

Annex 2. Strategy for Gender and Diversity

SCARDA has a firm commitment to addressing gender inequalities in the capacity strengthening objectives and activities. The SCARDA proposal, October 2006, stated that:

'The Programme will seek to ensure that women have equal opportunities to participate in, and benefit from, the activities that are conducted. One of the Programme's guiding principles is to give priority to strengthening the capacities of women scientists. To this end, it will proactively encourage women to participate in its capacity development activities. Further, in its design the Programme will aim to ensure that there are no negative impacts on women or on any other vulnerable groups.'

This is consistent with the gender mainstreaming approach of FARA which promotes.

'... policies and actions that facilitate equitable access to productive resources by both men and women. ensuring that women's needs are addressed in the development and dissemination of agricultural technologies and policies; that women are enabled to fully participate in and benefit from agricultural innovation processes; that women farmers and scientists receive the training they need to be fully competitive in their work; and that capacity building for both women and men feature gender issues prominently'

The strategy for the SCARDA programme to meet this commitment will address the two important dimensions of gender and diversity;

1) Research management, gender and social difference

A gender and difference perspective must also be embedded in research management, to provide the appropriate environment to nurture the right kind of research practice. The values and principles of gender equity must be integrated into organisational principles, structure and culture in order to influence staffing and representation in decision making bodies.

2) Gender and difference responsive, participatory agricultural planning, research and development.

A gender and diversity perspective is important if developments in agricultural research are to be translated into productivity gains for women and the disadvantaged, including those affected by HIV and AIDS. This involves strengthening capacity among SCARDA participating institutions for planning processes that identify and respond to the different constraints, needs and priorities of different groups

of farmers, whether these differences are based on gender, socio-economic situation, age, ethnicity, religion, etc. This includes developing mechanisms for men and women farmers from different socio-economic, age, and ethnic groups to take an *active* part in planning agricultural development activities and participating in the research process and sharing results.

Gender mainstreaming strategies

The need to look at both research practice and organisational culture simultaneously, requires a strategy to ‘*mainstream*’ gender and diversity – i.e. integrating the concerns of women and disadvantaged groups into the design, implementation, monitoring and evaluation of agricultural research policies and programmes, and to bring about changes in staffing, procedures, and culture of agricultural research and development organisations.

Steps to achieve this include:

- **Securing commitment from senior management in participating institutions.** Experience indicates that progress is strongest where there is the will to ensure that analysis is followed by real action. The attitude of candidate organizations to gender will therefore be an important criterion for the selection of participating organizations. It is however, recognised that addressing gender and diversity inequalities is a complex, long-term project.
- **Gender and diversity analysis** (gender audit) within institutions in the SCARDA programme, covering staff composition, roles, recruitment policies, training, promotion and career development opportunities. This will be conducted as part of the institutional analysis in the first stages of implementation. Largely through participatory self assessment, it will identify gaps in gender equality; raising awareness of the gaps and options to address these. It will contribute to the design of

training and capacity strengthening in gender and diversity issues and associated M&E.

- **Analysis of consultation processes** which underpin setting of the research agenda and prioritisation, from the perspective of gender and diversity inclusiveness. This will lead to inclusion of gender analysis in these processes, examining the roles and interrelationships of both men and women, those excluded and those whose voices are usually heard. The aim is for gender analysis to be an integral part of research planning and implementation and this will require skills in participatory stakeholder processes which include women and disadvantaged groups.

Options for mainstreaming gender and diversity:

Following the gender analysis a number of options will be considered:

- a) Relating to institutions and management
 - **Appoint gender focal staff** as catalysts for action, to have designated responsibility and a strategic role in mobilising and targeting resources, identifying entry points, providing training and mentoring, developing alliances, etc.
 - **Promote gender equality through organizational capacity building and change strategies**, e.g., develop gender policies and plans; pay attention to gender in job descriptions, interviews and appraisals.
 - **Build senior management support — through specific training in gender policy development.**
 - **Encourage organisational learning on gender and diversity issues.**
 - **Training in use of gender sensitive monitoring tools and approaches which involve multiple actors.**
 - **Targeted training opportunities** — e.g., the introduction of a special Fellowship

scheme for women (possibly linked to other initiatives such as the Gender & Diversity programme of the CGIAR).

b) Relating to participatory agricultural planning and research.

