or behaviours of individuals or to assess changes in organizations.

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<sup>27</sup> Learning Module 3 on "Good learning practices for effective Capacity Development" provides guidance on how to organize a Focus Group.

### > **Agree on rules for evidence-based decisions**

Monitoring allows us to observe changes in capacities and take decisions regarding next steps based on these observations. These next steps can be corrective measures, additional activities or ending activities affecting capacity-development processes. Because these decisions are linked with budget allocations, it is important to have clear rules from the beginning about how monitoring will be done and how data will be collected and used. The following guiding questions can be helpful:

- > Who gives and gets what kind of information?
- > What issues are sensitive in either an operational or political sense?
- > Who formulates conclusions and recommendations based on what evidence?

### > **Consider the context, interrelationships and behavioural change**

Capacity development 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".

FAO recommends focusing on key dimensions of capacity (e.g. individuals, organizations, enabling environment) and types of capacities (e.g. competencies, skills, behaviours, systems, processes, coordination mechanisms). Changes in behaviour, relationships and actions among people, groups and organizations are crucial in measuring CD efforts, and these are often not captured with quantitative methods. Alternative methodologies, such as Outcome Mapping using progress markers, offer a suitable alternative for tracking behavioural changes.

Table 6 illustrates a breakdown by capacity-development dimension and shows how different interventions can have different M&E approaches depending on the capacity aspect that is addressed.

CD DIMENSION	EXAMPLE OF INTERVENTION	METHODS AND SOURCES
Enabling environment	Update and implement policies on food crisis management	Existence of food crisis policies which are consistently applied Benchmarking main policy decisions Policy implementation reports Focus groups In-depth interviews
Organizations	Support the development of new processes or procedures to improve organizational functioning of the Food Security Agency	Organizational/capacity assessment Benchmarking with existing procedures Appreciative interviews Outcome mapping KAP survey Focus groups In-depth interviews
Individuals	Food and Nutrition Security Trainings Coaching on Food Security Management Programmes	Most Significant Change Outcome mapping Appreciative interviews Competency assessment KAP survey Focus groups In-depth interviews

**[Table 6]** M&E approaches by capacity aspect of FAO intervention

### > Make 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 by local actors and not by external experts, as this will not contribute to capacity development.

To make monitoring reflective, it is necessary to ask the following questions:

- > What is happening?
- > Why?
- > What are the lessons learned?

If you manage to discuss these questions regularly with national stakeholders and implementing partners, you will be able to:

- > verify the initial assumptions about the context and the envisaged effects of programme/project activities;
- > jointly agree on corrective/adaptive measures.

## 3.6 EVALUATING CD ASPECTS OF FAO'S INTERVENTIONS

For projects and programmes of long duration, internal self-evaluations often are conducted by a unit or individuals reporting to resource partners or implementing organizations. While internal evaluators often have in-depth knowledge of the programme and know its history, cultural context and challenges, they may be too close to the intervention and decision-makers to offer a fresh perspective on the programme. External reviews and evaluations may have higher credibility.

An intermediate option could be a participatory evaluation process. In this process, external evaluators and representatives of agencies and stakeholders co-design and conduct the evaluation and collaboratively interpret the data. Evaluators work as specialists and facilitators to help key stakeholders make the necessary assessments. Because capacity outcomes are difficult to measure and need input from all actors involved in the intervention, these participatory evaluations are positive ways to assess the contribution of programmes to capacity development. Participative evaluations are particularly valuable for their consensus-building processes that facilitate learning and enhance ownership.

Most of FAO's programmes/projects include the following types of "external events":

- > annual support missions with one follow-up after six months;
- > mid-term reviews and/or evaluations;
- > a final evaluation after the project closure.

These events 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.

## 3.7 CHALLENGES IN EVALUATING CAPACITY OUTCOMES

Evaluating capacity outcomes is an important process to reflect and learn, to track changes to strengthen individual competencies or organizational capabilities and to provide effective support to capacity development of member countries.

Traditional results-based evaluations may not address long-term sustainability and may overlook processes that are less tangible and difficult to measure, such as political dimensions, learning, attitudes and behavioural and organizational changes. While there are no set rules or standards for measuring these types of outcomes, there are options to consider.

As highlighted in the previous sections, indicators for CD activities should relate to two fundamental questions: “capacity for what” and “capacity for whom”. Any evaluation/review exercise should address these dimensions, in addition to the “why” and “how”. Quantitative<sup>28</sup> and qualitative<sup>29</sup> indicators need to be combined to measure the perceptions and points of view of different target groups involved in CD processes.

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”<sup>30</sup>. It drew on various methodological tools to assess both the results and the processes followed in FAO capacity-development activities including: logic models, participatory and systems approaches, benchmarking against good practices and lessons learned.

## 3.8 CAPACITY AREAS FOR EVALUATION

The recent debate on measuring capacity outcomes is moving beyond measuring learning at the individual or activity level, i.e. recording the number of people trained. The new approaches move towards measuring 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 measure 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, hence, the learning process.

New approaches are being developed to measure different types of outcomes closely related to learning: altered behaviours, interactions between groups, practices, relationships for decision-making and opinions related to policies. By measuring these types of outcomes, capacity-development programmes can demonstrate how they have contributed to build sustainable capacities in countries.

<sup>28</sup> Quantitative indicators can be with 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 per cent of the participants developed implementation plans). Without target values, they can express progress, for instance, 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.

<sup>29</sup> Qualitative indicators generally explain the reasons for an activity's success or failure, such as quality of water utilization plans; satisfaction of actors with planning process; expert assessment of curricula quality; or the attendance at conferences changing politicians' perception of the HIV/AIDS problem.

<sup>30</sup> Evaluation of FAO's Capacity Development Activities in Africa – March 2010 retrievable at [http://www.fao.org/fileadmin/user\\_upload/capacity\\_building/PC104-5EvaluationCapacityDevelopmentAfricaK8635E.pdf](http://www.fao.org/fileadmin/user_upload/capacity_building/PC104-5EvaluationCapacityDevelopmentAfricaK8635E.pdf)

The WBI<sup>31</sup> highlights the importance of learning for development results and emphasizes the importance of empowering local actors who can drive change processes in countries. This framework looks at institutional impacts in terms of socio-political, policy-related and organizational changes using a standardized set of capacity indicators linked to three key areas of changes associated with learning. They can be used to track and measure capacity-development outcomes (e.g. changes in behaviours and attitudes, changes in the interactions among groups or changes in policy products and plans).

Another well-known approach used to evaluate interventions with capacity aspects is the one developed by the European Centre for Development Policy Management (ECDPM)<sup>32</sup>. 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;
- > the capability to achieve coherence;
- > the capability to deliver on development results; and
- > the capability to adapt and self-renew.

