



# **INCEPTION REPORT - Annexes**

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## **Evaluation of Capacity Development Activities of CGIAR**



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## Annex A: Literature Review on Capacity Development

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### Definition

In recent years the international community has focused vastly on country ownership for development effectiveness: the Paris Declaration on aid effectiveness (2005) and the Accra Agenda for action (2008) recognized that limited capacity is one of the major constraints to development and highlight the need to support partners' national development strategies.

Capacity Development has been assigned a central role. The concept of Capacity Development (CD) has been articulated by several multilateral and bilateral development organizations, with the intent of moving away from the traditional acceptance of capacity development based on technical training and foreign expertise and to capture the concept in its complexity and entirety.

Some organizations describe capacity development as an approach or process to achieve a goal, such as poverty reduction, while others see it as an objective in itself, such as the development of individual or organization effectiveness. The following are some of the definitions considered by various international development organizations.

The International Development Research Centre (IDRC) refers generally to capacity as “the ability of individuals, communities and institutions to generate, use and promote knowledge in ways which support equitable and sustainable development. Capacity development concerns the intention to create and/or strengthen such abilities.” IDRC aims at supporting capacities which are grouped into five categories: a) Capacity to conduct research; b) ability to manage research activities and organizations; c) capacity to conceive, generate and sustain research with respect to a sector/theme or country/regional priorities; d) capacity to use/apply research outcomes in policy and/or practice; and/or e) ability to mobilize research-

related policy and program at a systems level. These broad capacity categories are interrelated and mutually complementary.

The [United Nations Development Program \(UNDP\)](#) defines capacity development as the “process through which individuals, organizations, and societies obtain, strengthen, and maintain the capabilities to set and achieve their own development objectives over time. Capacity development is not a one-off intervention but an iterative process of design-application-learning-adjustment”. If capacity is the means to plan and achieve, then capacity development describes the ways to those means.

For the [Organization for Economic Co-operation and Development/Development Assistance Committee \(OECD/DAC\)](#) capacity development is “the process whereby people, organizations and society as a whole unleash, strengthen, create, adapt and maintain capacity over time”.

The [Canadian International Development Agency \(CIDA\)](#) defines capacity development as the “activities, approaches, strategies, and methodologies which help organizations, groups and individuals to improve performance at the individual, organizational, network/sector or broader system level”.

[The World Bank - Africa Region](#) - defines capacity as the proven ability of key actors in a society to achieve socio-economic goals on their own. This is demonstrated through the functional presence of a combination of most of the following factors: viable institutions and respective organizations; commitment and vision of leadership; financial and material resources; skilled human resources.

For the [Deutsche Gesellschaft für Internationale Zusammenarbeit \(GIZ\) GmbH](#) capacity development is the process of strengthening the abilities of individuals, organizations and societies to make effective use of the resources, in order to achieve their own goals on a sustainable basis.

For the [Food and Agriculture Organization \(FAO\)](#) Capacity Development is understood as the process whereby individuals, groups, private and public sector organizations all enhance their systems, resources and knowledge as reflected in their improved abilities to perform functions and solve problems, in order to better address hunger, poverty reduction and sustainable natural resource management objectives. This definition makes explicit that Capacity Development is directed at empowering beneficiaries.

There are some communalities from the definitions above<sup>1</sup>:

- “Capacity” is the ability of individuals, institutions and societies to solve problems, make informed choices, define their priorities and plan their futures.
- “Capacity Building” is the process used to help developing country partners build those capacities, that is boost their ability to achieve their development goals.
- Capacity development is a process of change, and hence is about managing transformations. People's capacities and institutional capacity and a society's capacity change over time. - There can be short-

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<sup>1</sup> Wikipedia, Defining Capacity Development.



term results. And often in crises and post conflict situations there is a need for such. But even short-term capacity gains, such as increase in monetary incentives or introducing a new information system, must be supported by a sustained resource and political commitment to yield longer term results that truly impact on existing capacities.

- It is primarily an endogenous process, and whilst supported and facilitated by the international development community, it cannot be owned or driven from the outside.
- Capacity development takes place at three different levels: the individual level, the organizational level and the societal (enabling environment) level. These three levels are interlinked and interdependent. An investment in capacity development must design and account for impact at these multiple levels.

The three levels of capacity are the following:

**The enabling environment** is the term used to describe the broader system within which individuals and organizations function and one that facilitates or hampers their existence and performance. This level of capacity is not easy to grasp tangibly, but it is central to the understanding of capacity issues. North (1990) defines organizations as ‘made up of groups of individuals bound together by some common purpose to achieve certain objectives. Organizations include political bodies (political parties, the Senate, a city council, regulatory bodies), economic bodies (firms, trade unions, family farms, cooperatives), social bodies (churches, clubs, athletic associations), educational bodies (schools, universities, vocational training centers)’. North distinguishes organizations and institutions by stating that an institution constitutes ‘humanly devised constraints that structure human interaction. They are made up of formal constraints (rules, laws, constitutions), informal constraints (norms of behavior, conventions, and self-imposed codes of conduct), and their enforcement characteristics.’



**Figure A 1: Three Levels of Capacity Development (FAO, 2010)**

**The organizational level** of capacity comprises the internal policies, arrangements, procedures and frameworks that allow an organization to operate and deliver on its mandate, and that enable the coming together of individual capacities to work together and achieve goals. If these exist, are well resourced and well-aligned, the capability of an organization to perform will be greater than that of the sum of its parts.

**The individual level**, at which capacity refers to the skills, experience and knowledge that are vested in people. Each person is endowed with a mix of capacities that allows them to perform, whether at home, at work or in society at large. Some of these are acquired through formal training and education, others through learning by doing and experience.

Good practice recommends that capacity development means strengthening individual capacities, organizational capacities as well the enabling environment. These dimensions are strongly interconnected: for example, the capacity development of individuals also depends on the quality of the organizations in which they work. The effectiveness of organizations and networks of organizations is influenced by the enabling environment. Conversely, the environment is affected by organizations and the relationships between them (FAO, 2010b).

Given the three dimensions, capacity development interventions needs to go beyond improving immediate performance and develop the capacity to adapt to new and constantly changing environments, to learn and analyse the internal and external context and to relate and build partnerships. Capacity development, therefore, is not just about delivering results but about facilitating processes to enable stakeholders avail of opportunities, build trust and take joint action or ‘facilitating resourcefulness’ (Synthesis report of the evaluation of Dutch support to capacity development Facilitating resourcefulness, IOB Rapport, nr. 336 Facilitating resourcefulness).

## Definition of Capacity Development vs Capacity Building

**Capacity Development** commonly refers to the process of creating and building capacities and their (subsequent) use, management and retention. This process is driven from the inside and starts from existing national capacity assets.

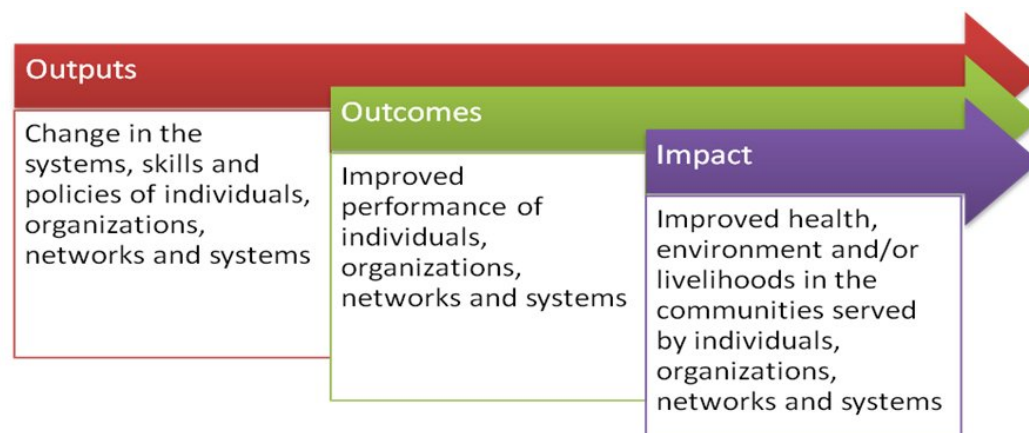
**Capacity building** commonly refers to a process that supports only the initial stages of building or creating capacities and alludes to an assumption that there are no existing capacities to start from. It is therefore less comprehensive than capacity development. The OECD/DAC writes that capacity building ‘suggests a process starting with a plain surface and involving the step-by-step erection of a new structure, based on a preconceived design. Experience suggests that capacity is not successfully enhanced in this way.’ Capacity building can be relevant to crisis or immediate post-conflict situations where existing capacity has largely been lost due to capacity destruction or capacity flight.

*UNDP Practice Note: Capacity Development*

## Approach and Methodology to assess Capacity Development

Due to some of the challenges outlined in the Definition section above, most capacity development measurements still rely on anecdotal evidence of change and assess effectiveness through outputs, like numbers of people trained or strategic plans developed. Many institutions have designed an Organizational Capacity Assessment tool to measure capacity development to address this issue. However, such tools are typically limited to short-term results of concrete activities. The tools also rarely take into account the influence of the external environment, i.e. change in political, economic, legislative, cultural, and social spheres, on the entity whose capacity is being developed. Such assessments cannot demonstrate capacity strengthening outcomes: changes in how the organization behaves and functions, and consequently how capacity development impacts the lives of its targeted beneficiaries.

In order to understand the longer-term influence of capacity development on an entity, practitioners need to be able to see whether the entity has improved its performance over time. PACT's theory of change (graph below) connects organizational change at the output level (change in the systems, skills, and policies of entities) to changes at the impact level (influence at the community level) through measuring growth in organizational performance. Pact has developed the [Organizational Performance Index \(OPI\)](#)<sup>2</sup> to measure this growth in each individual partner entity, and to analyse trends by country, region, and around the world.



**Figure A 2: PACT's theory of change**

The Austrian Development Cooperation “Manual Capacity Development” (Guidelines for Implementing Strategic Approaches and Methods in ADC) also provides a comprehensive reference framework of definitions, operationalizations and approaches/methods for monitoring and evaluation of capacity development.

The information reported below summarizes some of the main points from the ADC Manual and includes other experiences and models by other institutions.

Generally speaking, adequate measures for capacity development must always take into account all three levels – the individual, the organizational and the enabling environment – and systematically analyses the interactions amongst them.

“The evaluation of results and impacts of capacity development is challenging, as it requires relatively time-consuming and resource intensive tracking. Also, no ready-made set of indicators can be applied for

<sup>2</sup> The OPI captures an organization's performance across four domains: effectiveness, efficiency, relevance, and sustainability. Each of these domains includes benchmarks that describe a progression of four levels of increasing performance. Partner organizations self-identify their current level in each domain and provide tangible evidence to support their conclusions. Pact staff reviews the evidence provided, verifies achievements and agrees on final scores together with each organization. The partner organization is re-assessed annually, and the results are used to track changes in organizational performance. Partner organizations are able to analyse the impact and ‘so what’ of capacity development, confront their challenges and prioritize areas for future development. Globally comparable results allow Pact to see the overarching impact of the work.



capacity development measures, as these must be adapted to the respective thematic and sectoral context and conditions of the respective local environment. (Manual Capacity Development” (Guidelines for Implementing Strategic Approaches and Methods in ADC).

Moreover the difficulty in defining meaningful and sound indicators for capacity development is due to the fact that performance measurement cannot adequately determine the complex and process-oriented aspects.

It is therefore crucial for assessing capacity development a specification of **what to measure**. Mostly, this is limited to ascertaining developments in the capacities of individuals or organizations and/or of developments in performance and efficiency.

Measuring capacity development remains often restricted to individual instruments (e.g. training measures) and thus mostly to quantitative aspects (e.g. the number of courses or participants). Too little attention is frequently paid to the measurement and assessment of qualitative aspects such as if the teaching contents and methods offered have been adapted to the context and target group and if the abilities acquired can be applied in practice. Some aspects, such as the satisfaction and acceptance from the side of the participants, can however be assessed with simple methods and directly after a training course or also technical assistance by means of an evaluation questionnaire, for instance.

There are different systematic approaches to assess capacity development efforts, which are described below with some examples of evaluations of capacity development activities.

### FAO: Evaluation of Capacity Development in Africa, (OED, 2010)

An Evaluation of FAO’s Capacity Development Activities in Africa was carried out by the Evaluation Office in 2010. In particular this evaluation looked at the CD work specifically in Sub-Saharan Africa and at the initiatives at the country or regional level established specifically to enhance capacity as well as those that contribute to CD as part of other project or program objectives. For these initiatives, CD was an explicit and substantial component of the product or the service<sup>3</sup>.

As emerged in a meta-analysis of FAO CD Activities, the way CD interventions are assessed in FAO differ widely in terms of the people and the level they target; the complexity of the topic and the three level analysis (individuals, organizations and policy/enabling environment) result in a little agreement about how to more specifically measure the concept of Capacity Development. This is due to the fact that CD is multi-disciplinary and non- linear process. “The overall enhancements in capacities are not attributable to any single external factor but can only be explained by the successful combination, customization, and

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<sup>3</sup> This evaluation took into account global projects and international initiatives to the extent that they covered African countries in a significant manner; and only those normative products which were adapted or developed at the country/regional level through a pedagogical approach. General knowledge-sharing events, such as conferences and seminars, and materials, such as technical papers and communication and information products (for example, data bases), were not assessed. (FAO, Evaluation of FAO Capacity Development Activities in Africa, 2010).

sequencing of various CD modalities interacting successfully with contextual elements of the surrounding environment”<sup>4</sup>.

To be operational, indicators of CD activities should relate to the two fundamental questions of “capacity for what” and “of whom”. Both quantitative and qualitative indicators will be combined to measure the perceptions and points of view of different target groups involved in the CD.

The use of logframe and performance indicators has been sometimes criticized, in that they provide little insight into the human behavioral aspects to do with learning, attitudes, values or organizational change.

The approach used in this evaluation relied on examining results as well as impact levels – measuring benefits for individuals, the Organization and final beneficiaries. The Evaluation complemented the logical framework approach with participatory approaches and system thinking to seize the needs of individuals and organizations, as well as the institutional opportunities and the use of good practice yardsticks.

The generic logic model used in this evaluation is illustrated in the Inception Report of the Evaluation, annexed to this document. It highlights the linkages between inputs, outputs, outcomes and impacts.

This logic model is complemented by a System model that depicts the key elements and entry points for evaluating capacity development. “It shows the relationships and the functions at an organizational level that are required to ensure the effectiveness of the organization. The functions the organization needs to carry out are all enhanced both by the effectiveness of the individuals within the system, by their inter-relationship with each other and by the systems the organization has in place for smooth communication, incentives and resources. Similar processes are actually implicit at the individual level and for both individuals and organizations the enabling environment is integral to success.” (Inception Report, Evaluation of FAO activities on Capacity Development in Africa).

Moreover specific methods were used to assess the quality and use of the normative products such as Criteria for Assessing FAO’s Capacity Development Materials and “Descriptors of CD support” used to assess FAO’s CD, as part of a Meta-analysis of country, program and project evaluations of CD interventions. The latter method consisted of a table used to score the importance of CD in the projects, illustrated below.

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<sup>4</sup> FAO, Draft Corporate Strategy on Capacity Development, 2009.

| CD Modalities   | CD Dimensions  | Sector  | Functional Capacities  | Type of Software support  | FAO's role   |
|---|--|---|--|---|--|
| <ul style="list-style-type: none"> <li>• Software</li> <li>• Hardware</li> <li>• Financial</li> </ul> | <ul style="list-style-type: none"> <li>• Individuals and groups</li> <li>• Organization</li> <li>• Enabling Environment</li> </ul> | <ul style="list-style-type: none"> <li>• Government</li> <li>• Civil Society</li> <li>• Private Sector</li> </ul> | <ul style="list-style-type: none"> <li>• Policy and Normative</li> <li>• Knowledge</li> <li>• Outreach and partnering</li> <li>• Implementation</li> </ul> | <ul style="list-style-type: none"> <li>• Technical assistance</li> <li>• Training</li> <li>• Twinning and partnership</li> <li>• Distance/ e-learning</li> <li>• Knowledge and information sharing materials</li> <li>• Pay/incentives support</li> <li>• Policy and Legal Frameworks</li> <li>• Institutional Support</li> </ul> | <ul style="list-style-type: none"> <li>• Analytical or normative functions &amp; related knowledge management &amp; advocacy</li> <li>• Convener for multi-stakeholder engagement &amp; broker for partnership</li> <li>• Operational role (technical assistance, training, provision of experts, etc.)</li> </ul> |

*Evaluation of FAO's Capacity Development in Activities in Africa: a meta-analysis of country, program and project evaluations. Annex 9. Cristina Lopriore, 2010.*

Interventions have been evaluated with respect to a set of good practices drawn from those summarized in the Box below.

## Box 1: Summary of Good Practices

National ownership and leadership are at the core of Capacity Development. This is about the ability of national actors to commit and engage in development activities, to articulate clear CD targets and define sound strategies to accomplish such targets. With this as an overarching principle, the following good practices in CD interventions are defined.

### General Good Practices

- **Understanding context:** the initial context analysis and problem definition, identifying sources of change, delivery, learning and sharing of experiences is critical to effective CD;
- **Needs Assessment:** CD activities should be based on comprehensive capacity needs assessment, including not only individual CD needs but also organizational and institutional analysis that considers both formal and informal aspects and incentive structures related to the context in which the CD efforts are focusing.
- **Local partners:** In the implementation phase, CD providers should give priority to local/regional suppliers of CD services, build endogenous capacity development capacity, and ensure that such suppliers have sufficient time to learn and understand the context to ensure that the approach and instruments used are appropriate.
- **Advocacy and convening role:** Playing a neutral convening role, facilitating partnerships between governments, NGOs and donors and advocating for all stakeholders to fulfil CD commitments is an important way of contributing to CD.
- **CD in high level planning processes:** Advocating for CD within CAA and UNDAF processes and identifying and exploiting organizational reform and strategy revision opportunities are considered good practices to ensure that training and human capacity formation are fully integrated as specific high level development objectives.
- **Flexible approaches** should be applied when designing and implementing CD interventions. Modalities of CD interventions should be differently combined and adapted to the context.
- **CD in Fragile States:** CD for Government should be maintained as an important objective in Fragile States balanced with CD of non-state actors in ways that reinforce the development of public sector capacity in the longer term while avoiding a “centralizing effect”.
- **Monitoring and evaluation** of CD initiatives is very important and should examine results at the outcome and impact level – measuring benefits for individuals, the organization and final beneficiary
- **Partnership** as a contractual arrangement is not as conducive to CD as collaborative and collegiate partnerships where reciprocal learning occurs, decision-making authority is shared or handed/over and there are higher levels of partner ownership.