- **Learn from lessons from experience elsewhere** on institutionalising participation in research and ensuring that participatory research and innovation is properly sensitive to gender and differentiation and exclusion along other lines (age, ethnicity, religion etc).
 - **Develop skills in skills in participatory processes** and participatory research which include women and disadvantaged groups.
- **Ensure women's participation at the community level** by working with representative women's organisations and providing support/guidance to extension staff.
 - Developing **gender and diversity related indicators** for M&E and reporting: Routine monitoring should collect sex-disaggregated data and gender analytical information at the client or beneficiary and organisational levels.
 - **Gender, diversity and policy processes** —from analysis of the strategic constraints to broader gender and diversity related access to land, resource entitlements and inputs, develop policy recommendations for relevant service provision bodies.

Annex 3. Monitoring & Evaluation Strategy

Addressing accountability, learning and quality assurance.

1. Introduction

The purpose of the DFID-funded Programme for Strengthening Capacity for Agricultural Research and Development in Africa (SCARDA) is *'to strengthen the institutional and human capacity of African agricultural research and development systems to identify, generate and deliver research outputs that meet the needs of poor people'*. SCARDA is led by the Forum for Agricultural Research in Africa (FARA) and will be implemented in the three sub-regions in sub-Saharan Africa (east and central Africa, southern Africa and West Africa). The sub-regional organisations (SROs) will play key roles in the governance and operational oversight of the programme within their respective geographical domains.

During the programme's six-month inception phase, scoping studies have been conducted in each of the three sub regions to identify the capacity strengthening needs and to develop strategies for addressing them. The studies were discussed in three Stakeholder Consultation Meetings and used to develop a detailed implementation plan which was discussed and agreed at a Regional Stakeholder Inception Workshop. A monitoring and evaluation strategy was designed as part of this process.

2. M&E challenges in capacity strengthening programmes

There are particular challenges in monitoring and evaluating a programme of capacity strengthening which include:-

1. The time scale within which capacity strengthening activities can translate into positive outcomes for agricultural research and development.
2. Attributing outcomes to programme activities and processes, since capacity strengthening takes place within a wider context of knowledge exchange and capacity development.
3. Monitoring of complex qualitative processes to enable learning about what strategies and approaches are effective in capacity strengthening.
4. The scope and the organisational/individual levels within which effectiveness starts to materialise as a result of the strengthen capacity.

3. M&E in relation to SCARDA's theory of intervention

The working hypothesis behind SCARDA is that the development and application of appropriate packages of capacity strengthening measures targeting organisations, rather than the traditional piecemeal approach, will more effectively and more sustainably improve the efficacy of ARD institutions. Programme interventions may be targeted at individual organisations such as national agricultural research institutes, universities and agricultural extension organisations. Support may also be provided for networks and other institutions. Since a key objective is to strengthen national agricultural innovation systems, attention will be given to strengthening linkages between organisations and different functional elements of the innovation system. A central premise underpinning SCARDA's approach, shared with innovation systems theory, is that interventions are more effective when planned and implemented through an informed analysis of individual organisations, and networks of organisations, as systems, the component parts of which interface to deliver outputs and services for development.

SCARDA will engage with capacity strengthening organisations in order to facilitate and enhance the provision of their services. The Programme will also work with organisations and institutions which can benefit most from capacity strengthening activities and generate wider impact in national innovation systems. In each case, the key outcomes from the proposed two and half year implementation phase of SCARDA will relate to changes in organisational and individual strategies and capacities. Consequently, the M&E framework for the Programme should address the aspects of organizational and individual performance targeted through the capacity building inputs provided and enable these to be effectively assessed and measured. For this reason, the design of the work programmes in each of the

sub-regions will require a defensible and explicit rationale for proposing particular organisational changes and enhanced capacities. This will involve the identification of clear *impact pathways* or *outcome map* that can be tracked.

The main functions of M&E within the SCARDA programme are:

- a) To track the delivery progress of results (outputs and outcomes) within the programme for management accountability, so that (where necessary) appropriate corrective adjustments can be put in place, during the three-year implementation phase.
- b) To track and evaluate the quality and effectiveness of capacity strengthening interventions, particularly in relation to their intended contribution towards individual and organisational performance. This implies recording and analysis of performance and change in the primary individuals and organizations participating in SCARDA.
- c) Related to b above, to ensure that key elements of process are clearly documented so that the means through which performance improvements are achieved are captured for further reflection, analysis and sharing.
- d) To identify needs for capacity strengthening in M&E, as much of the M&E will be embedded within programme activities and undertaken by SCARDA participating institutions.

A robust and coherent monitoring and evaluation framework and procedures are required for SCARDA to fulfil these functions. This has been developed as part of the SCARDA planning process.