Moreover, a framework proposed by UNDP<sup>33</sup> suggests measuring institutional capacity by analysing:

- > changes in performance (i.e. efficiency, and effectiveness);
- > stability (i.e. risk mitigation and institutionalization;); and
- > adaptability (i.e. investments for growth and change) of a given institution.

## 3.9 EVALUATION METHODS AND TOOLS

Certain methods and tools are used to reflect and measure capacity-development outcomes and enhance learning and adjustments of programmes/projects. There are different types of evaluations that systematically judge the value of change resulting from projects and programmes with capacity-development components; however, a detailed description of them is outside the scope of this learning module. We can highlight some methods and tools used to assess capacity-development aspects of various interventions, such as the M&E Plan, Outcome Mapping, Most Significant Change, KAP survey and Problem Tree Analysis. We will start with the Problem Tree because it is one of the basic instruments highlighted in the new FAO Project Cycle.<sup>34</sup> It enables actors to agree about the problem or need that should be analysed and identify its root causes in terms of capacity problems.

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<sup>31</sup> World Bank Institute (2009), "Capacity Development Result Framework, A strategic and results-oriented approach to learning for capacity development"

<sup>32</sup> ECDPM (2007), "A balanced approach to monitoring and evaluating capacity and performance".

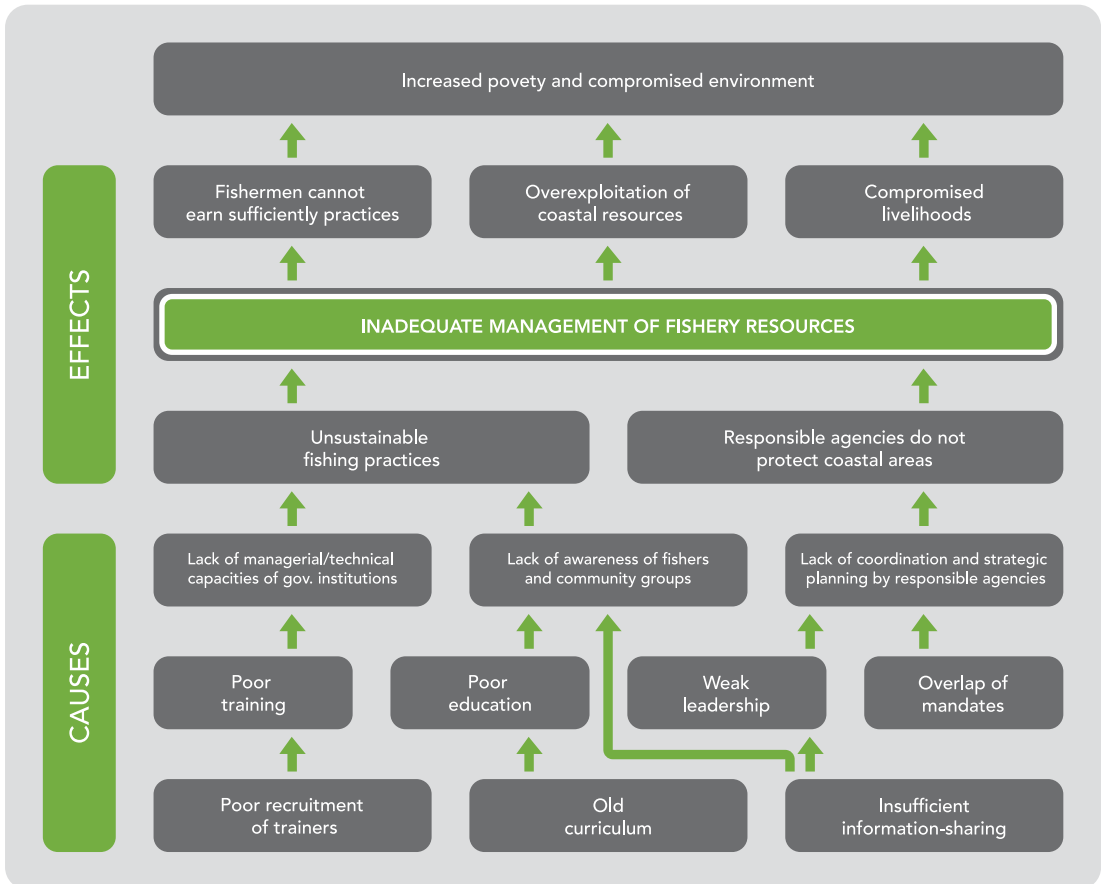
<sup>33</sup> UNDP 2010, "Measuring capacity".

<sup>34</sup> See the FAO Project Cycle, Practical Guidance: Analysis during Formulation.

## CD-focused Problem Tree

The Problem Tree shows a hierarchy of problems in terms of their cause-and-effect relationship. 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 those of the less powerful. The quality of the tree depends on involving the right people.

It may be best to run separate problem analysis workshops with different stakeholder groups. These workshops should be seen as learning and relationship-building experiences.



[Diagram 2] Example of problem tree applied to CD



The Problem Tree is an interesting tool because 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). In this regard, stakeholders may provide some indication of their priorities. When using this tool, it is important to:

- > be precise – do not use vague concepts;
- > be concrete – do not think in terms of absent solutions;
- > be clear – do not offer interpretations.

## **M&E Plan**

In order to agree, demonstrate and share success with national stakeholders involved in the capacity-development process, it is important to constantly monitor the impact of programmes and projects. A monitoring plan is used to plan and manage the collection of data 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, the toolbox offers an example of a capacity-focused M&E plan tailored to capacity-development activities related to South- to-South cooperation programmes.

## **Outcome Mapping<sup>35</sup>**

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, relationships, actions, and activities in the people, groups, and organizations which drive the change and the development process. Outcome mapping allows programming from developing a vision, identifying strategies to move towards that vision and monitoring the process in a qualitative way by respecting the ownership of the local/national partners. It unites process-monitoring issues with outcome evaluation. Tool 11 details conceptual and operational elements of outcome-mapping processes.

## **The Most Significant Change (MSC)**

This technique is used for participatory M&E. 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 Capacity-development activities in Africa. The toolbox provides checklists and a guide for application of this methodology that has been used in the context of FAO’s work.

## **KAP survey**

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. United Nations agencies and the World Bank use KAP evaluation methods. KAP surveys are generally cost-effective and use fewer resources than other social research methods because they are highly focused and limited in scope. They measure changes in human knowledge, attitudes and practices in response to a specific intervention. The toolbox offers sample questions that can be used to shape a KAP survey.

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<sup>35</sup> For more on outcome mapping, you can join the online learning community at [www.outcomemapping.co](http://www.outcomemapping.co).

## IN A NUTSHELL

### Key concepts:

Measuring CD involves defining what to measure and how to measure it.