### Software

- Of the various training modalities, peer learning/training is highlighted as good practice on the basis that peers are well trusted (key for skills transfer) and have come from relevant institutional settings.
- Knowledge and information sharing is said to be one of the best ways to promote broad based CD particularly since technology is broadening and improving access to public goods.
- When a project approach is used, project staff should play a facilitating role, avoiding substitution (filling in for gaps in capacity) and resisting the temptation to assume leadership of the CD initiative.

### Hardware

- Investment in IT in particular is indicated to be one of the most effective ways of boosting capacity and ample examples exist that demonstrate that new technologies can be lower cost than the old technologies.

More details of the analytical frameworks used in the FAO Evaluation can be found in the Inception Report of the FAO Evaluation.

## Tropical Agriculture Platform (TAP)

In 2012, the Agriculture Ministers of the G20 called for the creation of a Tropical Agriculture Platform (TAP) with the strategic goal of contributing to the development of national capacities for agricultural

innovation in the tropics. Whilst the aim of TAP is to improve the overall performance of the agricultural system, the focus is particularly on the benefits for small and medium-scale producers and enterprises in the agribusiness sector to improve livelihoods. The TAP Action Plan includes the development of a Common Framework on Capacity Development for Agricultural Innovation systems (CD for AIS) in order to harmonize the diversity of approaches to capacity development for agricultural innovation of various development actors. The Common Framework should maximize efforts and investments of different donors and technical cooperation agencies, facilitating the coordination among them with regards to CD for AIS<sup>5</sup>. This framework identifies four capacities that contribute to the overarching capacity “to Adapt and Respond in order to Deliver Results”. The capacities are: (i) navigating complexities, (ii) collaboration (iii) learning and reflection, (iv) engaging in strategic and political processes. These 4+1 capacities apply to all the three dimensions of CD and the Framework, as it is currently envisaged, pays special attention to developing the capacity of the enabling environment. The Framework is structured around two approaches (dual pathways approach) to CD: at system level which focuses on the functionalities and performance of the system as a whole; and at innovation niche level in which capacity development takes place around a specific innovation agenda.

The CD Framework includes an M&E architecture to a) monitor and evaluate CD at country level and b) monitor and evaluate the performance of the Common Framework at the program level. These two elements are integrated and findings, evidence and learning are being transferred from one to the other. The M&E architecture includes (at the time of the drafting of this document) a working list of core results indicators for measuring (1) long-term development outcomes (2) learning outcomes and (3) capacity development outputs that are compatible with the recommended M&E framework laid out in the Common Framework on CD for AIS (forthcoming at the time when this document was drafted). A cycle of five stages of CD interventions at the level of an innovation niche, within organizations and networks (and the individuals within these) and also addressing the enabling environment is proposed here. The five stages are expanded on below. In many ways the stages will be identical for each of these three dimensions although the actors involved and the methods used may vary. The five proposed stages are “galvanizing commitment”, “visioning”, “capacity needs assessment”, “CD strategy development” and “implementation”.

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<sup>5</sup> Capacity for Change Capacity Development for Agricultural Innovation Systems. A Guidance Note on Operationalizing the TAP Common Framework on CD for AIS (Annex 2).



**Figure A 3: Tropical Agriculture Platform, Common Framework on Capacity Development for Agriculture Innovation Systems, Guidance Note on Operationalization, February 2016.**

The CD cycle should not be viewed as a one-off, closed process with a clear start and finish as with a project. It represents just one cycle in a continuum or spiral of action, reflection, learning adaptation and implementation of the CD process. It requires embedding an iterative process of reflection and documentation of learning throughout the cycle leading to a further cycles of adaptation and implementation.

Depending on the context of the country in which it is being implemented and the extent to which CD for AIS is already being addressed, stages may be merged or addressed simultaneously. For instance, in a given context, actors may consider capacity needs assessment as a composite part of the CD strategy and action plan rather than an input into the strategic planning process, in other cases it may be decided to conduct a CD needs assessment before embarking on a visioning exercise. Nor are the stages seen as separately bounded actions. For instance galvanizing commitment and visioning might be combined in one stage. It will be a decision to be made by country actors based on available resources (people, time and finances), available documented information as well as existing programs and past experience. The country context will also dictate whether the CD cycle is initiated only at national level or if regional and district level processes need to be initiated concurrently, or if the entry point might initially only be at a confined geographical space (e.g. regional or district) within a country.

The proposed Results Frame for CD for AIS is proposed below.



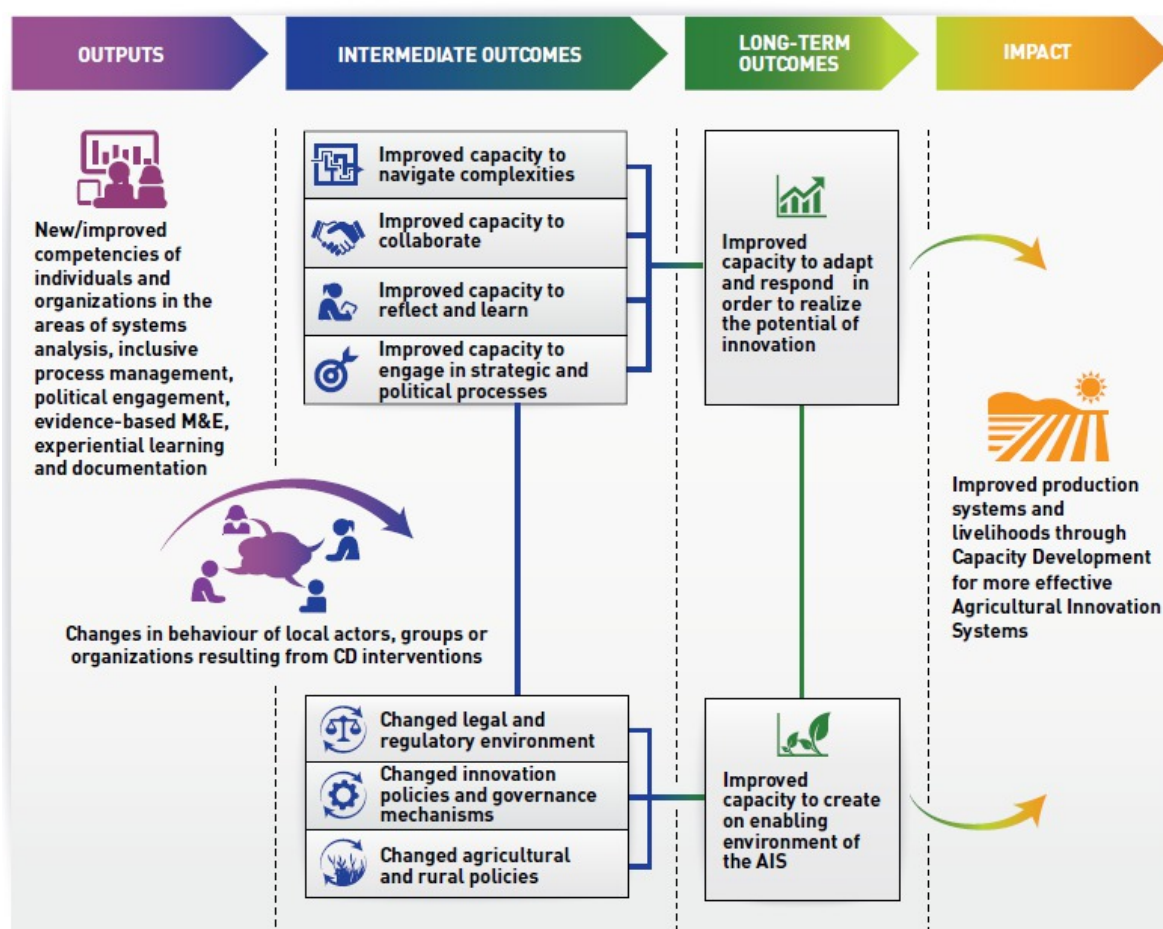


Figure A 4: Tropical Agriculture Platform, Common Framework on Capacity Development for Agriculture Innovation Systems, Guidance Note on Operationalization, February 2016.

### UNDP Capacity Measurement Framework

The UNDP Capacity Development Framework is based on the input-output-outcome-impact logic of results-based management and concentrates on measuring capacities on the three levels: impact, outcome and output. “Outcomes are measured based on changes in the abilities of organizations to operate efficiently and effectively and to produce adequate outputs, products or services as a result of investments in measures for capacity development (performance); to maintain this performance, find solutions to problems and remove barriers (stability); and to adapt to changed framework conditions and demands (adaptability).

UNDP identifies four core areas that contribute most efficiently to capacity development, that is, institutional arrangements, leadership, knowledge and accountability. The analysis remains at a rather abstract level, as it only assumes that the indicators needs be included in a monitoring and evaluation plan that can then be used to conduct systematic measurement and reporting of results as part of the implementation and thus make a contribution to better performance management, accountability and learning. Altogether, UNDP provides very practical instructions with many concrete examples (including specific examples for indicators). It does not, however, engage in a more critical discussion and examination of indicators and possible difficulties.” See UNDP (2010) Measuring capacity and UNDP (2005) Measuring capacities: An illustrative catalogue to benchmarks and indicators.

UNDP Evaluation Office undertook a corporate-level evaluation that focuses explicitly on capacity development and on ‘how’ UNDP contributes to results (Evaluation of UNDP contribution to strengthening national capacities, Evaluation Office, 2010). This evaluation examines the role and contribution of UNDP in enhancing national capacities for formulating and managing national development strategies. Central to the evaluation’s approach is the national perspective on how national capacities are developed. The study is founded on the view that most national capacity is developed as people, organizations, and indeed society work out how to take advantage of opportunities available and find and implement solutions to the problems in achieving what is wanted. From this perspective, capacity development is happening all the time and the vast bulk of capacity is developed independently of support from external parties, whether the United Nations or donors. This perspective actually underpins much of the work carried out over the past twenty years on effective development of national capacities. In terms of examining the United Nations’ contribution to capacity development in a particular area, the evaluation was designed to recognize this fact and hence started from an understanding of endogenous ongoing national processes.

An inductive, rather than a deductive approach was used in this evaluation.<sup>6</sup> This is because Governments had not pre-defined what changes in national capacities for formulating and managing national development strategies were generally needed. Nor had they tracked the performance of capacity development initiatives in this area. Furthermore, as pointed out above, research and evaluation of capacity development increasingly show that evaluations using pre-defined logic models that assume clear and direct cause-and-effect relationships between capacity development initiatives and changes in national capacity rarely provide an accurate and credible understanding of what has happened, and why. Experience instead shows that evaluations that use what is called an ‘open systems’ perspective are more likely to provide such credible and robust evidence.

An explanatory case-study approach, in which the focus was on identifying the factors that most influence UNDP’s performance in developing national capacity, was used. Conclusions from the work at the country level were then generalized through the ‘replication logic’—the more times the same response and issue

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<sup>6</sup> A deductive approach starts from a theory and hypothesis, such as summarized in a results framework, and then looks for evidence to confirm or disprove this theory/hypothesis. An inductive approach works the other way, moving from specific observations to broader generalizations and theories.

were observed leading to the same outcome, the greater certainty there was that this is something general across the organization, irrespective of the national context.

Another approach that deals more with critical and process-oriented questions of capacity development and related indicators is taken in an older but very informative contribution by Peter Morgan for **CIDA**. Instead of the conventional output outcome-impact perspective, he proposes selecting indicators for three relevant aspects of capacity development.

- **Product:** indicators for measuring capacities that are developed as part of an intervention (e.g. indicators for measuring original capacities, desired and/or realistically attainable capacities as well as the actually developed capacities)
- **Performance:** indicators for measuring substantive program outcomes.
- **Permanence:** indicators for measuring the sustainability of the developed capacities.

**Danida** and, in a slightly altered form, **EuropeAid** deal with a results-oriented approach to capacity change (ROACH) to evaluate the contribution to capacity development of the public sector as part of sectoral programs. The analysis starts with the outputs to be delivered by the organizations in a certain sector. These include policymaking and legislation, provision of services and recognition of its control function. Based on these desired outputs, the relevant organizations whose tasks are/should be to deliver these outputs are then identified. Measures for capacity development should ultimately contribute to significant quantitative or qualitative changes in the outputs of these organizations. The focus is therefore placed less on inputs (such as technical assistance or training) and more on the specific outputs that can be delivered through improved organizational capacities. Changes in the outputs of organizations serve as proxy indicators for changes in their capacities. The definition of ‘appropriate’ outputs, i.e. which outputs the public sector should provide and how these are to be delivered, is open to debate.

Also worth mentioning is the **World Bank Institute** Capacity Development and Results Framework (CDRF) to support practitioners and evaluators in conducting retrospective evaluations of a capacity development intervention or portfolio to assess and document results. This Framework attempts to find an answer to the long-standing criticism of capacity development (such as lack of clear definitions, coherent conceptual framework and efficient monitoring of results). It thus also seeks a common systematic approach for capacity development measurement.

This framework is intended to contribute to setting objectives, determining prevailing capacity factors, identifying adequate change agents<sup>7</sup> and planning for effective learning. Altogether, this document provides a very complex and comprehensive framework for capacity development measures, describing in sequence the individual phases of the program cycle and the necessary analytical steps etc. The focus

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<sup>7</sup> A change agent is an individual or group that initiates or manages needed change(s) for developing institutional capacity in relation to a particular development goal. Change agents are often participants of a capacity development intervention, but the terms are not synonymous—program participants are not necessarily well positioned to achieve the needed changes and change agents do not always directly participate in program activities. (Guide to Evaluating Capacity Development Results, World Bank Institute Capacity Development and Results, page 11).

is also placed on change management by attaching priority to the respective necessary learning and change processes of the participating actors and organizations.

These guidance notes are designed to complement and supplement good M&E practice to more effectively identify capacity development results.

The approach envisaged by the WB Framework starts with the identification of capacity development objective(s) so that the targeted effects are specific and measurable. Identifying the existing institutional capacity challenges at the start of an intervention or strategy is therefore a critical first step for understanding what worked and what did not work for any capacity development intervention.

Capacity development interventions are either explicitly or implicitly designed to address one or more of three types of institutional capacity challenges:

- Strength of stakeholder ownership: low or divergent priority is attached to the development goal by key stakeholders.
- Efficiency of policy instruments: There are deficiencies in the policy instruments guiding pursuit of the development goal by different stakeholders.
- Effectiveness of organizational arrangements: organizations charged with the achievement of the development goal have weak performance.

For each of the capacity areas represented by these challenges, there are characteristics- individual change objectives- that can be enhanced through capacity development interventions. This set of 19 capacity change objectives provides a comprehensive and standardized approach for the measurement of capacity development results. Descriptions and definitions for these objectives are available at [www.worldbank.org/capacity](http://www.worldbank.org/capacity)<sup>8</sup>.

Moreover, the World Bank has an Institutional [Capacity Indicators Database](#) which is a searchable catalogue of real-world capacity characteristics and their indicators. In this way, project teams can break institutional capacities down into observable and measurable units to retrospectively assess capacity development results.

This analytical approach emphasizes the inclusion of data representing multiple perspectives to triangulate findings and confirm assumptions linked to each capacity development results story. In particular, collecting data from both program implementers, and beneficiaries including change agent participants can reduce the biases arising from one particular perspective.

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<sup>8</sup> This approach includes the following actions: retrospectively assess capacity development results ; assemble documents and materials from the entire program cycle; review the program background, objectives and activities to identify the targeted development goal and institutional capacity change objectives ; collect data through interviews of change agents and key informants ; analyse data to trace each capacity development results story by identifying the pre-existing institutional capacity constraint (the basis for the capacity development objective), the related ICOs and the corresponding institutional capacity change(s) ; follow up on data collection as needed to refine the results stories ; understand the intervention's results by identifying evidence of intermediate and institutional level outcomes. Adapted versions of this approach have been developed and tested both for Bank operations projects with a capacity development emphasis and knowledge exchange or knowledge sharing programs.

### IDRC Capacity Development Framework

In **IDRC**, the five capacity categories mentioned above represents the focus of the evaluative activities: the task of the evaluation is to determine the availability, quality and reach of those capacities the Centre was seeking to develop through its support, and whether the appropriate resources were available to develop these capacities. “Each capacity category includes the notion of necessary conditions for getting there. For example, in order for people to do something new, better or differently, it is usually necessary that they have a different (more accurate, complete or nuanced) understanding about themselves and of the situation. New scientific knowledge, as a capacity, likely needs to come before new research implementation behavior.” It is important, then, that a capacity development evaluation focus not just on the final capacity objective e.g. that coastal fishers manage their stocks in an integrated way, but break that down into the various new knowledge, values, attitudes and skills which are inherent components of this outcome: did the project identify these, provide opportunities for them to be developed and enable their integration by all those expected to become new-style coastal actors?<sup>9</sup>

A critical part of this process of deciding what to assess, and how deeply to do so, will be to determine the availability of the data. The evaluation must determine what kinds of data will be sufficient to make the evaluation case (e.g. statements of learning versus observations of learning in action), and ensure it has the documents, people and sites necessary to get them.

In 2005, the IDRC Evaluation Unit launched a strategic evaluation to investigate the organization’s contribution to developing the capacities of the people and organizations with whom it works. The approach followed in this evaluation is based on the literature on systems approaches to evaluation, and evaluation in complexity. It drew on the concept of theories of change to help shed light on why the Centre used the approaches to capacity-building that it did, and how these compare to others’ theories; and help articulate the Centre’s role in overall capacity development.

The Theory of Change approach<sup>10</sup> is not used for the purposes of evaluation, but more for the purposes of description. In the first instance, theory of change was used as a way to frame questions to get the staff understandings of capacity development. In the second instance, it used the method of creating an overarching framework, so that ideas from IDRC documents and interviews could be related to ideas from literature.

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<sup>9</sup> Framework for evaluating Capacity Development in IDRC, 2005.

<sup>10</sup> A Theory of Change for IDRC is included in the Report “Theories of Change: Exploring of IDRC Understandings about Capacity Development”- Gillespie, 2005

The overall design of this evaluation is qualitative, using both deductive approaches (i.e. analysing data according to a pre-established framework and categories) and inductive (i.e. allowing patterns, themes and categories to emerge in the data)<sup>11</sup>.