The M&E framework focuses on developing "leading" indicators of change and performance by the participating organisations and individuals. Because sustained changes in organisations and individuals involve organisational learning, the M&E framework for SCARDA has a strong emphasis on analysing, sharing lessons and communicating lessons learnt. Learning and

lesson sharing can take place within organizations; between organisations in a national innovation arena; and between organisations in different countries and sub-regions. Thus, the M&E tools must be flexible enough to capture and document these diverse processes and results (outputs and outcomes) and wherever possible provide credible evidence of linkages to the programme inputs. The framework aims to address this challenge by through “process documentation” by key actors within the programme.

The key results (outputs and outcomes) from the proposed two and a half year implementation phase of SCARDA will relate to changes in organisational strategies, systems, processes and capacities. The adoption of improved capacity strengthening strategies and the achievement of agreed goals for enhancing organisational performance will be the fundamental measures of the success of the programme. SCARDA has a commitment to an innovation systems approach in capacity strengthening. This implies that participation in M&E includes the range of actors within the innovation system who are included in the programme while also involving inputs from key stakeholders who are not direct participants but are well positioned to assess changes in the target organisations.

Within the context of organisational change within national agricultural innovation, two focal areas of M&E in the programme will be:

1. Capacity strengthening activities with selected target organisations, including their immediate contacts and networks. This will involve assessment of quality, relevance, efficiency, effective learning and of positive results (outputs and outcomes) in terms of approaches to work, i.e., behavioural changes, procedures and systems for working.
2. Benefits to supplying institutions including better capacity for building capacity. Inter-institutional linkages, cross country support and networking.

4. M&E in the inception phase

The main task in the inception phase was to establish the overall purpose and scope of the M&E framework. This involved a process of tracking and interacting with the ongoing development of SCARDA’s implementation plan which built on outputs from the sub-regional country scoping studies, stakeholder workshops, the regional pre-workshop meeting and workshop as well as discussions with those responsible for or involved in M&E.

In order to identify key performance areas and information needs, a range of strategic documents were consulted including SCARDA and related project documents (e.g. Strategic and medium term plans for FARA, CORAF and ASARECA, the ASARECA strategy for M&E, the ASARECA project on IAR4D capacity strengthening and scoping visit reports for ASARECA CORAF and SADC).

M&E related documents from the sub regional networks, from FARA and other FARA programmes were also consulted and discussions held with programme managers at key levels to establish expectations of M&E. Frameworks and provision for M&E within FARA and its programmes were reviewed. In particular, discussions were held with SCARDA contact persons and managers from ASARECA and CORAF. In SADC discussions were held with the M&E specialist based in the EU funded ICART project which has a capacity strengthening component.

A rapid assessment of M&E capacity was made during visits to the SROs and FARA, through meetings held with M&E contact persons. There is significant variation in the levels of capacity and in the levels of development of existing M&E strategies plans.

During the 3 sub-regional stakeholders’ workshops, participants were facilitated in exercises which helped stakeholders reach consensus on the focal areas for capacity strengthening and to explore the types of results that might be achieved through

capacity strengthening, together with indicators (of process and results) and activities for these. The ASARECA second stakeholder workshop in Nairobi further developed their plan and indicators. For SADC, data in questionnaires completed by research and training institutions visited by consultants were entered and a preliminary analysis undertaken for countries visited. Among other things, this analysis evidenced the importance of disaggregating data on organisational human capacity by gender and age.

During the prioritisation of interventions in workshops, it was recognised that research management skills and systems, and soft skills for researchers and managers are a common thread in all SROs. There was also recognition that for impact to be achieved from research, capacity development is required for other key stakeholders within an innovation system, but that SCARDA did not have the needed resources to seriously address this area. In ASARECA, strengthening of capacity strengthening organisations was also emphasised. Moreover, in ASARECA and CORAF, specific needs in countries emerging from conflict were acknowledged as being very important, informing the selection of target organisations. These areas require linking within a logical chain to the anticipated outcomes and impacts of the programme and its wider developmental goal. This can be best achieved by mapping the SCARDA outputs and intermediate outcomes against the relevant result areas of the SROs and FARA (see Section 4.2). A further task is to link the implementation of the SCARDA M&E effort to the M&E frameworks, available capacity and other capacity strengthening initiatives being undertaken at FARA and SRO levels.