### Defining what to measure means designing objectives and indicators for CD by:

- > using the FAO CD framework and clarifying the dimension that is targeted (e.g. individuals, organizations, the enabling environment);
- > identifying clearly the actors or organizations whose capacities are to be developed through the project/programme;
- > conducting a capacity assessment to allow you to be sufficiently specific;
- > specifying, where possible, the type of capacity that is developed (e.g. technical, functional) and required to ensure the sustainability of the programme or project; and
- > describing the process that is involved to develop capacities, as well as the result of this process in terms of new products (e.g. new policies/ strategies formulated) and facilitated processes (e.g. consensus reached, discussions initiated).

### Generally, capacity-focused indicators answer the following questions:

- > Which capacity gaps exist?
- > What will change for individuals, organizations and the enabling environment, and in what way?
- > To what extent should it change?
- > Who is to experience the change?
- > How?

### Defining how to measure CD involves obtaining:

- > multiple forms of evidence and opinion 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;
- > agreement on rules and methods for evidence-based decisions so that the findings of the monitoring are used to steer the implementation process;
- > reflection and learning which can happen in various forms, formal or informal, with key individuals, groups or teams.

## IN A NUTSHELL

In addition to continuously monitoring programmes, internal self-evaluations often are carried out to report to resource partners and implementing organizations. These are essential moments to reflect and refocus implementation with more clarity on consensus about how to address eventual problems and build on successes. Participatory evaluations are the most useful to enhance capacity and build ownership and sustainability.

External events, such as support missions, mid-term reviews and interim or final evaluations, are valuable occasions to see the project/programme with different eyes and identify strategic improvements.

Evaluating capacity outcomes is an important process to reflect and learn, to track changes leading to strengthened individual competencies or organizational capabilities and to provide effective support to capacity development of Member Countries. There are no set rules or standards for measuring these types of outcomes, but there are options to consider.

In recent years, results-based evaluation approaches measure 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, hence, the learning process.

### **Selected tools:**

Tool 9 - Capacity-focused problem tree; Tool 10 - M&E plan; Tool 11 - Outcome mapping; Tool 12 - Most significant change; Tool 13 - KAP survey.



If we are serious about sustainability, how can we improve the design of our intervention?





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”.<sup>36</sup> 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...”.<sup>37</sup>

## 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 sustainability<sup>38</sup> 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.

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<sup>36</sup> See <http://dictionary.reference.com/browse/sustainability>

<sup>37</sup> Evaluation of FAO’s Capacity Development Activities in Africa – March 2010 retrievable at [http://www.fao.org/fileadmin/user\\_upload/capacity\\_building/PC104-5\\_EvaluationCapacityDevelopmentAfricaK8635E.pdf](http://www.fao.org/fileadmin/user_upload/capacity_building/PC104-5_EvaluationCapacityDevelopmentAfricaK8635E.pdf)

<sup>38</sup> 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.

## 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 capacity development<sup>39</sup> revealed 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.

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.<sup>40</sup>

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<sup>39</sup> See <http://www.fao.org/capacitydevelopment/good-practices/en/>.

<sup>40</sup> See chapter 1 on instruments and tips for dialogue.

## 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"<sup>41</sup> 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 factors 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.

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<sup>41</sup> The publication is retrievable at [http://www.fao.org/docs/up/easypol/756/influencing\\_policy\\_processes\\_202en.pdf](http://www.fao.org/docs/up/easypol/756/influencing_policy_processes_202en.pdf)



## 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;
- > 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 Gambia,<sup>42</sup> 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 Mozambique,<sup>43</sup> 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 Ghana,<sup>44</sup> 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 Faso,<sup>45</sup> 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.

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<sup>42</sup> The full case study is retrievable at [http://www.fao.org/capacitydevelopment/good\\_practices/](http://www.fao.org/capacitydevelopment/good_practices/)

<sup>43</sup> The full case study is retrievable at [http://www.fao.org/capacitydevelopment/good\\_practices/](http://www.fao.org/capacitydevelopment/good_practices/)

<sup>44</sup> Evaluation of FAO's Activities on Capacity Development in Africa – Annex X- Ghana Country Report.

<sup>45</sup> Evaluation of FAO's Activities on Capacity Development in Africa, page 22.

## 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.

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.

**[Table 7]** Sustainability plan in Banda Aceh

## 4.6 TOOLS

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

### **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;
- > designing an exit strategy from the conception phase of a project/programme.

### **Selected tools:**

Tool 14 - Checklist for sustainability; 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](http://changingminds.org/disciplines/change_management/stakeholder_change)*

# TOOL

# 2

## INTEREST – INFLUENCE MATRIX

### When to use it

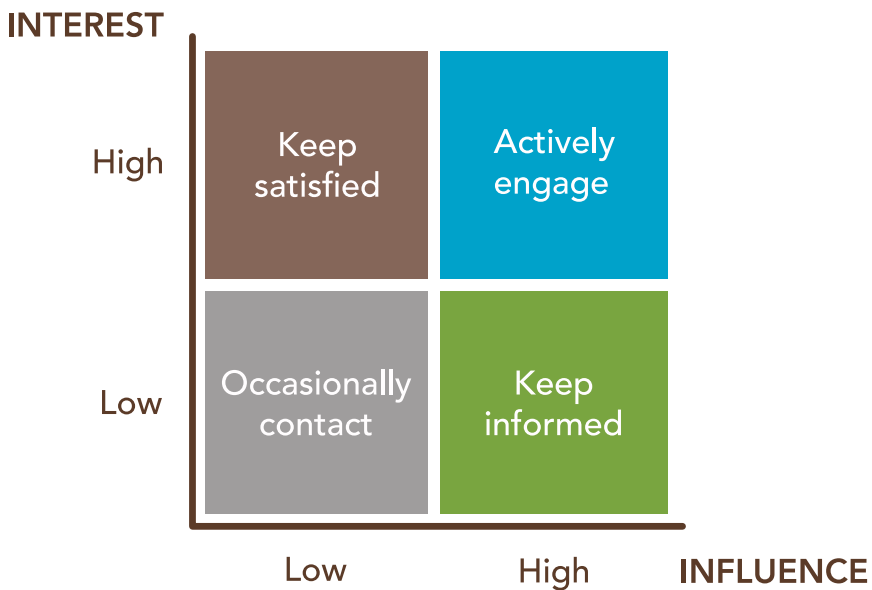
This tool can be used during the identification and/or formulation phase of the project cycle and during the formulation phase of the FAO CPF.

### 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](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>*

## TOOL

## 4

# GUIDELINES FOR CONVERSATIONS TO GENERATE POSSIBILITY AND ACTION

### 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?
- > 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 Toolkit"

## TOOL

## 5

## (A,B,C,D): CAPACITY ASSESSMENTS

### 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:

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



# TOOL

# 5C

## CAPACITY ASSESSMENTS — IN-DEPTH CHECKLIST TAILORED TO FOOD AND NUTRITION SECURITY FOR FAO CPF / UNDAF / JOINT PROGRAMMES

### Where are we now?

### Where do we want to be?

#### FUNCTIONAL CAPACITY 1

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

### 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) Does the policy clearly define objectives and priorities?
- 4) Does it include an outline of the policy measures to be implemented?
- 5) Does it define the institutional set-up?
- 6) Does it 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?

