



# FARA Performance Monitoring Guidance Manual





# FARA Performance Monitoring Guidance Manual

Clesensio Tizikara



Forum for Agricultural Research in Africa

12 Anmeda Street, Roman Ridge,

PMB CT 173, Accra, Ghana

2014

**Citation:**

**Tizikara, C.** 2014. *FARA Performance Monitoring Guidance Manual*, Forum for Agricultural Research in Africa (FARA), Accra, Ghana.

FARA encourages fair use of this material. Proper citation is requested.

**Forum for Agricultural Research in Africa (FARA)**

12 Anmeda Street, Roman Ridge

PMB CT 173, Accra, Ghana

Tel: +233 302 772823 / 302 779421

Fax: +233 302 773676

Email: [info@fara-africa.org](mailto:info@fara-africa.org)

Website: [www.fara-africa.org](http://www.fara-africa.org)

ISBN 978-9988-8428-5-0 (print)

ISBN 978-9988-8429-1-2 (pdf)

Editing and design: BluePencil Infodesign ([www.bluepencil.in](http://www.bluepencil.in))

Printing: Pragati Offset Pvt Ltd ([www.pragati.com](http://www.pragati.com))

# Contents

<b>1. INTRODUCTION TO THE MANUAL</b>	5
1.1 Background	5
1.2 Purpose of the Manual	6
1.3 Users of this Manual	8
1.4 Contents of the Manual	8
<b>2. FARA—A SNAPSHOT</b>	10
2.1 FARA the Continental Stakeholder Platform	10
2.2 FARA in CAADP	12
2.3 Developing an Appropriate Performance Measurement Strategy	14
<b>3. MONITORING AND EVALUATION SYSTEM</b>	23
3.1 Managing for Development Results and Outcomes	23
3.2 Functions of the M&E System	26
3.3 M&E Results Areas and Activities	31
<b>4. PERFORMANCE MANAGEMENT FRAMEWORK</b>	34
4.1 Performance Management for Delivery of Core Functions	34
4.2 The Theory of Change	37
<b>5. FARA STANDARD PERFORMANCE ASSESSMENT FRAMEWORK</b>	47
5.1 M&E Policy	47
5.2 Scope and Approach to Monitoring and Evaluation	49
5.3 Guidelines and Procedures for Monitoring, Reporting and Quality Assurance	50
5.4 Assessing Achievement of Results	56
5.5 Responsibilities for Monitoring and Evaluation	58
5.6 Reporting Results	64
5.7 M&E for Learning, Adjusting and Decision making	67
5.8 Enabling Environment for PMP Implementation	68
<b>6. MTOP PERFORMANCE INDICATORS</b>	72
6.1 Indicators as Management Tools	72
6.2 Indicators for Goal and Purpose	76
6.3 Indicators for process monitoring	82
6.4 Indicators for MTOP Outputs	83

<b>7. REFERENCE MANUAL FOR INDICATORS</b>	115
<b>8. SYSTEM AUTOMATION</b>	120
<b>ANNEX 1: FARA MTOP 2014–2018 RESULTS FRAMEWORK</b>	123
Annex 1a: Measures of Impact to which FARA Contributes and Measures of Outcomes or Changes Resulting from Uptake and Use of FARA Products	123
Annex 1b: Measures of the Added Value of FARA Support and Interventions to Institutional Transformation and Operational Effectiveness of the AAIS	125
Annex 1c: Activities and Initiatives of the MTOP 2014–2018	127
<b>ANNEX 2: STANDARD ASSESSMENT FRAMEWORKS</b>	130
Annex 2a: Guidelines of the African Evaluation Association (AfrEA), 2002	130
Annex 2b: Evaluation Report Outline Format Recommended by IDEAS	133
<b>ANNEX 3: STANDARD FORMATS FOR PLANNING AND REPORTING</b>	135
Annex 3a: Standard Format for Work plan (short form)	135
Annex 3b: Standard Format for Individual Work Plan (detailed and coded)	136
Annex 3c: Standard Format for Activity Sheets	137
Annex 3d: Standard Format for M&E Plan	138
Annex 3e: Standard Format for Monthly Progress Report	139
Annex 3f: Standard Format for Quarterly and Semi-Annual Report	140
<b>ANNEX 4: COMMON INDICATORS RELEVANT TO FARA MTOP</b>	146
Annex 4a. Official list of the MDG Indicators (15 January 2008)	146
Annex 4b. Post-2015 Sustainable Development Goals	149
Annex 4c. CAADP Results and Indicators	157
Annex 4d: Indicators Relating to Productivity, Market Access and Competitiveness	160
Annex 4e: Standard Indicators for Capacity Factors	167
<b>ANNEX 5: GLOSSARY OF KEY TERMS, CONCEPTS AND DEFINITIONS</b>	169
<b>ANNEX 6: AGRICULTURAL INNOVATION SYSTEMS—THE WIDER SERVICE MODEL</b>	211
<b>Acronyms and abbreviations</b>	216

# Africa Feeding Africa: Enhancing African Agricultural Innovation Capacity

## Vision

Reduced poverty in Africa as a result of sustainable broad-based agricultural growth and improved livelihoods, particularly of smallholder and pastoral enterprises.

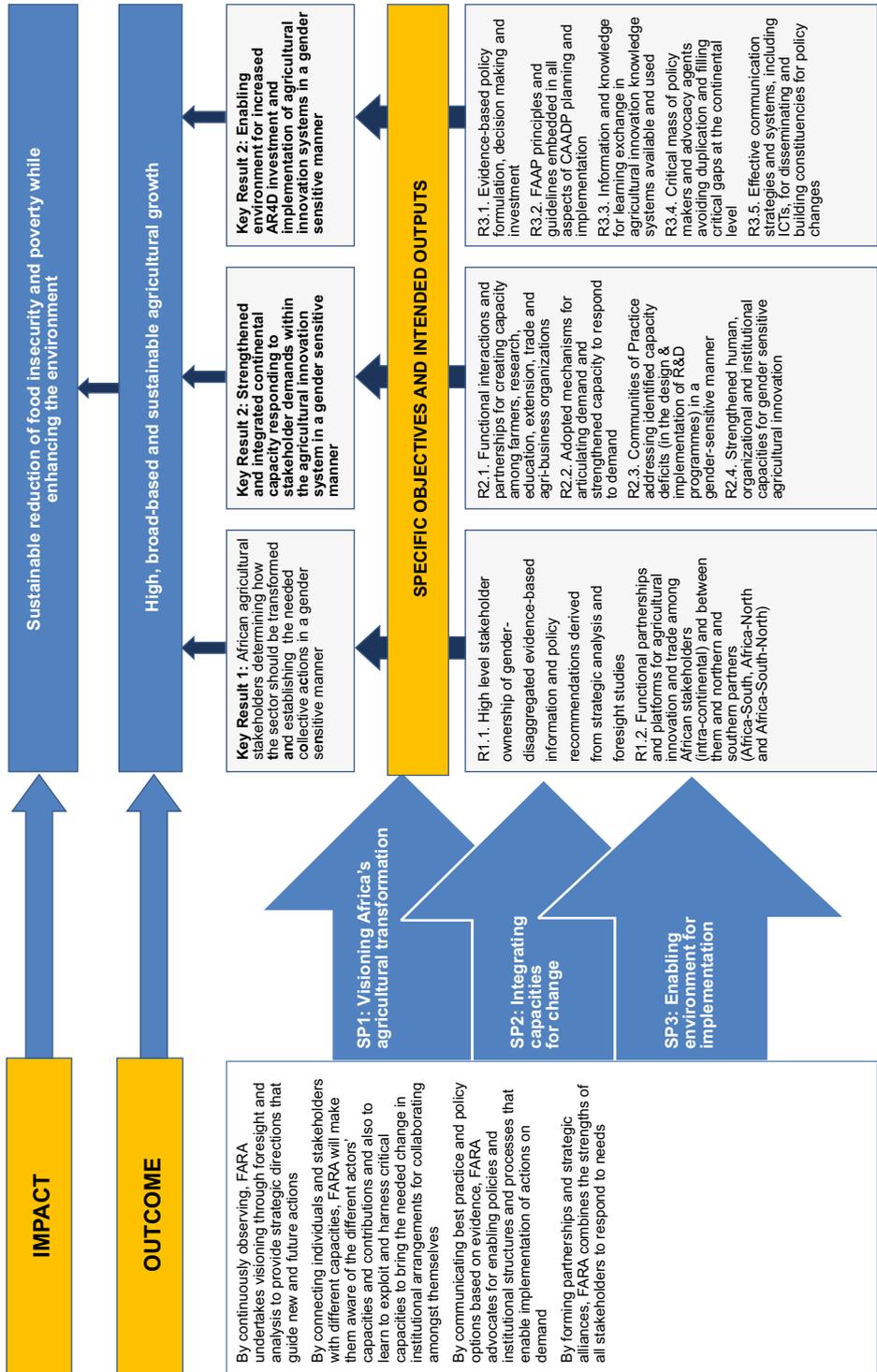
## Mission

The creation of broad-based improvements in agricultural productivity, competitiveness and markets by continental-level strengthening of capacity for agricultural innovation.

## Value Proposition

Strengthening Africa's capacity for innovation and transformation by visioning its strategic direction, integrating its capacities for change and creating an enabling policy environment for implementation

## FARA Theory of Change and Impact Pathway



## FARA Performance Framework

<b>FARA Value Proposition:</b> Strengthening Africa's capacity for innovation and transformation by visioning its strategic direction, integrating its capacities for change and creating an enabling policy environment for implementation		
<b>Strategic Priority</b>	<b>Key Result Area</b>	<b>Outcomes</b>
Visioning Africa's Agricultural Transformation	Stakeholders determine how the sector should be transformed and undertake collective action in a gender-sensitive manner	<ul style="list-style-type: none"> <li>• High-level stakeholder ownership of gender-disaggregated evidence-based information and policy recommendations derived from strategic analysis and foresight studies</li> <li>• Functional partnerships and platforms for agricultural innovation and trade among African stakeholders (intra-continental) and between them and northern and southern partners (Africa-South, Africa-North and Africa-South-North)</li> </ul>
Integrating Capacities for Change	Strengthened and integrated continental capacity responding to stakeholder demands within the agricultural innovation system in a gender-sensitive manner	<ul style="list-style-type: none"> <li>• Functional interactions and partnerships for creating capacity among farmers, research, education, extension, trade and agri-business organizations</li> <li>• Mechanisms for articulating demand and strengthened capacity to respond to demand</li> <li>• Communities of Practice addressing identified capacity deficits (in the design &amp; implementation of R&amp;D programmes) in a gender-sensitive manner</li> <li>• Strengthened human, organizational and institutional capacities for gender-sensitive agricultural innovation</li> </ul>
Enabling Environment for Implementation	Enabling environment for increased Agricultural Research for Development (AR4D) investment and implementation of agricultural innovation systems in a gender-sensitive manner	<ul style="list-style-type: none"> <li>• Evidence-based policy formulation, decision making and investment</li> <li>• FAAP principles and guidelines embedded in all aspects of CAADP planning and implementation</li> <li>• Information and knowledge for learning exchange in agricultural innovation knowledge systems available and used</li> <li>• Critical mass of policy makers and advocacy agents avoiding duplication and filling critical gaps at the continental level</li> <li>• Effective communication strategies and systems, including ICTs, for disseminating and building constituencies for policy changes</li> </ul>

## FARA Performance Indicators for MTOP 2014–2018

<b>Purpose level: Strengthened Africa Capacity for Agricultural Innovation</b>		
<b>Indicator 1:</b> Percentage increase in the number of individuals, groups, organizations directly affected or reached by FARA interventions (disaggregated by gender)		
<b>Indicator 2:</b> Percentage increase in core competencies, capabilities and capacities for innovation among targeted ( <i>individual, organizational/inter-organizational and/or institutional</i> ) ARD actors		
<b>Indicator 3:</b> Degree of stakeholder satisfaction with FARA performance and quality of products and services		
<b>Indicator 4:</b> Level of annual contributions by African governments and institutions to agricultural research funding		
<b>Key Result 1:</b> Stakeholders determine how the sector should be transformed and undertake collective actions in a gender-sensitive manner	<b>Key Result 2</b> Strengthened and integrated continental capacity responding to stakeholder demands within the agricultural innovation system in a gender-sensitive manner	<b>Key Result 3</b> Enabling environment for increased AR4D investment and implementation of agricultural innovation systems in a gender-sensitive manner
<p>1.1 Number of countries with AR&amp;D agendas being influenced by the Science Agenda for Agriculture in Africa (S3A) (outcome of foresight studies, countries in which FAAP principles and guidelines have been embedded in CAADP national/regional compacts and AFSIPs)</p> <p>1.2 Number of functional partnerships and platforms for agricultural innovation and trade among African stakeholders and between them and northern and southern partners</p> <p>1.3 Number of participants reached, participating or contributing to IPs, consultations, workshops, meetings (<i>individuals, institutions disaggregated by country, region, gender, stakeholder category</i>)</p>	<p>2.1 Number of institutions adopting FARA-initiated interventions or mechanisms for identifying, articulating and/or addressing capacity needs</p> <p>2.2 Number of institutions (<i>disaggregated by category</i>) whose capacity development needs have been assessed and/or supported (<i>enhanced knowledge, skills and attitudes of individuals delivered through training workshops; changes in organizational design and culture, accountability, responsiveness, transparency and efficiency</i>)</p> <p>2.3 Number of functional Communities of Practice for creating gender-sensitive capacities and addressing identified capacity deficits in the design and implementation of AR&amp;D programmes</p>	<p>3.1 Number of information and knowledge products/packages (<i>briefs, reports, scientific papers and publications</i>) produced and made available to stakeholders</p> <p>3.2 Number of stakeholders (<i>individuals, institutions disaggregated by country, region, gender, stakeholder category</i>) reached with information through continental information and knowledge sharing platforms (<i>websites, publications, visual and social media</i>)</p> <p>3.3 Number of platforms used for information delivery and exchange</p> <p>3.4 Degree of improvement in availability of ICTs (<i>magnitude of ICT speed and capacity performance, reliability of internet access, equity, service quality, cost-effectiveness</i>) among targeted National Agricultural Research System (NARS) institutions</p>

# 1. INTRODUCTION TO THE MANUAL

## 1.1 Background

In the last decade, globally, countries and organizations have embraced Results-Based Monitoring (RBM) and Evaluation as a key management tool to assess performance. The Forum for Agricultural Research in Africa (FARA), too, has adopted RBM to measure and assess progress against its development agenda. The aim is to create a systematic, simplified but integrated, result-oriented, reliable, and effective monitoring and evaluation (M&E) system that links policy to budgets, implementation and results; that guarantees effective and meaningful implementation of development interventions (the 4Ps—plans, policies, programmes and projects). The FARA institutional Performance Monitoring Plan (PMP) is rooted in a *results framework/impact pathway/theory of change* that links policies and strategies with results and outcomes that can be measured against agreed-upon targets and indicators to be achieved in the medium to long-term. The performance measures reflect FARA’s road map and the ‘key results’ expected from various interventions.

The FARA results framework is an explicit articulation (both in the form of graphs and matrices) of the different levels, or chains, of results expected from a particular intervention—project, programme, or development strategy. The results specified typically comprise the longer-term objectives (often referred to as “outcomes” or “impact”) and the intermediate outcomes and outputs that precede and lead to those desired longer-term objectives. Thus, the results framework captures the essential elements of the logical and expected cause-effect relationships among inputs, outputs, intermediate results or outcomes, and impact. When depicted as a theory of change, the framework identifies the interventions that will contribute to a particular result. It charts a refined approach as it combines the principles of the linear logical framework, a theory of reach to indicate the necessary and sufficient coverage to produce a credible claim to observed change and the theory of action to cater for the required actor clustering to improve collaboration across actor objectives and the connection between the actions undertaken and the effect (s) which these actions are meant to produce.

The results framework seeks to make FARA more accountable by setting explicit performance measures that would: ensure responsibility and accountability among the key constituents engaged in service delivery; enable appraisal and measurement of direct and indirect impact of development interventions on the lives of people; help ensure results from development investments; and improve effectiveness and result-orientation in future policies and

programmes by obtaining feedback from past experiences. FARA’s development interventions aim to create “sustainable benefits for their target groups” (SBTGs). (The FARA impact pathway articulated in the Strategic Plan (SP) and Medium-Term and Operational Plan (MTOp) for the period 2014–2018 is briefly described in Section 4.)

PMP<sup>1</sup> has been developed to serve as a reference for all actors involved in monitoring FARA’s performance in the creation of SBTGs and evaluating their impact. Such a reference manual is necessary since a number of organizations participate in the interventions and a diverse array of information has to be monitored from across the entire African continent and FARA’s secretariat is somewhat lean. This approach to development commits FARA to higher standards of public accountability, transparency and good governance. The manual consolidates various frameworks from past M&E initiatives and incorporates suggestions and inputs from relevant partners. It provides clarity to policy, ensuring implementation focus on the results that are to be attained. The manual and other complementary documents will also help bridge gaps in M&E skills and make the overall monitoring function easier and more comprehensive by establishing unified, user-friendly, and explicit M&E procedures and tools.

## 1.2 Purpose of the Manual

The manual is the primary reference source for M&E principles and procedures and MTOp indicators. It details mechanisms that FARA will use to:

- a) Strengthen performance M&E of its agricultural research and development (ARD) investment to demonstrate the benefits to the continent, national governments and the community; the achievement of goals; and the economic, social and environmental impacts. With a view to these imperatives, the FARA evaluation framework will:
  - measure the overall contribution of agricultural research, extension and training to the Comprehensive Africa Agriculture Development Programme (CAADP)/national governments’ goals, FARA outcomes, value for money and return on investment (RoI)
  - evaluate the allocation of agricultural research funds
  - assess the degree of adherence to investment principles
  - inform future priority setting
  - tailor the evaluation methodology to different programmes and institutions, while achieving consistency of approach and comparability of performance results.
- b) Review its performance reporting system to enable the quantifiable assessment of how ARD has contributed to FARA and CAADP/national governments’ goals and also made reporting to stakeholders on ARD activity more transparent. FARA’s performance reporting system will:
  - provide key project-level and aggregated data;
  - align project-level indicators and FARA indicators; and

---

1. The PMP or Performance Management Plan is a document that includes the plan for managing all performance monitoring, evaluation, analysis and reporting functions; monitoring constitutes 95% of its content.

- address identified reporting gaps, including programmes discontinued and capability areas discontinued or merged.
- c) Develop a standard reporting framework that minimises duplication in reporting to multiple stakeholders at the key project and sub-project levels, and also reduces the administrative burden on internal stakeholders and expedites the availability of accurate, timely and consistent data.
  - d) Advance the business case for the consolidation of metadata systems across FARA, and investigate alternative customised systems in use in other jurisdictions. This will increase the transparency of reporting to stakeholders and increase the potential for lessons learned through ARD activity to be leveraged across FARA and its constituents.