The study explored how IDRC staff understand the concept of capacity building and how they use this understanding to develop projects. Data from interviews was used to try and understand the IDRC talks about capacity building. What are their definitions, strategies, approaches, underlying assumptions and major hypotheses that IDRC staff and managers have about how change occurs in relation to building research and research-related capacities in the South.

### **Activities used by Centre Staff/Managers to Build Capacity<sup>12</sup>**

- Small grants funding
- Training courses (research and evaluation methodologies and approaches)
- One-on-one exchanges
- Study exchanges, visits
- Conferences, workshops and other professional public venues or forums
- Networks and networking
- Award programs (Agropolis, EcoHealth Award)
- Learning by doing
- Linking senior researchers with junior researchers
- Having recipients work with experts
- Writing experiences (manuscripts, theses, articles for peer-reviewed journals)
- Sustained mentoring
- Centres of Excellence

IDRC developed a framework which is intended to guide the assessment of capacity development activities or project components supported by the Center and for any form of assessment (formative or summative, monitoring or evaluation). It is based on a ‘research-into-use’ framework which includes ‘research-into-use’ outcomes associated to “preconditions” to help tracking progress and measuring results (IDRC, Strategic Evaluation of Capacity Development, 2008).

Part II of the Evaluation Framework contains the core areas within which capacity development activities and their results should be assessed; along with suggested questions to help guide the data search – questions to be asked of projects, their managers and participants.

The IDRC Evaluation addressed the following four key questions:

#### 1) Whose capacities are being built?

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<sup>11</sup> Qualitative evaluation is important where cases are diverse and outcomes likely to be varied, processes and contexts are varied and need to be documented; quality of interventions or processes needs to be assessed; and the subject matter requires in-depth examination (Patton 2003).

<sup>12</sup> These activities are listed in the Document prepared by IDRC Evaluation Unit “Capacity Building in IDRC: some preliminary thoughts”, 2005.



- 2) What capacities are being built?
- 3) How are these capacities being built?
- 4) What factors contribute to or inhibit capacity building objectives in Centre-supported projects?

The Framework questions are divided into three broad categories:

- “Level A” concerns data the evaluator reads, sees and hears about project design and implementation. Questions in this section, therefore, ask what the managers, participants and documents said and did with respect to capacity decisions, actions and outcomes; and, if possible, their explanations.

- “Level B” concerns the results of design and implementation aimed at capacity. Questions in this section therefore, ask what evidence there is, from participants or documents that something changed in terms of capacity. This section is also essentially descriptive, but it is presented separately from data about intentions, design and implementation, in order to emphasize the need to ask discrete questions related to concrete results.

- “Level C” concerns what it all means, the analytical sense which can be made of the descriptive data. They ask the why, how and with what implications of the capacity outcomes realized; the way they were realized; and where they fell short of, or turned out differently from, the plans. Analyses based on this section, then, are built around explanatory factors, those conditions considered important to making capacity interventions “successful”.

From the perspective of individual and institutional learning, and of IDRC’s development mandate, these factors try to answer questions of “how well”, “how effectively”, “with what effect” and “for whom” capacity activities took place.

There are four themes underlying the Framework which need to be dealt with in assessing capacity development in the Centre. These are:

- how capacity development is officially and operationally defined in the Centre;
- how capacity development is actually done by the Centre;
- what factors, including CD policy or the lack of it influence the kind, quality and effectiveness of capacity development activities the Centre supports; and
- what difference Centre capacity development activities are making to realizing its own development research mandate and its partners’ development goals.

Details on the questions which are supposed to guide data collection are reported in the Framework Document.

### **Considerations for evaluating capacity development that affect the evaluation design (IDRC)**

- A typical definition of capacity centres on the ability of a collective or individual to achieve its goals, which makes the use of the concept for analysis or practical application a challenge. Many have commented that “capacity” is a complex and elusive concept (ECDPM 2003; Boesen 2004).

- Given the elusive nature of “capacity”, it is a matter of interpretation whether capacity-building underlies most if not all of the Centre’s work, or if it entails explicit and targeted aims and interventions that are common to only a subset of the Centre’s work (e.g. activities designed to address identified capacity “gaps”). Bernard (2004b) suggests, “capacity development is intrinsic to all IDRC projects insofar as they are expected to contribute to the sustainably enhanced development status of the people and societies [concerned]....Enhancing development implies enabling change; doing so sustainably, implies learning.” If so, then distinguishing “capacity-building” from “development” or “empowerment” poses a significant challenge.
- “Capacity” is used in reference to individuals and to groups of various types (e.g., organizations, networks, communities, institutions, sectors, societies). It also refers to the ability of these entities to do many different kinds of things. Capacity in the international development literature is closely related to governance and the ability of governments to manage their affairs and foster development. IDRC’s use of the term is somewhat more specific to its mandate, but still encompasses a wide range of abilities.
- Reflected in the literature on capacity development is the notion that capacities of individuals or groups must be understood in relation to the systems in which they are embedded (ECDPM 2003; Lavergne 2004; Lusthaus et al. 1999; Morgan 1998, 1999, 2003; UNDP 1998; etc.) Individuals apply and develop their capacities as part of organizations, institutions, societies, networks, and many other “webs” of relationships; and efforts to facilitate capacity development at one level or one part of the system will have implications for the others.
- Human and organizational capacity development are also increasingly understood as embedded in processes of change that have short- and long-term dimensions. The background work and evaluation studies are seeking to make more explicit the understandings of multiple change processes that both IDRC staff and partners have as they work towards the enhancement of partners’ capacities.
- Increasingly, capacity development is understood as an endogenous process – or set of processes -- which, while subject to external influences, are change processes which are determined by those going through the change (ECDPM 2003; Morgan 2003; Lavergne 2004). Effective capacity development is therefore dependent on ownership of the development process and agenda by those whose capacities are being strengthened (Lavergne 2004). In this light it is therefore somewhat problematic to talk about “IDRC’s results” in developing capacities. The evaluation will need to seek, rather, to identify the Centre’s contributions to supporting the efforts of individuals and groups to enhance their capacities in ways that these individuals and groups determine.
- Capacity development and support for it are increasingly understood as being context-specific and adaptive (Lavergne 2004). Moreover, preliminary findings from an ECDPM study of capacity development (under the Govnet of OECD-DAC) suggest that there is no single “best” way to support capacity development, and that multiple perspectives and approaches on the part of those attempting to support capacity development are important (Baser 2004). Therefore, evaluation is not a matter of coming up with “best practices”, nor is it about assessing relative effectiveness of different types of

approaches used by the Centre, but rather shedding light on the factors and conditions which influence capacity outcomes.

- Capacity development involves individual and collective or organizational learning (Baser 2004, Bernard 2004a, b). Bernard (2004b) makes a distinction between capacity development and learning, but proposes that “learning underlies capacity”: [Learning] is the process through which a sought-after body of knowledge or set of skills is acquired. It is this fact that makes capacity development such a tricky issue for an intervening agent. Capacity objectives can be set and opportunities for learning provided, but what is learned, to what level of competency and how sustained it is are ultimately in the control of no one but the learner – and not even totally then. Capacities, then, cannot be ‘developed’ as such; they can be encouraged, guided and facilitated, and, where care is taken to meet certain best-practice conditions, may very effectively develop from within.

### European Centre for Development Policy Management

The European Centre for Development Policy Management (ECDPM) developed a Capacity Framework based on 5 capabilities (‘5Cs’) for planning, monitoring and evaluation of capacity and the results of capacity development processes. The 5Cs framework distinguishes capacity defined as a ‘producing social value’ and five core capabilities which, by themselves, do not necessarily contribute to social change.

In the framework, Capacity is referred to as the overall ability of an organization or system to create value for others.

Capabilities are the collective ability of a group or a system to do something either inside or outside the system. The collective skills involved may be technical, logistical, managerial or generative (i.e. the ability to earn legitimacy, to adapt, to create meaning, etc).

Competencies are the energies, skills and abilities of individuals. Fundamental to all are inputs, like human, material and financial resources, technology, information and so on. To the degree that they are developed and successfully integrated, capabilities contribute to the overall capacity or ability of an organization or system to create value for others. A single capability is not sufficient to create capacity. All are needed and are strongly interrelated.

Thus, to achieve its development goals, the 5Cs capacity framework says that every organization/system must have five basic capabilities. These are:

- The capability to act and commit
- The capability to deliver on development objectives
- The capability to adapt and self-renew
- The capability to relate to external stakeholders
- The capability to achieve coherence

The Figure below is a visual representation of the 5Cs framework; which can be used for strategic planning, tracking and discussing changes in capacity and as a framework for evaluations. In this figure, the Southern organization has the central position, to take an endogenous view of capacity. The figure shows the five

core capabilities are closely related and overlie each other. Together, they contribute to an organization's capacity to achieve its objectives in bringing about social change.

In the diagram, the arrow from 'Output' pointing back to the organization stops at the system boundary. In other words, this feedback is not directly connected to the core capability to deliver on development objectives. The outputs are the Southern organization's outputs. Outcomes, change in the Southern society, are also the result of the outputs of others. This situation makes attribution difficult but not impossible. The five capabilities need to be contextualised, and related to the perspectives of the Southern partners with regard to capacity development. Once this is done, key 'pointers' or indicators can be developed which allow people to plan, monitor and evaluate changes in relation to the different capabilities.

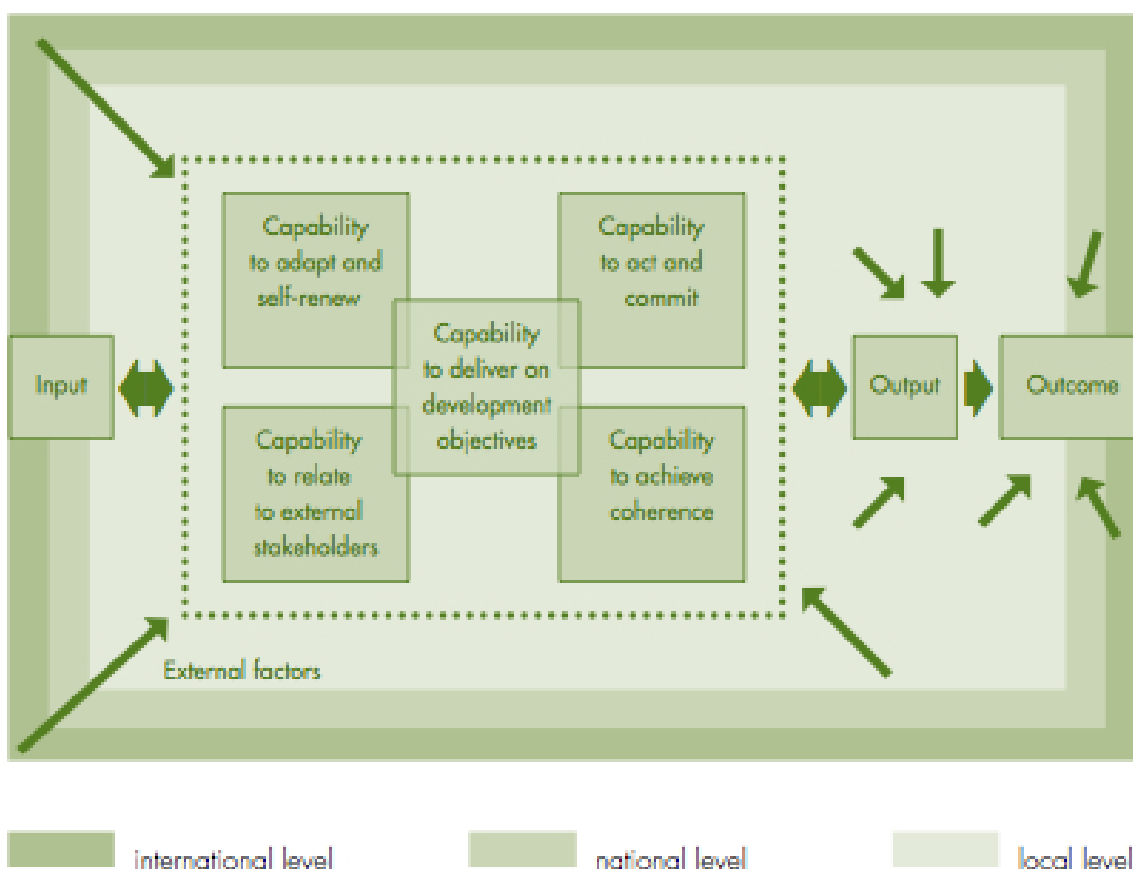


Figure A 5: ECDPM 5Cs framework

#### ODI/RAPID

The Overseas Development Institute (ODI) Research and Policy in Development program (RAPID) developed a framework to improve the integration of local knowledge and research-based evidence into

policy-making. This framework is applied to develop capacity for policy influence and evidence-informed policy-making. This framework is based on a literature review (de Vibe, Hovland and Young, 2002), a conceptual synthesis (Crewe and Young, 2002) and testing in both research projects and practical activities (Court and Young, 2003; Court and Young, 2004). The framework clusters the link between research and policy into four broad spheres: Context: Politics and Institutions; Evidence: Approach and Credibility; Links: Influence and Legitimacy; External Influences. (<http://www.odi.org/sites/odi.org.uk/files/odi-assets/events-documents/2764.pdf>)

The RAPID team further developed this framework and developed the RAPID Outcome Mapping Approach -ROMA- which is an approach to improving policy engagement processes, to influence change. It comprises of tools that organizations can use in the policy engagement process to *improve how they diagnose problems, understand the types of impact of their work on policy-making, set realistic objectives for policy influence, develop a plan to achieve those objectives, monitor and learn from the progress they are making and reflect this learning back into their work.*

Further reference to the framework and how this can be used (also with reference to assessing capacities and engagement of actors) can be found in the “ROMA- Guide to policy engagement and influence”, ODI/RAPID.

### Evaluation Questions asked in other CD Evaluations

A review of most commonly used questions used in Evaluations of Capacity Development interventions shows that when assessing CD, the focus is assessing how capacity building is prioritized in order to address partners’ needs and whether capacity building has been incorporated into the activities for enhancing the relevance and likely uptake of results.

Some examples of Evaluation questions are listed below.

#### Relevance

- Was the capacity development support relevant and responsive to country needs and priorities and reflected them in program and project interventions and strategies?
- Has the capacity development initiative taken in due account the needs at individual, organizational and policy level in order to identify CD priorities?
- Are CD activities designed to promote greater ownership by the recipients?
- Were CD objectives defined in terms of desired outcomes?
- Does the CD intervention design take into account gender and other cross-cutting issues?
- How well did the capacity development support reflect the organization’s mandate and the evolving paradigm on capacity development? How consistent was the capacity development support with desirable practice?

#### Efficiency

- Does the organization implementing capacity development interventions have internal capacity and resources to deliver?

- What is the degree of timeliness and coordination in the management of CD interventions?

### *Effectiveness*

- What is the performance and effectiveness of the organization as provider of CD interventions (such as technical assistance, training, knowledge sharing, partnerships for developing local capacities, etc.)?
- Was the support to capacity development delivered in a cost-effective, sustainable manner?
- What capacities were developed: in different functional and technical areas and across different capacity levers? And were capacities sustained?

### *Sustainability*

- To what extent assistance has been delivered in ways that enhance the capacities of clients groups and organizations?
- To what extent the skills have being used and further disseminated by partners and national actors involved in scaling out the CD activities?
- To what extent did the capacity development support promote coordination and partnership within the country (between government and other national actors) and among donors?
- Relative to other development partners, how is the organization positioned to work on developing capacities for national development strategies and their management? What is its comparative advantage?

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## Annex B: Literature Review on Capacity Development of CGIAR

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### Capacity Development in CGIAR

The concept of Capacity Development<sup>13</sup> (CD) and the way it has been implemented in CGIAR went through some changes. Throughout the 1970s and 1980s, many centers built strong training units. With the reductions in CGIAR core funding and the restructuring that followed in the 1990s, these ‘research support services’ were downsized and training was embedded directly into research programs.

“Starting in the 1990s, a major shift in the amount and type of donor funding to CGIAR had a massive impact on how training was organized, funded and implemented across the system. The decline of core funding led to a reduction or elimination in most Centers of training as a stand-alone activity. The Centers relied on the ability of their scientists to attract funding for training within their research projects. Training units were weakened, with few staff qualified in training, pedagogy or adult education. The responsibility for training itself was often passed on to national or regional partners, with mixed results. On the positive side, this decentralization connected the Centers more directly with field activities, which allowed the Centers to involve extension, farmer, and market capacities<sup>14</sup>.”

The big changes and reduced funding for CGIAR in the 1990s led to fragmented approaches and the idea that capacity development was an ‘impact-making’ activity fell away. In some centers, capacity development work was put under the care of new knowledge management teams; in others, it became part of communications; in still others, it ceased as a discrete function altogether.

In the following decade, as CGIAR centers moved into the direction of what is now generally called ‘capacity development’ work, they widened their ambitions to train individuals and groups to include making impacts at the level of institutions and innovations.

<sup>13</sup> Capacity Development in CGIAR follows the OECD definition as “the process by which individuals, groups and organizations, societies and countries develop, enhance and organize their systems, resources and knowledge; all reflected in their abilities, individually and collectively to perform functions, solve problems and achieve objectives”.

<sup>14</sup> Lessons learned and ways forward on CGIAR Capacity Development: A discussion paper. 2013 Staiger, S.; Dror, I.; Babu, S.; Rudebjer, P.; Kosina, P.; Diop, NN.; Maru, J. and Bamba, Z. This paper was commissioned by the Consortium Office to clarify the role that CGIAR might play in CD for Agriculture Research for Development in the future.

A former CGIAR center, the International Service for National Agricultural Research (ISNAR), which first brought ‘innovation systems thinking’ to the CGIAR table in the early 2000s, had an explicit capacity development agenda rather than research. The institute was also staffed by a different set of professionals: economists, sociologists, human resource specialists, organizational development specialists, research management specialists, evaluators and policy researchers. As a result of this, it drew on professional perspectives outside of agricultural research. Many of these perspectives were already using systems ideas, particularly in the fields of evaluation, and organizational development. So, for example, ISNAR’s capacity development activities were already making use of learning and evaluation as ways of upgrading organizational performance (see Horton et al., 2003). The organization was also unique in that it was focusing on retooling professional skills of agricultural researchers and research managers to help them cope with the changing context of agricultural development. This led to the rolling development of a series of capacity development modules aimed at helping research staff learn their way into new roles and ways of working (Staiger-Rivas et al. 2013).