#### Policy commitment and accountability frameworks

- 9) 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.
- 10) To what extent and how does the country participate in international fora or debates on food security?
- 11) How is political commitment and support to food and nutrition security demonstrated?
- 12) Is there political will to address the needs of the most vulnerable?

## **Economic framework and national public-sector budget allocations**

- 13) Are there national sources of funding for food and nutrition security initiatives? Is the amount commensurate to meet the needs of the sector?
- 14) Are there external sources of funding?
- 15) Is there a clear budget breakdown between government and donor funds?

## **Governance and power structures**

- 16) To what extent does the legislation reveal contradictions or areas of overlap in responsibilities for activities?

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

### **Motivation**

- 17) Which ministries/departments (central/local level) are involved in the development and administration of food and nutrition security legislation?
- 18) Are there clear mandates among the different ministries/departments involved in the development and administration of food and nutrition security legislation?

### **Strategic, organizational and management functions**

- 19) To what extent and how do the concerned agencies collaborate?
- 20) Is there a mechanism for ensuring coordination, information exchange and effective policy implementation? If yes, please clarify it. Which ministries participate and at what level?

### **Operational capacity**

- 21) Are there clear processes and procedures to develop and implement food and nutrition security policies?
- 22) To what extent are CSOs and NGOs involved in policy processes?

### **Human and financial resources**

- 23) Does the ministry/department have the capacity to design human resources policies and develop strategies for the development of human resources?
- 24) Does the ministry/department have written job descriptions for the functions and responsibilities of their staff?

- 25) Is there a job profile for the policy function?
- 26) Does the ministry/department have a staff training programme to improve skills at various levels?
- 27) How often over the last 12 months have staff members at public institutions been trained?  
To what extent was such training relevant to staff needs?
- 28) Over the last 12 months, to what extent has the ministry/  
department experienced turnover of competent staff?
- 29) How have the following factors contributed to this turnover: recruitment,  
promotion, staffing, supervision, personnel evaluation, salary level, etc.?
- 30) How have the same factors contributed to staff retention?

### **Knowledge and information**

- 31) To what extent are existing food and nutrition security policies and regulations  
accessible (e.g. in printed or online formats) and easy to understand?
- 32) To what extent are civil society, private sector and service delivery organizations  
knowledgeable about the existing legislation on food security?
- 33) Are there mechanisms for knowledge-sharing?
- 34) Are there mechanisms for knowledge and information management on food security?
- 35) Are staff adequately informed on global policy issues related to food security?
- 36) Which agencies are responsible for food and nutrition security information  
activities (e.g. early warning, vulnerability analysis) for policy planning?

### **Dimension: Individuals**

#### **Job requirements and skill levels**

- 37) Do policy staff have the required technical and managerial skills (e.g.  
to undertake high-level negotiations and policy analysis)?
- 38) What kinds of skills are needed to perform more effectively?

#### **Competency development**

- 39) Are there adequate training/learning opportunities for staff (e.g. policy-makers)?
- 40) What types of learning opportunities are needed to develop appropriate  
competence for policy formulation and implementation?

## FUNCTIONAL CAPACITY 2

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

### **Dimension: Enabling environment**

#### **Policy and legal frameworks**

- 41) Do national legislation and regulations enable adequate access to, and management and exchange of, information and knowledge on food security?
- 42) Is access to research, education and training on food and nutrition security issues regulated by legislation or national regulations?
- 43) Is there a legal framework to share information about food and nutrition security?

#### **Policy commitment and accountability frameworks**

- 44) Is access to information activity regulated in the national plans?
- 45) Is there a food and nutrition security information framework ratified through an act of Parliament?
- 46) Is there government commitment to the use and maintenance of food and nutrition security information systems?

#### **Economic framework and national public-sector budget allocations**

- 47) Are public resources currently allocated to sectoral education and research on food and nutrition security?

#### **Governance and power structures**

- 48) Are there enforcement mechanisms ensuring access to information and knowledge on food and nutrition security?

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

### **Motivation**

- 49) 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?
- 50) Is one organization mandated to oversee all the statistical data and information on food and nutrition security activities?

### **Strategic, organizational and management functions**

- 51) Do the responsible organizations have the capacity to carry out research and information activities on food and nutrition security?
- 52) Does the organization have the capacity to develop strategies to promote knowledge networking and sharing on food security?
- 53) Does the organization have the capacity to absorb/process global knowledge on food and nutrition security and adapt it to local needs?
- 54) Is there a national statistical system with the mandate to facilitate the flow of data and information on food and nutrition security?
- 55) Has a network been set up to facilitate the exchange of food and nutrition security information?
- 56) Are research institutes able to participate in policy and programme formulation?

### **Operational capacity**

- 57) What is the current quality of food and nutrition security information systems?
- 58) Have protocols for data collection standards been established and implemented?

### **Human and financial resources**

- 59) Is there an adequate number of staff (national and subnational) who are specialized in food and nutrition security issues?
- 60) Is the current level of financial resources dedicated to food and nutrition research programmes adequate?
- 61) How accessible to staff are education, knowledge and training opportunities?

## **Knowledge and information**

- 62) Are there national research bodies on food and nutrition security issues? If yes, which thematic areas are covered?
- 63) Are there any twinning arrangements among research bodies? If yes, how many?
- 64) Does the organization 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?
- 65) How is food and nutrition security information shared (e.g. reports, bulletins, newsletters, websites)?
- 66) Does the organization have the capacity to encourage knowledge networks and information sharing on food and nutrition security?
- 67) How is the information disseminated (e.g. format, periodicity, channels)?
- 68) Does civil society actively seek networking opportunities to share knowledge on hunger and poverty reduction?

## **Infrastructure**

- 69) What tools (e.g. software, technology) are available for an integrated analysis of food and nutrition security?

## **Dimension: Individuals**

### **Job requirements and skills levels**

- 70) Are there clear job descriptions for people to provide food and nutrition security analysis and research
- 71) Do research staff or food and nutrition security focal points have the required technical and managerial skills?
- 72) Are there any people who specialize in food and nutrition security integrated analyses?

## Competency development

- 73) Are there any training/learning opportunities for national/ local staff?
- 74) How are individual learning needs defined?
- 75) Is pedagogy defined based on individual goals and profiles?
- 76) What type of learning opportunities are needed to develop appropriate competencies?

### FUNCTIONAL CAPACITY 3

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

## Dimension: Enabling environment

### Policy and legal frameworks

- 77) Does the country participate in national/regional networks on food and nutrition security?
- 78) What type of involvement does the country have?
- 79) How does the country benefit from this participation?

### Policy commitment and accountability frameworks

- 80) Are national authorities interested in the establishment of partnerships?
- 81) Is intersectoral work seen to add value to the work and outputs of single agencies involved in food and nutrition security?