The manual presents details of the M&E system to be used to monitor the progress and impact of FARA's actions, outputs and outcomes. It describes an amalgamated system that will:

- a) Provide for result-based M&E to be made an integral part of every FARA plan, policy, programme, and project—beginning at the early stages of formulation, with M&E furnishing all the necessary data and information;
- b) Ensure regular and systematic M&E is carried out to keep track of inputs, activities, processes, outputs, outcomes and impacts of policies, programmes, and projects being implemented and/or coordinated by FARA, and, where appropriate and desirable, by constituents and partners;
- c) Make sure that decision and policy formulation processes are evidence-based by providing relevant data, information, and feedback, thereby enhancing transparency and social responsibility and promoting good governance;
- d) Guide planners, implementers, monitors and evaluators of key partners to agree and concentrate on the most important goal: the realization of sustainable benefits (reduction in poverty and food insecurity through agricultural growth) for the target groups of FARA interventions—this being the way impact and benefits are expressed in the MTOP;
- e) Make evaluation “learning” and “operational feedback” part of an integrated system and systematic. This will build a bridge between “learning” and “doing” and ensure that “evaluation-lesson-learning” happens;
- f) Encourage experiential learning, while simultaneously ensuring that attention is paid, from the start to the finish, to the specifics of each individual policy, strategy, programme and project that FARA advocates, facilitates and/or promotes;
- g) Routinely incorporate new insights from evaluations into the performance monitoring system, which will thus acquire and maintain its dynamic nature reflected by its periodically reviewed policy, programme and project cycle management (3PCM) database;
- h) Allow the development of a detailed database, containing ample comments on each important aspect presented in the performance monitoring plan, which planners, evaluators, implementers, monitors, target groups, other stakeholders and the general public will have access to. This database could be voluminous, as the PMP is adapted to continental, sub-regional, thematic (research, advisory services, education and training)

frameworks and forms the basis for specific continental policies, strategies, programmes and projects;

- i) Be easy to use (in spite of the database's volume) by highlighting the most important elements in précis upfront, enabling easy access of relevant material;
- j) Allow the development, through acquisition of knowledge, skills and competencies, of professional communities of practice (CoP) whose members include planning, implementation, M&E professionals and practitioners in the institutions and organizations involved in the African agricultural innovation system (AAIS) and their national and international partners; and,
- k) Simplify, through synchronisation and harmonisation of indicator schedules, processes and guidelines, the exchange of information and knowledge, and spread a "common FARA/AAIS language" among stakeholders everywhere. Such a common language will greatly facilitate joint planning and evaluations among the FARA constituent members and their development partners and, eventually, evolve into a true common "communication strategy" pursued by the actors as they learn together, pull together and accordingly act together.

### 1.3 Users of this Manual

The manual has been developed specifically for use by all actors (political leaders, policy makers, organizations, target groups, planners, implementers, monitors and evaluators, as well as all other supportive stakeholders in international, continental, sub-regional and national institutions (African and non-African countries alike) that will contribute to FARA's M&E activities; but more especially, the M&E system managers in the sub-regional research organizations (SROs) and other continental organizations, the higher institutions of agricultural education and learning (HIAEL), the national agricultural research and extension systems (NARES) and international cooperating partners (ICPs). Together they are the most important collectors and users of FARA M&E data.

### 1.4 Contents of the Manual

The manual is one of a series of performance management documents that seek to guide the planning, budgeting and monitoring of FARA objectives and activities through time. It is not a "stand-alone" document, but should rather be referred to in conjunction with other related documents. It comprises eight chapters, beginning with the introduction, which spells out the basic purposes of the manual, while the following two chapters present a brief background on the MTOP and M&E strategy. Chapter 4 dwells on the performance management framework and Theory of Change (ToC) as the basic planning and M&E tool. Chapter 5 presents the detailed guidelines to be followed for M&E relating to the MTOP, while Chapter 6 presents the indicators to be monitored. Chapter 7 provides general guidelines on construction of information and data collection sheets relevant to each indicator, which, together with the information on the numeric targets for each indicator, responsibilities for the different activities concerned with

data collection and coordination are presented in the annex. The last chapter outlines the plans for automation of the M&E system.

The manual is accompanied by additional and complementary M&E tools such as indicators reference sheets; an automated management/monitoring information system for stocking, managing and displaying indicator data as and when collected; it also includes outlines of periodic M&E planning tools, and outlines of reports that will be produced at defined moments to present progress and impact of FARA activities. The FARA secretariat will base its reports on the monitoring information system (MIS) data and, importantly, use it for guidance in decision making related to programme planning and execution of activities.

## 2. FARA – A snapshot

---

---

### 2.1 FARA the Continental Stakeholder Platform

FARA was launched in June 2002, as an African-owned facilitating and information-exchange forum to support SROs, and as an apex body to represent Sub-Saharan Africa (SSA). To realise its mission, FARA developed its first SP covering the period 2002–2012. The plan established three pillars as the core of its work, namely, raising awareness, promoting appropriate policy options, and advocacy and resource mobilisation. In 2006, FARA revised and adopted an ambitious SP 2007–2016 that identified a new niche and potential contribution to sustainable agricultural productivity growth in Africa. A MTOP for 2008–2012 provided a roadmap and implementation strategies for achieving the goals and objectives of SP 2007. The tasks set in SP 2007 and MTOP 2008 were undertaken through an institutional architecture of five networking support functions (NSFs) in the areas of: (i) advocacy and resource mobilisation, (ii) access to knowledge and technologies, (iii) regional policies and markets, (iv) capacity strengthening, and (v) partnerships and strategic alliances. Key Africa-wide initiatives implemented during the period are summarised in Box 1.

In addition, FARA was mandated by the African Union Commission (AUC) and the New Partnership for African Development (NEPAD) Planning and Coordinating Agency (NPCA) as the lead institution for Pillar IV, the Framework for African Agricultural Productivity (FAAP) of CAADP. The focus of FAAP is agricultural research, technology dissemination and adoption, a mandate far beyond supporting SROs and representing SSA on agricultural research issues only. As a continent-wide umbrella organization that provides a forum for a majority of stakeholders, African and non-African, active in the agricultural innovation system, FARA provides a strategic platform for fostering global and continental networking for agricultural development and innovation in Africa.

FAAP was designed based on the paradigm of the agricultural innovation system, where research (and any other component of AIS) as a sole actor can contribute little to the overall African agricultural development agenda. Development is usually a complex term, involving many actors and interdependent processes. FARA cannot achieve all the changes required by its ToC working on its own. The different agencies that constitute the Forum need to align their work towards a shared outcome or vision of success. When organizations, including donors, begin to think of themselves as working in an ecology of actors towards shared **outcomes**, they can plan and act collaboratively without losing their individual focus or identity. Such an approach preserves the individual creativity and responsiveness of diverse actors while

### Box 1: FARA Achievements (2002–2012)

FARA, in consultation with stakeholders, developed, convened and catalysed a number of Africa-wide initiatives:

- Sub-Saharan Africa Challenge Programme (SSA-CP), which validated and institutionalised integrated agricultural research for development (IAR4D)
- Programme for Strengthening Capacity for Agricultural Research and Development in Africa (SCARDA) that led to the adoption of holistic institutional analyses as a prerequisite for designing effective institutional capacity-strengthening programmes
- Regional Agricultural Information and Learning System (RAILS), which enables stakeholders to receive and process information and thereby become ‘knowledge-able’
- Dissemination of New Agricultural Technologies in Africa (DONATA), which has proved the merit of creating platforms for the interaction of the diverse stakeholders involved in technology adoption
- Strengthening Capacity for Safe Biotechnology Management in Sub-Saharan Africa (SABIMA), which has strengthened African national capacities for stewardship that will encourage the transfer of proprietary technologies
- Universities, Business and Research in Agricultural Innovation (UniBRAIN) initiative, which is breaking down the barriers between African universities, business and research to release the talent and capacities within these institutions to participate in joint innovations

FARA also played a key role in the establishment of:

- AFAAS - African Forum for Agricultural Advisory Service
- CCARDESA - Centre for Coordination of Agricultural Research for Development in Southern Africa
- NASRO - North African Sub-Regional Organization
- PanAAC - Pan African Agri-business and Agro-industry Consortium
- TEAM-Africa - Tertiary Education for Agriculture Mechanism
- PAFO - Pan-African Farmers’ Organization

enabling practical synergies that lead to social learning and more effective solutions. FARA’s stakeholders include farmers, NARES, HIAELs, SROs, private business concerns, civil society organizations and development partners.

The outcomes that FARA is working towards are influenced positively or negatively by a large number of other actors or social forces. Indeed, successful innovation processes and progress along the transformation/impact path require numerous functions and services, provided by a multitude of actors often with diverse interests and varying capacities but interacting in a given area. The impact of the contribution of each and every actor can hardly be traced, as it is the interplay of all of them that generates innovations. It is, therefore, important to understand **the system** of forces and actors that is at work in each context and the ways in which they influence the system—those who share FARA’s goals, with whom collaborative interventions can be planned; and those actors who might negatively influence the system, so that FARA can plan strategies to change their attitudes and practices or reduce the negative influence they might have. FARA can bring about significant and sustainable change if it can motivate actors in the system to share its goals. Oftentimes, it is challenging to get such diverse groups of stakeholders to agree on a common goal and strategies to achieve it.

Building effective working relationships among the various actors for the desired change is likely to produce the most effective results. There can be many different kinds of alignment and collaborative relationships. At one end of the spectrum, FARA can simply agree to work separately but talk to each other to reduce competition, duplication or conflicting interventions. Alternatively, it is possible to build short-term collaborations for specific outcomes or establish a formal long-term working partnership through contracts and Memoranda of Understanding. Bringing about greater alignment in a system can itself be a crucial pre-condition for success. Relationship building is, therefore, a strategic objective and indicator that FARA is indeed making progress towards achieving its long-term, sustainable outcomes. As such, building alignment and collaborative relationships within the African agricultural innovation eco-system becomes the most critical intermediate outcome. As already stated, the numerous actors in AAIS have very different missions and purposes. The success of the SP and MTOP will heavily depend on the FARA's ability to rally together the stakeholders to collaborate successfully to bring about change. Agreeing on shared outcomes is more important than absolute agreement on mission and values— although it will obviously be difficult to collaborate with organizations whose mission and values are directly opposed to FARA's.

Successful collaborations can be short-term and focused on a single specific objective. Others can be long-term and focus on bringing about complex social change. It all depends on the context. While short-term, one-off collaborations around limited objectives can be organized quite quickly (e.g., in the form of time-bound projects), longer-term relationships and successful partnerships will depend on building mutual confidence and trust, and will evolve slowly over time. The strategies adopted should be appropriate to the context and the outcomes. There is no single 'off-the-shelf' technique or methodology.

## 2.2 FARA in CAADP

In 2003, the AU assembly of heads of state and government adopted the Maputo Declaration on CAADP, setting broad targets of 6% annual growth in agricultural GDP, and allocation of at least 10% of public expenditure to the agricultural sector. The leaders signalled their intention to achieve these targets through collective action across the continent focused on improving agricultural planning and policies, scaling up investment to implement these plans and policies, and harmonising external support around Africa-owned plans. CAADP provides a common framework around which stakeholders can rally, and, over the last ten years, it has provided a solid foundation for pursuing an inclusive agricultural and rural development agenda that will end hunger, reduce poverty and share prosperity. The primary implementation challenge has always been getting stakeholders to agree on common frameworks for planning and performance monitoring. The establishment, in 2010, of NPCA as a technical body of AU to replace the NEPAD secretariat offered a unique opportunity to address these challenges.

The NPCA was mandated to facilitate and coordinate the implementation of continental and regional priority programmes and projects, mobilise resources and partners in support of their implementation, conduct and coordinate research and knowledge management, monitor

and evaluate the implementation of programmes and advocate on the AU and NEPAD vision, mission and core values. In operationalising its 2010–2013 SP, the NPCA defined and elaborated an agriculture peer review mechanism that would cover African agriculture in general and the CAADP in particular to facilitate cooperation, benchmarking, and mutual learning among countries, which could then be used to improve performance. Subsequently, a mutual (management) accountability framework (MAF)<sup>2</sup> was developed to provide a mechanism and incentives for partners to effectively deliver on their commitments by focusing on shared goals and mutual responsibility, and in so doing promoting accountability and rewarding performance. In this scheme, the stakeholders endorsed a common set of performance criteria for assessing delivery on commitments such as budgetary allocations, outputs and development outcomes. The CAADP M&E and MAF have been the tools to track and measure CAADP performance at the continental, regional and country levels.

As the lead institution for CAADP Pillar IV, FARA was expected to develop an M&E framework with standard indicators that speak to those in the overarching CAADP M&E framework, and custom indicators for tracking incremental improvements in the performance of agricultural research and extension systems, and also track the adoption of technologies and innovations generated from investments in Pillar IV activities. In the wake of sustaining the CAADP momentum, starting 2014, the CAADP secretariat has adopted a new ‘knowledge, information and skills’ (KIS) approach to backstop country CAADP processes with a lighter touch that does not require lead implementation institutions. As a consequence, FARA no longer has the explicit mandate to be the lead implementation institution for CAADP Pillar IV. In addition, many of the tasks set in FARA’s 2007–2016 SP in respect of NSFs are due to be handed over to other organizations in compliance with FARA’s commitment to the subsidiarity principle. However, FARA remains well positioned to sustain leadership because of its knowledge, expertise, networks and recognition. A new CAADP Results Framework (Table 1) has been developed as an instrument for coordinating efforts on the continent. This will be a framework tool for measuring progress. CAADP focuses on agriculture-based growth, with a minimum annual growth target of 6% and with a robust public and private investment to engender this growth and ensure food security and increased household incomes.

**Table 1: CAADP 2013–2023 Strategic Results Matrix**

Level	Narrative Summary	Main Assumptions
1. <b>IMPACT</b> to which CAADP contributes (indirect link)	<b><i>Agriculture’s contribution to Africa’s socio economic growth and inclusive development</i></b> (wealth creation; economic opportunities and prosperity – jobs & poverty alleviation; improved food security and nutrition; resilience; environmental sustainability)	<i>Countries follow an agriculture-led, inclusive growth strategy for social and economic transformation</i>

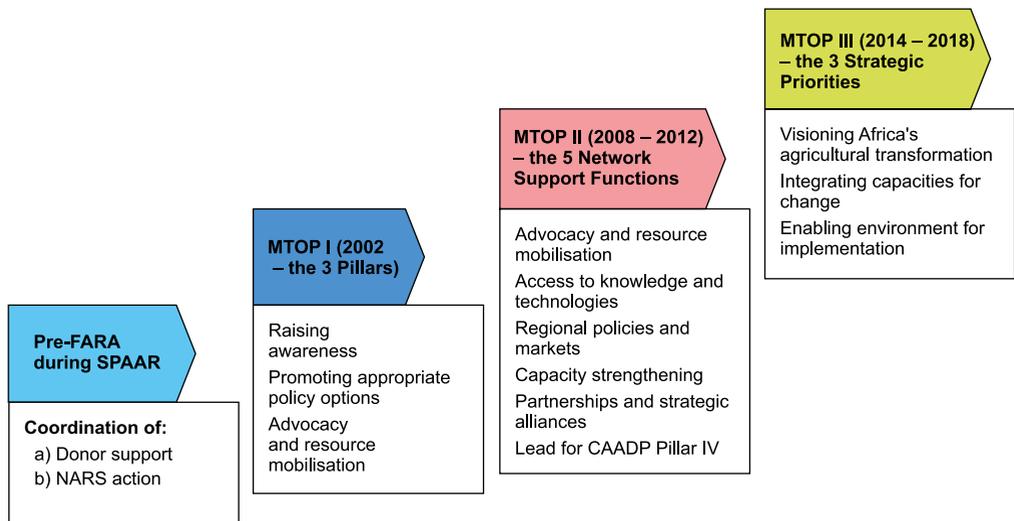
2. The MAF is drawn within the context of the **Paris Declaration on Aid Effectiveness** (2005) and **Accra Agenda for Action** (2008)—statements of commitment by ministers of developed and developing countries responsible for promoting development and heads of multilateral and bilateral development institutions outlining principles for ownership, harmonisation, alignment, results and mutual accountability.

Level	Narrative Summary	Main Assumptions
<b>2. OUTCOMES:</b> Changes in African agriculture resulting from the implementation of CAADP (a reflection of the performance of African Agriculture)	<b>Agricultural transformation and sustained agricultural growth</b> <ul style="list-style-type: none"> <li>Increased agriculture production and productivity</li> <li>Better functioning national agriculture and food markets &amp; increased intra/inter-regional trade</li> <li>Expanded local agro-industry and value addition</li> <li>Improved management and governance of natural resources for sustainable agricultural production</li> </ul>	<i>Systemic capacity for transforming agriculture as envisaged in Level 3 results is attained</i>
<b>3. RESULTS:</b> Added value of CAADP support and interventions to institutional transformation and CAADP operational effectiveness is measured at this level	<b>Strengthened systemic capacity for effective execution and delivery of results</b> <ul style="list-style-type: none"> <li>Improved and inclusive policy design and implementation capacity for agriculture</li> <li>More effective and accountable institutions to drive planning and implementation of public policies and investment programmes</li> <li>More inclusive and evidence based agriculture planning and implementation processes</li> <li>Improved coordination, partnerships and alliances within and across sectors and countries (regional trade and collaboration)</li> <li>Increased (public/private) investment financing in agriculture achieving better value for money</li> <li>Enhanced knowledge support and skills development for agriculture through improved S&amp;T, education &amp; training; peer learning; analytical capacity &amp; strategic thinking</li> </ul>	<i>Political leadership ensure conducive and stable policy environment, including sustained increase in agriculture public sector investment</i>
<b>4. INPUTS</b>	Implementation guidelines; knowledge pools; capacity building; peer review mechanisms	

## 2.3 Developing an Appropriate Performance Measurement Strategy

FARA has gone through three phases of strategic planning (Figure 1) since its establishment. The first FARA SP (FARA Strategy 2002–2012 and Implementation Framework 2002–2006) established, as the core of its business, three Pillars of (i) Raising awareness, (ii) Promoting appropriate policy options and (iii) Leveraging financial and intellectual support for African agricultural development, including advocacy and resource mobilisation. Revised in 2006, the new SP (2007–2016) and MTOP (2008–2012) focused on “Enhancing African Agricultural Innovation Capacity” through an institutional architecture of NSFs in the areas of: (i) advocacy and resource mobilisation, (ii) access to knowledge and technologies, (iii) regional policies and markets, (iv) capacity strengthening and (v) partnerships and strategic alliances. FARA was also assigned responsibility for leading the implementation of CAADP Pillar IV.

In 2012, the Board of FARA commissioned the development of a new strategy to ensure that FARA focused only on what it could do best, and on where it can add most value to Africa’s



**Figure 1: FARA Development Planning Phases**

capacity for agricultural innovation. The new strategy, *FARA's 2014–2018 Strategic Plan* premised on *enhancing African agricultural innovation capacity*, recognises that FARA has itself become a stronger institution with considerable social capital, so that it is now better able to fulfil its role as the apex organization for African agricultural innovation aligned to the AU Commission.

FARA is transforming into a continental-level hub of excellence and knowledge on agricultural research, scaling and education, that is able to identify and source technical expertise across the continent and globally to provide technical support to CAADP country teams, regional partnership forums and training programmes.

FARA's secretariat will, in this regard, endeavour to be recognised as: (i) the service provider of choice in the provision of KIS services to countries and RECs; (ii) the continental representative in the development and implementation of the African science agenda for agriculture, especially in the alignment of the Consultative Group on International Agricultural Research (CGIAR) to CAADP priorities; (iii) the coordinator of regional productivity platforms for enabling R&D actors to align and streamline their actions; (iv) the mobiliser, convenor and coordinator for research, extension and education by advancing common interlinking and reinforcing strategies; (v) the lead champion for evidence-based agricultural policy; and (vi) the intelligence arm for detecting changes in CAADP and other continental initiatives and facilitating the alignment processes.