Centers delivered training to enhance developing country organizations, mostly NARS, to be more effective in independently and collaboratively conduct research. However often the Centers’ purpose has been to improve capacity in a particular area of their own research. One of the aspects highlighted in an Evaluation of Impact and Training in CGIAR<sup>15</sup> commissioned by the Science Council Secretariat<sup>16</sup> in 2006 is a weak collaboration between CGIAR and the NARS due to the absence of a clear policy and articulated research/training needs on the part of the NARS. Moreover, with reference to the relationship between the Centers and the NARS, the study also pointed out that, although CGIAR training activities were broadly relevant to the capacity needs of NARS, this might not have led to institutional strengthening.

Purvi Mehta-Bhatt and Jan Beniest, in their 2011 review of capacity development for CGIAR research programs, found the following shortcoming:

- Capacity development plans are extremely ambitious but have insufficient focus.
- Most capacity development plans make explicit mention of other cross-cutting kinds of work and expertise—in gender, youth, communications—but it remains unclear as to how these various work agendas interact.
- CGIAR research programs tend to provide ‘laundry lists’ of capacity development-related activities but are unclear about how these will be coordinated. Some community of practice or other ways of aligning this work is needed.

## Recent Developments of CD in the CGIAR

As agricultural research began to focus more on development, CGIAR Centers and researchers looked for improved ways to increase adoptions and uptake, and reach a larger number of end-users. In the run up to the first Global Conference on Agricultural Research for Development (GCARD) organized by GFAR<sup>17</sup>

<sup>15</sup> Evaluation of Impact and Training in CGIAR, Science Council, 2006 <http://www.fao.org/docrep/009/a0671e/a0671e00.htm>

<sup>16</sup> Following the CGIAR reform, the Science Council of CGIAR became the Independent Science and Partnership Council (ISPC) of CGIAR.

<sup>17</sup> Global Forum for Agriculture Research. One of the key roles GFAR sets for itself is Institutional Capacity Development.

and CGIAR in 2010, contributions and inputs from stakeholders provided ideas and approaches for CD. These were captured in the GCARD Roadmap, which detailed an “inclusive, rolling process of reform and capacity development that aims to mobilize the full power of agricultural knowledge and innovation”. The roadmap further stated that to achieve agriculture innovation, “it is essential to establish true and effective partnerships between research and those it serves, increase investments to meet the huge challenges ahead and foster greater capacities to generate, share and make use of agricultural knowledge”<sup>18</sup>.

With the establishment of the CRPs (originally designated ‘mega programs’) and their strategic focus on development impacts and impact pathways, it was envisioned that capacity development would move within the CRPs as a support function to the different types of research partnerships.

The Strategic Results Framework 2010-2015 states that “the nature of the capacity strengthening will expand from imparting research skills to include more learning-by-doing, testing of new methodologies and participatory approaches, often building on a base of new knowledge”.

In October 2012 the Consortium Board approved a Capacity Strengthening Action Plan that aims to develop a CGIAR Wide strategy on Capacity Strengthening (or Capacity Building) and subsequently ensure that capacity strengthening is mainstreamed in a joined-up fashion throughout the CRP portfolio<sup>19</sup>.

During the Fund Council 9<sup>th</sup> Meeting (FC9) in New Delhi, India (April 25-26, 2013), the Consortium requested for a CGIAR Fund Commitment to System-wide Capacity Strengthening activities. It was thought that the goals and objectives of CGIAR capacity strengthening would be:

1. Strengthen the research capacity of national partners in high priority countries for the CRP portfolio that currently have low capacity to undertake applied or downstream agricultural research for development, particularly through institutional capacity strengthening to increase their role and effectiveness as partners in CRPs.
2. Strengthen the capacity of delivery mechanisms of CGIAR and its downstream development and delivery partners, from NARS, private sector seed companies, farmer organizations or NGOs that are instrumental in successfully moving innovations from the lab into the hands of farmers, for example through innovation platforms.
3. Strengthen the capacity of individuals to undertake agricultural research for development; not focused on basic training (MSc or PhD programs) but increasing the international experience and

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<sup>18</sup> The GCARD Road Map: Transforming Agricultural Research for Development (AR4D) Systems for Global Impact ([http://www.fao.org/docs/eims/upload/290017/the\\_gcard\\_road\\_map\\_finalized.pdf](http://www.fao.org/docs/eims/upload/290017/the_gcard_road_map_finalized.pdf))

<sup>19</sup> Consortium Request for a CGIAR Fund Commitment to System-wide Capacity Strengthening Activities, Fund Council 9<sup>th</sup> Meeting (FC9)—New Delhi, India April 25-26, 2013. Document presented for Agenda Item 8: Request for CGIAR Fund Allocation to System-wide Capacity Strengthening Submitted by: Consortium Office.

exposure of young (PostDoc) as well as more experienced scientists (Visiting Scientists), as well as the research leadership and management skills of both CGIAR and partner research leaders.

To develop a CGIAR Capacity Strengthening Strategy, the Consortium proposed to establish and support a community of practice of capacity strengthening specialists from Centers CRPs and key partners from outside CGIAR – the Agricultural Research Capacity Strengthening Network. The process for development of a strategy and subsequent mainstreaming of the key activities in the CRPs was expected to follow a process similar to that employed for gender research in 2012.

Towards the end of 2012 a paper was commissioned to try to capture lessons and ideas around CD in CGIAR, developed by a working group of CGIAR specialists led by Simon Staiger of CIAT. In October 2013 a Workshop was organized by a group of CD representatives from a few Centers together with the Consortium Office<sup>20</sup>.

This meeting allowed sharing ideas and experiences of promising practices in capacity development and developing key building blocks for a roadmap for moving CD forward; the workshop also brought to the agreement of working together through the mechanism of a Community of Practice (CoP). Details of the main achievements of the Workshop are reported in the [“CGIAR Consortium Capacity Development Community of Practice: Workshop Report”](#).

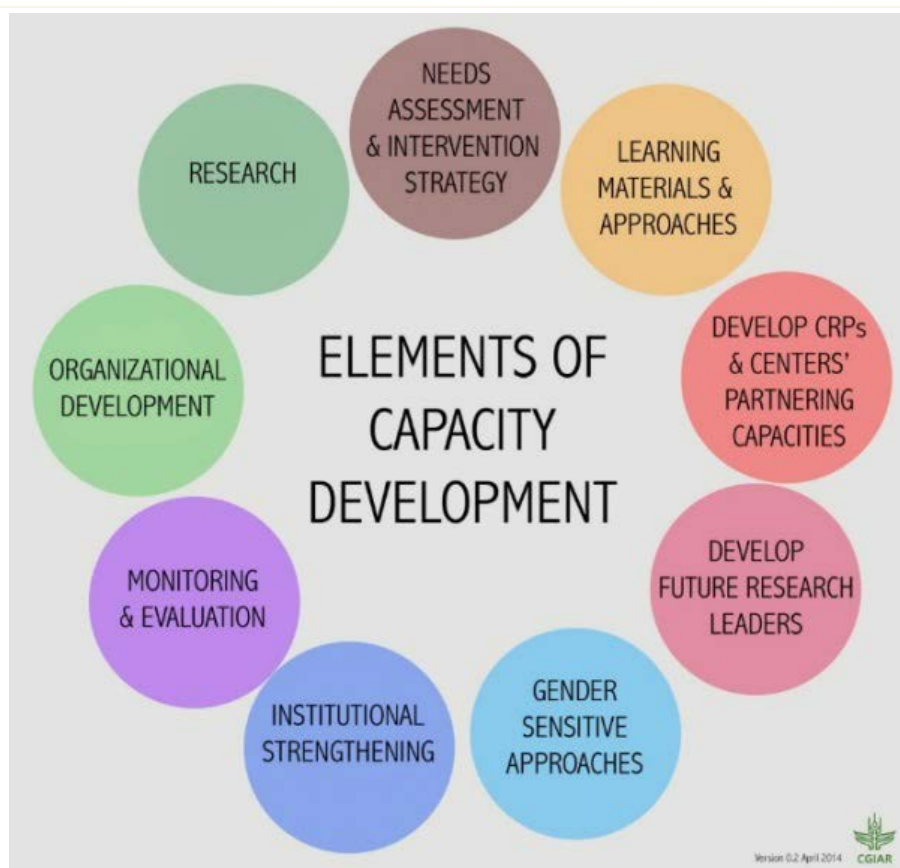
In September 2014 a second workshop of the so called CapDev Community of Practice was organized and held at CGIAR Consortium Headquarters in Montpellier, France. During this workshop a pathway to operationalize CD across CGIAR was discussed as well as modalities, roles and responsibilities of the CapDev Community of Practice ([Workshop Report](#)).

A Capacity Development Framework for the 2nd Round of CGIAR Research Programs was created by the CapDev CoP in 2015 as a key reference for providing guidance on how to plan and implement CD activities and to incorporate CD into the proposals for the second generation CRPs.

This framework proposes nine key elements of capacity development, illustrated below in Figure B 1.

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<sup>20</sup> The organizing Committee was made up of ILRI, CIAT, ICRAF and ICARDA. Participants came from 14 CGIAR Centers, 15 CGIAR Research Programs, and other programs and offices from across CGIAR (e.g Consortium office, ILAC).



**Figure B 1: Elements of Capacity Development- Strategic Results Framework 2010-2015**

The Capacity Development framework indicates the key advantages that an integrated approach to capacity development can bring to CRPs, Centers and partners, and outlines the requirement for both an appropriate capacity needs assessment before any strategies can be outlined, as well as comprehensive research, monitoring and evaluation of capacity development throughout the process.

As it was envisioned in the Strategic Results Framework (SRF) 2016-2030, each CRP should adapt and utilize the elements according to its needs and the particular setting of each CRP, guided by the requirement to attain the cross-cutting capacity development IDO. Although CRPs do not have to include all nine elements in its capacity development strategy, it is advised that a minimum set of elements should be applied to convincingly achieve expected outcomes. A summary of the main Capacity Development interventions by CRP/ Centre classified by elements is reported as Annex in the Capacity Development Framework Prepared by the CGIAR Capacity Development Community of Practice for the second round of CGIAR Research Programs.

In the process to develop a new CGIAR SRF 2016 - 2030, CD was (re)affirmed in the SRF as a strategic enabler of impact for both CGIAR and its partners. This has translated into a clear role for CD outlined in the SRF, which includes a dedicated section on CD, as well as an explicit Intermediary Development



Outcome (IDO) and sub-IDOs. According to the SRF CD “goes far beyond the transfer of knowledge and skills through training, and cuts across multiple levels –individual, organizational and institutional”.

In the Strategy and Results Framework, Capacity Development is a cross-cutting issue, linked to Intermediate Development Outcomes (IDOs) and sub-IDOs, as illustrated Figure C 1 of the TORs (Annex C)

As stated in the Capacity Development Framework, capacity development will only be effective as a vehicle for sustainable development if it is embedded within the broader systems and processes i.e. CRPs’ Theories of Change (ToC), Impact Pathways (IPs) and the National Agricultural Research Systems (NARS) that provide the unambiguous context and strategic framework for its implementation.

*“CRPs currently vary in their extent and approach to capacity development, which is not always well articulated, partly due to a low internal capacity or inadequate partnering and consultation with those who have the specialized knowledge and expertise”* (CGIAR Capacity Development Community of Practice, Capacity Development Framework, June 2015). Each CRP foresees Capacity Development elements integrated across all activities and Capacity Development Strategies. However it seems that Capacity Development mostly entails developing capacity of staff, partners and other stakeholders (individual-level CD) with less focus in addressing the organizational and institutional dimensions of CD.

Each pre-proposal refers to the draft of a CD Strategy by drawing on the nine key elements of CGIAR CapDev Framework (CGIAR 2015): diverse R&D partners will be supported to upgrade their skills for translating and customizing research outputs into products, and for brokering relations between diverse stakeholders.

The Performance Indicators Matrix submitted as part of the pre-proposal application process, mostly reports outcomes and associates clusters of activities related to the four sub-IDOs illustrated above.

In the CapDev Framework it is stated that for a successful implementation of a CRP’s capacity development strategy adequate levels of investment will be required. CRPs need to track and analyse how capacity development is incorporated and budgeted in annual and mid-term plans, against the back-drop of agreed ToC and Impact Pathways. CRPs also need to design incentives to encourage scientists to support and directly undertake capacity development, both their own and of their Centers and partners. CGIAR’s monitoring and evaluation of capacity development must integrate traditional indicators (typically, gender-disaggregated counting of short- and long-term trainees) with new metrics and procedures, some of which have already been used by several CRPs, public organizations and private firms.

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## Annex C: Terms of Reference

### 1. Background

#### 1.1 Rationale and context of the Evaluation

In CGIAR, agricultural research for development is implemented by 15 research centers and their partners through CGIAR Research Programs (CRPs). The 2016-2030 CGIAR Strategy and Results Framework (SRF) guides the work of the CGIAR through the CRPs. The SRF identifies three strategic goals of system level outcomes (SLOs): i) reduced rural poverty; ii) improved food and nutrition security for health; and iii) improved natural resources systems and ecosystems services. A set of common Intermediate Development Outcomes (IDOs) link CRP-level targets to the system-level objectives (SLOs), framing the operational results framework of each CRP within the System as a whole. Below this level are the Sub-IDOs that reflect adoption and uptake by immediate users and beneficiaries such as national researchers and policy makers.

The Independent Evaluation Arrangement (IEA) of the CGIAR is responsible for independent external evaluations, which provide accountability, support to decision-making, and lessons for improving quality and effectiveness of agricultural research for development outcomes. IEA is also responsible for developing a coordinated, harmonized and cost-effective evaluation system in the CGIAR.

IEA's first Rolling Evaluation Work Plan (REWP) approved in November 2013 by the Fund Council, scheduled three thematic evaluations in 2016. One of them is the evaluation of Capacity Development (CD) in CGIAR.

#### 1.2 Capacity Development in CGIAR

##### History

Capacity development (CD) in CGIAR is defined as:

non-linear complex process of change, internally or externally initiated, that occurs in and between individuals, organizations, institutions and their networks that strengthens linkages and the (collective) capabilities of systems to innovate, deliver development impact and create (social) value. This process takes place within an overall environment that requires constant adaptation to internal and external contextual changes.<sup>21</sup>

##### Capacity development in CGIAR: 1970-2006

In CGIAR, the concept of CD and its implementation has evolved over the years. Throughout the 1970s - 80s, many CGIAR Centers built strong training units. The units developed and delivered training to

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<sup>21</sup>This definition is in contrast to a linear definition of capacity building in which individual human resources increase competencies through training and skills development. Glossary-Capacity Development Framework for the 2nd Round of CGIAR Research Programs, CGIAR Consortium, 2015.

enhance developing country organizations and research networks, mostly National Agriculture Research Systems (NARS), to be more effective in independently and collaboratively conducting research. In most cases, the Centers' main purpose was to improve capacity in a particular area of their own research.

The reduced unrestricted funding for CGIAR in the 1990s led to different capacity development approaches across the Centers. In some Centers, capacity development work was incorporated under the new knowledge management teams; in others, it became part of communications; while for other Centers, it ceased as a discrete function altogether.

The report "Evaluation of Impact and Training in the CGIAR"<sup>22</sup>, commissioned by the Science Council Secretariat<sup>23</sup> in 2006, provides insights into the context that has influenced CD in the decade preceding the study:

The most important single factor that has affected the evolution of training has been the increase in project funding and the reduction in unrestricted funds available for training *per se*. This, as consequence, has lowered the yield on CGIAR's large investment in training and learning...

A paper commissioned by the Consortium Office in 2013 reports that starting in the 1990s "Centers began relying on the ability of their scientists to attract funding for training within their research projects, and responsibility for training itself was passed onto national or regional partners. This latter aspect on the other hand, allowed the Centers to be more connected with field activities, involving extension, farmer and market capacities"<sup>24</sup>.

In the 2000s, as Centers moved into the direction of what is now generally recognized "Capacity Development" work, they widened their focus to include institutional and organizational impact. Various participatory approaches were developed, in which users of agricultural research products and services learn together through partnerships and stakeholder engagement, aiming to increase the chances of research results being put to use<sup>25</sup>.

During this time, the International Service for National Agricultural Research (ISNAR) served as the only institution in the CGIAR whose specific agenda was capacity building for Agriculture Research for Development targeting agricultural researchers and research managers, rather than agricultural research.

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<sup>22</sup> Evaluation of Impact and Training in the CGIAR, Science Council, 2006  
<http://www.fao.org/docrep/009/a0671e/a0671e00.htm>

<sup>23</sup> Following the CGIAR reform, the Science Council of CGIAR became the Independent Science and Partnership Council (ISPC) of CGIAR.

<sup>24</sup> Lessons learned and ways forward on CGIAR Capacity Development: A discussion paper. 2013 Staiger, S.; Dror, I.; Babu, S.; Rudebjer, P.; Kosina, P.; Diop, NN.; Maru, J. and Bamba, Z. This paper was commissioned by the Consortium Office to clarify the role that CGIAR might play in CD for Agriculture Research for Development in the future.

<sup>25</sup> Ibid.

The fourth External Programme and Management Review (EPMR) of ISNAR<sup>26</sup> concluded that ISNAR had only a modest contribution to research, and that its performance was below required standards, initiating a process that led up to the closure of ISNAR as an independent organization. ISNAR's policy research was transferred to IFPRI, while its research and service activities were decentralized to developing countries with the objective of developing capacity in the regional and sub-regional organizations to take over its functions within five years.

### Capacity development in the new CGIAR – 2008 onwards

As agricultural research began to focus more on development, CGIAR Centers and researchers looked for improved ways to increase adoptions and uptake, and reach a larger number of end-users. In the run up to the first Global Conference on Agricultural Research for Development (GCARD) organized by GFAR<sup>27</sup> and the CGIAR in 2010, contributions and inputs from stakeholders provided ideas and approaches for CD. These were captured in the GCARD Roadmap, which detailed an “inclusive, rolling process of reform and capacity development that aims to mobilize the full power of agricultural knowledge and innovation”. The roadmap further stated that to achieve agriculture innovation, “it is essential to establish true and effective partnerships between research and those it serves, increase investments to meet the huge challenges ahead and foster greater capacities to generate, share and make use of agricultural knowledge”<sup>28</sup>.