### Economic framework and national public-sector budget allocations

- 82) Do authorities have the capacity to mobilize funds for food and nutrition security initiatives from external or other sources?
- 83) Do authorities have the capacity to assess the share of external assistance on food and nutrition security initiatives in national development budgets?

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

### **Motivation**

- 84) Are national agencies interested in developing partnerships with other organizations? What types of partnerships? For what purpose(s)?
- 85) Are there cross-ministerial linkages on food and nutrition security issues?

### **Strategic, organizational and management functions**

- 86) Which agencies/stakeholders are working in food and nutrition security, and how are relations among them? Are they responsible for short-term emergency response or longer-term development planning?
- 87) Over the last 12 months, in what formal partnerships have the organization(s) engaged?
- 88) 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).

### **Operational capacity**

- 89) Is there any formalized process allowing stakeholder consultations on food and nutrition security issues?
- 90) Do agencies have the capacity to involve civil society and community-based organizations and other stakeholders in programme and project implementation?

### **Human and financial resources**

- 91) To what extent do staff have the necessary skills to engage in dialogue with other stakeholders and in strategic partnerships?
- 92) Are there enough employees carrying out these functions?

### **Knowledge and information**

- 93) Do organizations have the capacity to implement programmes to facilitate access to technology, information and knowledge from external partners?
- 94) Are there mechanisms in place to foster information-sharing and to foster trust and cooperation among partners?
- 95) Do civil society/NGOs actively seek networking opportunities to share knowledge on hunger and poverty reduction?
- 96) Are research institutes able to participate in policy, strategy and programme formulation?



## **Dimension: Individuals**

### **Job requirements and skills levels**

- 97) Are the relevant skills in place to support partnership-building in food and nutrition security? If not, what types of skills are required?

### **Competency development**

- 98) Are there learning opportunities for strengthening negotiation and communication skills?
- 99) To what extent do the existing training events prepare individuals to build or strengthen such capacities?

#### **FUNCTIONAL CAPACITY 4**

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

## **Dimension: Enabling environment**

### **Policy and legal frameworks**

- 100) Are there policy priorities supporting the implementation of food and nutrition security programmes or initiatives?
- 101) Is there an explicit hunger and vulnerability strategy preferably linked with a Poverty Reduction Strategy?

### **Policy commitment and accountability frameworks**

- 102) Are central and decentralized authorities committed to food and nutrition security programme implementation? If so, how is this reflected in terms of accountability?

### **Economic framework and national public-sector budget allocations**

- 103) Are there specific national budget lines for food and nutrition security programmes/initiatives?
- 104) Are external funds for such programmes and initiatives available?
- 105) Are government and donor funds predictable for these programmes?
- 106) Is allocation of resources transparent to such programmes (i.e. from central government to subnational and local governments)?
- 107) 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**

- 108) Are national/local agencies mandated to implement food and nutrition security programmes independent from political influences?

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

### **Motivation**

- 109) Which organizations have a mandate for food and nutrition security programme implementation? Are their mandates clear?
- 110) Is there one agency that has the mandate to serve as a focal point for food and nutrition security activities?

### **Strategic, organizational and management functions**

- 111) Do organizations have the know-how to design, implement, monitor and evaluate food and nutrition security programmes?
- 112) What are the most important functions for such organizations to carry out? Are such functions performed adequately? Are there any gaps?
- 113) Are there any interagency processes, groups or other coordination mechanisms focused on food and nutrition security? If so, what are their purposes? What are their strengths and weaknesses?

### **Operational capacity**

- 114) Are there documented procedures or standards for programme implementation (e.g. planning, quality management, monitoring and evaluation)?
- 115) Are there systems to monitor and evaluate the implementation of food and nutrition security projects/programmes?
- 116) Have protocols for standards in data collection been established and implemented (e.g. sampling, format for the exchange of data)?

### **Human and financial resources**

- 117) Are staff of local and national implementation bodies adequately trained or prepared?
- 118) How often over the last 12 months have staff members received training on food and nutrition security?
- 119) To what extent do staff have the necessary skills to carry out implementation functions (from project design to evaluation)?
- 120) Over the past year, what problems or challenges, if any, did the organization face regarding resources for programme activities?

## **Knowledge and information**

- 121) Do national and local implementation bodies have access to food and nutrition security information, innovations and good practices?
- 122) Are there examples of using local knowledge in project/programme activities?
- 123) How do competent authorities and competent bodies share information with each other?
- 124) Are there formal or informal mechanisms for sharing information within and between agencies, including government, research institutes, UN agencies and civil society?

## **Infrastructure**

- 125) Are agricultural inputs, vehicles for programme monitoring, computers or technical equipment available to ensure a quality programme/service?

## **Dimension: Individuals**

### **Job requirements and skills levels**

- 126) What skills level currently exists in: planning; negotiating; financial and project management; coordination; and monitoring and communication?

### **Competency development**

- 127) Are there training/learning opportunities for project/programme implementers or managers?
- 128) To what extent do the training events prepare individuals to respond to project/programme needs?

# TOOL

# 5D

## CAPACITY ASSESSMENT MATRIX — SUMMARY TABLE

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		

CAPACITY DEVELOPMENT NEEDS	SUGGESTED INTERVENTIONS WHAT IS THE BEST WAY TO GET THERE?	RESPONSIBLE ACTORS	PRIORITIES (1-4) 1 = URGENT 2 = MEDIUM TERM 3 = LONG TERM 4 = NOT A PRIORITY

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"> <li>&gt; What supportive policies, strategies and initiatives exist to address food and nutrition security issues?</li> <li>&gt; Note the name of the policies or regulations, year of enactment, year of the most recent revision and current status.</li> <li>&gt; Does the policy clearly define food and nutrition security objectives and priorities?</li> <li>&gt; Does it include an outline of the policy measures to be implemented?</li> <li>&gt; Does it define the institutional set-up?</li> <li>&gt; Does it define roles, responsibilities and rights in policy implementation?</li> <li>&gt; Have any policy reviews been undertaken in the last five years? What were the key recommendations? What is the status of their implementation?</li> <li>&gt; Are these policies favouring pro-poor development?</li> </ul>	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"> <li>&gt; Are there national sources of funding for food and nutrition security initiatives? Is the amount sufficient to meet the needs of the sector?</li> <li>&gt; Are there external sources of funding?</li> <li>&gt; Is there a clear budget breakdown between government and donor funds?</li> </ul>	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
<p>What are the major gaps in the national policy framework on food and nutrition security?</p>	<ul style="list-style-type: none"> <li>&gt; Review the existing policy and legislation to identify possible gaps, overlaps, inconsistencies</li> <li>&gt; Increase policy-makers' awareness of the policy issues to be addressed for food and nutrition security</li> <li>&gt; Establish a task force for food and nutrition security policy formulation</li> <li>&gt; Diagnose the food and nutrition security situation</li> <li>&gt; Draft the new legislation /policy</li> </ul>	<p>Ministry of Agriculture</p>	<p>1</p>
<p>What is needed to mobilize increased public funding? What are the implications for such reallocation?</p>	<ul style="list-style-type: none"> <li>&gt; Engage in advocacy work through media</li> <li>&gt; Conduct awareness-raising campaigns</li> </ul>	<p>Ministry of Planning</p>	<p>1</p>