The new SP repositions FARA as an institution that will catalyse these processes along a clearly defined hierarchy of objectives—the impact chain—as espoused in its vision, mission, objective and value proposition statements.

To fulfil its role and achieve its objectives, FARA must be able to guide Africa to ensure that the region determines the agriculture that it wants and how to achieve it; has the human and institutional capacity to implement its agricultural ambitions; its policy makers get the evidence-based information they need to create enabling policy environments; and that the constituents are well informed and support the changes. These vital roles have been distilled into three distinct strategic priorities that represent key problem areas for which key outputs/results must be delivered:

**Visioning Africa's agricultural transformation** with foresight, strategic analysis and partnerships to enable African agricultural stakeholders determine how the industry should develop, and plan how to achieve goals based on evidence and the combined strength of all stakeholders.

**Integrating capacities for change** by making the different actors aware of each other's capacities and contributions, and helping them to exploit their relative collaborative advantages to mutual benefit while also strengthening their own human and institutional capacities.

**Enabling environment for implementation**, initially through advocacy and communication to generate enabling policies, and then ensure that they get the stakeholder support required for their implementation.

The strategic priorities form the basis for the identified results around which the performance monitoring/management framework (PMF), the logical/results framework (LF/RF) matrix and associated theory of change is designed. It is important to note that in order to avoid diverse interpretations and minimise difficulties in mutual identification and understanding of results along the impact chain, everything should be clear and uncomplicated. The results should be presented in a manner that is clear and straightforward, with each level of intervention supplemented with few clear-cut, well-defined, cost-effective and reliable indicators—both qualitative and quantitative. The processes should be simplified and allow for smooth and easy planning of the inputs/resources, activities and outputs/results. To achieve these objectives, one unique tool meeting these criteria was required. This tool would have to give the sequential contributions using the means given since the start of, or produced during, the project to achieve the specific objectives and to contribute to the overall one.

The PMP is a natural consequence of the MTOP and condenses lessons from the last 10 years of FARA existence. Aspects of the previous FARA performance M&E framework for ARD are consistent with good practice. Programme logic models are relatively well established and used for programme definition and evaluation. However, the specification of desired outcomes for FARA, especially in relation to CAADP, has been rather broad and it has been difficult to establish the extent to which projects and programmes are effectively meeting FARA outcomes and CAADP/national governments' goals. A multiplicity of reporting formats, arrangements and performance indicators has prevented FARA from effectively measuring and reporting on achievement. Data collection systems did not readily support ARD investment programme M&E and continuous improvement.

FARA recognises that unless there is an on-going and quantifiable M&E of the impact of policy, programmes and projects on the targeted beneficiaries, the extent of reduction in poverty and

food insecurity envisaged in the PMF cannot be determined. The process began by teasing out the expectations of Africa from the SP. The development objectives pursued by FARA is strengthening Africa’s capacity for agricultural innovation as anchored on the three broad development pillars—the Strategic Priorities. The conceptual process underlying the derivation of the performance measures, and the approach that has been followed in developing the framework and measurement strategy is depicted in Figure 2.

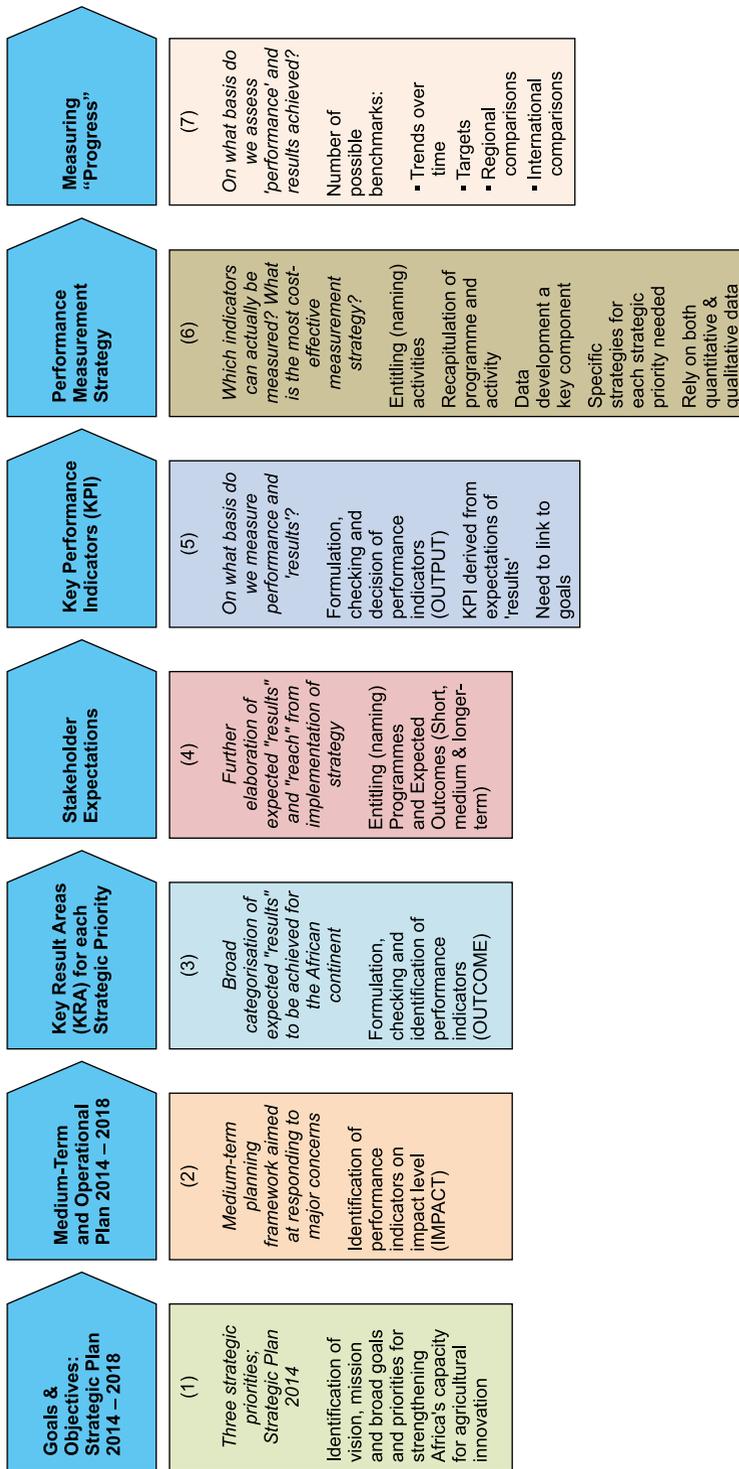
FARA is deeply committed to strengthening its approach to performance M&E with the envisaged reforms dictated by the new MTOP. FARA would achieve good practice by:

- aligning organizational objectives, performance indicators and targets that are specific, clear and measurable with CAADP/national governments’ goals and development planning and investment objectives.
- reporting outcomes as well as outputs to demonstrate achievement of the stated CAADP/national governments’ goals and FARA objectives, including areas where FARA has not made progress, the reasons for this and what action will be taken.
- achieving a comprehensive coverage of the organization to enable a full and fair assessment of performance (i.e. covering all key areas of agricultural research, extension, training and related activities, sources of funds, prioritisation of and allocation of funds, the management and scaling-up of proven innovations, etc.)
- reporting on trends in AAIS and benchmarking performance to enable policy makers and the public to assess Africa’s agricultural sector performance and establish whether AAIS is performing as well as similar systems in other regions.

There is some controversy and debate surrounding the distinctions among outputs, outcomes, and impact. A generally useful approach is to consider outputs as the particular goods or services provided by an intervention, whereas an outcome is thought of as benefits of that particular good or service to the target population, and impact refers to evidence on whether outcomes are actually changing beneficiary behaviour or longer-term conditions of interest. The key is to distinguish between the provision of goods and services (which involves supply-side activities) and actual demand for and/or utilisation of those goods and services (demand-side response). Defining cause-effect linkages for one or more interventions lays the groundwork for a results framework. Thus, the development of a good results framework requires clarity with respect to the ToC—the reasons why the project, programme, or strategy will lead to the outputs; why those outputs are likely to lead to the immediate or intermediate outcomes; and how those outcomes are (at least hypothetically) linked with longer-term impact. The ToC also requires knowing or estimating how long it will take to achieve each stage of the programme and how much of the outcome is likely to be achieved. Thus, defining cause-effect linkages for one or more development interventions lays the groundwork for a results framework.

Outcomes and impacts are the main focus of the FARA results framework; inputs and implementation processes are generally not emphasised, although outputs are specified. This manual presents guidelines for monitoring progress toward the ultimate objectives through measuring the achievement of outputs, outcomes, and impacts at different intervals of time.

Figure 2: Developing Programme Performance Measurement Strategy



Results have been typically defined through indicators, which are, but not always quantifiable and measurable or observable (desired outcomes may include changes in organizational or institutional behaviours, which may best be tracked through qualitative data and indicators). The monitoring plan includes baseline values and targets expected for outputs and outcomes, and specifies the measures that will be used for data gathering to ensure that the results framework is actually populated with data, updated with information at key points during implementation, and used in decision making. The results framework also identifies underlying critical assumptions that must be in place for the interventions to be successful, that is, to lead to achieving the targeted outcomes and impacts. Such an approach assumes that planning informs the priorities of development, which would be adequately funded, monitored and measured to assess achievement of agreed upon results.

Key interventions (activities) have been identified that would have the greatest impact in achieving those outcomes. One of the critical issues emerging is the need for clustering of interventions to achieve outcomes. The primary purpose behind such clusters is to ensure that all units understand that they contribute to shared goals. In essence, it is the linkages across units which makes clustering an imperative. The cluster approach represents a distinct shift in thinking from the independent approach of NSFs/programmes, to that of institutionalised collaboration across FARA. As a result, although there may be a lead programme/unit for each priority area, the PMF provides a mechanism to amalgamate interventions into development clusters and thereby increase collaboration among actors, and develop and implement a clear, prioritised agenda aimed at addressing the identified key development challenges. This clustering and mapping process is depicted in Figure 3.

Figure 3a: Activity mapping for strategic priority 1

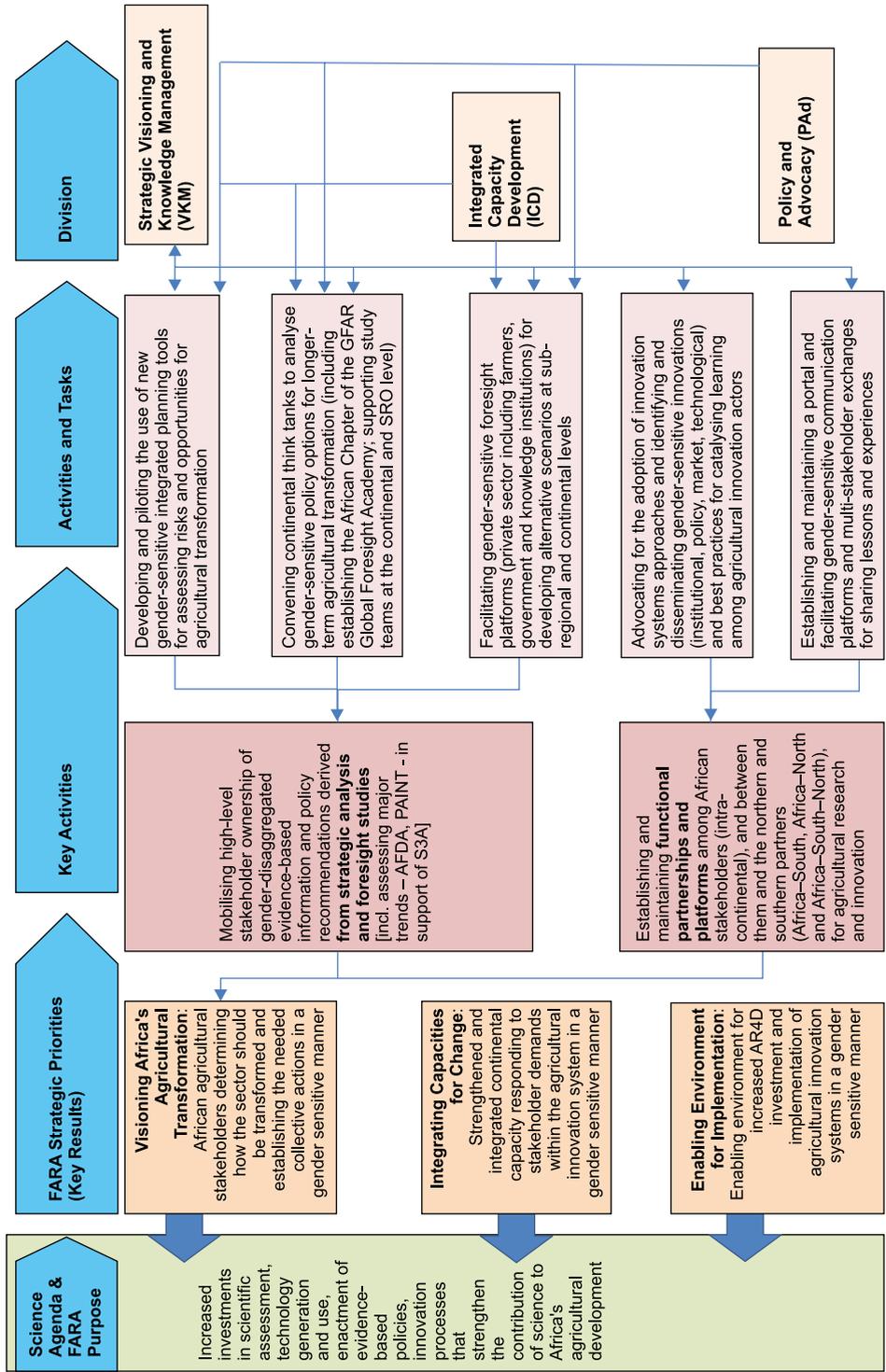
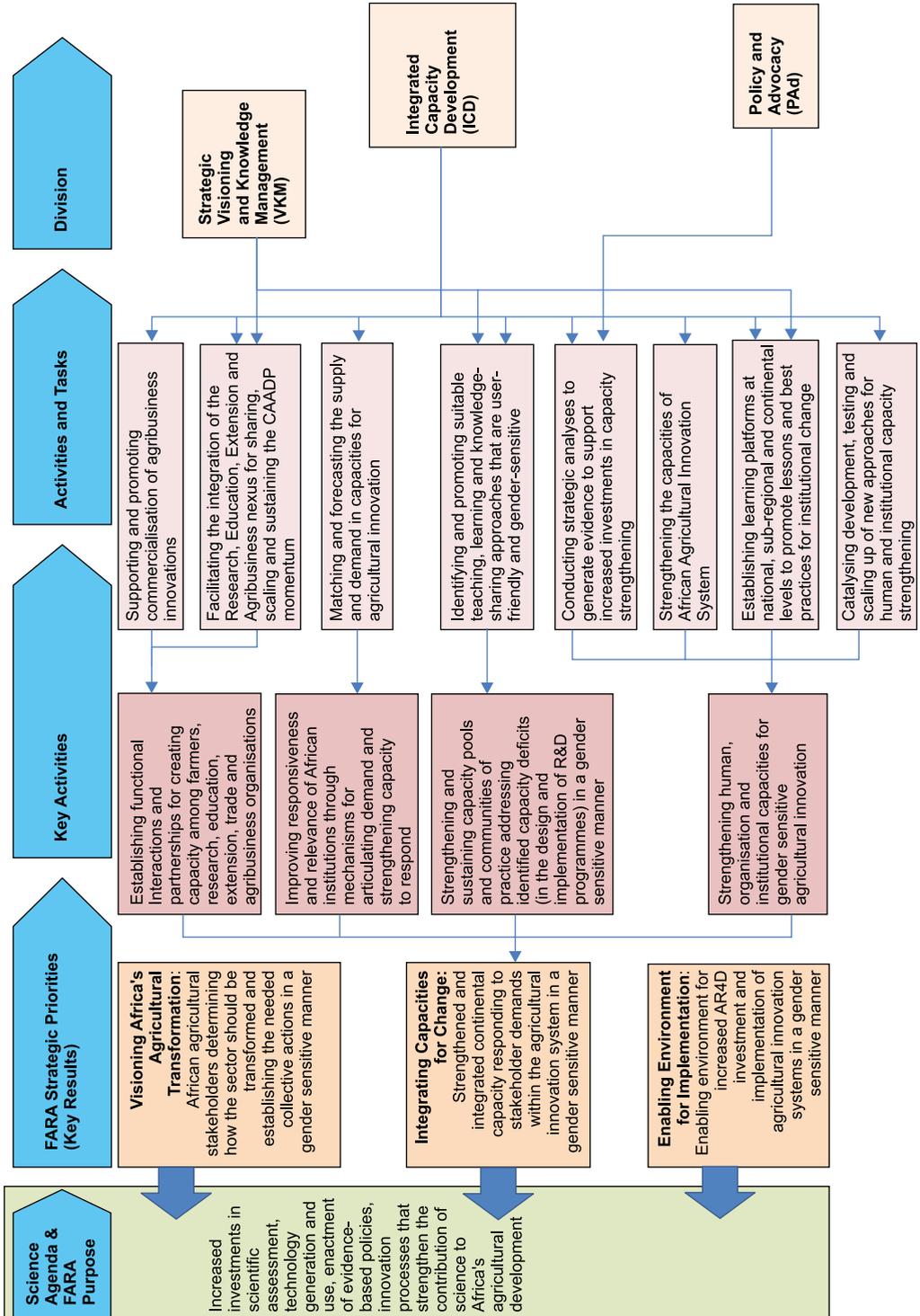
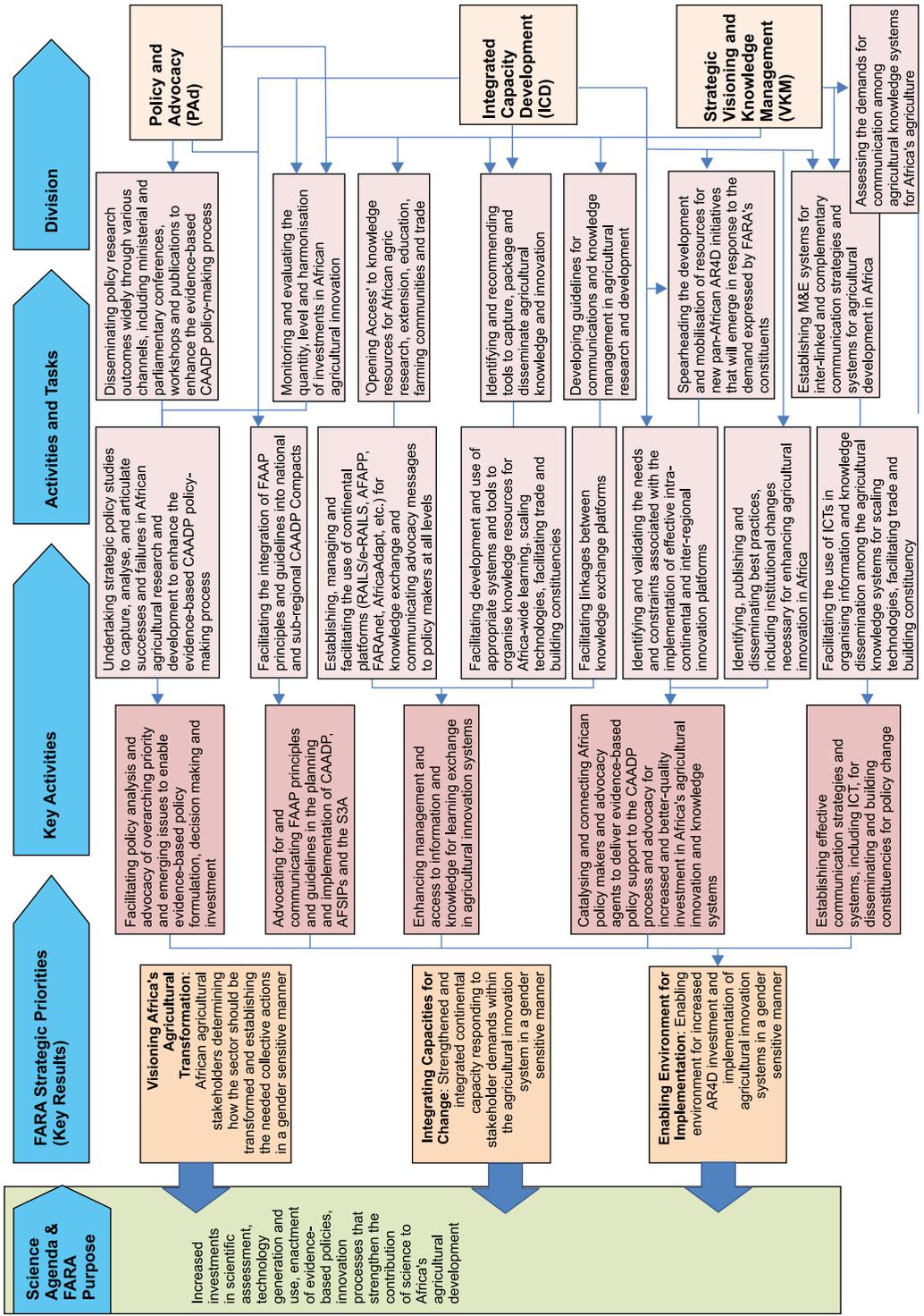