4.1 Linkages between SCARDA M&E, and M&E Frameworks in SROs and FARA

The overall programme framework developed for SCARDA is consistent with the M&E systems utilised by FARA and the SROs and with DFID's guidance on good M&E practice. It was

developed and designed in a way that enables the M&E frameworks developed by each SRO for SCARDA to nest within it, with a view to harmonising effort, minimising unnecessary duplication, and avoiding the imposition of a burdensome and overly centralised reporting and monitoring system. SCARDA activities will contribute to relevant programmes and projects of the SROs. SRO representatives participated in a working group that developed a revised generic logical framework during the week preceding the regional inception workshop in Accra. The regional inception workshop involved further group work which examined the proposed outputs in the project proposal and revised these in the light of the design of the implementation approach and plan. The group also addressed the link between SCARDA's four new outputs and intermediate outcomes contributing at purpose level in the generic log-frame. As the M&E systems of the two of the SROs are currently in the process of further development as part of moving from a networking to a programme approach, there is a further opportunity to contribute to the further harmonisation of M&E systems which will help to facilitate the sharing of learning outcomes across the sub-regions.

4.1.1 Integration with M&E in SROs

CORAF/WECARD

The 10 year strategic plan indicates that M&E is applied to all CORAF/WECARD activities and synchronises as far as possible with those of FARA through the use of the similar approaches and methodologies. The aim is to ensure that the focus is on the functioning of the sub-regional agricultural research system as whole. The CORAF/WECARD programme and project monitoring and evaluation activities are intended to operate within an overall framework to track progress towards result delivery, as defined by the key performance, outcome-based indicators in the *Logframe Design Summary*. The M&E framework provides guidelines and procedures for the collection and analysis

of data and information on the indicators, the outcome of which will be used to support effective decision making and execution of programmes. The M&E units located at the different levels of the CORAF/WECARD member NARS will track both implementation and results throughout the programme and project cycle. Results monitoring will use tools such as Outcome Mapping and Participatory Impact Assessment. CORAF/WECARD also emphasises the important role of beneficiaries in taking an active part in identification, planning, implementation and M&E. The SCARDA programme fits within In CORAF/WECARD, result area 3 (sub-regional research system strengthened and coordinated — including “skills and competences to operate within the “business unusual” paradigm) and programme area 8, “capacity strengthening and coordination”. SCARDA is seen as the first of a number of capacity strengthening initiatives; a vehicle to pilot new ideas for capacity strengthening.

The results from the CORAF/WECARD scoping study and workshop identified M&E and impact assessment as one of the priority areas for capacity strengthening, necessary for improved research management.

ASARECA

ASARECA is institutionalising a result based M&E system to enable delivery on its purpose of enhancing sustainable productivity, value added and competitiveness of the regional agricultural research system. ASARECA has a detailed M&E strategy, a logical framework and key performance indicators and a reporting framework in place. M&E operates at different levels. The logframe is used as generic basis for nesting ASARECA projects and programmes within it. The overall framework is used by the M&E unit in the ASARECA secretariat to assess the outcomes and impacts of ASARECA’s interventions. SCARDA is seen as fitting into the result area 4—‘*Capacity for implementing agricultural research in the IAR4D paradigm strengthened*’. ASARECA’s (EU funded)

IAR4D capacity strengthening project’s inception phase ran concurrently with SCARDA’s inception phase in the sub-region, enabling cross-fertilisation of ideas during the scoping exercises and the first stakeholder workshop. This project is complementary to SCARDA in that its focus is on strengthening capacity of a wider range of actors within the innovation system, including extension, NGOs, farmer organisations and private sector actors. ASARECA also has a strong interest in complementary M&E and impact assessment methodologies, such as ex-ante impact assessment approach to planning for outcomes, and outcome mapping. It is anticipated that further exchange of ideas between the two projects will continue during the refinement and implementation of the SCARDA M&E framework in ASARECA. As Rwanda has been selected by the DFID Research Into Use programme as a target country, also with a focus on building innovation platforms down to farmer level, in this particular case there is also opportunities for collaboration on the monitoring of SCARDA project outcomes as they relate to the actors intermediary between national research and training organisations and farmers.

SADC

SADC sub-region by the Food & Natural Resources Division [SADC-FANR] differs in that since the winding up of SACCAR there is no organisation comparable in function to CORAF and ASARECA. While a commitment from SADC to establishing a new sub-regional organisation was obtained at the 4th FARA general assembly held in June 2007, it is unlikely that this will be operational within the life-time of SCARDA.