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"> <li>&gt; Which ministries/departments (central/local level) are involved in the development and administration of food and nutrition security legislation?</li> <li>&gt; Are there clear mandates among the different ministries/departments involved in the development and administration of food and nutrition security legislation?</li> </ul>	What should be the desired institutional set-up in the medium term?
	Strategic, organizational and management functions	<ul style="list-style-type: none"> <li>&gt; To what extent and how do the concerned agencies collaborate?</li> <li>&gt; 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?</li> </ul>	How should intersectoral collaboration be ensured in the medium term?
	Operational capacity	<ul style="list-style-type: none"> <li>&gt; Are there clear processes and procedures for food and nutrition security policy development or implementation?</li> <li>&gt; To what extent are CSOs and NGOs involved in policy processes?</li> <li>&gt; Can the Ministry rely on sufficient and competent human resources in food and nutrition security?</li> </ul>	How should such policy processes be improved in the medium term?
INDIVIDUALS	Job requirements and skills levels	<ul style="list-style-type: none"> <li>&gt; Do policy staff have the required technical and managerial skills (e.g. to undertake high-level negotiations and policy analysis)?</li> <li>&gt; What types of skills would be needed to perform effectively?</li> </ul>	What skills should be available at the policy level in the medium term ?
	Competency development	<ul style="list-style-type: none"> <li>&gt; What type of learning opportunities would be needed to develop appropriate competences for policy formulation and implementation in food and nutrition security?</li> </ul>	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"> <li>&gt; Review mandates, structures and capacity</li> <li>&gt; Develop administrative structures with clearly defined roles, responsibilities and accountabilities</li> </ul>	Ministry of Agriculture, Department of Agriculture	4
What needs to be changed to ensure intersectoral collaboration?	<ul style="list-style-type: none"> <li>&gt; Establish Senior Food and Nutrition Security Focal Points in all relevant agencies</li> <li>&gt; Establish an Intersectoral body with clear ToRs to coordinate, facilitate and monitor policy implementation</li> <li>&gt; Establish Food and Nutrition Security Committees at central and decentralized levels with clear reporting lines</li> </ul>	MoA, DoA	2
What are the major gaps or constraints?	<ul style="list-style-type: none"> <li>&gt; Develop processes and procedures to respond to existing needs</li> </ul>		2
What is needed to develop the necessary skills?	<ul style="list-style-type: none"> <li>&gt; Analyse the required skills</li> </ul>		1
What is needed to put in place adequate learning programmes?	<ul style="list-style-type: none"> <li>&gt; Develop and deliver tailored learning solutions</li> <li>&gt; Conduct training needs analysis</li> </ul>		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?<sup>46</sup>
- 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?

<sup>46</sup> Climate-smart agriculture is defined as: Agriculture that sustainably increases productivity and resilience (adaptation), reduces/removes GHGs (mitigation) and enhances achievement of national food security and development goals.

## **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 (e.g. 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-CO<sub>2</sub>/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?

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

**Where are we now?**

**Where do we want to be?**

**Dimension: Enabling environment**

**Policy and legal frameworks**

- 1) What supportive policies exist for integrating climate-change mitigation and adaptation aspects into agricultural activities and addressing land-use change at the province/county/local levels?
- 2) Note the name of the policies or regulations that exist, year of enactment, year of the most recent revision, current status and foreseeable developments.
- 3) Do climate-change and/or agriculture policies clearly define objectives and priorities enabling the successful implementation of climate-smart agricultural practices at the local level?
- 4) Do climate-change and/or agriculture policies include an outline of measures at the local level to implement climate-change activities within the agricultural sector?
- 5) Do climate-change and/or agriculture policies define the local 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 at the local level?

**Policy commitment and accountability frameworks**

- 7) To what extent are decisions from international fora or debates on climate change and agriculture reflected in local policies?
- 8) How are political commitment and support for climate-change and agriculture mitigation demonstrated at the local and project levels?

## **Economic framework and national public-sector budget allocations**

- 9) Are there sources of funding to support the implementation of measures for climate-smart agricultural practices at the local/project level?

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

### **Motivation**

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

### **Strategic, organizational and management functions**

- 12) To what extent and how do the concerned agencies collaborate at the regional/local levels and with non-governmental institutions?
- 13) Is there a mechanism to ensure coordination, information exchange and effective policy implementation between the different agencies at regional/local levels? If yes, please clarify it. Which ministries/agencies participate and at what level? What are the strengths and weaknesses of such mechanisms?

### **Human resources**

- 14) Are the ministry/department staff at the local level adequately prepared to deal with climate change and specifically climate-change/land-use change issues?
- 15) What is most needed at the decentralized 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**

- 16) To what extent are the communities and farmers knowledgeable about climate-change issues related to agriculture?
- 17) Are there mechanisms for knowledge-sharing for communities and farmers?
- 18) Is there knowledge among farmers on mitigation and adaptation practices?
- 19) Are there existing mitigation or adaptation practices at the local level that should/could be scaled up?
- 20) Which data are available at regional/local levels on emissions from the agriculture sector and more specifically on crops/livestock/agriculture production sectors for carbon/non-CO<sub>2</sub>/GHG inventories?

## **Dimension: Individuals**

### **Job requirements and skill levels**

- 21) What types of skills are needed at the decentralized/local level to integrate climate-change concerns into agricultural policies (e.g. to attend national climate-change conferences/workshops, to analyse agriculture data relevant for mitigation and adaptation)?
- 22) What types of skills are needed at local/project levels for farmers to take up mitigation/adaptation best practices into their current activities?

### **Competency development**

- 23) Which types of learning and further education opportunities exist and which ones are needed for communities and farmers to develop appropriate competence in the area of adopting adaptation/mitigation practices?

## 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:

- > Adaptation of the Capacity Assessment Checklist(s) to the country context
- > 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.
- > Clear description of drivers and constraints for capacity development for climate change and agriculture
- > 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.