Figure 3b: Activity mapping for strategic priority 2



**Figure 3c: Activity mapping for strategic priority 3**



## 3. Monitoring and evaluation system

### 3.1 Managing for Development Results and Outcomes

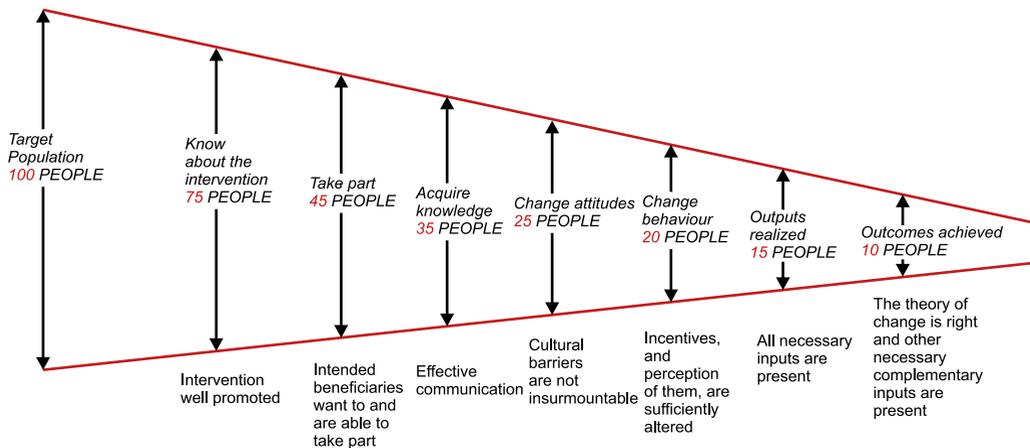
Managing for Development Results (MfDR) requires institutional commitments that include: (a) strengthening the quality of policy and programme design, implementation and assessment by improving information systems, including, as appropriate, disaggregating data by gender, scale<sup>3</sup> and socio-economic status; (b) developing cost-effective results management instruments to assess the impact of development/investment policies/programmes and adjust them as necessary using participatory processes; (c) aligning monitoring processes with partners' information systems through indicator integration and system architecture; (d) supporting and investing in strengthening M&E capacity and information systems; and (e) incentives for strengthening partners to improve development effectiveness by systematically reviewing and addressing policy, legal or administrative (including gender) impediments to implementing agreed commitments.

The FARA SP and its operational instrument—MTOP—are designed to concentrate the minds and actions of all actors on the creation of SBTGs of the specified development interventions (outcomes); welding planning, implementation, and M&E into one single mutually reinforcing system based on the ToC and encompassing the results chain, theory of action and theory of reach. The PMF and M&E strategies are premised on this cardinal principle reflecting, in a nutshell, those items and issues which address the most important aspects of the FARA interventions and their intended outcomes as outlined in ToC. As illustrated in Figure 4 (the proportions do not represent a real situation), actual results are often far below the planned/targeted results, largely because of leakages along the way and possibly programme/project design flaws and a poorly derived results framework. The real issue is how to narrow down the gap between the expected and the actual. It does not matter what numbers one starts with. It is not a matter of “counting beans but rather delivering on a promise—measuring the magnitude of change being created”.

Following 3PCM and hierarchy of objectives, MTOP outlines intentions that are to be realised in the future. Within an overall framework for high organizational performance, MAF of the

---

3. Scale may refer to spatial location (geographical, ecological, and physical), socio-economic class/community grouping (e.g. rural – urban, education level, economic activity/enterprise, and kinship group), political boundary (e.g. country, region), and temporal spread (time period, e.g. season, year).



**Figure 4: Outcomes and the Funnel of Attrition**

Treasury Board of Canada Secretariat (TBS) provides a good model for FARA to follow. The framework provides a list of 10 management expectations, reflecting the different elements of current management responsibilities (Figure 5) followed by a series of indicators and associated measures.

The MAF recognises that the role of FARA staff and implementing teams is to translate the direction provided by the SP-MTOP 2014 into SBTGs. This forms the axis of the framework:

- Turning governance and strategic directions into results and performance (the left-most and right-most columns on the chart).
- A culture supported by strong corporate values, learning, innovation and change management, as shown in blue at the top and bottom of the chart.
- Management excellence in the areas of stewardship, policy and programmes, risk management, people-focused service, accountability and people management (i.e., areas coloured in yellow and green in the centre of the chart).

The FARA implementation and monitoring processes will pursue convergence between intentions and reality while the evaluations will analyse the facts. However, the original plans in the MTOP may be altered in the light of the implementation experience as will be documented by evaluation/monitoring, and that is how it should be: development interventions should be malleable so as to ensure their optimum fit with stakeholders' evolving needs. In the context of this PMP, results are to be understood to go beyond management (systems, scorecards, metrics and reporting) and should be dynamic and transformative so that they inform decision making and lead to continuous improvement and change. The PMP is thus designed as an M&E "guidance package" accompanying the results matrix. Managing effectively for results requires the flexibility to change strategies and activities to better achieve results. It also means using

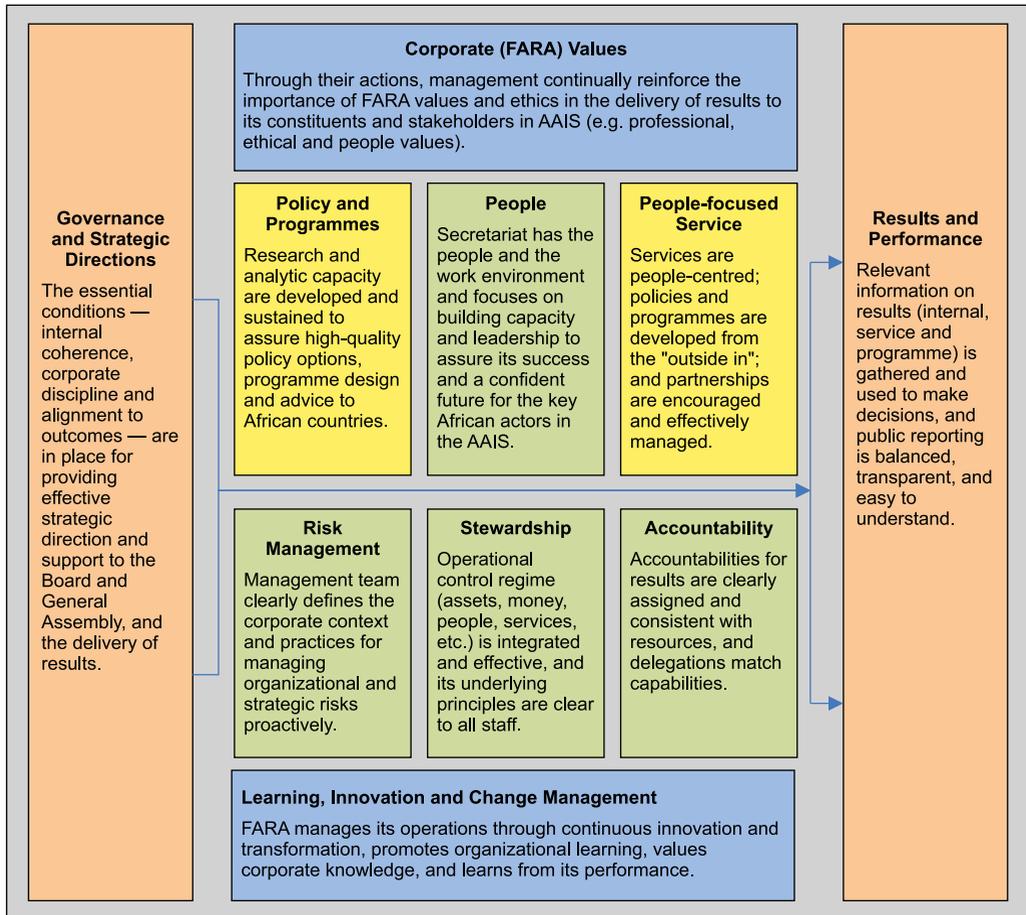


Figure 5: FARA Management Accountability Framework

a team/partnership-based approach to ensure that all stakeholders concur with any proposed changes or actions. *The MTOP Results Matrix shall therefore, with the agreement of key stakeholders, be reviewed and updated at least once a year.*

The implementation arrangements for the MTOP signify on-going management as an essential element in ensuring that FARA interventions lead to effective development of African agriculture and a positive change in people's lives. This requires that managers of specific MTOP portfolio of interventions ensure that resources are commensurate with the results and reach that FARA hopes to achieve. Results-based decision making is a key dimension of results-based management that should not be overlooked. Identifying, developing and managing the capabilities (people, systems, resources, structures, culture, leadership and relationships) are essential for managers to plan for, deliver and assess.

An important dimension of the PMP is managing of **outcomes**. While the SP-MTOP planning phase serves to prepare a framework for joint collaboration and collective action, the PMP places more attention on managing and monitoring the overall FARA outcome results—***the impact pathway***. *A certain flow and consistency of results has to be maintained among the various programming instruments, including the MTOP, priority area/programme actions plans and partner agency plans.* Management of the overall outcomes resides with senior programme officers and the FARA M&E officers. The management of a large portfolio of interventions by a multitude of actors (often from autonomous institutions not necessarily answerable to FARA and with diverse mandates, backgrounds, expertise and competence) can often easily blur the logical link to outcomes and dilute coherence and synergy between interventions. More often, institutions may succeed in applying results-based planning but fall short in relevant data collation that can contribute performance information, which, in turn, will improve decision making and reporting.

The PMP therefore places increased emphasis on the monitoring of outcomes so that progress can be measured, monitored and fed back, ultimately influencing the implementation of the MTOP and FARA programmes in general. The RF is the principal tool that facilitates the assessment of the MTOP at an aggregate level as well as monitoring of the progress in each priority area. The indicators in the matrix represent a common set of performance criteria for assessing delivery on commitments such as budgetary allocations, outputs and development outcomes endorsed by stakeholders and partners. In general, it will be impossible to know/judge if FARA is achieving the MTOP results, unless there is an effective and integrated M&E system. Embedding the FARA M&E system within the partners' M&E systems is ideal for promoting coherence and ownership. The FARA M&E team shall, therefore, facilitate a process of getting stakeholders and partners to agree on common frameworks for planning and performance monitoring through indicator integration—a common set of standard and custom indicators identified for the MTOP in accordance with the CAADP M&E framework. Tracking of these indicators will facilitate both comparative analysis of trends in performance across countries/sub-regions and presentation of the broader continental picture.

### 3.2 Functions of the M&E System

Monitoring is the process of keeping track of progress on a continuous and/or periodic basis by the management at different levels of an institutional hierarchy, or the individual or agency entrusted by the management to scrutinise whether the inputs and resources meant for the implementation of plans, policies, programmes and projects are being properly delivered. Furthermore, the role of monitoring is to verify whether the project activities are being implemented and whether or not the intended outputs are being achieved in accordance with the plan. Four key aspects are analysed when monitoring plans, policies, programmes and projects: (i) whether or not resources are available to and used by the constituent units within the limits of an authorised budget and stipulated timeframe; (ii) whether or not expected outputs are achieved in a timely and cost-effective manner; (iii) the level of implementation capacity; and, (iv) the kind of problems and constraints being faced and the kind of remedial measures called for. During monitoring, data and information on the above-mentioned aspects

are collected, processed and reported in a continuous, systematic, and time-bound manner. This helps identify problems and initiate corrective measures before it is too late.

Evaluation, on the other hand, is a systematic and purposeful undertaking carried out by internal or external evaluators to appraise the relevance, efficiency, effectiveness of, as well as the impacts and sustainability generated by the plans, policies, programmes and projects under implementation. The main objective of evaluation is to draw lessons from the strengths and weaknesses experienced in the implementation of plans, policies, programmes and projects so as to improve their design and implementation in the future as well as to hold the officials and agencies involved in the process accountable for its implementation and results.

M&E systems generally have a number of different objectives. A functional M&E system is one that provides the strategic information needed to make good decisions for managing and improving programme performance, formulating policy and advocacy messages, and planning programmes better. It also generates data to satisfy accountability requirements. The main components of a functional M&E system have been summarised in Table 2.

FARA needs a robust M&E system for tracking and reporting progress and achievement of results. The FARA Secretariat, however, is expected to deliver results through a network of implementing partners over whom it does not have direct control. The institutional architecture and operational modalities for the FARA M&E system are built around enhancing accountability to stakeholders, and performance. The institutional architecture and operational modalities for the FARA M&E system are built around measuring impact, informing decision making and performance improvements, supporting learning and enhancing accountability to stakeholders. The major objectives of the M&E system of FARA are:

- a) Managing a regular cycle of outcome and impact monitoring and evaluation, producing evaluative knowledge products, and providing coaching and capacity building in M&E to FARA staff and selected partners.
- b) Reporting against the FARA SP, MTOP and RF they contain.
- c) Accountability for the funds, staff time and other inputs expended by FARA on the MTOP.
- d) Monitoring FARA and its partners' performance to allow an assessment of whether the inputs are being applied in appropriate areas to achieve the desired results, and to trigger an appropriate management response.
- e) Creating an evidence base, including a baseline, to enable evaluation of the MTOP as a whole, both in a mid-term review, at the end of the MTOP period, and an on-going plan for impact assessment.
- f) Learning lessons on how FARA outputs can make a difference to the African Agricultural Innovation System (AAIS) and people's lives.
- g) Generating information for Corporate Reporting, Programme/Unit Performance and the FARA Strategic Objectives.

Table 2: Components of a Functional M&E System

Component	Performance goal for this component
Organizational structures with M&E functions	Establish and maintain a network of organizations responsible for M&E at the various decision-making and service-delivery levels
Human capacity for M&E	Ensure adequate skilled human resources at all levels of the M&E system to ensure completion of all tasks defined in the annual M&E work plans. This includes sufficient analytical capacity to use the data and produce relevant reports
Partnerships to plan, coordinate and manage the M&E system	Establish and maintain partnerships among stakeholders involved in planning and managing the M&E system
M&E plans	Develop and regularly update the M&E plans, including identified data needs, standardised indicators, data collection procedures and tools and roles and responsibilities for implementation
Annual budgeted M&E work plans	Develop annual M&E work plans, including specified and budgeted M&E activities of all relevant stakeholders and identified sources of funding and use this plan for coordination and for assessing the progress of M&E implementation throughout the year
Advocacy, communications and culture for M&E	Ensure knowledge of and commitment to M&E and the M&E system among policy makers, programme managers, programme staff and other stakeholders
Routine programme monitoring	Produce timely and high-quality (valid, reliable, comprehensive and timely) routine programme monitoring data
Surveys and surveillance	Produce timely, valid and reliable data from surveys and surveillance
Databases	Develop and maintain databases that enable stakeholders to access relevant data for formulating policy and for managing and improving programmes
Supportive supervision and data auditing	Monitor data quality periodically and address obstacles to producing high-quality (that is, valid, reliable, comprehensive and timely) data
Evaluation and research	Identify evaluation and research questions, coordinate studies to meet the identified needs and enhance the use of evaluation and research findings
Data dissemination and use	Disseminate and use data from the M&E system to guide the formulation of policy and the planning and improvement of programmes

Source: Adapted from "Organizing framework for a functional national HIV monitoring and evaluation system". Geneva, UNAIDS, 2008 (<http://siteresources.worldbank.org/INT/HIVAIDS/Resources/375798-1132695455908/GROrganizingFrameworkforHIVMESystem.pdf>).

It is necessary that M&E function be carried out continuously from the identification of programmes and projects through their formative, pre-completion and completion phases. Necessary reforms and modifications should be initiated, taking into account the findings, suggestions, and recommendations obtained from M&E at different stages as feedback. Different types of M&E carried out during the life of the programme/project at different stages are elaborated in Table 3 along with their objectives.