This has implications for the capacity and focus of M&E of SCARDA in SADC. In particular the responsibility for M&E will rest largely on the person appointed to serve as SADC-SCARDA Coordinator. It is envisaged that generic terms of reference for SRO coordinators will be reviewed and expanded jointly with

SADC-FANR and key stakeholders at the start of the implementation phase. This will enable their particularly responsibilities relating to monitoring, evaluation, data management and technical reporting on SCARDA activities to be elaborated. If additional support for M&E is required then mechanisms for securing this discussed at this point.

More broadly, SCARDA M&E in the SADC sub-region will be designed within the framework of existing strategies for research and training in FANR. Specifically it will be informed (but not limited) by M&E mechanisms used for current capacity strengthening initiatives including those used for regional short courses being provided by the following; *The Promotion of Regional Integration (livestock sector)* [PRINT] Regional Training Programme; Land & Water Management Programme [LWMP]; *The Implementation and Coordination of Agricultural Research & Training* [ICART]; *SADC Multi-country Agricultural Productivity Programme* [SADC-MAPP] (with a capacity strengthening component expected to begin during 2008). Of these initiatives, ICART has a dedicated M&E officer in post who is developing a framework for M&E which will cover its capacity strengthening activities. The scope of M&E, particularly with regard to quality assurance, will also be informed by the SACCAR experience of monitoring regional training programmes (Masters and short courses) through centres of comparative advantage and partnerships with northern training institutions.

4.1.2 Consistency with M&E systems of FARA and FARA programmes

It is important that the M&E system of SCARDA is compatible with the overall M&E strategy within FARA and its other programmes. FARA is the Lead Institution for pillar 4 under CAADP and hence is concerned with assessing progress towards the achievement of CAADP Pillar IV objectives. It aims at strengthened and harmonised M&E at country, sub regional and

continental levels. M&E of FARA activities is intended to synchronise as far as possible with those of the SROs through the use of the same approaches and methodologies.

The FARA strategic plan 2007–2016 identifies 5 interlinked result areas which are delivered through its corresponding Networking Support Functions.

SCARDA relates closely to result area 4 and networking support function 4 which aims to ensure that Africa has the human and institutional capacity, public and private, to achieve improved broad-based agricultural productivity, competitiveness and markets which will contribute to achieving the African Vision of 6% percent annual growth in agricultural production. In addition, SCARDA, particularly through output 4 on lesson learning and sharing, will contribute to FARA's Networking Support Function 1, Advocacy and Resource Mobilisation.

FARA intends to appoint a senior person in charge of M&E with a higher level coordination role of M&E and impact assessment across programmes. The FARA and SRO Monitoring and Evaluation (M&E) units will have an overall framework to track progress towards result delivery and outcomes, as defined by the key performance indicators. With the exception of the Sub Sahara Africa Challenge Programme (SSA CP), M&E development in other FARA programmes is at an early stage as they are not yet in their full implementation phase. M&E of SCARDA at FARA level will be informed by, and share its experience with, ongoing M&E efforts in the other programmes that FARA is managing. Those that have greatest relevance to SCARDA M&E are briefly described below.

The purpose of the **SSA CP** is to address the most significant constraints to reviving agriculture in Africa using a new paradigm, Integrated Agricultural Research for Development (IAR4D). In the inception phase of SSA CP, efforts were

made in preliminary training for the selected teams, on M&E and impact assessment including emphasis on M&E plans, impact pathways and outcome mapping. The need for mentoring in M&E is clearly recognised. The programme did not develop a consolidated M&E system because of uncertainties following the Science Council commissioned external review and the recommendation that the programmes focus on ‘proof of concept’ of IAR4D. A revised medium term plan has been submitted and specific methods and protocols will be developed. Some similar challenges face SSA CP and SCARDA — both are looking for indicators of institutional learning and change within a relatively short period of 3 years, despite the recognition that institutional change is a longer term process. Both have to find creative ways of capturing the early signs of positive change in behaviour and ways of working which can be plausibly linked with longer term positive outcomes for rural people. There is potential for linkages in terms of the methodology used for defining institutional baselines—some preliminary work was done on institutional assessment in 2006 for organisations involved in SSA-CP task forces.

The programme, ‘Building Africa’s Scientific and Institutional Capacities’ (**BASIC**), is focused on tertiary education in Agriculture and Natural Resources. It is intended to strengthen the capacity of universities to deliver high quality and contextually appropriate teaching in agriculture and natural resource management to enable agricultural graduates to meet current development challenges. BASIC is similar to SCARDA in that its focus on capacity strengthening and hence their M&E systems will have some similarities. Both are aligned with FARA result area 4.