### **Methodology and scope of work**

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

### **Competencies**

- > Advanced university degree in agriculture economics, environment (planning and management), agriculture or political science
- > Skills in communication 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**

One month

# 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					

SECTOR CAPACITY AREA	1 = FULLY AGREE	2 = AGREE	3 = DISAGREE	4 = STRONGLY DISAGREE	IMPLICATIONS FOR CAPACITY DEVELOPMENT OR REFORM AT THE SECTORAL LEVEL
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					

SECTOR CAPACITY AREA	1 = FULLY AGREE	2 = AGREE	3 = DISAGREE	4 = STRONGLY DISAGREE	IMPLICATIONS FOR CAPACITY DEVELOPMENT OR REFORM AT THE SECTORAL LEVEL
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					

SECTOR CAPACITY AREA	1 = FULLY AGREE	2 = AGREE	3 = DISAGREE	4 = STRONGLY DISAGREE	IMPLICATIONS FOR CAPACITY DEVELOPMENT OR REFORM AT THE SECTORAL LEVEL
D3: MONITORING IS OF REASONABLE QUALITY AND USED FOR ADJUSTMENTS					
D4: MONITORING DATA ARE PUBLICLY AVAILABLE					
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

**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 for the situation analysis and during the identification and formulation phase of the project cycle.

**What it is**

This tool is a qualitative study for country analysis which 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.



## How to use it

International and national consultants carry out interviews, research activities and consultations in the field and write a country report. It is essential that the team conducting the DoC analysis include people with a very good knowledge of the country.

### Framework for basic country analysis

#### > 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?

#### > Medium-term, 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/go/topic-guides/drivers-of-change>

# 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.

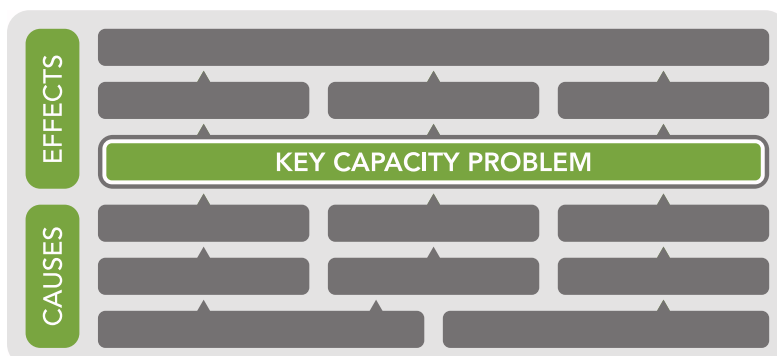
Step 2: Draw a “tree” and write the key capacity problem on the trunk. If you think there is more than one key capacity problem, you need to draw one tree per problem.

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 (SAMPLE)

### 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*

**Expected impact: Capacities for actions on food insecurity improved within the context of regional/national food security programmes**

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

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

<sup>47</sup> People's organizations may include producers' organizations, CBOs, market associations, microenterprises, etc.

OUTCOME 2	INDICATORS/TARGETS	DATA SOURCES	ASSUMPTIONS
OUTPUT 2.2 – PLANNING PROCESSES IMPROVED	<ul style="list-style-type: none"> <li>&gt; Work plans/action plans developed/improved</li> <li>&gt; Project ideas/proposals developed/improved</li> <li>&gt; Staff involved in planning processes</li> </ul>	<ul style="list-style-type: none"> <li>&gt; Interviews with key informants</li> <li>&gt; Interviews with staff of the hosting organizations</li> <li>&gt; Interviews with members of the people’s organizations</li> <li>&gt; Reports/documents of the organizations</li> </ul>	
OUTPUT 2.3 – INTERNAL ORGANIZATION, COORDINATION, MANAGEMENT AND TEAMWORK IMPROVED	<ul style="list-style-type: none"> <li>&gt; Improved organizational structure (organization chart)</li> <li>&gt; Improved managerial capacities within the organizations</li> <li>&gt; Clear ToRs and objectives for the organization and its various units</li> <li>&gt; Regular coordination meetings</li> <li>&gt; Quality and efficiency of teamwork</li> </ul>	<ul style="list-style-type: none"> <li>&gt; Interviews with key informants</li> <li>&gt; Interviews with staff of the hosting organizations</li> <li>&gt; Interviews with members of the people’s organizations</li> <li>&gt; Direct observation</li> <li>&gt; Reports/documents of the organizations</li> </ul>	
OUTPUT 2.4 – INCREASED ACCESS TO INFORMATION AND IMPROVED KNOWLEDGE SHARING PRACTICES (NETWORKS, ETC.)	<ul style="list-style-type: none"> <li>&gt; Membership in informal networks</li> <li>&gt; Improved knowledge sharing practices v</li> </ul>	<ul style="list-style-type: none"> <li>&gt; Interviews with key informants</li> <li>&gt; Interviews with staff of the hosting organizations</li> <li>&gt; Interviews with members of the people’s organizations</li> <li>&gt; Direct observation</li> </ul>	

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

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 four following questions:

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

The following steps are related to this stage:

**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 maps) 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 (e.g. 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>

**When to use it**

Most Significant Change is a qualitative instrument that can be used to assess the perceptions of project effectiveness. This can complement formal evaluation techniques, especially where the impact of an intervention can be described more effectively by qualitative rather than quantitative indicators.

**What it is**

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

This tool actively involves project stakeholders in deciding the type of change to be recorded and in analysing the data. It can be considered a "story approach" because it tends to answer the following questions:

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

**How to use it**

The process is organized into seven steps and involves collecting significant change stories emanating from the project/programme activities and then including designated stakeholders or staff in selecting them. The designated staff are first involved in searching for the project impact. 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.** Introduce Most Significant Change approach to project stakeholders and foster interest and commitment in participation. Jointly define the broad domains of change areas (e.g, changes in core competencies of people, organizational capabilities and the enabling environment)
- STEP 2.** Collect stories describing a specific change from those most directly involved in programme activities or from beneficiaries of programmes. They should be encouraged to report on why they consider that particular change to be the most significant.
- STEP 3.** Analyse stories and filter them up through the levels of authority typically found in an organization or programme. Each involved group selects the most relevant stories and highlights the criteria used to select them and feeds back to all interested stakeholders.
- STEP 4.** After this process has been conducted for some time, produce a document that includes all selected stories. Ask the external stakeholders (e.g. donors) to select the stories that best represent the kind of outcomes that interest them the most and document the reasons for their choices. Feed back this information to programme managers.
- STEP 5.** Validate the selected stories by visiting the sites where the described events took place.
- STEP 6.** When a change is described, it is possible to include quantitative information as well as qualitative information. It is also possible to quantify the extent to which the most significant change identified in one place has taken place in other locations within a specific period.
- STEP 7.** Look at who participated in the process, how this influenced the contents and how often different types of changes were reported.

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Source: ODI Toolkit, Rapid Research and Policy Development, Tools for Knowledge and Learning, 2006

Additional references:

<http://www.mande.co.uk/docs/MSCGuide.pdf>

<http://www.kstoolkit.org/Most+Significant+Change>

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### **Example of how MSC has been used in FAO**

MSC was used by the evaluation team that assessed the FAO Capacity-development activities in Africa. In the first phase, under the supervision of the regional expert in each visited country, a national consultant carried out four to five beneficiary assessments for a selected number of projects. The main task was to collect information through participatory workshops, focus group discussions, surveys and interviews with participants of CD activities and other stakeholders. To the extent possible, participants from CD activities were asked to report the most significant changes that had occurred as a result of the project. These individual anecdotes were, in some cases, complemented by a short, simple questionnaire addressed to individuals or working groups at the workshop, depending on the literacy levels and on logistics.