*Ex-ante* evaluations and appraisals ensure accountability to stakeholders as do the continuous tracking and reporting on the implementation of various initiatives. By so doing, FARA will provide timely information to its investors on the likely returns on their investment and the noticeable changes as they unfold. Likewise, by analysing and documenting the outcomes and impacts of investment in its work, FARA will provide investors with information on actual RoI. Indicators are identified at four different levels: input, output, outcome and impact. Identifying

**Table 3: Role and Objectives of each Type of M&E Process**

Role	Main Type of M&E	Objectives	
		Monitoring	Evaluation
Management	On-going evaluation (e.g. Mid-term evaluation)	<ul style="list-style-type: none"> <li>Reviewing progress of programme/ project</li> <li>Allowing managers to identify and assess potential problems or successes and make appropriate modifications throughout an operation (including its original design) to keep it on track to achieve its objectives</li> </ul>	<ul style="list-style-type: none"> <li>Revisiting and improving pre-determined action plans and/or making necessary changes in operational modalities</li> <li>Improving current and future operations</li> </ul>
Performance Measurement	Continuous monitoring	<ul style="list-style-type: none"> <li>Tracking performance against predetermined input, activity, process and output indicators during the formative phase of a programme/ project to establish that intended performance is being achieved</li> </ul>	<ul style="list-style-type: none"> <li>Objectively reviewing the results of processes, operations, and policies</li> </ul>
Accountability	Ex-ante evaluation	<ul style="list-style-type: none"> <li>Defining indicators and clearly articulating the details of a given programme/project</li> </ul>	<ul style="list-style-type: none"> <li>Determining the needs and assurances of programme/ project continuity</li> </ul>
	Continuous feedback	<ul style="list-style-type: none"> <li>Providing assurance of sound resource utilisation to management and implementing partners, donors, beneficiaries and the wider public</li> </ul>	<ul style="list-style-type: none"> <li>Providing assurance of sound resource utilization to management and implementing partners, donors, beneficiaries and the wider public</li> </ul>
	Terminal Evaluation		<ul style="list-style-type: none"> <li>Reviewing of capacity, effectiveness, and sustainability; and determining whether additional follow-up is necessary after the completion of a programme/project</li> </ul>
Learning	Ex-post evaluation	<ul style="list-style-type: none"> <li>Providing stakeholders with lessons while implementing</li> </ul>	<ul style="list-style-type: none"> <li>Reviewing impacts and sustainability of a programme/ project</li> <li>Obtaining the lessons and recommendations for improvement of design and implementation of future interventions</li> <li>Enabling learning through sharing evaluation findings, recommendations and lessons</li> </ul>
Advocacy	Sustainability monitoring	<ul style="list-style-type: none"> <li>Providing information and evidence for continued or new support</li> <li>Ensuring necessary resources and provisions needed for sustainability throughout a programme's pre-determined lifecycle</li> </ul>	<ul style="list-style-type: none"> <li>Providing information and evidence for continued or new support</li> </ul>

indicators at all levels of the implied results chain is necessary to enable FARA staff to monitor the implementation process and pinpoint areas where there are bottlenecks, and need more attention or a change of strategy to achieve the desired results. There are clearly defined links between M&E. The M&E system should provide both the information necessary to manage FARA programmes and activities effectively and also to produce data that would be useful for subsequent impact evaluations. Evaluation is necessary to report to partners and stakeholders what FARA has achieved as a result of the funding received, preferably at the level of impact and in terms of what has been learned. The FARA M&E system shall, therefore, have the following three functional elements:

- a) *Tracking the implementation of budgets and work-plans:* This element shall track progress towards achievement of stated outputs/results based on the activity milestones and output indicator targets. Typically, implementation monitoring assesses the degree to which the implementation process is in compliance with work-plans and budgets to ensure timely delivery of output. All the data and information shall, therefore, be generated by the implementing agencies/units following well-defined reporting formats. Significant effort needs to be put into refining the key performance indicators (KPIs) in the agency Strategic and Business Plans, so that staff report on milestones against the KPIs on a regular basis.
- b) *Assessing the outcomes and impacts of interventions:* Monitoring agricultural growth performance needs to receive urgent and increasing attention so that stakeholders are aware of the: i) current performance of agriculture in the continental and national economies; ii) the trends that may need to be reversed/accelerated; and, iii) the course of action that may improve the performance of agriculture. The CAADP's agenda seeks to improve agricultural productivity to attain an average annual growth rate of 6%, especially focusing on small-scale farmers to raise rural incomes and thereby reduce hunger and poverty in Africa. To achieve these targets, the African countries have committed to investing at least 10% of their national budgets in agriculture under the Maputo Declaration. Through the SP-MTOP 2014, FARA has set targets that indicate major milestones towards the attainment of the CAADP goals by building capacity for African agricultural innovation.
- c) *Facilitating organization lessons learning:* FARA needs to synthesise the information from M&E initiatives to draw out key lessons for strategy, programme and project formulation and reporting. Periodically, a team of external experts will be contracted to conduct in-depth evaluations and reviews. Likewise, implementing units will prepare discussion and occasional papers on key lessons from both implementation and outcome/impact M&E. These lessons will enable FARA to respond more proactively to the changing needs of its stakeholders and thereby remain a relevant and viable entity in a constantly changing environment. More importantly, the indicators and lessons shall not only form a basis for evaluating progress towards agricultural and capacity development targets, but also help to adjust and fine tune policies to meet the planned targets by linking programmes, goals, objectives and strategies of various programmes with agricultural growth performance at the continental, sub-regional and national levels.

FARA will enhance its performance by identifying and routinely reviewing and adjusting the result areas on organizational performance and their associated indicators. By focusing on organizational performance rather than processes of service delivery, analyses by the FARA M&E unit will facilitate learning for performance improvement. The lessons learning activities should inform the design of new interventions by the secretariat and other members of the Forum, in addition to catalysing the necessary adjustments in on-going initiatives to enhance efficiency and effectiveness. To achieve the above, FARA shall enhance its human resource capacity by hiring additional staff and implementing a short-term skills development programme. In addition, the M&E unit will rely on strategic partnerships and alliances to support data collection and analytical work.

### 3.3 M&E Results Areas and Activities

Results-based management underscores the need to enhance the effectiveness of investments by linking outputs and outcomes with inputs and activities. MfDR is an important strategy of result-based management, putting particular emphasis on: aligning programming and M&E with results; managing for and not by results; keeping measurement and reporting simple; and using results information for learning and decision making. This strategy prepares strategic plans, manages risks and measures outcomes placing development results at the centre and helps make management decision processes objective and robust. MfDR is useful primarily in three important areas: strengthening internal capacity, enhancing the relevance and effectiveness of funded programmes, and improving relations with development partners. Activities of the M&E unit are organized around three result areas focused on promoting this principle.

#### 1. *Establishing appropriate M&E systems at all levels*

The elaboration of the PMP<sup>4</sup> is part of a mechanism for the development of an embedded performance monitoring system at the continental, sub-regional and national levels. The FARA basic RF presents the strategic development objective and intermediate outcomes. It is most useful if it is directly associated with a detailed results matrix (see Table 10) that provides guidance to implementation teams on how to consistently and systematically track progress during implementation and adjust the intervention as needed.<sup>5</sup> Through indicator integration, a common set of standards and custom indicators have been identified for the MTOP in accordance with the CAADP M&E framework. Tracking of these indicators will facilitate comparative analysis of trends in performance across countries and sub-regions. At the same time, data on the custom indicators will provide critical information on specific country and sub-regional parameters. This manual provides

- 
4. One of the key steps in designing an RF is to plan how it will be operationalised to monitor progress and assess the effects of interventions. The plan for monitoring performance typically lists the following elements in a complementary tool, the monitoring plan: *Baseline and target values* for selected measures to provide the means for verification to measure changes in the indicators; *data sources* or methods for data collection; the *agent(s) responsible* for collecting or providing the data; *designated intervals* at which the data will be collected or provided; *assumptions and risks* associated with the indicators or information being collected.
  5. Table 10 illustrates how this progression from high-level results to performance indicators for monitoring works in practice.

samples of protocols for data collection, analysis and reporting. Areas of importance that are often overlooked in the planning process involve the development of the management information system, data entry, data quality, the efficient transmittal of data to a central database, and the development of data utilization guidelines. When multiple agents are involved with providing data or reports, as is the case with FARA, attention needs to be paid to how that data will be transferred to the person(s) or group maintaining the plan and how the users will or should be able to use the information in making decisions. This is particularly important when a programme is aggregating information from multiple projects. FARA will, therefore, work with the other continental and national agricultural research institutes (NARIs) and universities (where necessary) to develop effective structures and systems for data collection, analysis and reporting.

Web-based monitoring plans are becoming more common. Where Internet access and high connectivity speed are available, and proper data entry and transmittal guidelines are in place, Web-based monitoring plans allow for quicker reporting and use, contributing to improvements in management and decision making. Although the Internet and new information and communication technologies can significantly reduce the costs and difficulty of collecting information, they are only useful when developed on the basis of a sound understanding of the processes of decision making, which is part of the implementation of the intervention. FARA will develop and promote an automated data collection, analysis and reporting system among the key institutions participating in the African agriculture innovation system. Where Web-based data entry and reporting are not practical, provisions will be made for the next best means of transmission, such as the use of Excel templates, which can be transferred by email or hard copy.

Finally, it is important to plan how the RF will be used to communicate the progress and results of the interventions and how the results will be disseminated. The general approach will be to include the results in a “dashboard”, highlighting only the key high-level objectives and outcomes/outputs achieved, using the framework for planning and review meetings (with the current status of the indicators highlighted), and using the change in the indicators from the baseline to highlight the results. Thus, choosing the correct outcome indicator and connecting it to key intervention outputs should provide a powerful communication and dissemination tool to inform and gather support from key stakeholders.

## 2. *Strengthening the M&E capacity of CAADP-KIS institutions*

The M&E framework pitches on to the CAADP agenda and partially focuses on developing the capacity to track implementation and progress in development and use of capacity for agricultural innovation in Africa in the areas of knowledge, information and skills. Together with the continental organizations, the national agricultural research systems (NARS) and other stakeholders, a targeted and comprehensive capacity improvement plan will be developed and implemented, paying special attention to the newly established organizations and the universities. Importantly also, capacity strengthening will focus on talent management as the new approach for succession planning that focuses on developing M&E champions and leaders within one’s very own organization. Talent

management ensures that the right people, with the right skills are in the right place, and that these people are engaged and focused on the right activities to achieve targeted results. Successful organizations develop talent by establishing a culture of wellness and provide learning opportunities, empowering people to be successful by allowing them to play to their strengths. FARA will provide concrete strategies to implement a talent management system that focuses on identifying, assessing and developing M&E talent, nurtures people to maximise their potential, and creates a workplace well positioned to face whatever challenges lie ahead.

3. *Establishing outcomes and impacts of investments in agricultural research, extension, education and training*

This document outlines the framework for tracking outcomes and impacts of FARA investments by comparing progress against targets, field inspection and third-party monitoring. Specific targeted studies will be employed to analyse outcomes and impacts of selected initiatives. FARA recognises that credible and objective impact evaluations are demanding, in terms of both data and analytical rigour. To the extent possible, FARA will partner with reputable think tanks and advanced research institutions (ARIs) to deliver on this result.

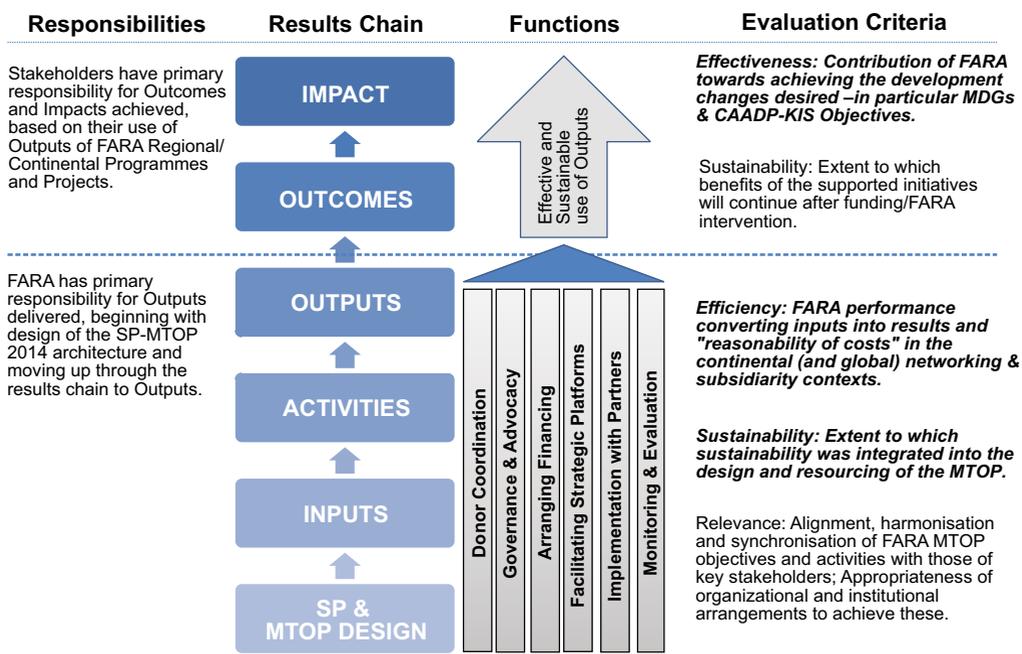
## 4. Performance management framework

### 4.1 Performance Management for Delivery of Core Functions

A fundamental responsibility of the FARA Board and the secretariat is to manage the Forum performance. This involves managing for results achieved rather than focussing on processes of service delivery (Figure 6).

The adoption of RBM to improve the effectiveness and accountability of agencies, accompanied by increased inter-agency collaboration and interaction as dictated by innovation system approaches require organizational and institutional reforms and greater integration and harmonisation of processes and approaches. Results orientation, institutional reform and alignment to agreed priorities are typically inextricably linked to one another. The MTOP

Figure 6: Articulating Impact Pathways and Communicating Achievement



focuses on building capacities for, and facilitating the continental KIS systems to become more efficient and effective in supporting African agriculture to achieve the internationally and continentally agreed development goals on the basis of national development strategies (Country Compacts/Agricultural Sector Investment Plans or ASIPs). The commitment of the continental partners in the African agricultural innovation system and to working together as a whole to achieve results in line with national priorities is part and parcel of FARA's shared identity and an important aspect of its legitimacy.

FARA's value proposition relates to its functions from a continental perspective to support the delivery of related outputs within the agricultural knowledge systems at sub-regional and national levels. The M&E strategy and plan is therefore designed based on the identified core functions for FARA, namely:

- a) Facilitating collective action around the promotion of innovations in Africa by identifying and supporting priority regional interventions based on the principle of subsidiarity: FARA promotes and organizes activities and mobilises resources around key strategic priorities of regional importance and creates a critical mass around shared strategic areas. It thereby complements sub-regional mediated and country-executed programmes. Initiating collective actions around these, FARA also works towards reducing fragmentation and duplication of effort, while enhancing synergies and complementarities by managing the transfer of knowledge, technology, innovation and advice across the sub-regions.
- b) Capacity strengthening to enhance the functionality of agricultural innovation systems in Africa: FARA proactively addresses the capacity strengthening implications of its new value proposition and provides leadership to develop an all-embracing and integrated capacity development framework for African agriculture in which capacity development responds to present and future capacity deficits.
- c) Providing intellectual leadership in the articulation of gender-disaggregated, evidence-based policies and principles: FARA helps define approaches to resolve emerging issues and supports design and implementation of research and extension programmes; it also acts as a resource for reform, based on the FAAP principles. FARA also leads the facilitation of engagement with stakeholders in the CAADP process.
- d) Fostering and mentoring partnerships to enhance broad-based productivity, competitiveness and markets in Africa: FARA develops partnerships with regional organizations to implement the continental agenda. It also works closely with international agencies to harness international 'spill-ins' for the benefit of Africa.
- e) Advocacy and communication for improved ARD in Africa: FARA is a pivotal agency facilitating advocacy and communication for increased investment in agriculture by African governments and private sector entities. This stems from its representation of Africa in the Global Forum for Agricultural Research (GFAR) and other international forums on agricultural research and development, in the AUC and in high-level African continental forums. FARA is, therefore, well positioned to advocate, on behalf of its stakeholders, for increased and better harmonised funding from sources both within and outside of Africa—especially in relation to the agencies that support multilateral projects.

- f) Tracking progress in Africa's agricultural development: FARA's unique position as an apex body necessitates its tracking global progress in Africa's agriculture. This function will be supported by other regional agencies to ensure that the gains and lessons learned are properly adduced and documented to inform future policies in Africa's agricultural development.

The FARA secretariat's facilitating functions include:

- a) *Planning*: Strategic, business and operational planning, which includes overall strategic and corporate planning, business planning for units and annual or operational planning for programme implementation agencies and the units/sections within these agencies. It is during this planning stage of the framework that new policies and reforms are introduced.
- b) *Resource Management*: Resource allocation and management occur when the programme and Output Based Management (OBM) processes are outlined. At the Forum level, this is coordinated by the board of directors; at the secretariat level by the executive director; and at programme/unit level by the programme manager.
- c) *Service Provision*: FARA's primary purpose, in association with its constituent members and partners, is to bring about desirable changes, resolve problems and/or satisfy development needs of the Africa agricultural innovation system. Services may be provided directly or through external service providers contracted to supply the services.
- d) *Performance Assessment*: This incorporates both M&E. Monitoring involves on-going assessment of a programme using performance indicators. Evaluation (ex-post evaluation) is a more in-depth retrospective assessment of the programme against its objectives or desired outcomes. It is sometimes stimulated by the information provided by monitoring. Performance assessment occurs through the use of performance indicators on a regular basis and, where necessary, evaluation. It is an integral part of performance management.

The performance management process is on-going and cyclical. Through gathering information for performance indicators, analysing it and using it to influence programme changes, all levels of planning and implementation shall be directed at improving services in the future. This facilitates continuous improvement of service delivery so that stakeholder needs are met in the most appropriate manner.

Performance management shall be applied at all levels of the organization. This leads to a hierarchy of performance information. Generally, a small amount of high-level information will be of interest to a wide range of people and will serve external accountability needs. More detailed information will be of interest to managers within the FARA secretariat and the implementing partners and will help identify means of improving services.

Within this context, performance indicators have three important purposes. They are a tool for managers to improve service, ensure accountability and meet legal requirements.

*Management improvement*: Assessment of performance is based on the extent to which the desired outcome or objective of the programme has been achieved (effectiveness) and the efficiency with which the allocated resources have been used to produce the required

goods and/or services (outputs). Through monitoring outputs and achievements, managers shall identify emerging problems and improve service delivery. Many modern management approaches (e.g. Quality Management), are based on this principle. Information derived from performance indicators will often highlight areas that need further examination or evaluation. Operational performance indicators are a useful management tool, which play a key role in management processes such as workplace/enterprise bargaining agreements, competitive tendering and contracting and output based management.

*Accountability:* FARA members and its development partners have a strong and legitimate interest in what we do and how well we do it. Accountability requirements are reinforced by the Financing Agreements and the Operational Manuals.

*Legal requirement:* The Board requires the secretariat to report key performance indicators of effectiveness and efficiency for each programme objective in their semi- and annual reports and the Board to issue an opinion on the indicators provided.

## 4.2 The Theory of Change

While developing the new FARA SP (2014–2018), a comprehensive analysis of the challenges to which FARA is expected to respond, generated three strategic priority areas for intervention. The institutional reforms associated with the new SP focus on transforming the Forum into a strategic foresight platform for leading and facilitating collective action on priority areas that require continental solutions. A fundamental responsibility, therefore, is to manage the Forum performance through achievement of results rather than focussing on the underlying processes of service delivery. Consequently, the three intervention areas were transformed into results that FARA needs to deliver in order to contribute to the strategic goal of sustainable broad-based agricultural productivity growth in Africa (Figure 7).

Development is about transforming people's lives. The key question in programme evaluation is whether the intervention is working or not. But to answer that question, first programme outcomes must be attributed to the intervention, and not some other factor. The attribution issue arises in this context because a programme, as a means-ends relationship, interacts with contextual factors that may strengthen, reduce, or break the intended causal link between the intervention and the outcomes of interest. These factors therefore represent alternative explanations for any association between a programme and observed outcomes. Those involved with determining the impact of agricultural innovation have noted the difficulty of relating relatively modest inputs to outcomes that are subject to a very large number of other influences. It will not be easy to measure the impact that FARA results have on development. In fact, it will even be more difficult to separate those factors that actually result in change over time.