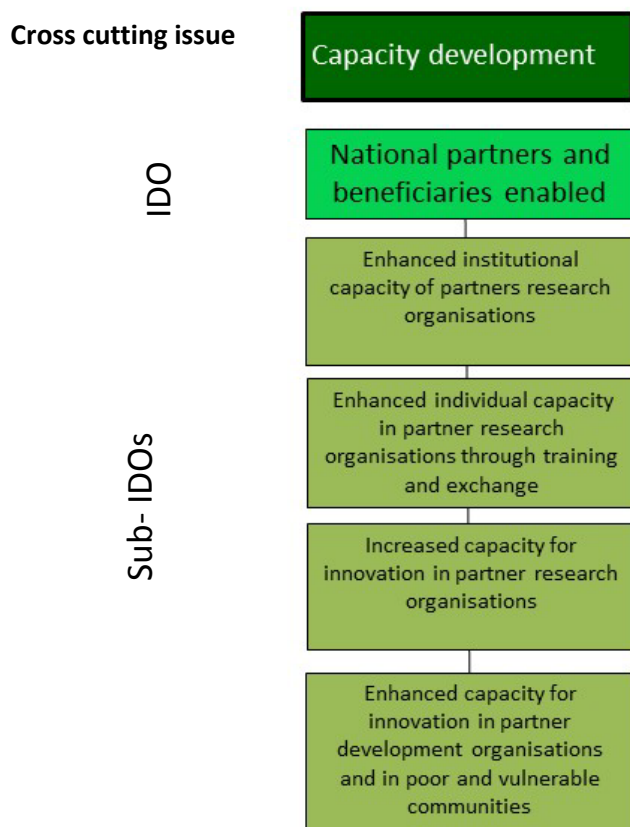
The 2016–2030 CGIAR Strategy and Results Framework highlights capacity development as one of the four crosscutting themes that contribute to the achievement of the SLOs: Climate Change, Gender and Youth, Policy and Institutions, and Capacity Development. CD is considered necessary in all fields of agri-food research, especially in new areas such as data management, landscape analysis and climate-smart agriculture with the aim of enhancing innovation throughout the agri-food system, including farmers and other groups along the value-chain. In the SRF, CD is linked to Intermediate Development Outcomes (IDOs) and sub-IDOs, as illustrated in the graph below.

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<sup>26</sup> Fourth External Programme and Management Review (EPMR) of the International Service for National Agricultural Research (ISNAR) interim Science Council Secretariat and Food and Agriculture Organization of the United Nations (FAO), July 2002.

<sup>27</sup> Global Forum for Agriculture Research. One of the key roles GFAR sets for itself is Institutional Capacity Development

<sup>28</sup> The GCARD Road Map: Transforming Agricultural Research for Development (AR4D) Systems for Global Impact ([http://www.fao.org/docs/eims/upload/290017/the\\_gcard\\_road\\_map\\_finalized.pdf](http://www.fao.org/docs/eims/upload/290017/the_gcard_road_map_finalized.pdf))



**Figure C 1: SRF cross-cutting issues and outcomes at the Intermediate Development Outcome (IDO) and sub-IDO levels – Capacity Development (page 31, CGIAR Strategy and Results Framework 2016 – 2030).**

Towards the end of 2012, a CD working group meeting discussed ways, means and pathways for advancing CD within CGIAR, leading to the development of the CGIAR CapDev Community of Practice (CoP) to operationalize CD across the CGIAR.

The CapDev CoP meetings helped take stock of the various CD activities carried out across the CGIAR, and in particular through the CRPs. In 2015, the CapDev CoP published a Capacity Development Framework for the 2<sup>nd</sup> Round of CGIAR Research Programs to provide guidance on how to plan and implement CD activities, and to incorporate CD into the proposals for the second generation CRPs. The framework proposes nine key elements of CD that each CRP should adapt and utilize according to its needs and its particular setting, guided by the requirement to attain the crosscutting Capacity Development IDO. The nine CD elements were:

- Capacity needs assessment and intervention strategy design
- Design and delivery of innovative learning materials and approaches
- Develop CRPs and Centers' capacity to partner



- Developing future research leaders through fellowships
- Gender-sensitive approaches throughout Capacity Development
- Institutional strengthening
- Monitoring and evaluation of Capacity Development
- Organizational development
- Research on Capacity Development

The framework document advocates for the capacity to learn, innovate and adapt along impact pathways framed by Theories of Change (ToC) of CRPs, with discussion of how these can be considered as part of the overall Capacity Development process. In the framework, CD is considered to be an effective vehicle for sustainable development only if it is embedded within the broader systems and processes i.e. CRPs' ToC, Impact Pathways (IPs) and the NARS that provide the context and strategic framework for its implementation.

Each of the CRPs is currently developing their respective ToC for the second round phase of CRPs. The institutional arrangements and management structures of Capacity Development at the level of CRPs and Centers are not addressed here, though they will be closely looked at during the evaluation.

## 2. Evaluation Purpose and Stakeholders

### 2.1 *Evaluation purpose*

At a time when the first phase of CRPs is ending, the evaluation's primary purpose is to help the CGIAR Centers, CRPs, and the CGIAR system to improve the relevance, comparative advantage, effectiveness and efficiency of their Capacity Development Activities. It will do so by taking stock of CD activities and efforts, by establishing transparency and reviewing their performance, and by collecting lessons learned on which CD interventions have worked, which have not, and why. The evaluation will also have as secondary purpose to provide essential evaluative information to CGIAR partners and the wider expert community.

Importantly, this evaluation will assess where the CGIAR's efforts are best placed given its comparative advantage and limited resources, including how the CGIAR is positioned to work on developing capacities for national development institutions and their management, and what is its comparative advantage relative to other organizations on delivering Capacity Development.

It will be primarily forward looking and will provide lessons and recommendations for the future. The formative component will focus on the strategy, design, implementation of CD activities, targets, ToC and impact pathways while accountability will mostly relate to performance of past and continuing CD activities.

## 2.2 Evaluation stakeholders

Capacity development concerns a wide range of stakeholders. Stakeholders of this evaluation include CGIAR, Center and CRP management and staff, partners (including NARS that are both partners and beneficiaries), CGIAR Consortium Office and Board (soon to be System Office), the CGIAR Fund Council (soon to be System Council) and the CapDev Community of practice. CGIAR Resource partners, capacity development implementing partners together with beneficiaries, including farmers, will also be among the stakeholders of this evaluation.

These stakeholders will be consulted and engaged throughout the evaluation through various consultative mechanisms.

**Stakeholders Table**

| Type of stakeholder                                   | Role   | Interest in evaluation  |
|---|--|---|
| <b>Primary</b>  |  |   |
| CGIAR Fund Council (soon to be System Council)        | Oversight on use of funds for CRP  | Accountability;<br>CRP performance;<br>Decision making for resource allocation  |
| CGIAR Consortium and Board (soon to be System Office) | Setting policy and research strategy; Ensuring accountability; Mobilizing resources                                  | Lessons learned to increase the effectiveness and relevance of the CD work of the CGIAR;<br>Lessons learned to increase the efficiency and accountability of CD in the CGIAR;<br>Comparative Advantage. |
| CRPs Management and Staff                             | Management of the CRP  | Lessons learned to increase performance of CRP on CD  |
| CGIAR Centers and Boards                              | Oversight of CRP activities carried out by its Center; Programme Management; oversight of non-CRP related activities | Performance, relevance, effectiveness, impact of CD; Comparative advantage.   |
| CapDev CoP  | Sharing information and knowledge, and advocating for the use of CD  | Lessons learned to increase the effectiveness and relevance of the CD work of the CGIAR and the CapDev CoP.   |
| GFAR  | Influencing strategies setting; Bringing demand perspective  | Lessons learned, relevance, effectiveness   |
| <b>Secondary</b>                                      |  |   |
| Donors of bilateral projects                          | Funding source   | Accountability<br>CRP/Center performance;<br>Decision making for resource allocation.   |

| CD planning and implementation partners   |   |   |
|---|---|---|
| Research partners (NARS)  | Target of CD interventions<br>Implementing Partners | Performance, relevance, effectiveness, impact of CD |
| Development partners (NGOs, Universities)   | Target of CD interventions<br>Implementing Partners | Performance, relevance, effectiveness, impact of CD |
| Beneficiaries   |   |   |
| Beneficiaries (ARIs, universities, extension systems, development organizations, NGOs, farmer associations) | People participating in CD activities               | Performance, relevance, effectiveness, impact of CD |

### 3. Evaluation Scope

The evaluation will address all CD activities carried out within the framework of CRPs and Centers, thus including activities funded by Window 1, 2 and 3 as well as bilaterally funded projects. The evaluation will cover past CD activities since 2011, as well as planned activities. In view of the long time-lag between application and outcomes of some CD interventions, older interventions will be included as well, to derive targeted lessons learned.

The evaluation will include a mapping of CD activities, as described in the Methodology section of this document. CD at multiple levels—individual, organizational and institutional—will be addressed; taking into account that capacity development is intended to go beyond the transfer of knowledge and skills through training. The evaluation will assess System-level as well as Centers/ CRP strategies, approaches and design of CD in CRPs at its multiple levels and the extent to which CD has been effective. The evaluation will focus on determining the availability, quality and reach of those capacities the CGIAR Centers are seeking to develop through their support and whether they have appropriate resources to develop these capacities.

Relevance, effectiveness, sustainability and efficiency of CD will be assessed as detailed in the evaluation questions further below. The evaluation will also look at whether the CGIAR has a comparative advantage in delivering capacity development relative to other national and international institutions.

The evaluation questions described in the section below have been elaborated following a literature review of capacity development frameworks, in particular the International Development Research Centre (IDRC) CD Framework, the Common Framework on Capacity Development for Agriculture Innovation Systems (AIS) by the Partners of the Tropical Agriculture Platform (TAP), and FAO Capacity Development Framework.

Importantly, the evaluation will focus on CD targeting individuals, groups, organizations and institutions outside of the CGIAR. CD as part of internal human resource development in Centers is not covered by this evaluation.

Delineating the *evaluand* more clearly will be part of inception work carried out by the Evaluation team leader in collaboration with the IEA. To this end, it will be important to clearly define the types of activities subsumed under “CD” and the partners cooperating and benefiting from them. It will also be important to develop an approach towards evaluating CD elements that are integrated and embedded within research and with gender and partnership work.

It should be noted that this evaluation will be carried out in parallel with two other thematic evaluations, on **Gender** and on **Partnerships**; collaborations and synergies will be therefore sought to address these complementary topics, avoiding overlaps and duplications.

The evaluation will focus not just on the final capacity objective e.g. performance and learning outcomes, but break that down into the various new knowledge, values, attitudes and skills which are inherent components of this outcome: did the capacity development activities identify these, provide opportunities for them to be developed and enable their integration by all actors involved?

### 3.1 Evaluation Questions

The evaluation will address the evaluation criteria reported below through a set of evaluation questions. These will be refined and further elaborated during the inception phase by the evaluation team in consultation with relevant stakeholders. Ultimately, the questions should contribute to answering the overall, overarching questions:

- A. Is CGIAR’s approach towards capacity development in line with emerging good practices?
- B. What are the strengths and weaknesses of CGIAR’s work on Capacity Development?
- C. What are the critical organizational and institutional factors of success or failure?
- D. What should be the role(s) of CGIAR on Capacity Development in the future?

#### Relevance, Coherence and Appropriateness of Design

- 1. How well do CGIAR CD goals, strategies and activities correspond to local, national, regional and global CD needs?
- 2. Is CGIAR CD strategy and activities at System, Center and CRP level in line with international good practices in CD?
- 3. How coherent and consistent are CGIAR CD-related goals and objectives on different levels (SLO, IDO, Sub-IDO, Center, CRP and Flagship) with each other?
- 4. Are the CD-related ToCs at System, CRP and Flagship level logical? Are underlying assumptions supported by evidence?
- 5. How well is CD integrated with research in planning and implementation?

### Comparative Advantage

6. To what extent does the CGIAR have a comparative advantage in delivering CD towards NARS and, more generally, other national and sub-national partners and beneficiaries targeted by CD efforts, in relation to other providers?

### Likely Effectiveness and Sustainability

7. To what results and changes have past CD activities contributed? What are the likely contributions of current CD activities? What is the significance of these contributions relative to overall CRP and Center goals?
8. What are the factors contributing to and/or constraining the effectiveness of CD?
9. How sustainable have CD results been and/or are likely to be? And how has CD contributed to overall sustainability of the CGIARs Research for Development?

### Resources, Management and Efficiency

10. Are financial resources and human resources (in particular skill sets) adequate to implement CD strategy and activities?
11. How efficiently is CD organized at CRP, Center and System level to the requirements of various CRPs and across the System? In particular are the institutional arrangements of CD (including mechanisms such as the Cap Dev CoP) adequate?
12. Are there adequate and appropriate M&E systems with and across Centers/CRPs, and the entire CGIAR System?

### Partnerships in CD

13. Does the CGIAR work effectively in delivering Capacity Development Activities in partnership with national and regional institutions and other agencies?
14. What institutional partnerships for CD have been most effective?

### Gender

15. To what degree is gender mainstreamed in CD in the CGIAR?
16. Has gender analysis adequately informed CD program design and targeting and are gender issues incorporated in the design of CD at the three levels?

### 4. Evaluation approach (Evaluation Framework and Methodology)

The complexity of the topic and the three level analysis (individual, organization and enabling environment) make the assessment of CD a difficult task.

There are four themes which need to be dealt with in assessing CD in CRPs and Centers:

- how CD is officially and operationally defined;
- how much and how CD is actually done;
- what factors, including CD policy or the lack of it influence the kind, quality, efficiency and effectiveness of CD activities; and
- what difference CD activities are making to reach CRPs and Centers development research mandate and partners' development goals.

The evaluation team together with IEA will develop a clear evaluation framework which builds on qualitative measures as well as systems thinking, taking into consideration needs of the individuals and organizations as well as the institutional opportunities in a complex environment.

Given the broad scope of the *evaluand* and the formative emphasis of this evaluation, a two-pronged approach will be followed that will allow on the one hand analysis across CRPs (stock-taking of efforts so far, strategies, ToC etc..) and where representativeness of evidence will be important and, on the other hand, deepening the assessment through case studies with respect to formative aspects of the evaluation (i.e. what works, what does not work and why?)

The evaluation period covers the first cycle of CRP, starting in 2011. However, the assessment of the results of past CD activities started before the CRPs and still relevant to CRP current strategies will draw lessons, including on good practices.

#### Methodology

The evaluation will use various methodologies to take stock of CD activities as well as to assess the relevance, results and the processes followed in CGIAR's CD activities, including: logic models; participatory and systems approaches; and benchmarking against good practices and lessons learned. The methodology will be described in more detail in the Inception Report and it will draw, to the extent possible, on existing studies, impact assessments, records and other data for conducting meta-analysis of available evaluative information and estimating the achievements from past research. This approach will be complemented by other means such as gathering perception information and stakeholder interviews. The forward-looking component will review, *inter alia*, program design and processes, progress made so far towards results, gender mainstreaming, governance and partnership aspects.

The evaluation will use case studies of CD programs/ interventions, selected according to such criteria as significance of the issue, duration, and resources committed to them. Case studies can be used to explore also how cross-cutting themes, such as Gender and Partnerships have been addressed.



Tracking studies for selected CD interventions and their participants, especially of training activities will be also considered as methodological tool in the conduct of the evaluation.

Given the thematic focus of this evaluation, the team will find cost-effective modalities to engage with all stakeholders, as mentioned in the conduct of evaluation section of the ToRs.

The evaluation process will ensure that in developing findings, conclusions and recommendations a representative range of viewpoints are captured from stakeholders through broad consultation. The evaluation team ensures that all findings are informed by evidence. This implies that findings are corroborated through triangulation, whenever possible, and that the objectivity and reliability of presented evidence is critically reviewed.

### 4.1 Main limitations and constraints of the Evaluation

#### Measurability of outcomes

Evaluating CD implies looking at changes, attitudes, skills and behaviors which are largely qualitative in nature: human and organizational CD are increasingly understood as embedded in processes of change that have short- and long-term dimensions. The long-term dimension of CD might not be detectable during the lifespan of a CD intervention and therefore this evaluation will go further back (before 2010) whenever possible, to be able to detect longer-term results of some interventions.

#### Contribution versus attribution

Increasingly, CD is understood as an endogenous process – or set of processes -- which, while subject to external influences, are change processes determined by those going through the change (ECDPM 2003; Morgan 2003; Lavergne 2004). Effective CD is therefore dependent on ownership of the development process and agenda by those whose capacities are being strengthened (Lavergne 2004). It is therefore somewhat problematic to talk about “CGIAR’s results” in developing capacities. The evaluation will need to seek, rather, to identify CGIAR’s (at the CRP as well as at the Center level) contributions to supporting the efforts of individuals and groups to enhance their capacities in ways that these individuals and groups determine.

Given the fact that the CGIAR has adopted a system approach to CD which has its roots in the field of social learning and innovation systems, this evaluation will need to reflect an understanding of the nature and notion of systems and systemic change that are relevant to CRPs and Centers’ work.

In addition, learning can occur outside of formal instruction. This contributes to add more complexity to the challenge of measuring the quality and effectiveness of CD interventions.

#### Coverage

The evaluation’s scope is vast, covering all CD in the CGIAR system. Given the elusive and complex nature of “capacity” and the variety of activities and interventions that fall under the term “Capacity

Development”, most activities in the CGIAR can be interpreted to contribute to developing capacities. As information on planning (including financial information), implementation and results of CD interventions is not routinely assessed and tracked across all types of CD by each Center and CRP, it is expected that the evaluation will have to produce additional evaluative evidence through interviews and review of reports and databases. It is therefore understood that no systematic and detailed evaluation of all CD interventions will be possible within the time and resources allocated for this evaluation. Hence, there is need to select suitable methods to assess CD that allow representative evidence to be gathered across heterogeneous operations, stakeholder groups and target domains. The size and spread of CD interventions may limit the scope of the evaluation, which will need to select suitable methods through, for example, representative project and site sampling.