RAILS (Regional Agricultural Information and Learning Systems)’s purpose is to enhance access, retrieval and use of agricultural information and technologies through learning by African ARD stakeholders. RAILS nests within FARA’s

strategic result area 2 of network and support access to technology and knowledge. The RAILS programme is just starting up activities on the ground. It operates as a networking programme involving universities, research organisations and NGOs. It envisages 2 types of M&E—internal and external and it is planning to develop terms of reference, indicators and milestones.

DONATA (Dissemination Of New Agricultural Technologies in Africa)’s purpose is to capture the lessons and develop effective trans-boundary partnerships for dissemination of high-potential technologies. Like RAILS, DONATA is still in its first year and also falls under results area 2. While its focus is on dissemination, DONATA has a training component and an emphasis on capturing lessons, implying some similarity M&E approaches and tools to those proposed for SCARDA.

4.2 Development of a log-frame for SCARDA that is results oriented

At the pre-workshop meeting in Accra which was held to prepare a draft implementation plan, the outputs from the workshops were reviewed and assumptions around delivery of impact discussed. These were formulated into a draft SCARDA programme level logframe which was discussed at the regional stakeholder workshop to enable harmonisation of outputs, indicators and working assumptions about how intermediate outcomes and impact will be delivered.

During the regional inception workshop in Accra outcome expectations for SCARDA, were mapped against the four revised outputs of the implementation plan (see Table 7 below) and provisional SCARDA Outputs were mapped to FARA’s Medium Term Plan Activities and Result Indicators (see Table 8 below).

These will be further refined as part of the FARA level M&E framework and system development, to be undertaken following the development of SRO level capacity strengthening action plans

Table 7. SCARDA Outcomes: Suggestions from Working Groups in the Regional Inception Workshop

Output 1 – Strengthened research management	
<p>Outcome statements:</p> <ul style="list-style-type: none"> • Improved financial management, • Strategic planning improved, • Platform for consultation and partnership enlarged, • Performance assessment systems developed/improved. • Demand driven research increased, • Human resource management improved. • Staff retention improved. 	<p>Outcome indicators:</p> <ul style="list-style-type: none"> • Funds received on time. More positive auditor's reports • Improved quality and timeliness of reports, • Number of partners and outputs from consultations, • Performance assessment manual developed and applied. • More funding from private sector, • Inter-disciplinary teams established and functional, • New/improved strategies for staff retention in place.
Output 2 – Strengthened scientific and professional capacity	
<p>Stated Outcomes in the short-run;</p> <ul style="list-style-type: none"> • Soft skills developed • System skills in place • Reward system installed • Culture of information sharing <p>Stated Outcomes in the long-run;</p> <ul style="list-style-type: none"> • Research projects or proposals generated according to innovation system approach from both core funding of participating institutions and in competitive grant regimes. • Running projects under innovation system approach. • Number of generated technologies according to innovation system approach 	
Output 3 – Capacity to build capacity	
<p><i>Stated Unfolding of Outcomes:</i></p> <ul style="list-style-type: none"> • A felt need for curricula reform dominates among agricultural training institutions. • Curricula reform process initiated in targeted institutions. • Design and engagement of the BASIC is refocused and articulated to meet the demand for innovation system approach. • A dynamic university training program (degrees and short courses) for innovation system in targeted institutions is developed, implemented and regularly reviewed to meet demand and challenges. 	
Output 4 – Lesson learning and strategic sharing	
<p>Outcome statements:</p> <ul style="list-style-type: none"> • Awareness and appreciation of SCARDA intervention approach expressed • Efficient delivery of research of research and development services resulting from multiple competencies • Ability of institutions to lead and manage change processes • Increased participation of women in research and agricultural research and development initiatives • Enhance institutional memory as a basis for increased performance • Enhanced use of learning platforms in the NARS, e.g., e-documentation, e-discussion 	<p>Proposed indicators:</p> <ul style="list-style-type: none"> • Increased interest in development partners buying/adopting the approach • Attracting additional resources into initiatives through successful research proposals

Table 8. Provisional Mapping SCARDA Outputs to FARA's Medium Term Plan Activities and Result Indicators

SCARDA Outputs <i>(italics indicate outputs for implementation phase)</i>	Linked FARA Activities. Networking Support Function 4: Capacity Strengthening	Linked FARA Result Indicators Networking Support Functions 4 and 1 (Advocacy)
1. Inception Phase	4.1	
1. <i>Research Management competencies and systems</i>		1.2 and 1.4
2. <i>Scientific and Professional Development</i>	4.2	
3. <i>Capacity to strengthen capacity</i>	4.5, 4.6	4.2
4. <i>Management, Lesson learning and strategic sharing</i>	4.4, 4.2,	4.5, 4.6, 1.2 and 1.4

(which would include SRO level log-frames) based on the outcomes from the institutional assessments.