The SP-2014 acknowledges that individual outputs will rarely bring about change on their own. It is more likely that people will act on evidence that is built up over many years, in different contexts, once this has been communicated effectively. Even when FARA outputs help shape policy and practice, it will sometimes take years to see the benefits to poor people. To develop

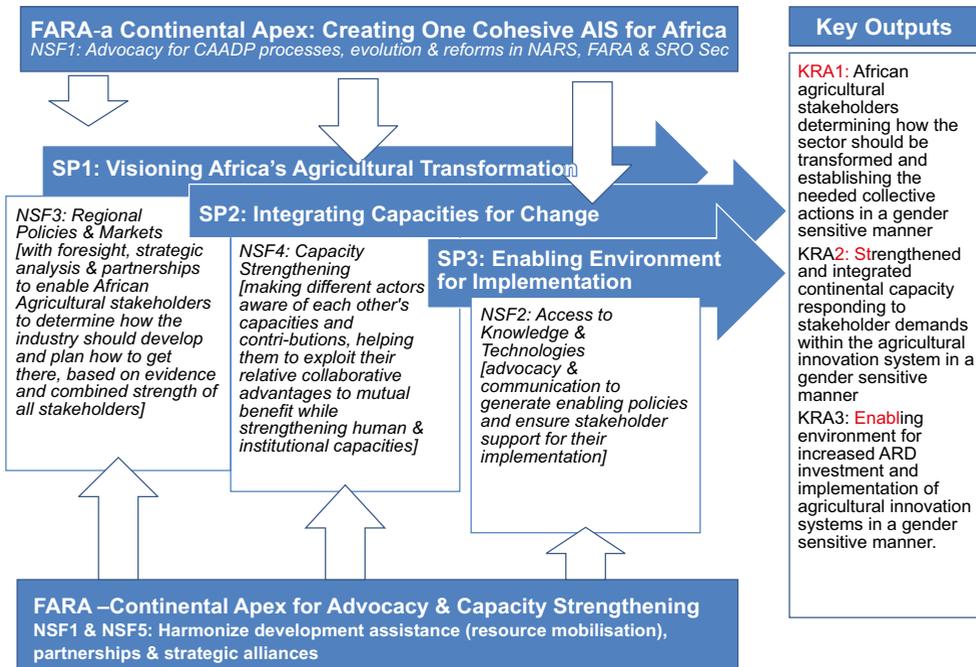
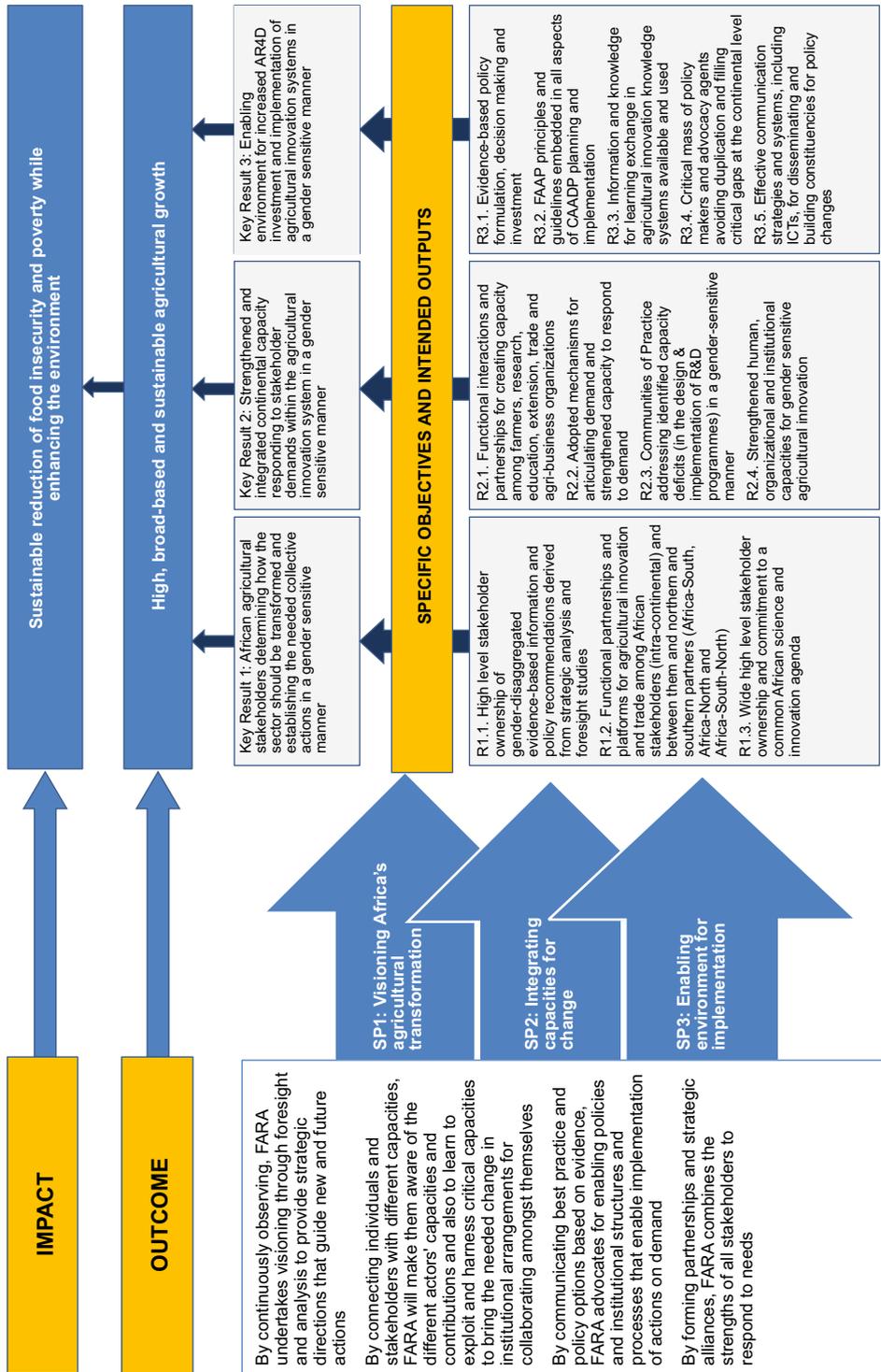


Figure 7: FARA Generic Services to its Clients - from 5 Network Support Functions to 3 Strategic Priorities

the FARA ToC, it was imperative to first have a good understanding of how the various inputs and activities translate into outputs, outcomes and impact, that is the assumed “results chain/ impact pathway”. It is critical to establish a rational and well-researched basis for believing that the cause is strongly related to the intended effect. There is no point in merely hoping that doing something will produce the desired effect. Consequently, the RF is complemented by a Theory of Action—the connection between the actions undertaken and the effect(s) which these actions are meant to produce; a Theory of Reach—the necessary and sufficient coverage to produce credible claim to observed change. Together, these three lead us to the ToC that lays out the impact we are seeking; outcomes that must change in order to achieve the impact we seek; strategies to be used by partners to bring about the outcomes we desire; and processes that will create the conditions and capacity to put these strategies in place. The FARA ToC, thus, states the connection between the actions to be undertaken and the effect(s) which these actions are meant to produce (Figure 8).

The essence of this theory is in the four arrows that logically link the five elements of inputs, activities, outputs, outcomes, impact in the impact pathway. The ToC is, therefore, a statement of four cause-and-effect relationships: the influence of observed changes on long-term benefits to the wider community; of our products/outputs on immediate benefits to targeted groups; of our interventions on recognisable products; and of inputs provided to the actions accomplished. The RF describes the ‘what’ for activity, the theory of action describes the ‘how’ and the theory of reach describes the “scope and scale” of coverage. A ToC is the causal (or cause-effect) logic that links research activities to the desired changes in the actors that a project or programme

Figure 8: FARA Theory of Change and Impact Pathway



is targeting to change. It describes the tactics and strategies, including working through partnerships and networks, thought necessary to achieve the desired changes in the target actors. It provides a model of how a project or a programme is supposed to work. In other words it provides a road map of where the project is trying to reach. M&E tests and refines the road map, while communications help in reaching the destination by helping to bring about change.

The value of testing and refining the model is that it challenges pre-conceptions, aids reflection and helps staff regularly ask themselves ‘are we doing the right thing to achieve the changes we want to see?’. Regularly asking this question, and responding to it, is essential good practice for any research-for-development project or programme. Such a model allows the identification of indicators at different points in the results chain to trace through what activities are effective and in what ways. This allows FARA to identify any bottlenecks in achieving results more efficiently. This approach led FARA to start by developing “generic” indicators for the three “strategic results areas”. At the operational level, these are simplified to measure “production” products related to knowledge (e.g. guidelines, strategies, analysis), products related to physical dimension (e.g. agricultural production), products related to behaviour change (e.g. campaigns, TV and radio programmes, documentaries, shows, public debates), products related to capacity development (conferences, working groups, trainings), and “use” products (e.g. using policy and technology-related research-based knowledge; strengthening capacity to use research outputs; changes in public awareness, political will, policy adoption and implementation; and physical and social changes in lives and communities - including negative and positive changes, reversals and backlash, gender equality and women’s empowerment).

FARA stakeholders (policy makers, academia, scientists, change agents, entrepreneurs, farmers, governments, private sector, NGOs, networks and development partners in R&D, etc.) are currently largely working in isolation with uncoordinated and fragmented support. The adoption of RBM is to improve the effectiveness and accountability of FARA, accompanied by increased inter-agency collaboration and interaction as dictated by innovation system approaches. The FARA ToC places greater emphasis on integration and harmonisation of processes and approaches. By continuously observing, FARA undertakes visioning through foresight and analysis to provide strategic directions that guide new and future actions. By connecting individuals and stakeholders with different capacities, FARA will make them aware of the different actors’ capacities and contributions and also to learn to exploit and harness critical capacities to bring the needed change in institutional arrangements for collaboration amongst themselves. By communicating best practice and policy options based on evidence, FARA advocates for enabling policies and institutional structures and processes that enable implementation of actions on demand, and by forming and strengthening partnerships and strategic alliances, FARA combines the strengths of all stakeholders to respond to needs. This ToC derives directly from the challenges to which FARA is expected to respond and forms the basis for the three strategic priority areas for intervention based on FARA’s comparative advantage.

The delivery of the results for the three strategic areas is premised on strengthening the capacities of African actors in the agricultural knowledge and innovation systems to be more effective and efficient in supporting African agriculture to achieve the internationally and

continentally agreed development goals, on the basis of national development strategies. The commitment of the continental partners to participate and benefit from the African agricultural innovation system, working collectively to achieve results in line with national priorities, is part and parcel of the FARA's shared identity and an important aspect of its legitimacy. Strengthening the capacity of these actors to be more effective partners in the solution of continental issues becomes a critical element to deliver upon in the strategy.

While the processes to create the conditions and capacity of FARA or partners to engage in the proposed interventions are not specified, FARA will ask potential actors and partners to describe how their organization or community must change and what processes will be used in order to take on new strategies necessary for successful implementation. The strategies identified in the ToC are approaches that FARA believes can, with effective implementation, bring about positive changes in the outcomes. Each strategy is consistent with the FARA core competencies and mandate, and was affirmed by the Board and stakeholders as having a promising evidence base for inclusion in FARA's investment portfolio—the MTOP. Each strategy in the ToC—the definition, the evidence base and recommended resources—is described in detail.

Following the causal logic of the hierarchy of objectives, the impact pathway and the Strategic Results Matrix depict the key results that FARA needs to deliver in order to ensure high ROI and impact towards the strategic objective (purpose) of sustainable high broad-based agricultural growth in Africa. The purpose captures the spirit of improving productivity, competitiveness, market access and penetration, participation and contribution of numerous actors in service delivery and sharing of benefits. The overarching statement of objectives—the Goal—speaks to the Millennium Development Goals (MDG)<sup>6</sup>, which is high impact on reducing food insecurity and poverty while enhancing the environment<sup>7</sup>. The scale and scope of FARA's activities expose it to a large number of external variables over which it has limited or no control. In stating what it will deliver through the activities and results, FARA assumes that certain variables will not have any significant negative influence on its performance. Risks and assumptions at the activity levels are avoided by inclusion of appropriate activities—all others being considered pre-conditions that must be met before activities are initiated. Some mitigable threats include the result-level assumptions, which must hold if FARA has to realise the intended outcomes. Certain risks, at the purpose level for instance, are beyond the realms of FARA control, and FARA will carefully monitor their importance and the likelihood of the assumptions in those respects failing to hold.

It is important to note that the RF is an explicit articulation (graphic display, matrix, or summary) of the different levels, or chains, of results expected from a particular intervention—project,

- 
6. The 8 Millennium Development Goals (MDG) for 2015: (1) Eradicate extreme poverty and hunger; (2) Achieve universal primary education; (3) Promote gender equality and empower women; (4) Reduce child mortality; (5) Improve maternal health; (6) Combat HIV/AIDS, malaria and other diseases; (7) Ensure environmental sustainability; (8) Develop a global partnership for development.
  7. The proposal for the post-2015 global development agenda is to adopt 12 Sustainable Development Goals (SDG): (1) End poverty; (2) Empower girls and women and achieve gender equality; (3) Provide quality education and lifelong learning; (4) Ensure healthy lives; (5) Ensure food security and good nutrition; (6) Achieve universal access to water and sanitation; (7) Secure sustainable energy; (8) Create jobs, sustainable livelihoods, and equitable growth; (9) Manage natural resource assets sustainably; (10) Ensure good governance and effective institutions; (11) Ensure stable and peaceful societies; (12) Create a global enabling environment and catalyse long-term finance.

programme, or development strategy. The results specified typically comprise the longer-term objectives (often referred to as “outcomes” or “impact”) and the intermediate outcomes and outputs that precede, and lead to, those desired longer-term objectives. Thus, the RF captures the essential elements of the logical and expected cause-effect relationships among inputs, outputs, intermediate results or outcomes, and impact. Similar conceptual tools, also designed to organize information regarding intended outcomes and results, are used across different agencies: logical frameworks, logic models, ToC, results chains, and outcome mapping. These frameworks come with different terminologies and definitions that sometimes appear to contradict each other. Fortunately, the convergence point for all of these frameworks is the internal consistency in objective hierarchy logic and indicators of performance. The logframe sets out funders’ and/or managers’ expectations as to what will happen as the programme is implemented, in a linear results chain model. ToC explain how the programme is expected to bring about the desired results—the outputs and subsequent chain of outcomes and impacts (impact pathways). In addition to simply identifying the steps in the results chain, it also identifies the assumptions behind the various links in the chain and the risks to those assumptions. Making statements about the contribution of programmes to outputs is quite straightforward, but it is considerably more challenging to make statements about the contribution that programmes make to final outcomes (impacts).

Measures defining successful implementation of strategies are included in the strategy description. In defining measures, FARA considers the change in outcomes that is sought and the degree of change that is needed to meaningfully impact the targeted groups. These levels, or “thresholds”, (baselines, benchmarks and targets) are derived from research and practitioner experience. Through performance reports and other data collection, FARA will aggregate data on outcomes and impact to determine whether intended results are being achieved and to track whether strategies are working or need adjustment. FARA recognises that to change complex conditions and a system, “failure” is a natural part of the learning process. If a strategy does not achieve the desired threshold of change over time, the following five questions need to be considered: (1) Is the organization the right one to carry out the implementation? 2) Were the processes used to create the necessary conditions and capacity the right ones to implement the strategy successfully? 3) Was the strategy appropriate for addressing the needs of the specific population? 4) Was the strategy implemented with fidelity and consistency over a sufficient period of time in order for change to occur? 5) Were the size and duration of the investment sufficient to reach the threshold level of change in the outcome? In cases where the organization, investment level, processes, capacity and implementation were at an appropriate level to achieve change but changes in outcomes did not occur, it will be necessary for FARA to recognise that the strategy may not have been the right one to bring about the desired improvements. By working collaboratively with stakeholders and partners through this process, FARA can better determine if the components in the ToC make sense and reflect the best knowledge and experience available.

The PMP subscribes to the best practice guidelines of performance monitoring. In this regard, FARA’s results framework on which the PMP is based reflects a logical hierarchy of objectives and a set of performance indicators that embrace the aspirations of its broad stakeholder constituency. The objective statements reflect an end state, while the outcome-related

indicators constitute key performance indicators elaborated in the PMF (Annex 1). Questions of cause and effect are critical to assessing the performance of programmes and projects. Three ‘circles of influence’ are useful here: *direct control*—where the programme has fairly direct control of the results, typically at the output level; *direct influence*—where the programme has a direct influence on the expected results, such as the reactions and behaviours of its clients through direct contact, typically the immediate outcomes and perhaps some intermediate outcomes; and *indirect influence*—where the programme can exert significantly less influence on the expected results due to its lack of direct contact with those involved and/or the significant influence of other factors.

The overarching statement of objectives in both the strategic plan and the MTOP is a higher level objective that reflects commitment to contribute towards achievement of MDGs/Sustainable Development goals (SDGs). Likewise, the general and specific objectives capture the spirit of improving productivity, competitiveness and market penetration of the agricultural sector and pertinently relate to the African leaders’ Maputo Declaration on Agriculture and Food Security of 2003 and their collective vision for how this can be achieved, described in the FAAP of the African Union’s New Partnerships for African Development (AU-NEPAD) CAADP adopted in the AU Heads of State summit in Banjul in 2006.

The following definitions and statements encapsulate the FARA hierarchy of objectives:

**Goal:** *The long-term benefit to society to which FARA’s interventions are expected to contribute.*

This defines the long-term **impact** of FARA’s investments. Since many actors besides FARA contribute to the realisation of a goal, it is not a direct accountability objective. On a temporal scale, a goal is only realised after many years of concerted effort. For example, borrowing from the MDGs, a 15-year time horizon has been set for achievement. As an objective, the goal statement defines an end state and not a process or activity. The FARA goal is “*to contribute to the sustainable reduction of food insecurity and poverty in Africa while enhancing the environment*”.

**Purpose:** *The reactive change in behaviour of people, status of resources or performance of institutions/organizations arising from utilisation of products and services generated by FARA.*

This reflects the medium-term **outcome** from FARA’s investments. Outcomes are intermediate effects of outputs and reflect the immediate noticeable benefit resulting from use of outputs. Outcomes can also be measured in terms of changes in attitudes or practices, or in terms of changes in policies or regulations. Accordingly, although other actors contribute to the realisation of the purpose, a higher level of accountability is expected from FARA. On a temporal scale, therefore, a purpose should be realised within a period of 5-10 years. As an objective, the purpose statement defines an end state and not a process or activity. The FARA purpose is “*to contribute to generating high, broad-based and sustainable agricultural growth in Africa*” as demonstrated by improvements in productivity, competitiveness and market access.

**Results or outputs:** *The immediate tangible products and services generated from implementation of activities by FARA.*

FARA is entirely responsible for delivery of outputs. As an objective, the output statement defines an end state and not a process or activity. Consequently, FARA borrowed elements from the LF matrix (logframe), the RF and the outcome-mapping framework to articulate its results and develop the corporate PMF, on account of the audience, the users of the assessment results, and ease of adaptation to suit the ‘format’ of different donor partners for project formulation and support. FARA is targeting a portfolio of twelve (12) results clustered around three Key Result Areas (KRAs) that relate directly to the strategic priorities as summarised in Table 4 .

Results are about change and it was important to use “*change language*” rather than the customary ‘*action language*’ in articulating the results. Change language has three characteristics: (i) it describes changes in the conditions/quality of life of people; (ii) it sets precise criteria for success; and (iii) it focuses on results, leaving out options on how to achieve them—hence the need to avoid expressions such as “through this and that” or “by doing this and that”. Action language, on the other hand, (a) expresses would-be results from the providers’ perspective and usually starts with “to do this or that”; (b) can be variedly interpreted as it is not specific or measurable; and (c) focuses only on the completion of activities.