## 5. Organization and Timing of the Evaluation

The evaluation is scheduled to take place between March and December 2016. A preparatory phase will commence in December 2015 with the selection of the team leader. The evaluation proper will consist of an inception phase (March), an inquiry phase (March-August) and a reporting phase (September-December).

| Phase                                | Period                   | Main outputs  | Responsibility         |
|--------------------------------------|--------------------------|---|------------------------|
| <b>Preparatory Phase</b>             | Dec 2015 – Feb 2016      | Final ToRs<br>evaluation team recruited                                 | IEA                    |
| <b>Inception Phase</b>               | March 2016               | <b>Inception Report</b>   | Evaluation Team        |
| <b>Inquiry phase</b>                 | March 2016 – August 2016 | Various reports and analysis products as defined in Inception Report    | Evaluation Team        |
| Presentation of preliminary findings | Sep 2016                 | Presentation of preliminary findings<br>Feedback from main stakeholders | Evaluation Team<br>IEA |
| <b>Reporting phase</b>               |                          |   |                        |
| Drafting of Report                   | Sep 2016 – Nov 2016      | <b>Draft Evaluation Report</b>  | Evaluation Team        |
| Final Evaluation Report              | Dec 2016                 | <b>Final Evaluation Report</b>  | Evaluation Team        |

### Preparatory Phase

During the preparatory phase, the IEA, in consultation with relevant stakeholders, will review key documents, carry out a literature review on CD, conduct a preliminary mapping of CD activities, and define the scope and issues surrounding the evaluation.

More specifically, the IEA will carry out the following tasks:

- draft the Terms of Reference (ToRs) in consultation with key informants in the CGIAR;

- collect preliminary information and data pertaining to CD
- identify existing evaluation material relevant to the work carried out by Centers and CRPs under CD;
- prepare a synthesis of the assessment of CD in the completed CRP evaluations;
- set up a Reference Group for the evaluation; and
- select the evaluation team leader and in consultation with her/him, the evaluation team.

### **Inception phase**

The inception phase is the responsibility of the evaluation team leader with the IEA Manager. The evaluation's scope, focus, approaches and methods, and the evaluation questions in detail will be defined during the inception phase. The tasks during the inception phase include:

- review information available collected during the preparatory phase;
- development of an analytical framework for the assessment of Capacity Development in the CGIAR system using Theory of Change/ Outcomes harvesting approaches, if appropriate;
- refinement of the evaluation questions and an evaluation matrix that identify means of addressing the questions, including an outline of the data collection methods/instruments, in particular selection of the case studies and preparation of the assessment framework;
- detailed specification of the evaluation timetable which includes plan for field visits;
- indicative evaluation report outline and division of roles and responsibilities among the team;
- preliminary list of strategic areas of importance prioritized for emphasis in the course of the inquiry phase.

These elements will be drawn together in an evaluation inception report which, once agreed between the team and the IEA, will represent the contractual basis for the team's work and one of the deliverables of the evaluation. Subject to the agreement of the Head of the IEA, adjustments can be made in a transparent fashion during evaluation implementation in the light of experience.

### **Conduct of evaluation**

The evaluation will build on the outputs of the inception phase and proceed with the inquiry, by acquiring more information and data from documents and relevant stakeholders, to deepen the analysis. In line with the methodology described in paragraph 4, activities may include:

- Review, synthesis, and analysis of all documents and data pertaining to CD
- Inventory of CD activities in the CGIAR
- Expert and key stakeholder interviews to obtain their views;
- Preparation of case studies
- Visits to some selected participating CGIAR Centers, e.g. to collect information and deepen understanding of issues covered through the desk review.

Given the System-wide nature of this evaluation, the evaluation team will use the opportunity of CapDev CoP meetings, including CoP Steering Committee Meetings, and other CGIAR events to ensure access to the highest number of stakeholders in a cost-effective manner.

### Dissemination phase

See paragraph 5.3

## 5.1 Evaluation team composition and profile

The evaluation team leader will have a suitable background to CD in general and the CGIAR's mandates, as well as solid experience in leading evaluations of complex programs. The team leader will be supported by a team of two experts who will among them have extensive and proven experience at international level, working for research or development agencies on issues, programs and policies related to CD interventions, preferably related to agriculture research in developing country contexts.

In addition, for questions requiring in-depth thematic and regional knowledge, Regional/Thematic Experts will be contracted to provide expert analysis on specific issues.

## 5.2 Evaluation governance/roles and responsibilities

The evaluation will be conducted by a team of independent external experts that will be supported by thematic and regional experts. The team leader has final responsibility for the evaluation report and all findings and recommendations, subject to adherence to CGIAR evaluation standards. The evaluation team leader is responsible for submitting the deliverables as outlined in more detail below.

The IEA will be responsible for planning, initially designing, initiating, and managing the evaluation. The IEA will also be responsible for the quality control of the evaluation process and outputs, and dissemination of the results. The IEA will take an active role in the preparatory phase of the evaluation by collecting background data and information and by carrying out preliminary mapping of CD activities in the CGIAR. An evaluation manager supported by an evaluation analyst will provide support to the team throughout the evaluation.

A **Reference Group** may be set-up to act as sounding board representing evaluation CD expert views and inputs at key decision stages in the evaluation design and implementation.

In addition consultative groups involving representative of all Centers and CRP Management will be set up to ensure systematic and continuous dialogue between the Evaluation Team and primary stakeholders throughout the evaluation process.

The CapDev CoP Steering Committee, the Centers CRP Management and the Consortium Office will play a role in catering for the evaluation team's information needs throughout the evaluation process. They will likely provide documentation and data, access to staff for engagement with the evaluators, and information on partners and stakeholders. They will facilitate arrangement of site visits and appointments within the Centers and other stakeholders. These actors will be also responsible for giving factual feed-

back on the draft evaluation report. The System Office will be responsible for preparing the management response to the final report on behalf of the Centers.

### 5.3 Deliverables and dissemination of findings

The **Inception Report**: the Inception Report, which builds on the original terms of reference for the evaluation, outlines the Team's proposed approach to the main phase of the evaluation. It constitutes the guide for conducting the evaluation, by (i) outlining the scope of the evaluation; (ii) providing a detailed evaluation matrix; (iii) clarifying the analytical frameworks which will be utilized by the evaluation; (iv) developing the methodological tools, and (v); providing a detailed work plan for the evaluation.

The **Evaluation Report** - the main output of this evaluation - will describe findings, conclusions, and recommendations, based on the evidence collected in the framework of the evaluation questions defined in the Inception Report. The recommendations will be evidence-based, relevant, focused, clearly formulated and actionable. They will be prioritized and addressed to the different stakeholders responsible for their implementation. The main findings and recommendations will be summarized in an executive summary.

Presentations will be prepared by the team leader for disseminating the report to a targeted audience. The exact forms of these presentations will be agreed during the inception phase.

Adequate **consultations** with CD stakeholders will be ensured throughout the process, with debriefings on key findings held at various stages of the evaluation. The final report will be presented to key CGIAR stakeholders. Following this, the System Office will coordinate the preparation of the **management response**. The management response will be specific in its response to evaluation recommendations as to the extent to which it accepts the recommendation and why, and for those recommendations which it accepts partially or in full, what follow-up action it intends to take and in what time-frame. The consolidated management response will be a public document made available together with the evaluation report for the consideration of the CGIAR System Council. Several events will be organized to disseminate the evaluation results. A dissemination strategy will be developed during the inception phase.

## Annex D: Evaluation Matrix

### Relevance, Coherence and Appropriateness of Design

| Evaluation question   | Analysis   | Evaluation tools  | Information sources   |
|---|--|---|---|
| 1. How well do CGIAR CD goals, strategies and activities correspond to local, national, regional and global CD needs?                                       | Synthesize CGIAR CD goals, strategies and activities<br>Synthesize and break down CD needs regionally and thematically<br>Assess match, taking into account comparative advantage (question 6) | Interviews<br>Desk review<br>Thematic papers (Portfolio analysis)<br>Stakeholder consultations                                  | CGIAR documents (SRF, results frameworks at system and CRP level, Center strategies)<br>CGIAR staff (senior scientists, CRP and Center Directors, M&E)<br>Prior evaluations on CD in the CGIAR<br>Experts (thematic/ regional)<br>Stakeholders<br>CGIAR databases (project, budget) |
| 2. Is CGIAR CD strategy and activities at System, Center and CRP level in line with international good practices in CD?                                     | Synthesis of CD practices of CRPs, Centers and system level<br>Synthesis of international good practice and comparison   | Thematic papers<br>Interviews<br>Desk review  | CGIAR documents (SRF, results frameworks at system and CRP level, Center strategies)<br>CGIAR staff (CD professionals)<br>Experts (CD)  |
| 3. How coherent and consistent are CGIAR CD-related goals and objectives on different levels (SLO, IDO, Sub-IDO, Center, CRP and Flagship) with each other? | Collection of explicit and hidden capacity development elements in the goals hierarchy<br>Assessment of linkages (cause and effect logic, necessity, sufficiency)                              | Desk review<br>Interviews   | CGIAR documents (SRF, results frameworks at system and CRP level, Center strategies)<br>CGIAR staff (M&E)   |
| 4. Are the CD-related ToCs at System, CRP and Flagship level logical? Are underlying assumptions supported by evidence?                                     | Extraction and, if necessary partial construction of ToCs<br>Examination of ToCs by the evaluation team and experts  | Desk review<br>Interviews   | CGIAR documents (SRF, results frameworks at system and CRP level, Center strategies)<br>CGIAR staff (M&E)   |
| 5. How well is CD integrated with research in planning and implementation?  | Synthesis of CRP and Center strategies<br>Examination of integration in research portfolio   | Portfolio analysis<br>Interviews<br>Desk review<br>System cases<br>Tracing individual participants<br>Stakeholder consultations | CGIAR databases (project, budget)<br>Stakeholders (participating individuals and organizations)<br>CGIAR staff (CD, research)   |

### Comparative Advantage

| Evaluation question   | Analysis  | Evaluation tools   | Information sources   |
|---|---|--|---|
| 6. To what extent does the CGIAR have a comparative advantage in delivering CD towards NARS and, more generally, other partners and beneficiaries targeted by CD efforts, in relation to other providers? | Synthesize CGIAR CD goals, strategies and activities<br>Synthesize and break down CD needs regionally and thematically<br>Assess match, taking into account comparative advantage (question 6)<br>Compare with benchmarks such as RUFORUM and ICAR. | Thematic papers<br>System cases<br>Stakeholder consultations<br>Interviews<br>Desk review<br>Tracing individual participants | CGIAR documents (SRF, results frameworks at system and CRP level, Center strategies)<br>CGIAR staff (senior scientists, M&E)<br>Prior evaluations on CD in the CGIAR<br>Experts (thematic/ regional)<br>Stakeholders<br>CGIAR databases (project, budget) |



## Likely Effectiveness and Sustainability

| Evaluation question   | Analysis   | Evaluation tools   | Information sources  |
|---|--|--|--|
| 7. To what results and changes have past CD activities contributed? What are the likely contributions of current CD activities? What is the significance of these contributions relative to overall CRP and Center goals? | Collection and categorization of effectiveness data points from evaluation tool mix (see right column), from interviews, and from desk review of reports, and relating these findings to the portfolio. Extrapolation of future effectiveness trends from portfolio evolution over time. Comparison of results with goals. | Tracing individual participants<br>System cases<br>Interviews<br>Desk review<br>Stakeholder consultations<br>Portfolio analysis<br>(Thematic papers) | Prior evaluations on CD in the CGIAR<br>Stakeholders (participating individuals and organizations)<br>CGIAR staff (CD, M&E, research)<br>CGIAR reports (progress reports, proposals, strategies) |
| 8. What are the factors contributing to and/or constraining the effectiveness of CD?  | Extraction of constraints and enablers of effectiveness from evaluation tool mix (see right column), verification with CGIAR staff and stakeholders  | Tracing individual participants<br>System cases<br>Thematic papers<br>Interviews<br>Desk review<br>Stakeholder consultations                         | Prior evaluations on CD in the CGIAR<br>Stakeholders (participating individuals and organizations)<br>CGIAR staff (CD, M&E, research)<br>CGIAR reports (progress reports, proposals, strategies) |

## Sustainability

| Evaluation question   | Analysis  | Evaluation tools   | Information sources  |
|---|---|--|--|
| 9. How long-lasting have developed capacities and their effects been or are likely to be? What have been enabling and constraining factors to sustainability? | Extraction of constraints and enablers for sustainability from evaluation tool mix (see right column), input on sustainability and verification with CGIAR staff and stakeholders | Tracing individual participants<br>System cases<br>Thematic papers<br>Interviews<br>Desk review<br>Stakeholder consultations | Prior evaluations on CD in the CGIAR<br>Stakeholders (participating individuals and organizations)<br>CGIAR staff (CD, M&E, research)<br>CGIAR reports (progress reports, proposals, strategies) |
| 10. How has capacity development contributed to the CGIAR's AR4D agenda through strengthening the self-sufficiency of critical actors and systems?            | Extraction of the degree to which self-sufficiency, i.e. the capacity for capacity development, was strengthened in critical actors.  | System cases<br>Thematic papers<br>Desk review<br>Stakeholder consultations  | Prior evaluations on CD in the CGIAR<br>Stakeholders (participating individuals and organizations)<br>CGIAR staff (CD, M&E, research)<br>CGIAR reports (progress reports, proposals, strategies) |

## Resources, Management and Efficiency

| Evaluation question   | Analysis   | Evaluation tools   | Information sources  |
|---|--|--|--|
| 11. Are financial resources and human resources (in particular skill sets) adequate to implement CD strategy and activities?  | Comparison of CD activities level and institutional CD capacity with requirements as established through a) thematic papers and b) CGIAR objectives for CD | Institutional mapping<br>Portfolio analysis<br>Interviews<br>Desk review | CGIAR staff (CD, M&E, research)<br>Prior evaluations on CD in the CGIAR<br>Center organograms and job descriptions<br>Stakeholders (participating individuals and organizations) |
| 12. How efficiently is CD organized at CRP, Center and System level to the requirements of various CRPs and across the System? In particular, are the institutional arrangements of CD (including mechanisms such as the Cap Dev CoP) adequate? | Collection and comparison of experience with different institutional setups for CD in Centers and CRPs, and on the system level.                           | Institutional mapping<br>Interviews<br>Desk review                       | CGIAR staff (CoP members, CD, M&E, research)<br>Prior evaluations on CD in the CGIAR<br>Center organograms and job descriptions  |
| 13. Are there adequate and appropriate M&E systems with and across Centers/CRPs, and the entire CGIAR System?   | Review of current M&E systems with respect to CD in Centers, CRPs, and at the system level   | Institutional mapping<br>Interviews<br>Desk review<br>Portfolio analysis | CGIAR staff (CD, M&E, research)<br>Prior evaluations on CD in the CGIAR<br>Center organograms and job descriptions   |

## Partnerships in Capacity Development

| Evaluation question  | Analysis   | Evaluation tools  | Information sources  |
|--|--|---|--|
| 14. Does the CGIAR work effectively in delivering Capacity Development Activities in partnership with national and regional institutions and other agencies? | Building on the results of question 6 (comparative advantage), assess the relevance and effectiveness of partnerships for CD across levels based on feedback from CGIAR staff involved, partner staff, and CD participants | Institutional mapping<br>Portfolio analysis<br>Tracing individual participants<br>System cases<br>Interviews<br>Desk review | Stakeholders (participating and co-implementing individuals and organizations)<br>Prior evaluations on CD in the CGIAR<br>CGIAR staff (CD, M&E, research, partnership experts)<br>CGIAR documents (partnership and CD strategies, progress reports, proposals, strategies) |
| 15. What institutional partnerships for CD have been most effective?   | Collection and ranking of experience feedback with different partnership types   | Institutional mapping<br>Tracing individual participants<br>System cases<br>Interviews<br>Desk review                       | Stakeholders (participating and co-implementing individuals and organizations)<br>Prior evaluations on CD in the CGIAR<br>CGIAR staff (CD, M&E, research, partnership experts)   |

## Gender

| Evaluation question   | Analysis  | Evaluation tools   | Information sources   |
|---|---|--|---|
| 16. To what degree is gender mainstreamed in CD in the CGIAR?   | Synthesize Center/CRP/system-level strategies and practice regarding gender in CD. Include gender mainstreaming, if possible, into portfolio analysis.                                  | Portfolio analysis<br>Interviews<br>Desk review  | Experts (gender)<br>Stakeholders (participating and co-implementing individuals and organizations, gender experts)<br>CGIAR documents (SRF, results frameworks at system and CRP level, Center Gender and CD strategies)<br>CGIAR staff (gender, CD)<br>Prior evaluations on gender in the CGIAR<br>CGIAR databases (project, budget with gender element) |
| 17. Has gender analysis adequately informed CD program design and targeting and are gender issues incorporated in the design of CD at the three levels? | Establish gender requirements in CD from expert knowledge and compare to results of question 15. Use mixed methods (see right column) to harvest gender-related achievements and issues | Portfolio analysis<br>Tracing individual participants<br>System cases<br>Interviews<br>Desk review | Stakeholders (participating and co-implementing individuals and organizations, gender experts)<br>Experts (gender)<br>CGIAR documents (SRF, results frameworks at system and CRP level, Center Gender and CD strategies)<br>CGIAR staff (gender, CD)<br>Prior evaluations on gender in the CGIAR<br>CGIAR databases (project, budget with gender element) |

## Annex E: Tracing Individual Participants

### Evaluation Approach

### Description and Purpose

With Tracing Individual Participants (TIP) we describe our approach to investigating the relevance and effectiveness of CGIAR capacity development at the individual level. With TIP we aim at obtaining feedback from a large number of participants in different capacity development modalities.

We will conduct TIP in two steps. First, a large number of individual participants will be contacted and their perceptions regarding relevance and effectiveness of CGIAR capacity development will be collected through an online survey tool. Second, a smaller number of participants will be selected for semi-structured follow-up interviews.

### Evaluation Questions Covered

SCCs contribute to answering the following evaluation questions:

| Evaluation Criteria | Evaluation Questions covered by TIP<br>(numbered as in the inception report)  | Specific Questions for TIP   |
|---------------------|---|--|
| Relevance           | 1. What are the <b>capacity development needs</b> at the local, national, regional and global level required for achieving the CGIAR's goals and how well do CGIAR's capacity development goals, strategies, priorities and activities correspond to those needs?     | How relevant was capacity development with regard to <ul style="list-style-type: none"> <li>the participant's professional needs?</li> <li>the participant organization's needs?</li> </ul> What were reasons for high or low relevance?   |
| Effectiveness       | 7. To <b>what results and changes have past capacity development activities contributed</b> ? What are the likely contributions of current capacity development activities? What is the significance of these contributions relative to overall CRP and Center goals? | What are the perceived results of capacity development interventions on the individual level along the four levels of the generic capacity development results chain? (also see below) <ul style="list-style-type: none"> <li>At implementation level;</li> <li>At Learning and skill development level?</li> <li>At behavior change and increased professional performance level?</li> <li>At the level of increased individual capacities contributing to strengthened organization capacities?</li> </ul> |
|                     | 8. What are the <b>factors contributing to or constraining the effectiveness</b> of capacity development?   | What are the perceived underlying factors of success and failure?  |
| Sustainability      | 9. How <b>sustainable</b> have developed capacities been or are likely to be? How has capacity development contributed to overall sustainability of CGIAR's AR4D? What have been enabling and constraining factors to sustainability?                                 | Do participants still possess acquired skills and knowledge? Were participant able to build onto these skills? Are these skills and knowledge still relevant in the participant's present job?   |

### Participant Segmentation and Targeting

We will invite a wide range of individuals outside of CGIAR to submit their experiences with CGIAR capacity development.