At this stage a provisional mapping of SCARDA outputs against FARA's Medium Term and Operational Plan (MTO) activities and result indicators suggests that output 4 (largely generated through process documentation, analysis and sharing of the implementation of outputs 1 and 2) will address activities under FARA networking support function 4 and also indicators for support function 1. Output 3 addresses other activities under Networking support function 4, as does output 2 and the completion of the inception phase. Output 2 (strengthened research management) relates to indicators for change management and innovation systems under Networking support function 1.

5.0 Further development of M&E implementation framework and activities

5.1 Development of the M&E system.

The task of M&E is twofold; to track the implementation of the programme, its delivery and efficiency and secondly to track outcomes and learning from the capacity strengthening activities. Once participating institutions and detailed programmes have been designed through the consultation process following the

institutional assessment, the M&E tasks will include.

- Developing indicators, targets, and information system to track implementation (inputs, activities, outputs).
- Participatory definition of indicators for capacity strengthening outcomes. Indicators and performance levels will be developed which reflect realistic targets within the programme time frame.
- Further elaboration of risks and assumptions
- Specification of data requirements, the sources of information and data.
- Establishing responsibilities for M&E and data collection—who participates in data collection and process monitoring events.
- Developing reporting formats and information systems for collecting, storing and sharing data.
- Harmonisation with other M&E frameworks and data collection tools.

5.2 Key Design Principles

Following the principles below, a more detailed framework and system for the monitoring and evaluation of SCARDA will be developed as a priority at the start of the implementation phase.

Participatory/Ownership – built with those responsible for recording and using information so they have an interest in, and commitment to, analysing and acting on that information.

Clear delineation of purposes (accountability and learning)—for all activities related to monitoring and evaluation.

Clear link to Management of SCARDA implementation—the monitoring results will be used to guide decision making at various levels of project implementation.

Clear link to learning and change— through well designed process documentation and reflective processes and events involving the participating organisations.

Clear and realistic plans—developed at each level to ensure that M&E roles, responsibilities, time-frames and methods are understood by relevant parties.

Capacity sensitive—the monitoring and evaluation task should be within the capacity/capability of the responsible organisations and individuals. Where necessary additional capacity strengthening in M&E will be provided.

Focused and user-friendly—the content of what it needed should be clearly defined and the methods used to gather and analyse data as user-friendly as possible.

The main elements of an M&E framework for SCARDA are:

- Monitoring change within participating organizations and individuals, including changes in the nature and intensity of linkages with other organizations assessed to be key to effective innovation.
- Measuring the uptake and adaptation of improved operational practices addressed in capacity building activities under SCARDA (including organizational/managerial/technical and social).
- Tracking progress of the overall programme to ensure that milestones, indicators and outputs are achieved.
- Mechanisms for internal and external review of progress and adjustment of milestones and indicators in response to ongoing

developments and learning within the programme,

- Facilitating and capturing learning (within and between country and sub-regional organizations, and between sub-regions). This will include an evaluation of the effectiveness of different types of intervention and their usefulness.

5.3 Proposed Methodology

Reflecting the changing demands placed on M&E systems, traditional academic approaches to impact assessment are increasingly being complemented by alternative methods and processes of monitoring, learning and communication. M&E within SCARDA will explore the appropriateness of different methods and tools for M&E. Of particular importance are methods for monitoring processes of change and capacity strengthening, capturing changes in the behaviour, mindset, abilities and attitudes of stakeholders and organisations over the course of the project. The choice and combination of M&E tools will depend on (a) how project outputs are further developed and (b) the assessment of capacities and interests of participating institutions and their willingness to take on and agree to the considerable demands of particular M&E methodologies. With these provisos, elements of the following approaches may be considered:-

The *balanced scorecard approach* is a useful framework for assessing organizational capacity and trends. It identifies the key performance areas, objectives and anticipated outcomes of participating organizations. Outcomes are defined as *specific changes in behaviours, relationships, actions or activities of people, groups and organizations with whom the programme works directly*.

Outcome mapping starts with a vision of change and engages participants actively in defining and then tracking the changes in relationships and behaviour needed to bring about that change. It complements the logframe by focusing on

processes and relationships with ‘boundary partners’, recognising that learning does not take place in isolation and that the application of learning depends on other partners.