In elaborating FARA’s hierarchy of objectives, both the SP and MTOP adopted a hybrid of the RF, LF and ToC. The results matrix in the SP provided the basis for the detailed RF in the MTOP. For management, planning and M&E purposes, the RF forms the key foundation document defining objectives and anticipated results, and thus providing guidance in the selection of the types and timing of activities that should be undertaken as the means of ensuring that FARA is moving positively towards its anticipated results and objectives. Given that FARA is an important contributor to African agricultural development, its ToC builds towards, and activities contribute to, the overall African development objectives of eliminating hunger and poverty—the CAADP agenda.

FARA is not unique in making a contribution to the CAADP—there are several other contributors including sub-regional research and other continental organizations and national institutions. It is important that FARA measures the impact of its contribution, at least to justify the investment that will be made in the various segments of the MTOP. The high-level indicators included in the strategic matrix address outcomes and impact. The choice of indicators also factors in the time that must elapse before any particular activity produces an impact and the need for these high-level indicators to be aggregated up from individual themes, programmes and projects, to enable a direct link to be made between activities and impact.

For some specific interventions, it is possible to track impact indicators through FARA-sponsored innovations. However, because of the diversity in activities, it is difficult to directly link with any rigour, or to make quantifiable assessment of the contribution of specific activities to changes in these indicators. Nonetheless, it is possible to track impact at a more disaggregated level, by using case studies that highlight successful initiatives. Case studies will be an important

**Table 4: FARA Strategic Results Matrix**

Strategic Priority	Results
<b>SP1:</b> Visioning Africa's agricultural transformation – with foresight, strategic analysis and partnerships.	<b>KR1: African agricultural stakeholders determining how the sector should be transformed and establishing the needed collective actions in a gender-sensitive manner.</b>
	<b>R1.1:</b> High-level stakeholder ownership of gender-disaggregated evidence-based information and policy recommendations derived from strategic analysis and foresight studies. <b>R1.2:</b> Functional platforms and partnerships for agricultural research and innovation among African stakeholders (intra-continental) and between them and northern and southern partners (Africa–South, Africa–North and Africa–South–North).
<b>SP2:</b> Integrating capacities for change by connecting and learning.	<b>KR2: Strengthened and integrated continental capacity responding to stakeholder demands within the agricultural innovation system in a gender-sensitive manner.</b>
	<b>R2.1:</b> Functional interactions and partnerships among farmers, research, education, extension, trade and agri-business organizations. <b>R2.2:</b> Widely adopted mechanisms for articulating demand and strengthened capacity to respond to demand. <b>R2.3:</b> Communities of Practice addressing identified capacity deficits (in the design & implementation of R&D programmes) in a gender-sensitive manner. <b>R2.4:</b> Strengthened human, organizational and institutional capacities for gender-sensitive agricultural innovation.
<b>SP3:</b> Enabling environment for implementation by advocating and communicating.	<b>KR3: Enabling environment for increased ARD investment and implementation of agricultural innovation systems in a gender-sensitive manner.</b>
	<b>R3.1:</b> Evidence-based policy formulation, decision making and investment. <b>R3.2:</b> FAAP principles and guidelines embedded in all aspects of CAADP planning and implementation. <b>R3.3:</b> Information and knowledge for learning exchange in agricultural innovation knowledge systems available and used. <b>R3.4:</b> Critical mass of policy makers and advocacy agents avoiding duplication and filling critical gaps at the continental level. <b>R3.5:</b> Effective communication strategies and systems, including ICTs, for disseminating and building constituencies for policy changes.

complement to quantitative monitoring, and a very useful tool in propagating that funds have been effectively used, and providing learning for FARA about process and activities.

A considerable proportion of FARA funding and staff input goes into partnerships, and most initiatives are largely implemented through partners, on whom FARA has no direct control. Those involved with determining impact have noted the difficulty of relating relatively modest inputs to outcomes that are subject to a very large number of other influences. It will, thus, not be easy to quantify the development impact exclusively attributable to FARA, in fact, it will

even be more difficult to separate out those factors that actually result in change over time. These complexities relating to attribution to any one actor have arisen and become significant because, in the last decade, FARA programmes succeeded in building sub-regional (and even national) capacity and sector-wide partnerships and many actors can now ably contribute to the common continental development agenda—each according to their ability. In such cases, it will be sensible to undertake joint evaluations, which may plausibly attribute wider development results to the joint efforts of all participating actors.

The FARA strategy acknowledges that individual outputs will rarely bring about change on their own— more especially give the scope of “reach”. It is more likely that people will act on evidence that is built up over many years, in different contexts, once this has been communicated effectively. Even when FARA outputs help shape policy and practice, it will sometimes take years to see the benefits to poor people. As mentioned above, there are bound to be issues of attribution when it comes to the quantifying the impact of FARA outputs. Attribution represents “the extent to which observed development effects can be attributed to a specific intervention or to the performance of one or more partners taking account of other interventions, (anticipated or unanticipated) confounding factors, or external shocks”. For FARA, the challenge is to draw conclusions on the cause-and-effect relationship between programmes/projects and the evolving levels of agricultural growth, and ultimately reduction in poverty and food insecurity. It may be difficult to attribute these intermediate and long-term results to any single intervention or actor.

There may be no simple methodologies for identifying how much of the overall outcomes of the initiative or partner result from FARA input, nor will it always be clear if FARA input alone has allowed the partners or initiative to access additional funding and inputs from other sources. This may on occasion result in too little weight being given to the importance of FARA input, but it is inappropriate to also attribute all the changes that are going to occur in the African AIS to FARA. It may take time, but under the new SP, partnership-reporting arrangements will be migrated to a format that enables effective M&E to ascertain the proportion of outputs and outcomes attributable to FARA. Evaluations and reporting on results shall therefore focus on plausible attribution or credible association.

The ToC specifies the components of a programme and their relationship to one another. It is much better developed and understood—and expectations are clearer—at the direct control (outputs) and direct influence (outcome) levels than at the level of indirect influence (impact). Nevertheless, through contribution analysis it should be possible to explore attribution through assessing the contribution a programme is making to observed results. It sets out to verify the ToC behind a programme and, at the same time, takes into consideration other influencing factors. Causality is inferred from the following evidence: programme is based on a reasoned theory of change (i.e. the assumptions behind why the programme is expected to work are sound, plausible, and agreed upon by at least some of the key players); activities of the programme have been implemented; the ToC is verified by evidence (i.e. the chain of expected results occur); and other factors influencing the programme have been assessed and shown either not to have made a significant contribution or, if they did, the relative contribution recognised.

## 5. FARA standard performance assessment framework

### 5.1 M&E Policy

This section outlines the procedures for M&E of FARA’s performance, covering both programmes and operations (support services). The RF/LF shall form the basic planning and M&E tool. Key performance indicators will be developed to track the outputs and activities specified in the activity plans, and ensure that these contribute to the higher level development objectives. Tracking performance at the purpose level will be implemented in collaboration with other associated actors. **Outcome** indicators will be tracked through commissioned analytical studies while the **outputs** will be tracked through quarterly and annual reporting at the different levels of responsibility. Evaluation will focus on the impact of FARA interventions taking into account targets set under CAADP and MDGs/SDGs.

#### Policy Objectives

FARA policies seek to ensure that there are effective mechanisms at different operational levels (secretariat, secretariat support units, programme units and activities) for:

- a) Establishing objectives and indicators of performance;
- b) Systematic collection and analysis of data on a specified set of performance and process indicators;
- c) Reporting progress towards and achievement of outputs, outcomes and impacts based on a specified set performance indicators; and,
- d) Organizational lessons learning.

#### Policy statement

FARA shall put in place an M&E system capable of tracking and reporting progress on implementation of activities, delivery of outputs and contribution to desired outcomes and impacts at all operational levels in order to enhance accountability to stakeholders.

The M&E unit shall provide the management with timely information and advice for improving the performance of: (i) specific activities, (ii) FARA secretariat, and (iii) the Forum as a whole. The M&E system shall aid learning and accountability both within the FARA secretariat and among FARA’s stakeholders or key partners engaged in implementing the different continental initiatives and projects.

## Guiding principles

- a) All major FARA operations shall be regularly and systematically monitored and evaluated, including processes, performance, intended and unintended consequences and context.
- b) M&E must be built into the design of every operation, project and programme.
- c) Both monitoring and evaluation shall be responsive and appropriate to the situation and the operation undertaken.
- d) M&E systems shall, as far as possible, be integrated with implementing partners' systems.
- e) The RF/LF shall form the basis for M&E.
- f) The PMP and associated documentation shall specify "standard/generic" and "custom" indicators, targets, and methodologies that allow the systematic monitoring of progress of activities towards achieving key milestones and results related to objectives, expected outcomes, impact and measures of accountability.

## Documents

The following key documents shall be used to guide M&E:

- a) Strategic Plan (SP), 2014–2018
- b) Medium-Term Operational Plan (MTO), 2014–2018
- c) Monitoring and Evaluation Strategy (Revised 2014 version)
- d) Performance Monitoring Guidance Manual (the current document)
- e) Programme, Unit or Project (specific) Performance Monitoring Plan
- f) Indicators Reference Manual(s)/Sheet(s)
- g) Annual Work Plans (corporate, programme/unit, project)
- h) Progress/Board/Performance Reports (annual, semi-annual)
- i) Programme/Unit/Project Reports and Briefs (monthly, quarterly, semi-annual, annual).
- j) Financial reports (monthly, quarterly, semi-annual, annual)
- k) Monitoring/Supervision/Mission Reports
- l) Sub-grantee Performance Reports
- m) Field Visit Reports
- n) Mid-Term Review (MTR) Reports
- o) End-of-Term (Project) Review/Evaluation Reports

## Responsibility

- a) Executive Director
- b) Directors
- c) M&E Specialist
- d) Managers, Heads of Units and Programme Officers
- e) Field Teams (Sub-grantees)

## 5.2 Scope and Approach to Monitoring and Evaluation

The purpose of the M&E function, as described earlier in Section 3.1, is to enhance accountability to stakeholders in order to improve FARA's performance as an apex organization for enhancing African agricultural innovation capacity. The FARA approach to M&E draws from international best practices and guidelines developed by *inter alia* the Science Council of CGIAR, the United Nations Evaluation Group (UNEG) and Agencies, Organization for Economic Cooperation and Development–Development Assistance Committee (OECD-DAC), the International Development Evaluation Association (IDEAS), the African Evaluation Association (AfrEA) and various development partners and funding agencies among others. The approach takes into account FARA's unique characteristics as a Forum and rallying platform with a secretariat that performs a facilitating and advocacy function with limited field presence.

M&E in FARA will focus on: (a) tracking and reporting performance against activity milestones, output, outcome and impact indicators; and (b) synthesising key lessons from implementation processes, impact assessment and programme reviews to inform programme design and implementation. In evaluating performance, there is a need to brainstorm on what are the appropriate questions to ask to measure the extent to which FARA has been able to carry out its mandate and deliver on its results, given the unique internal and external challenges related to executing broad continental agricultural innovations in a system that comprises stakeholders/actors with diverse capacities and interests. In implementing the PMP, the immediate objectives are to:

- a) Ensure that key stakeholders and actors are involved in planning through agreed mechanisms that are cost-effective and impact-oriented;
- b) Ensure continuous learning for improvement in the implementation process and design through a participatory process of planning, M&E;
- c) Provide efficient, relevant, up-to-date, accurate, and timely information on programme activities and personnel at all levels of implementation for decision making; and
- d) Provide relevant information for the planning and evaluation of programmes and interventions.

The PMP shall constitute the basic tool that enables management and stakeholders to gauge performance and understand any unforeseen changes in strategy to achieve the intended results. As FARA must monitor its set of indicators on an on-going basis, it is important to meticulously select only those indicators that relate to the outputs and outcomes. The RF sets defined indicators and, where appropriate, targets. Baselines and historical performance data, where they are not indicated, shall be compiled in year one of implementation. **Outputs, outcomes and impacts** are the three levels of results that shall be the objects of M&E, following a results-based management system (Figure 9).

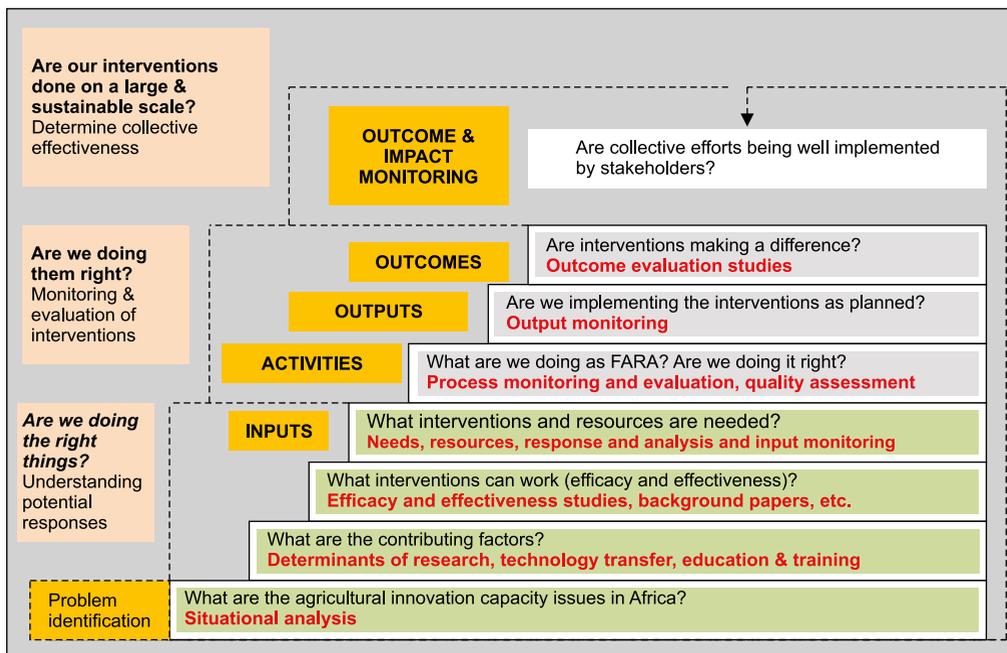


Figure 9: Questions Approach to Monitoring & Evaluation

### 5.3 Guidelines and Procedures for Monitoring, Reporting and Quality Assurance

By design, the FARA M&E strategy and PMP take into account the CAADP Mutual Accountability Framework and existing systems of the SROs and other partners. Taken together, these constitute a system for M&E of the AAIS considered ideal for promoting coherence and stakeholder ownership. Functioning inter-agency/partner outcome groups linked to this FARA M&E system are important to ensure an operational M&E system for the Africa agricultural innovation system. In this regard, *FARA shall facilitate the development and use of capacity to track implementation and progress. Together with the continental organizations, the SROs, the (NARS and other stakeholders, a targeted and comprehensive M&E capacity improvement plan will be developed and implemented).*

Monitoring is an important task in the life of the MTOP and is a continuous process of regular systematic assessment based on *participation, reflection, feedback, data collection, analysis of actual performance (using indicators) and regular reporting*. Through monitoring, FARA shall be able to determine progress and to keep the MTOP on track by gathering data and evidence, identifying issues and analysing documents and reports. Monitoring shall be largely for accountability purposes, to communicate results to partners and stakeholders, to adjust implementation to better meet expected results and to inform decision making. Responsibilities of different entities shall be as outlined below. The FARA M&E unit will support the above

parties in fulfilling their roles by facilitating processes that build alignment and collaborative relationships within the M&E eco-system as an important intermediate outcome in the FARA ToC, which will: (a) enable mutual actor recognition of responsibilities in performance appraisal instruments; (b) organize other actors to achieve the shared outcomes; (c) develop new capacity at the secretariat and for partners; and (d) mobilise collaborations and partnerships that might achieve the preconditions that FARA alone cannot realise.

As indicated in the previous sections, the RF is the key monitoring tool, outlining expected results, indicators, baselines and targets against which FARA will monitor 'change'. It should help implementers to stay focused on the expected achievements of the MTOP, serving as its centrepiece and summarising in a nutshell what FARA hopes to achieve and a reference point and guide for reporting on progress and making management decisions based on performance information; It should also serve as an aid for M&E, providing parameters for what results to measure and to account for with useful targets, baselines and sources of information.

Milestones form the basic units for M&E and shall be placed within the context of the implementation strategy when determining time scales and sub-tasks for actions. Given the selected practices and the available funds or time frame, estimates shall be made of what can be accomplished by when: (i) outline the intended subtasks and the level of effort associated with each to establish a baseline for time estimates; and (ii) identify the responsible parties associated with the steps so that you can collectively discuss the milestones and identify those which are feasible. When selecting milestones, factor in economic, social, and environmental factors and also ensure that those selected are specific, measurable, achievable, relevant to a nonpoint source management measure, and time-sensitive. It is important to assign names of organizational units associated with specific tasks in the implementation programme. Plans should also consider staff availability, funding resources as well as mechanisms to evaluate meeting the milestone, e.g. will progress towards a milestone be determined through monitoring, spot-checking, participation, adoption of management practices, or some other method? Resources should be targeted toward the highest-priority milestones. The plan should also suggest what adjustments can be made if the milestones are not met or how the programme can take advantage of milestones being achieved in a significantly shorter time frame.

The PMP gives precise information on methods, frequency and responsibilities with regard to expected results and indicators. The monitoring processes shall be used to: (a) review assumptions made during the planning process to ensure they still hold true; (b) track progress in the achievement of results; (c) decide whether the original strategies are still appropriate and should be continued or modified; and (d) make necessary adjustments to resources, both human and/or financial.

An important element of monitoring effectively is ensuring that data systems are developed and information is collected on a regular basis. Data may come from a combination of sources—from the M&E systems of FARA partners, existing databases maintained by other partners (e.g. DevInfo of the UN System, ASTI data, etc.) and information collected and

maintained by the secretariat. *Effort has been made to provide baseline data in the results matrix to show where the MTOP stands at the start. This data will then be compared with data collated in the future to measure change. Where baseline data does not exist, quantitative data shall be collected to establish the baselines. Where this is not possible, implementers shall use qualitative methods, including testimonials, focus groups or Participatory Learning and Action (PLA) methods such as mapping, ranking and scoring to show change over time.* A key aspect of any database is using the information not only for reporting but also to inform decision making, resource allocation and possible change in activities to better meet expected results.

The MTOP is designed around three strategic priorities—it is imperative that the results under each priority be delivered in totality if the stated purpose is to be achieved. It is also extremely important to assess progress (against indicators and assessment criteria) on different items of the performance framework at different agreed stages throughout the implementation cycle to identify areas where there is slippage, and also to facilitate analysis and aggregation of results information. For example, a development intervention could be very efficient—meaning that resources/inputs are used on time at a planned cost and are producing agreed-upon outputs. However, its effectiveness could be weak if beneficiary perception of the outputs is poor. Also, the potential sustainability of the same intervention could be very poor if financial resources are unavailable later to maintain benefits or if key cross-cutting issues, such as gender, are not mainstreamed.