## SAMPLE QUESTIONS TO BE ASKED:

- > What was the reason for the intervention and particularly for the CD activities at this site?
- > How were participants selected?
- > In your opinion, what was the main reason for this intervention?
- > What was the situation before the intervention and what is it meant to achieve through CD?
- > What changed after the intervention? (This question will highlight the perception of change)
- > How effective was the intervention?
- > What was done well and what could have been done better? (This question will highlight the intervention approach, competence and attitude.)
- > How have the CD activities helped individuals learn and change?
- > How have CD activities helped the organization (where there is a farmer association or if talking to a government agency) to change? Has it made a difference to the decision-making process, provided incentives and opened up new opportunities?
- > Have those who participated been able to share their knowledge?
- > Is there any institutionalization or scaling up of the activity? (This question will highlight sustainability issues.)
- > What needs to change in the future to make the intervention more effective?

The guide and checklists that were used during the Evaluation of FAO CD activities in Africa are proposed hereafter (example 6) as reference tools in this area.

## 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 etc). 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 (MSC) 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 capacity development 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 capacity development 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 (e.g. training, technical advisory services, 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.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](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?			

DESIGN AND FORMULATION STAGES	YES	NO	HOW?
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?			

# JOB AID: PRINCIPAL CD ASPECTS FOR PROJECTS AND PROGRAMMES

## 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, organizations or the enabling environment.

- > Will the identified solutions contribute to developing the capacities of individuals, 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**

Capacity development is nurtured through action – reflection cycles and continuous learning with local actors and organizations. Multiple modalities of intervention and various processes can stimulate the strengthening of existing capacities.

- > 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 is 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 or not. 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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Warrener, D. , 'The Drivers of Change Approach', Synthesis Paper, ODI, London, 2004

World Bank Institute, Capacity Development Result Framework, A strategic and results-oriented approach to learning for capacity development, 2009

## **Recommended websites**

Capacity.org

<http://www.capacity.org>

European Centre for Development Policy Management (ECPDM)

<http://www.ecdpm.org/>

FAO

<http://www.fao.org/capacitydevelopment/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>

and <http://www.lencd.org/group/learning-package>

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

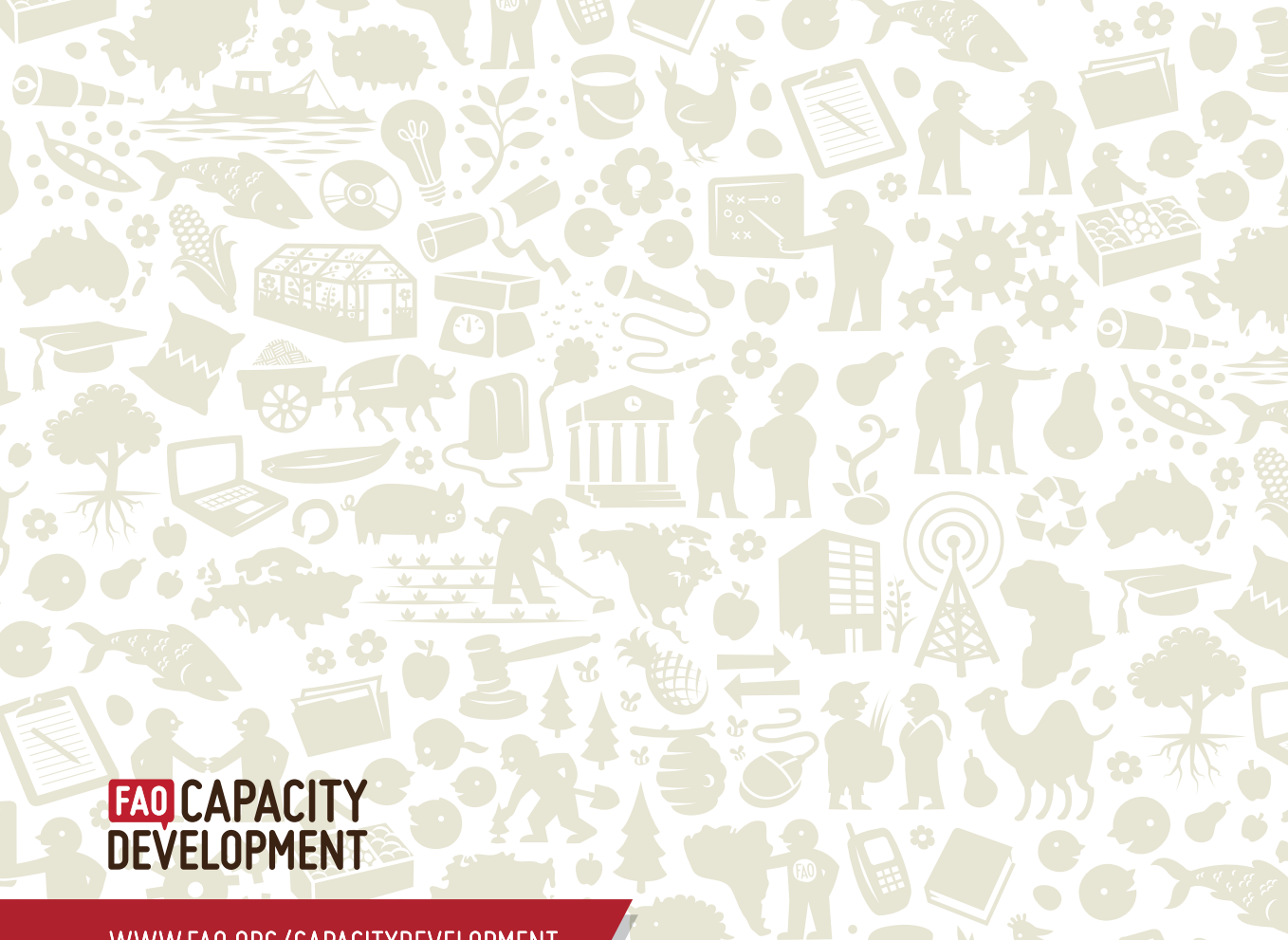
<http://www.undp.org>

WB Capacity Development Resource Centre

<http://go.worldbank.org/TFIPT5BOR0>

World Bank Institute

<http://www.wbi.org>



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[WWW.FAO.ORG/CAPACITYDEVELOPMENT](http://WWW.FAO.ORG/CAPACITYDEVELOPMENT)

Food and Agriculture Organization of the United Nations  
Viale delle Terme di Caracalla  
00153 Rome, Italy

E-mail: [capacity-development@fao.org](mailto:capacity-development@fao.org)



[www.fao.org](http://www.fao.org)

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