We will focus on participants from developing countries across all three segments. Because of the wide range of individual-level capacity development modalities in use in CGIAR, we segment participants into three principal groups that will be treated separately:

1. **Academic education.** These individuals are interns and students who have pursued graduate or postgraduate degrees while learning and working at CGIAR Centers or CRPs for a fixed term. These individuals stand at the beginning of their professional careers in academia or the public or private sector.
2. **Training for working professionals.** These are participants who have attended short- and long-term training courses and other individual-level capacity development programs and have returned to their day jobs after the training. These trainings can be integrated elements in research projects and programs, or be delivered as stand-alone projects or programs. They are aimed at strengthening their professional capacities and is intended to contribute to strengthen capacities of the organization or system participants belong to.
3. **Scientific collaboration.** These are visiting scientists at CGIAR Centers or CRPs who have returned to their scientific home institutions afterwards, or scientists remaining in their home institutions but are – or have been – engaged in active scientific collaboration with CGIAR peers that result in strengthened research capacity.

We will gather participant contact information along these groups in two ways.

First, we will ask the evaluation focal points from Centers to provide us with contact information as follows described below. We will then ask CRP focal points for additional input.

- **A comprehensive list of participants in the “academic education”** segment, restricted to individuals that have been at Centers or CRPs **between 2 and 8 years in the past**. We exclude “newer” academic education as we wish to investigate the effects of increased capacities in the personal and professional development of participants. We exclude “older” academic education because of growing recall inaccuracies and diminishing relevance for the evaluation period. We expect most Centers will be able to provide a complete list for this group.
- **A selection of capacity development interventions in the “training for working professionals”** segment, restricted to interventions that have taken place **between 1 to 5 years in the past**. The timeframe for this segment is somewhat shorter because we expect, on average, less pronounced training effects than in the case of academic education. If Centers have a database for this segment they can share with us, we will work directly with this database and select a suitable sample by random selection. If Centers do not have a database for this segment, we will ask Center focal points to provide us with a selection of training courses and other individual-level capacity development modalities (stand-alone or integrated with research) along the following criteria:

- At least 10 interventions covering at least 200 participants are selected in this segment by each Center;
- The selected interventions, together, provide a good sample of “typical” CD modalities, durations and topics of that Center;
- **A comprehensive list of visiting scientists and a selection of scientists with which active collaboration existed between 2 and 8 years in the past.** We expect most Centers will be able to provide a complete list for visiting scientists and ask evaluation focal points in Centers to collect contact details of 20 or more non-CGIAR scientists with which intense collaboration has existed and for which CGIAR-side peers assume that the interactions have led to significant strengthening of individual-level capacities. Of course, capacity strengthening does usually not occur one-sided but effects on CGIAR scientists are beyond the scope of this evaluation.

Second, we will invite a number of regional associations and networks to invite their members to share their experiences as well, provided that they have participated in any of the above three types of capacity development activities.

For this second channel, we have set up a dedicated web site ([www.CDEval.org](http://www.CDEval.org)) that provides information about the evaluation, allows visitors to self-select into one of the three segments above, and then to share their experiences using the same online survey tool. Duplication will be avoided by explaining the first collection channel on the website and by screening for duplicates before analysis.

## Approach: Online Feedback

Participant experiences along both collection channels will be harvested with structured online survey tools that are adapted to each segment.

All three survey tools will record perceived relevance from the participant perspective and then collect effectiveness feedback along the different stages along the “generic, intervention-centric results chain for capacity development” that was introduced in the inception report as one of the two guiding frameworks for this evaluation (see inception report, Section 2.3 and Subsection 2.3.1) and that is depicted – adapted to the individual level – below. We will base survey questions on the good practices for capacity development that we are reviewing as part of this evaluation.

|  | Implementation   | Outputs   | Behavior Change   | Capacity Change  |
|--|--|---|---|--|
| <b>Description</b>                                   | Capacity development intervention is prepared and conducted by CGIAR and partners.                       | Individual participants have learned and have started to develop skills.  | Acquired knowledge and know-how is applied, skills are further developed, work behavior and performance has improved.               | Improved individual capacity. This contributes to strengthened organization or system capacity.  |
| <b>Requirements (examples for illustration only)</b> | Relevance of topic, relevance of participant, quality of capacity development materials, content, staff. | Attendance, quality of learning environment, interest, focus on participant learning needs, learning and application opportunities. | Enabling environment (at home institution), job opportunities, financial and technical support, peer recognition, contact to CGIAR. | Organizational relevance, Enabling environment (at home institution), career pathways, financial and technical unit support, peer recognition, staff retention incentives. |

For the second segment “Training for working professionals” our survey questions will largely follow the four Kirkpatrick evaluation steps (see inception report, Subsection 2.3.1) but we will derive different sets of questions from our general framework that are better adapted to participants from the first and the third segment.

All three surveys tools will balance open-ended “free text” questions and closed “multiple choice” questions.

We will analyse feedback obtained through the survey tools both qualitatively and quantitatively. For the qualitative analysis, we will assess open-ended questions and comments to closed questions through category building correlation analysis. Quantitative analysis will follow standard survey analysis practices. Results will be depicted graphically.

### Approach: Follow-Up Interviews

We will select about 25 participants that have submitted their online feedback for in-depth semi-structured follow-up interviews.

These interviews will build on the analysed online feedback, explore in depth the underlying reasons, challenge causal statements made by offering rival explanations and asking for concrete illustrations and examples. When considered useful, additional interviews can be conducted with CGIAR-side staff involved in the specific capacity development initiative and with supervisors or colleagues at the participant’s home institution.

From all participants that have submitted their experiences online, we will select 50 candidates for follow-up interviews along the following criteria:

- Significant potential for evaluative insight, for example a disconnection between two subsequent results chain levels (e.g. excellent learning results but no behavior change) or particularly insightful open-ended feedback and comments.
- Balance between regions, the three participant segments, and between different capacity development modalities in each segment.

From this group, 25 participants that agree to be interviewed will be drawn. Interviews will be conducted along semi-structured interview guides for each of the three segments. Interviews will be conducted by skype or phone.

Interview notes will be compiled and interview results will be used to underpin analysis in the final report with illustrative examples, and to establish deeper understanding of underlying reasons for observed relevance and effectiveness.

### Strengths and Limitations

Tracing individual participants (TIP) will allow us to grasp a wide variety of experiences made with CGIAR capacity development, covering a wide range of capacity development modalities. It is an enquiry



approach at a single point in time that generates data on perceived relevance and already realized effects. It is primarily concerned with changes at the level of former beneficiaries.

We have chosen a voluntary harvesting approach and a rather open format with the intention to increase the meaningfulness and authenticity of the feedback received. Our follow-up interviews will provide us with deeper qualitative understanding of individual cases and in this way complement the online harvesting tool.

We are aware that some of the CD initiatives by the CG centers happened a long time ago. It might therefore not be feasible to trace all the people we may want to learn from. Additionally, we might therefore not be able to get verifiable long-term changes at the individual level after the capacity development intervention. Also, it might be difficult to verify causality for long-term changes.

While we will collect some summative information through the online harvesting tool, we do not expect TIP to produce statistically representative results for CGIAR Centers, CRPs, or specific capacity development modalities. The reasons for this are the very large trainee numbers across CGIAR system (for example in the 2014 Performance Management Report, more than one million short-term and more than 2.300 long-term trainees are reported), our voluntary open approach, survey participant self-selection bias, and a low expected probability for participants to provide their feedback (something that has in the past been demonstrated by low response rates in classical stakeholder surveys). As we are reliant on data provided by the Centers on the types of training carried out, we don't therefore intend to compare results by Center.

### Interaction with other Evaluation Tools

The results on the enabling environment within CGIAR for capacity development (i.e. the first stage in the general results chain) will be linked with our institutional mapping analysis (see Annex F: Institutional Mapping).

We also consider applying TIP to individuals working in the context of or having participated in capacity development interventions that are part of our System Cases (see Annex E: System Cases).

### End Products

The TIP end products are:

- A comprehensive annex to the final evaluation report summarizing online feedback results; and
- A summary of follow-up interview results.

## Annex F: System Cases

### Evaluation Approach

#### Description and Purpose

System Cases (SCs) are brief case reviews on the organization- and system level. We aim at conducting about 10-15 such reviews based on desk review of reports and earlier reviews and evaluations, selected interviews and, whenever feasible, also field visits. SCs look at individual, organization and system capacities and take a longer-term horizon.

**Actor-SCs.** We will conduct several (4-5) SCs from an AR4D actor perspective (Actor SCs).

**These case reviews focus on the contributions CGIAR has made – over a longer time period and across different capacity development interventions – to strengthen AR4D actors’ capacities.**

For Actor-SCs we will first select one or more actors along any of the three principal AR4D impact pathways (see main inception report, para 2.5) and then examine the aggregate relevance and aggregate effectiveness of CGIAR capacity development interventions over an extended period of time (e.g. 10 to 20 years, depending on the case at hand). This includes analysis of actor-actor interactions, of the context and enabling environment they operate in, and linkages to national, regional and global policies and development agendas. It also includes analysis of contributions made by other, non CGIAR players, to capacity strengthening over time. Actor-SCs will allow us to understand how CGIAR capacity development, over time, has contributed to strengthening AR4D systems.

**Program-SCs.** We will conduct the 6-10 SCs from the perspective of selected CGIAR programs, and from the perspective of selected innovation and capacity development platforms, hubs and networks (co-) established by CGIAR (Program-SCs).

**These case review focus on the contributions CGIAR platforms and programs have made to strengthen overall AR4D capacity.**

For Program-SCs, we will select 3-5 CGIAR projects or programs with a significant organization- and system-level capacity development goals and 3-5 innovation platforms, hubs or networks. For each Program-SC, we will then review the relevance and the effectiveness of that intervention over an extended period of time (e.g. 10 years). This review will mostly draw on prior assessments and verify and update their results with selected interviews.

#### Evaluation Questions Covered

SCs contribute to answering most evaluation questions of this evaluation. The table below shows which of the full set of evaluation questions are addressed (see inception report, Section 2.2) and displays how these are adapted for SCs.

| Evaluation Criteria       | Evaluation Questions<br>(numbering as in inception report)  | Specific SC evaluation question  |
|---------------------------|---|--|
| Relevance                 | 1. What are the <b>capacity development needs</b> at the local, national, regional and global level required for achieving the CGIAR's goals and how well do the CGIAR's capacity development goals, strategies, priorities and activities correspond to those needs? | How relevant were past CGIAR capacity development interventions perceived by recipients?<br>To what degree were critical capacity gaps along the principal AR4D impact pathways (see main report, para 2.5) addressed?                                   |
|                           | 6. What other organizations and networks beyond CGIAR can provide similar capacity development services and in what areas and to what extent does CGIAR have a <b>comparative advantage</b> ? Is this reflected in CGIAR priorities for capacity development?         | Actor-SC: What other institutions provided capacity development and how/why was CGIAR perceived to have a comparative advantage (or not)?  |
| Effectiveness             | 7. To <b>what results and changes have past capacity development activities contributed</b> ? What are the likely contributions of current capacity development activities? What is the significance of these contributions relative to overall CRP and Center goals? | To what changes has CGIAR capacity development contributed?<br>Were these contributions perceived as significant by recipients?<br>Were system-level capacities along the three principal AR4D impact pathways (see main report, para 2.5) strengthened? |
|                           | 8. What are the <b>factors contributing to or constraining the effectiveness</b> of capacity development?   | How did these changes come about and why did other intended changes (possibly) fail to materialize?<br>What were key success factors of past CGIAR capacity development?<br>How can future CGIAR capacity development be strengthened?                   |
| Sustainability            | 9. How long-lasting have developed capacities and their effects been or are likely to be? What have been enabling and constraining factors to sustainability?   | How long-lasting have capacity changes observed in SCs been or are likely to be?<br>What have been enabling and constraining factors?  |
|                           | 10. How has capacity development contributed to the CGIAR's AR4D agenda through strengthening the self-sufficiency of critical actors and systems?  | To what degree was actor and system self-sufficiency along the three principal AR4D impact pathways (see main report, para 2.5) strengthened?  |
| Partnerships, Gender, M&E | 12. Are there adequate and appropriate <b>M&amp;E systems</b> for capacity development with and across Centers, CRPs, and the entire CGIAR system? Are these consistent across Centers and CRPs?  | Are there adequate and appropriate M&E systems for capturing the contributions CGIAR capacity development has made in each SC?   |
|                           | 13. Does CGIAR work effectively in delivering capacity development activities in <b>partnership</b> with national and regional organizations and other actors?  | What partnerships for capacity development were established in each SCs?<br>How and why were they effective (or not)?  |
|                           | 15. To what degree is <b>gender mainstreamed</b> as a topic in capacity development by CGIAR?   | (see questions in Gender Analysis Approach Paper)  |
|                           | 16. Has <b>gender analysis</b> adequately informed capacity development program design, budgeting and targeting and are gender issues incorporated in the design of capacity development at the three levels? What have been success and failure factors?             |  |

## Case Selection

We will collect suggestions for SCs during the inception phase and during our main phase inquiry.

We will select 4-5 Actor-SCs by applying the following criteria:

1. **System perspective.** Actor-SCs analyse an AR4D subsystem and are researched from the perspective of those subsystem actors. Actor-SCs are *not* reviews of particular CGIAR capacity development programs but integrate the contributions of many different CGIAR and non-CGIAR capacity development interventions.
2. **Significant capacity issues being addressed.** We look for cases in which significant system-level capacity deficits with important consequences for development and environment have been apparent and have been addressed – among other – by a mix of CGIAR capacity development interventions on various levels over an extended period of time.
3. **Potential for learning.** As SCs represent one of the most powerful formative learning tools, we listen to what stakeholders in and beyond the CGIAR suggest as cases with the highest potential for learning.
4. **Regional balance.** We aim for at least one Actor-SC in region (Asia, Africa and Latin America).
5. **Thematic balance.** We aim for at least one Actor-SC for each of the three main impact pathways (see main inception report, para 2.5).
6. **Prior evidence.** Because of the evaluation team's capacity constraints, we will favor Actor-SCs for which we can draw on rich documentation and earlier reviews, studies and evaluations.

We will select 6-10 Program-SCs by applying the following, somewhat adapted, criteria:

1. **Organization and system-level.** Program-SCs analyse programs, hubs, platforms and networks that aim at strengthening organization and system level capacities along the CGIAR's principal impact pathways. In contrast to Actor-SCs, Program-SCs are not necessarily restricted to one or more specific actors but can also target a specific type of capacity considered critical across many actors.
2. **Significant capacity issues being addressed.** We look for cases in which significant system-level capacity deficits with important consequences for development and environment have been apparent and have been addressed over an extended period of time.
3. **Potential for learning.** As SCs represent one of the most powerful formative learning tools, we listen to what stakeholders in and beyond CGIAR suggest as cases with the highest potential for learning.
4. **Regional balance.** We aim for at least two Program-SCs in region (Asia, Africa and Latin America).
5. **CGIAR portfolio balance.** Program-SCs should represent a good balance between the different types of large-scale capacity development interventions entertained by CGIAR.
6. **Prior evidence.** Because of our own capacity constraints, we will limit Program-SCs to cases for which we can draw on rich documentation and earlier reviews, studies and evaluations.

## Approach

We will gather evidence for SCs through desk reviews, interviews and – in some cases – within the budget limits of this evaluation – field visits. We will rely more heavily on the existence of prior evidence in the case of Program-SCs than in the case of Actor-SCs because we assume that more prior evaluative evidence exists for the former.

After SCs are selected, we will collect and review existing reports and online information relating to relevant actors, and synthesize prior evaluative evidence.

Depending on the case, we will select between 3 and 10 key people for interviews, making sure to cover both CGIAR and recipient side adequately. In the selection of interviewees, it will be important to establish sufficient long-term institutional memory to cover the long time scale of the SCs. Interviews will be mostly conducted online.

As far as our own capacity allows, we will also conduct field visits to selected SCs.

SCs follow a simplified *contribution analysis* approach. When assessing CGIAR capacity development interventions in the context of a SC, we will first extract the underlying theory of change and then collect positive supporting evidence for it and challenge it by examining rival explanations for observed changes. In line with contribution thinking, we will not attempt quantitative causal attribution but, instead, examine the prospect that CGIAR capacity development, integrated over time, has made a significant contribution to mitigating and solving capacity bottlenecks and the likelihood that this has contributed – or will contribute – to positive development impact.

### Strengths and Limitations

SCs are focused on the organization and system level and therefore complement the tracing of individual participants of capacity development interventions.

Actor-SCs allow for investigating CGIAR capacity development from an actor and system perspective on the aggregate effect of many different capacity development interventions and therefore complement other tools that take an intervention perspective, i.e. that focus on the effects of single interventions.

As case studies, SCs allow for qualitative understanding of how capacity development, over time, contributes to strengthening systems and their actors. Cases studies are especially strong in answering the “how” and “why” things happened and will therefore primarily contribute to understand success factors and constraints of CGIAR capacity development, and to derive lessons learned.

Reflecting the overall formative focus of this evaluation, SCs focus on the relevance and effectiveness of capacity development of the case at hand and do not attempt to draw general conclusions on the effectiveness of capacity development provided by contributing Centers and CRPs.

### Interaction with other Evaluation Tools

We may track some individuals in SCs (see Annex D: Tracing Individual Participants) and will apply our Gender analysis methodology to SCs (see Annex G: Gender Analysis).

### End Product

For each SC, the end product is a case study report of not more than 10 pages, not including annexes, with the following outline:

- Introduction to the AR4D subsystem, its actors, and their enabling environment (Actor-SCs) or to the capacity development intervention, its context and its objectives (Program-SCs);
- Past and present capacity gaps and their (likely) development and environmental consequences;
- Relevance and effectiveness of contributions to developing needed capacities and to avoiding negative development and environmental outcomes;
- Conclusions on perceived success factors and constraints and lessons learned to effective and efficient capacity development by the CGIAR and discussion of their validity beyond this SC.