It is anticipated that use will also be made of case studies and structured comparisons to examine programme outcomes within and between countries and sub-regions.

Baseline institutional analysis. The detailed institutional analysis of selected target organisations in the first stage of implementation will identify priority areas for capacity strengthening. These priorities will be developed as specific objectives within the programme. Methods will include self assessment and where possible, existing data sources and cost-effective methods used to capture additional data required in relation to baseline design and progress monitoring against identified indicators.

M&E capacity assessment and plan for capacity development in M&E

Levels of existing capacity in M&E will be assessed as part of the institutional assessment, and plans made for strengthening capacity of participating institutions to develop appropriate M&E structures and systems and to monitor, evaluate and assess the impact of their programmes.

5.4. Proposed Functions and Responsibilities relating to m&e

The proposed functions and responsibilities relating to M&E at the different levels of the project are summarised in the Table 9.

5.5 Further Development and Application of M&E Plans

The refinement of plans for M&E will be undertaken during the first stages of implementation as follows:

- Detailed plans for monitoring and evaluation will be developed at FARA and SRO level as

the first stage of more detailed implementation planning.

- At the FARA and SRO levels plans will be structured by the generic and SRO level logical frameworks, with a focus on accountability and tracking of progress against inputs, activity milestones and output indicators.
- At SRO level logical frameworks will be used as guiding frameworks for M&E, which need to be continuously reviewed for their functionality in tracking progress in the delivery of outputs, which is likely to require sharpening of activity milestones and output indicators.
- At FARA level, the generic log-frame will also be reviewed in a similar way at the output to purpose level, including the further sharpening of purpose level indicators and ongoing reflection on the validity of the stated assumptions.
- The level of detail in data collection and frequency of monitoring SCARDA output indicators will depend on:
 - SRO capacity for undertaking M&E.
 - The degree of “fit” between the indicators within the log-frame and the SRO’s indicators for monitoring its result areas (e.g. capacity strengthening).
 - Other ongoing M&E activities covering same indicators.
- Likewise at FARA level the detail in data collection and frequency of monitoring purpose level indicators will depend on FARA’s capacity and the degree of “fit” between the indicators within the log-frame and the FARA’s framework for monitoring capacity strengthening results.
- At the level of service providers and target organisations, plans for monitoring and learning will be developed in parallel with the institutional analysis and the development of implementation plans and learning platforms.

Table 9. Functions and responsibilities for M&E		
Level	Responsible organisation & accountability	M&e functions/tasks
Development Partner	DFID – Accountable to UK treasury	Mid-term review (after 15 months) Outcome evaluation (at 30 months)
Regional project management	FARA Secretariat – Accountable to DFID and FARA Council	Reporting on overarching milestones (6 monthly) Annual report or Output to purpose review (9 monthly) Mid-term review support (after 15 months) Outcome evaluation support (at 30 months)
Sub-regional Implementation oversight & coordination	SROs – Accountable to FARA and SRO Council	Reporting on SRO milestones (3-6 monthly) Output to purpose review SRO log-frames (Annual reports) Mid-term review support (after 15 months) Outcome evaluation support (at 30 months)
Service provision	As selected Accountable to SRO (self-accountable for own learning)	Process documentation on CS activities, Monitoring of application of CS, Customer satisfaction, Facilitation and support of M&E and learning in target organisations
Primary Target organisations	As selected Self-accountable for learning but report to SROs and Service Providers.	Process documentation by trainees of application of CS inputs (self-monitoring by individuals), Performance monitoring and reporting on priority systemic areas (internal performance monitoring by organisation, e.g., with scorecards), Participating in electronic learning platforms and lesson-review workshops
Secondary Target organisations and individuals	Selected for group training Self-accountable, expected to contribute to learning platforms	Self-monitoring by focal individuals, Participating in electronic learning platforms and lesson-review workshops,

- Other beneficiaries (e.g., focal individuals in other participating organisations) will be supported in self-monitoring and reporting.

5.6 Reporting formats for SCARDA

The design of reporting formats will be informed by a review of existing documents at FARA and sub-regional level and those of other similar initiatives. The formats will in most cases be

accompanied by guidelines to ensure clarity and consistency of reporting. The reporting formats will combine elements relating to accountability, with elements of process documentation that will contribute to lesson learning. With respect to the latter aspect, the M&E strategy will link with the communication strategy and planning process, particularly that relating to internal communication.