## Annex G: Institutional Mapping

### Evaluation Approach

#### Description and Purpose

An institutional setup analysis helps to understand (i) current capacity in the organizations or programs (Centers or CRPs in the context of this evaluation), (ii) potential risks associated with effective delivery of capacity development initiatives; and (iii) ways to strengthen capacity development initiatives by reallocating resources in critical areas. It often requires the support of institutional staff with intimate knowledge of the internal dynamics within the organizations and an analysis of interrelationships and interdependencies among relevant subgroups within the Centers/CRPs. Under an ideal condition, a proper institutional setup helps in governance of capacity development initiatives.

The institutional setup analysis will inform the IEA Capacity Development Evaluation of CGIAR on (i) how different actors play their role in effectively delivering capacity development initiatives; (ii) what are the institutional constraints/challenges (if any) and (iii) how these constraints can be overcome.

Initial research shows that the institutional setup for CD interventions can take one of the three forms: (i) CD is clearly recognized and shows institutionalized (as a unit at least), (ii) CD does not appear in the organogram but imbedded into the research programs, and (iii) CD appears on an ad hoc basis with very limited information. A summary of review of institutional set up based on web search of the 15 Centers appears as a separate document.

#### Evaluation Questions

| Evaluation Criteria                  | Evaluation Questions   | Institutional Setup in CD evaluation question  |
|--------------------------------------|--|--|
| Resources, Management and Efficiency | 11. Are <b>financial and human resources</b> (in particular skill sets) adequate to implement capacity development strategies?   | What is the mechanism for resource allocation for CD interventions in the Centers/CRPs?<br>To what extent CD interventions are dependent on financial and human resources? Are current provisions adequate?<br>If not, what have been major challenges? How are these challenges managed/addressed?  |
|                                      | 12. <b>How efficiently is capacity development organized</b> at CRP, Center and system level with respect to the requirements of CRPs and across the system? In particular, are the institutional arrangements for capacity development (including the CapDev Community of Practice) adequate? | To what extent staff are able to accomplish their CD responsibilities on time and within given resources?<br>How useful involvement in and interaction with CGIAR Capacity Development Community of Practice (CD CoP) has been in addressing CD needs of the Centers/CRPs?<br>How can the CD CoP support Centers/CRPs CD initiatives?  |
|                                      | 13. Are there adequate and appropriate <b>M&amp;E systems</b> for capacity development with and across Centers, CRPs, and the entire CGIAR system? Are these consistent across Centers and CRPs?   | Who is responsible for keeping records of CD accomplishments at the Center/CRP/CG level? Is there a depository system?<br>What mechanism are in place for monitoring, evaluating and reporting CD activities?<br>To what extent does CD feature in staff performance plan and appraisal?<br>What kind of incentives are in place for staff to remain engaged in CD initiatives actively? |



### Approach and Data

The review of CD institutional setup in CGIAR Centers based on web search provides very limited information. There are obviously two clear pathways – either to keep CD as a separate entity or unit in the organization or to integrate into the research agenda and deliver CD through respective research programs. The review, however, does not provide a clarity on the interface between the Centers and CRPs in CD implementation. Furthermore, due to substantial reduction in funding under CGIAR Windows 1 and 2, inherent institutional issues associated with CD do not get adequate attention. At times, the discussion on institutional setup tend to be sensitive and lack good documentation. These are also not easy to capture through surveys.

We plan to collect data and information from primarily three sources.

First, we will approach CD focal persons in all Centers and CRPs and seek their responses of the above stated evaluation questions via skype/phone calls during the first and second round of contacts.

Second, we will supplement the information/data with follow-up visits to the Centers during the field visits by evaluation team members. During the field visits, we plan to reach out to additional Center/CRP staff who are directly or indirectly involved in the institutional issues associated with the implementation of CD interventions. We also plan to collect sample available evaluation products from the Centers/CRPs during the field visits to support our institutional setup analysis. Prior to field visits, the evaluation team will map out key CD actors/players at each Center/CRP. The evaluators will treat sensitive information with due care and if required follow confidentiality norm.

Third, we will extract institutional setup related data from the performance monitoring reports (PMRs).

In order to respond to the above stated evaluation questions, we will focus our query on:

- CD work division across different organs/entities in Centers/CRPs;
- Degree to which CD is reflected in job profiles and staff performance frameworks;
- The coordination mechanism for CD activities/initiatives across different entities in Centers/CRPs;
- Incentive mechanisms/provisions for undertaking CD initiatives at individual and Center level (and collectively at the system level);
- Resource allocation mechanism for CD initiatives;
- Institutional mechanism for innovative CD delivery, gender mainstreaming in CD, and partnerships;
- Leadership and management support for CD initiatives; and
- CG system support for CD initiatives at the Centers/CRPs, including the CapDev Community of Practice.

In the first type of Centers/CRPs with dedicated CD function (e.g. a unit), we will analyse unit's role in facilitation and delivery of CD initiatives as well as its role in integrating gender in CD, building effective partnerships for CD and monitoring and evaluation of CD initiatives. In the second type of Centers/CRPs

with CD as an integral part of research programs, we will analyse CD efforts in these research programs, including any crossovers across research groups.

### Strengths and Limitations

An institutional setup analysis of CD initiatives helps the evaluation team to gain a better understanding of CD interventions in different forms and underlying reasons for different modalities. It also brings out organizational challenges including both external and internal dynamics particularly those that are inherent but often not reported or understood. It, however, relies on frank opinions and inputs from relevant respondents and careful handling of sensitive information (if any) without putting respondents in difficult situation. One of the limitations with the analysis is that it relies heavily on individual perspective and good institutional knowledge.

### Interaction with Other Evaluation Tools

The institutional setup analysis is an approach to understanding organizational issues in CGIAR system, and CRPs and Centers. However, in order to make a balanced evaluation judgement, we plan to triangulate emerging findings with evidence obtained through other evaluation tools such as System Cases (SCs) and Tracing Individual Participants (TIP), as well as interactions with other relevant stakeholders through skype or telephone calls. Where relevant, the evaluation team will also approach some of the former Center/CRP staff for their inputs and knowledge on the topic, given the high turnover of staff. Of course, we will complement available evidence through document review as well.

### End Product

The analysis of CD institutional set up will deliver a 5-7 pages synthesis of findings based on responses to above evaluation questions. A standalone annex on institutional setup analysis will form the basis for the synthesis document. The synthesis write up will cover:

- A background to institutional setup analysis for capacity development evaluation (purpose, scope);
- Methodology for the analysis, including data and tools;
- An Institutional map of CD interventions based on actual practice, including between Centers and CRPs;
- Symbiotic relationship between CD and partnerships for institutional arrangements;
- Examples of good institutional setup for capacity development (if any);
- Challenges associated with institutionalizing capacity development in the Centers/CRPs;
  - Governance issues
  - Resources
  - Incentives
  - Staffing
  - Coordination
  - Other

- Potential areas of improvements in institutional setup
  - Buy-in by the management
  - Funding arrangements
  - Human resource arrangements
  - Clients need

## Annex H: Gender Analysis

### Evaluation Approach

### Description and Purpose

Gender integration<sup>29</sup> and mainstreaming<sup>30</sup> is widely recognized as a crosscutting issue in overall development context, including in CGIAR system. It features prominently in CGIAR system and across all centers and CRP programs, although the extent and level of integration and mainstreaming vary widely across the Centers/CRPs. The Independent Evaluation Arrangement (IEA) has a separate ongoing standalone evaluation of Gender in CGIAR and Gender in the workplace, which intends to examine these issues in detail.

Gender integration and mainstreaming is equally important to capacity development because gender equality matters to the core capabilities envisioned by CD strategies.<sup>31</sup> Capacity development interventions need to be gender sensitive for achieving envisaged development impact of CGIAR system. In this evaluation, we examine how successful the CG System, Centers and CRPs have been in integrating and mainstreaming gender issues in capacity development interventions. We also aim to identify challenges and opportunities for enhancing this effort in the future.

### Evaluation Questions

| Evaluation Criteria | Evaluation Questions  | Specific gender in CD evaluation question   |
|---------------------|---|---|
| Gender              | 16. To what degree is <b>gender mainstreamed</b> as a topic in capacity development by CGIAR?   | To what extent does gender in capacity development feature in the strategy at the system, Center/CRP and individual levels? Is it adequate?<br>To what extent do the funding proposals demonstrate gender integration and mainstreaming in CD initiatives?  |
|                     | 17. Has <b>gender analysis</b> adequately informed capacity development program design, budgeting and targeting and are gender issues incorporated in the design of capacity development at the three levels? What have been success and failure factors? | To what degree has gender analysis informed the capacity development interventions planning, execution and completion at the system, Center/CRP and individual levels?<br>To what extent is gender included as a topic in CD interventions at the Centers/CRPs?<br>Is there a clear budget allocation for gender in CD at the System, Centers and CRPs? What are the constraints?<br>How can gender analysis further strengthen CD program design, budgeting and targeting? |

<sup>29</sup> Gender integration refers to strategies applied in CGIAR Center/CRP program planning, assessment, design, implementation and monitoring and evaluation to address gender inequalities.

<sup>30</sup> Gender mainstreaming refers to strategy to promote gender equality.

<sup>31</sup> Helen Hambly and Silvia Sarapura. 2009. Ensuring gender equality in capacity development – opportunities for rural employment and sustainable development, paper presented at the FAO-IFAD-ILO Workshop on Gaps, trends and current research in gender dimensions of agricultural and rural employment: differentiated pathways out of poverty Rome, 31 March - 2 April 2009.

### Approach and Data

Gender-related inquiry will be conducted along the four-pronged approach described below. In addition, it will also draw on gender-related questions embedded in our general inquiry.

- Document review comprising:
  - policies and strategies of CGIAR System, Centers and CRPs pertaining to gender integration and mainstreaming in capacity development initiatives;
  - annual reports of the Centers and CRPs;
  - selected gender related capacity development publications produced by the Centers and CRPs;
  - IEA evaluations undertaken in the last two years;
  - gender in CD related publications; and
  - CRPI proposals and CRPII pre-proposals.
- Semi-structured surveys with (i) CD focal persons and (ii) gender focal persons at each of the Centers and CRPs. The above list of questions will form the basis for drafting a semi-structured questionnaire. The evaluation team already has established contacts with key focal persons at CGIAR Centers and CRPs. For field data collection, we will coordinate/harmonize with Gender Evaluation Team and explore possibilities of integrating this evaluation's data collection work (gender in CD) in their work and seeking a list of gender focal persons at each Center/CRP. This is our preferred option. If integrating CD evaluation's questions on gender in CD becomes less practical for some reason, we plan to proceed with contacting CD and gender focal persons with a short electronic survey. The survey will also capture CRP or Center-led gender integration and mainstreaming in capacity development at selected national agricultural research and extension services in partner countries.
- Face-to-face interviews with at least one focal person at each Center and CRP to seek additional clarification and feedback on survey responses during the evaluation team's field visits.
- We will also extract relevant quantitative data from the Performance Monitoring Reports (PMRs)

We plan to exchange notes with the Gender Evaluation Team so that the evaluation findings are consistent between the CD and Gender evaluations.

The field interview notes, survey responses and document review notes will form the basis for analysing gender integration and mainstreaming in capacity development initiatives.

### Strengths and Limitations

An analysis of gender integration and mainstreaming in capacity development initiatives in CGIAR using the above four-pronged approach will generate rich and valuable information to guide the evaluation team to assess the current status, identification of constraints/challenges and suggestions for overcoming the challenges. The coverage of Centers and CRPs will reflect a reasonable picture at the system level.

In the absence of an institutional structure for gender in capacity development, access to data may become a limiting factor. By its nature, the data/information is qualitative and the responses from

interviewees will reflect views at one point in time. We also recognize that some of the views expressed may be in confidence or not necessarily represent institutional views of concerned CGIAR Center or CRP.

From the review of CD institutional setup exercise it appears that majority of the Centers do not have clear institutional setup and hence it poses challenge for data collection when seeking responses to gender in CD. The evaluation team will nevertheless endeavour to seek responses from relevant key informants at the Center and CRPs. Another challenge is that experienced staff may have moved out of their Centers/CRPs and we plan to track them with the support of respective Centers/CRPs and seek their input into the evaluation process.

### Interaction with Other Evaluation Tools

The results from System Cases (SCs) and from Tracing Individual Participants (TIP) will complement the findings from the gender integration and mainstreaming in CD exercise. Where relevant, these other evaluation tools and our general survey questionnaire and desk study approach will incorporate a list of questions on gender in CD.

The evaluation team will also coordinate with the IEA Gender Evaluation team to avoid any duplication of efforts and share data/information of mutual interests.

### End Product

We plan to write a summary text (not exceeding 5 pages) for the main report along with an annex summarising review, interviews and survey results. The tentative outline of the Gender Integration and Mainstreaming in Capacity Development will contain:

- An introduction to gender integration and mainstreaming in capacity development, its role and importance;
- Status of gender integration and mainstreaming in CGIAR capacity development interventions in Centers and CRPs
- Examples of successful gender integration and mainstreaming in capacity development interventions
- Enabling factors and challenges to gender integration and mainstreaming in capacity development
- Lessons derived
- Way forward to strengthen gender integration and mainstreaming in capacity development

## Annex I: Short Bios of Evaluation Team Members

### Markus Palenberg (Team Leader)

Markus is the managing director of the Institute for Development Strategy, an independent research institute in Munich, Germany ([www.devstrat.org](http://www.devstrat.org)). He lives and works in Munich with his wife and their two children.

Markus works as researcher, evaluator and consultant.



- His research focuses on evaluation methodology such as tools for efficiency analysis and causal chains in complex interventions;
- As evaluator, he conducts theory-based evaluations of complex interventions, with a special focus on Global and Regional Partnership Programs (GRPPs);
- Markus also consults programs and networks on impact strategies, corporate governance arrangements and M&E systems.

Over the last 15 years, Markus has conducted more than thirty research and consulting assignments in the public and private sector including ten global program evaluations, most of which he guided as team leader.

In the CGIAR, Markus has participated in the external reviews of three CGIAR Challenge Programs (Water and Food, Generation, HarvestPlus), led the recent evaluation of the CGIAR Research Program on Forests, Trees and Agroforestry, and conducted several smaller assignments. Markus also has board member and management team experience in the CGIAR.

With relevance for the present assignment, Markus led the evaluation of the program “Water Sector Reform in the MENA Region”, the then largest capacity development program of Capacity Development International (InWEnt) that had implemented diverse strands of capacity development interventions ranging from national dialogues to intense professional education programs aimed at strengthening individual and institutional capacities. Most global program evaluations Markus was involved in contained a cross-cutting capacity development component.

Prior to founding the Institute for Development Strategy, Markus managed the consulting practice of the Global Public Policy Institute in Berlin from its creation in 2006 to 2009. Before entering the development field, Markus worked as corporate manager, as strategy consultant with McKinsey&Company, Inc., and as postdoctoral researcher at the Massachusetts Institute of Technology. Markus holds a Doctorate in Theoretical Physics.



### **Ganesh Rauniyar (Team Member)**

Ganesh Rauniyar is an independent evaluator based in Manila, the Philippines. He provides research and consulting services to bilateral and multilateral development organizations. In 2015, he led a mid-term and a final project evaluation for International Labour Organization (ILO) in Bangladesh and Myanmar, respectively. Ganesh recently led and completed an impact study of rural access improvement support for United Nations Project Services (UNOPS) implemented and SIDA supported project in Afghanistan.



He is currently involved in a cost study for the Millennium Challenge Corporation (MCC) in the Philippines and extending technical support to Lao PDR's Chairmanship of the 2016 ASEAN through ILO's Decent Work Promotion-Transition to the Formal Economy.

Ganesh worked as a Principal Evaluation Specialist for the Independent Evaluation Department of the Asian Development Bank (ADB) in Manila from 2006 to 2015 and as an Evaluation Officer for the Evaluation and Oversight Unit of the United Nations Environment Programme (UNEP), Nairobi from 2005-2006. Prior to that, he was a Senior Lecturer and a Postgraduate Coordinator (international rural development) at Massey University, Palmerston North, New Zealand from 1994-2005, where he conducted contract research in biosecurity for the Ministry of Agriculture Forestry (MAF) and New Zealand Foundation for Research, Science and Technology (ForST).

Ganesh has 24 years of evaluation experience in Africa, Asia, North America and Oceania. He is a leader in delivering evaluation capacity development programmes and conducting, supervising and managing independent projects, programs, thematic, cross-sector, impact, and corporate evaluations. He has led and served as a team member of multidisciplinary teams and in multicultural environment covering agricultural policy, environment, agriculture and natural resources, rural electrification, water supply and sanitation, environment, and health. He has provided consulting services to ADB, FAO, IFAD, ILO, MCA-P/MCC, NZAID, UNDP, UNEP, UNOPS, USAID, and the World Bank.

Ganesh obtained his PhD in Agricultural Economics from the Pennsylvania State University, USA with specialization in agricultural technology adoption. He has published more than 60 articles covering evaluation, biosecurity, technology adoption, rural development, and agribusiness topics.

### **Paul Thangata (Team Member)**

Paul Thangata has extensive experience in project management and implementation, evaluations, policy analysis, institutional development, designing strategic and operational plans for agricultural institutions. From 2008 to 2012, Paul was a Research Fellow with IFPRI based in Addis Ababa, Ethiopia where he conducted policy and capacity development research on organizational efficiency and effectiveness of agricultural R&D institutions. Before this he was the Agricultural Economist (based in Botswana) for the SADC Secretariat's SADC MAPP program and the



creation of the Centre for Agricultural Research and Development for Southern Africa (CARDESA, now CCARDESA). Paul previously worked at the World Agroforestry Centre (ICRAF), based in Zimbabwe, where he coordinated the economics of Gender and HIV/AIDS and scaling up strategies for SADC regional projects. While with ICRISAT in Malawi (1992---1995), Paul was instrumental in the scaling up of new groundnut varieties and the promotion of income generating activities to reduce malnutrition, especially in female-headed households and other vulnerable groups. From 1988---1992, Paul worked with Malawi's Department of Agricultural Research, where he conducted research in genetic and agronomic evaluation of rice, sorghum and millet. Paul is a Malawi national and holds a Ph.D from the University of Florida, Gainesville, USA, and an M.S. degree in Rural Development from Edinburgh University, Scotland.