The FARA Results Matrix represents a single, coherent PMF, while the current document provides guidelines for a robust, operational plan for tracking the indicators of success in the PMF. The ToC-based M&E system:

- a) Reflects and makes explicit the deeper understanding of context that informs strategies and relationships. It helps inform flexible and diverse strategies and can be used to track contribution to complex change processes as specified in the clearly defined and realistic objectives, assumptions and risks. It provides indicators for measuring the contribution of actor organizations to long-term social change and better supports flexible and adaptive strategies in complex situations
- b) Makes use of a minimum set of long-term and short-term, quantitative and qualitative indicators of success within a framework of a pathway to change, to track changes in behaviour, attitudes, relationships and capabilities that contribute to success.
- c) Promotes identification of shared outcomes, and allows different actors to plan and track (collect, analyse and share data) their collaborative contributions to shared outcomes, for which funds are provided in the budget. A necessary pre-requisite is assessment of the actors' capacity to monitor responsibilities, and undertake training when capacity development is required.
- d) Nurtures inclusive stakeholder dialogue around shared outcomes. This enables public reporting and feedback that reflects shared learning and allows prompt management decision making on findings.

- e) Allows organizations to monitor their growing capability to influence change, and yields data that allows comparison of the effectiveness of different approaches and organizations.
- f) Supports broad, on-going training of staff. Training strategies to support operationalisation of the PMP is incorporated in each operation. Ensures use of existing training opportunities provided by partners or other donors/programmes and exploration of opportunities for co-financing and organizing such training events.
- g) Details a plan and budget that summarises information needs, use, reporting and presentation. The plan shall also indicate the most important tasks and include personnel and time-frame, funds for staff, consultants, travel, meetings and workshops, baseline data collection, management and analysis, special reports and studies and, where training is envisaged, funds for capacity-building.
- h) Details a plan for baseline and on-going data collection and analysis, including a combination of techniques such as report reviews, field visits and special studies and surveys.
- i) Outlines the main elements of the M&E system in design documents and work plans for discrete interventions (projects and/or activities). The monitoring plan shall be specified in detail at the outset of the operation and incorporated into official agreements with partners.

In broad terms, the following general guidelines and procedures for monitoring performance and quality assurance shall be followed:

- a) Each intervention shall have an M&E plan scheduling data collection to assess and demonstrate progress made in achieving goals. The plan shall highlight mechanisms or modalities for monitoring the achievement of outputs.
- b) The M&E plan shall elaborate on the methods to be used, frequency and responsibility.
  - Method refers to the choice of method, which shall largely depend on the type of indicators and the information that needs to be collected, the time and resources available, and how much of in-depth analysis is required.
  - Frequency refers to the period that the M&E will cover (e.g., once or twice a year, mid-term and/or end-of-cycle)
  - Responsibility refers to the person or entity (unit or organization) responsible for collecting the information.
- c) The M&E plan shall ensure that performance information is collected on a regular basis that allows for real-time, evidence-based decision making. This requires that data be analysed and used by the agency responsible for the implementation of the intervention.
- d) The plan shall be developed through consultation with partners, stakeholders and, desirably, beneficiaries. A wide inclusion of stakeholders ensures that it is realistic and feasible.
- e) The plan shall incorporate elements of the FARA results matrix such as indicators, targets, baselines, and sources of information included in the corporate PMP. The M&E unit will

facilitate each programme, unit and project to develop their own M&E plans and standard indicators. The process of indicator integration between the different implementation and monitoring levels will ensure that each project/programme objective and the associated indicators are aligned to the RF in accordance with the indicator reference document. The RFs will be reviewed annually and during the mid-term review in order to respond to the priorities.

- f) A reference manual defining each indicator, methods of data collection and analysis, baseline figures and reporting frequency will be developed at the FARA corporate, unit, programme and project levels.
- g) In the course of time, an automated system will be developed, with appropriate data collection and reporting tools to be distributed to each programme, unit and project to facilitate data capture and reporting.
- h) Each project/task leader will collect and analyse data and information on each performance indicator and activity milestone as specified in the M&E plan. This data will be transmitted to the responsible programme officer, who will be responsible for compilation, synthesis and preparation of the performance report, following a prescribed format. The report will be reviewed internally by the programme manager before onward transmission to the M&E unit.
- i) The M&E unit will collate and synthesise all performance reports from the programmes and units into a technical working paper for onward transmission to the director for research and innovation.
- j) In addition to the data capture and reporting procedure outlined above, periodic field visits shall be carried out by the M&E staff, programme managers and programme officers to assess progress reported against actual progress made. A comprehensive report evaluating progress shall be submitted to the director of research and innovation within 14 days of the visit, indicating the lessons learned, challenges faced and a recommendation on the way forward. No subsequent visits to field sites shall be approved before submission of the report on a previous visit.
- k) The Board or executive director shall occasionally commission external groups of peers to review each programme project portfolio. Accordingly, each project and programme directorate shall prepare an annual technical report that focuses on the quality and approaches used and the associated results. These reports will be reviewed by the peers who will, in turn, send a report to the executive director on the quality and integrity of results.

**Review Meetings and Reports:** A critical undertaking in M&E is the regular and orderly assessment of the stage at which the project and programme implementation is. The monitoring of activity implementation (process monitoring) focuses on why implementers are progressing the way they are, the constraints and opportunities, and the appropriateness of roles of different stakeholders in the process. The most common tool for monitoring of major interventions is through meetings and reports. The PMP includes standard data collection tools and reporting

formats for the monitoring of the above, which shall be filled by the implementers, who will then submit the details through the established channels for processing and report writing.

FARA secretariat and partner teams shall regularly monitor performance and report to their relevant governance and management bodies. To complement the data collection systems, the secretariat units and implementing teams shall, as appropriate, conduct review meetings that include monthly, quarterly and annual reviews and institutional visits. At each of the M&E workshops/meetings, implementers shall present progress reports on a particular intervention, which shall be discussed and feedback given. The proposed schedule of meetings and reporting is outlined below:

- a) **Monthly** review meetings shall be held at the end of every month to review the progress of the activities implemented during the month and plans for the next month. Based on these reports by individuals responsible for specific actions, a participatory peer review will assess the progress, identify gaps, challenges and discuss strategies for improving implementation. Each project/programme shall review its progress on a monthly basis.
- b) **Institutional and field visits** by technical teams from FARA shall assess overall progress in achieving outputs, giving particular details on the challenges and gaps in implementation. The FARA teams shall meet the field implementation teams and discuss the overall strategies used to overcome the challenges and implementation difficulties. The level of achievement of outputs is the main focus. However, the team shall also assess the immediate benefits or outcomes arising from the use or application of the reported results.
- c) **Quarterly/Semi-annual review meetings** shall be conducted by the implementing agencies, project teams and line units at the FARA secretariat (in coordination with the M&E units), and progress reports presented. The reports shall provide a quantitative and qualitative analysis of the information gathered during the reporting period and reflect trends in the quarter. The purpose of these reviews is to analyse progress against achievement of outputs and the implications for achievement of purpose/outcomes. Quarterly/Semi-annual reports (Annex3f) should provide an in depth analysis of the challenges, gaps, lessons learnt and how all this is integrated in the planning and implementation process. At the secretariat level, these meetings will review the quarterly/semi-annual reports submitted by the units and their cooperating partners and the issues identified during institutional visits. These meetings will also analyse and forecast future progress based on the current strategies and lessons learnt. The meetings should be participatory, evaluatory and suggest mechanisms appropriate to the challenges encountered, enabling coordination teams to step back and reflect on the achievements and challenges and provide insight on the direction of the programme/project.
- d) Programme directorates and units will then prepare comprehensive/consolidated **quarterly/semi-annual performance reports** using the progress reports, findings from the institutional visits and the results of the review meetings. These reports shall provide an overall picture of the performance and status of the area of intervention. Over the course

of a year, these reports will provide the basis for the **annual review** with key stakeholders and preparation of the **annual performance report**.

- e) The consolidated reports shall be presented to the Board, management and any other relevant committees. The reporting teams shall assist the management to bring lessons learnt and good practices to the attention of policy makers and partners. The conduct and documentation of these progress reviews shall be based on the PMF.

## 5.4 Assessing Achievement of Results

The monitoring process outlined in the section above is essentially a management function and internal to the implementation of FARA programmes or projects. Evaluation, on the other hand, is an independent and often external assessment, as systematic and impartial as possible, of an activity, project, programme, strategy, policy, topic, theme, sector, operational area, institutional performance, etc. Evaluation shall focus on expected and achieved accomplishments, examining the results chain, processes, contextual factors of causality, in order to understand achievements or the lack thereof. It shall determine the relevance, impact, effectiveness and sustainability of FARA-supported interventions and, to the extent possible, the contribution of each of the actors involved.

FARA commissioned evaluations shall provide evidence-based information that is credible, reliable and useful, enabling the timely incorporation of findings, recommendations and lessons into the decision-making processes of the Forum and its members. RBM needs external validation of results reported in order to be credible. Impartiality and independence are crucial factors contributing to the credibility of evaluation and help to eliminate bias in findings, analyses and conclusions.

Evaluations have three key functions: (a) *utilization* – as an input to provide decision makers with knowledge and evidence about performance and good practices; (b) *accountability* – to donors, funders, political authorities, stakeholders and the general public; and (c) *contribution* – to institutional policymaking, development effectiveness and organizational effectiveness. Over time, the accountability function has expanded from primarily donors and government to stakeholders and beneficiaries of development interventions. This means that evaluations should be useful to all parties, not only the hiring/funding organizations. Evaluations should also help to improve effectiveness and provide critical inputs for managing for results.

FARA uses the RF as the key tool in planning an evaluation to review results achieved, determine progress in the baseline and targets, and assess how risks are mitigated or if assumptions still hold true. Evaluators shall report on the design, cost-benefit, technical and environmental aspects of an intervention, as well as the five criteria (*relevance, efficiency, effectiveness, impact and sustainability*) developed by OECD-DAC as defined in Table 5.

**Table 5: The OECD-DAC Evaluation Criteria**

Criteria	Definition
Relevance	To ascertain the extent to which the goals of a given plan, policy, programme, or project are suited to the needs and priorities of target groups, and aligned to the continental/regional/national/sectoral development policies and goals, as well as to the policies of the donor agencies.
Efficiency	To assess and ascertain the extent to which a given plan, policy, programme or project has attained or is likely to attain its objectives.
Effectiveness	To measure the outputs in relation to the inputs so as to assess whether output is proportional to the input. To ascertain whether or to what extent the plan, policy, programme, or projects are achieving desired results by using the least possible inputs and most efficient process.
Impact	To measure the direct and indirect, positive and negative, intended and unintended changes, and impacts produced by a plan, policy, programme or project.
Sustainability	To measure whether, or to what extent, the outcomes or outputs produced by a plan, policy, programme or project are likely to continue over time.

The standard FARA procedure for programme reviews/evaluations and impact assessment shall be as follows:

- Impact evaluation of each completed project after one year
- Internal evaluation, which is a progress review of on-going projects every six months (or as and when necessary) to identify the type and number of communities benefiting from the project, and to identify impacts on capacities, production, employment, opportunities, ecology, etc.; discern whether the programme or project is still relevant and whether it is adequately oriented towards achieving the pre-set goals; and provide timely feedback by assessing the status of resource availability
- The PMF constitutes the basic guide to all impact evaluation initiatives in FARA. At the commencement of each major intervention, an ex-ante impact evaluation will be conducted to establish the baseline scenario and targets. If need be, as part of implementation, a baseline study on key outcome and impact indicators will be conducted.
- Six (6) months before the end of each major intervention, the M&E unit will undertake an internal impact assessment study to prepare for the end-of-programme evaluation. Accordingly, each programme/project will be expected to allocate adequate resources for this exercise at the design phase. The M&E unit will develop the terms of reference (ToR) in consultation with the respective programme or unit and, following FARA procurement procedures, a service provider will be commissioned to undertake the study. The executive director, the board of directors or development partners will commission external reviews. FARA shall adopt standard checklists (e.g. see Annex 2) as the basis to assist in planning evaluations, negotiating clear contracts, reviewing progress, ensuring adequate completion of an evaluation and reporting.

## 5.5 Responsibilities for Monitoring and Evaluation

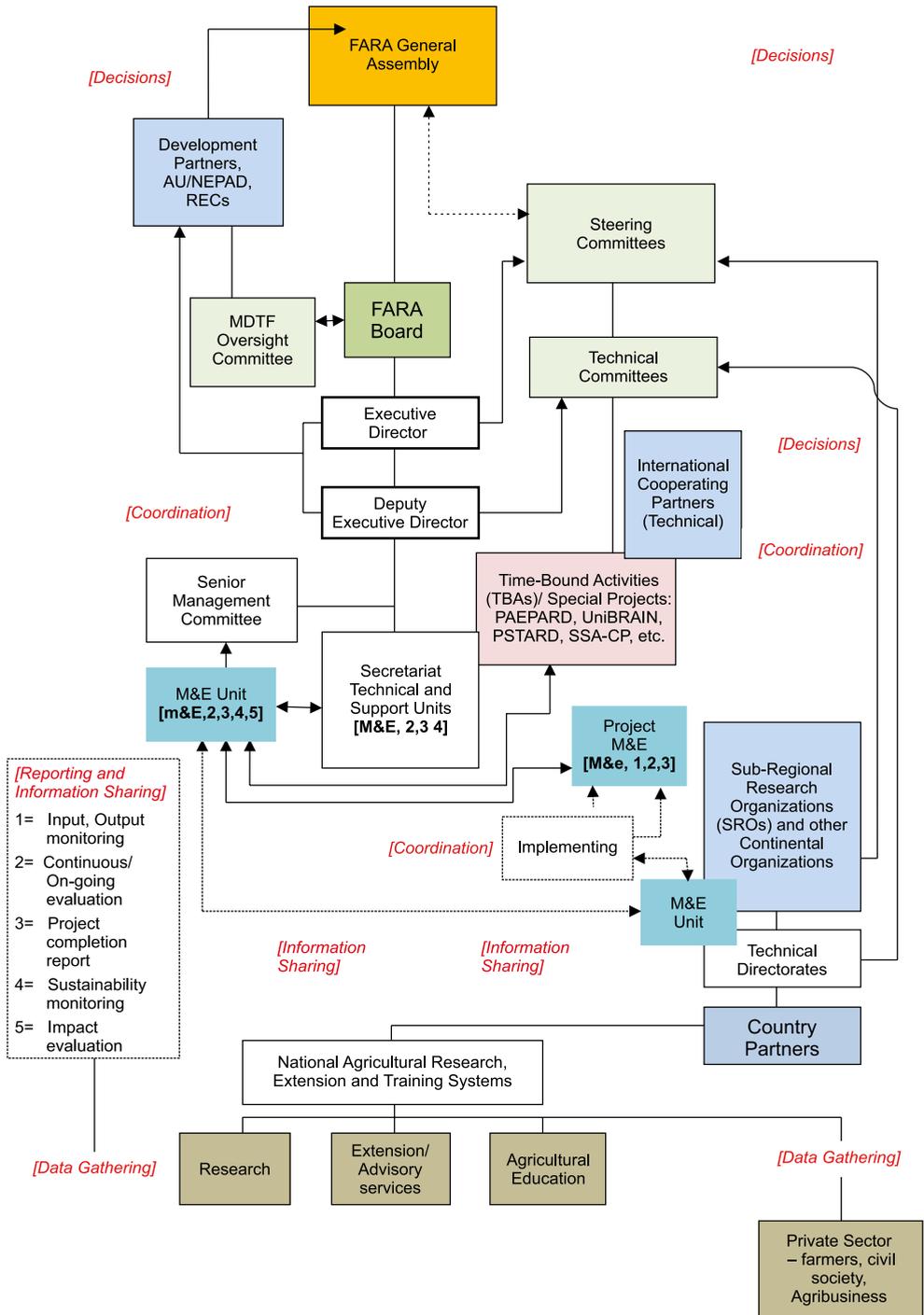
FARA interventions are implemented based on wide consultation, participation and contribution of a broad range of stakeholders, including Africa-based organizations and their ICPs, to ensure ownership of outputs and internalise the principles upon which implementation is based. Action also occurs at various levels and scale of the Africa agricultural innovation landscape. This means the M&E systems have to take into account the several processes that take place at all these levels (Figure 10). Since information flows from all key stakeholders and actors into the different processes and performance along the chain, it improves decision making and subsequent outcomes. This section of the manual outlines the various levels and the processes at each level and the type of issues to monitor and evaluate at each of the levels.

### Monitoring and Evaluation at the Secretariat level

The overall monitoring of FARA interventions shall focus on assessing the processes of implementing its mandate, paying particular attention to: (1) its capacity to facilitate/coordinate the development and harmonisation of processes and procedures for enhancing African agricultural innovation capacity; (2) its role in facilitating the development and adoption of relevant policies, guidelines and other instruments to foster institutional cooperation and collective action for sustainable agricultural productivity and capacity development; (3) its ability to develop implementation plans acceptable to stakeholders; (4) its capacity to collaborate with ICPs to generate funds for the implementation of specific projects and programmes of the MTOP; (5) its ability to facilitate the implementation and monitoring of supported projects and programmes; and (6) its ability to develop capacity building programmes for various stakeholders. Specifically, process monitoring of FARA activities should help to answer the following questions:

1. Harmonisation
  - a. How far has FARA succeeded in harmonizing identified processes and procedures across the Forum and AAIS institutions?
  - b. Have the processes of harmonisation been inclusive of all stakeholders?
  - c. To what extent have the stakeholders accepted the harmonised processes and procedures?
2. Development of instruments
  - a. How many relevant instruments have been developed?
  - b. To what extent have different stakeholders been involved in the process of developing the instruments?
  - c. What role is FARA playing in the implementation of the instruments?
3. Development of implementation plans
  - a. Has FARA been able to develop proposals that stakeholders find acceptable?

Figure 10: Structure of the M&E System



- b. How far has FARA succeeded in facilitating the implementation of MTOP and annual plans?
  - c. Are the plans being monitored?
4. Cooperation with ICPs
- a. To what extent has FARA been able to develop projects and programmes for funding by ICPs?
  - b. What mechanisms are there to implement projects and programmes supported by ICPs?
  - c. What mechanisms are available to monitor the efficiency and effectiveness of the implementation of projects and programmes?
5. Implementation of core programmes and functions
- a. What role has FARA been playing in the AAIS, in relation to other actors?
  - b. What mechanisms are in place to monitor the implementation of these functions?
  - c. How many M&E reports have been developed and presented to stakeholders?
  - d. What capacity building programmes have been instituted to enhance the monitoring of these functions?
  - e. What support mechanisms have been put in place to facilitate the implementation of these functions?
  - f. What monitoring mechanisms have been put in place to assess the effectiveness and impact of FARA programmes?
6. Development of stakeholder capacity
- a. What capacity building programmes have put in place to enhance the capacity of key stakeholders in implementing various interventions?
  - b. Are mechanisms in place to monitor the impact of capacity building programmes?

The key question for process monitoring of FARA interventions is ***“are activities happening according to plan and, if not, what are the reasons?”*** The answer to this question can be sought in the medium-term and annual business plans that stipulate all the envisaged outputs and activities and stakeholders responsible for undertaking different activities by definite time periods. The templates for formulating the activity and monitoring plans are presented in Annex 3.

The evaluation of FARA interventions shall focus on the achievement of outputs, purpose and targeted objectives. Each major FARA undertaking must be evaluated during implementation and at or before closure. Independent evaluations focusing on corporate programme and policy issues and operations linked to the SP shall be commissioned by the Board, while other evaluations will be undertaken in accordance with agreements negotiated with ICPs. Evaluations will, in general, identify and disseminate lessons and knowledge gained to support improved programming and organizational learning.

## **A. FARA Monitoring and Evaluation Unit**

The M&E unit shall be responsible for the design, development, implementation and management of a practical FARA-wide performance monitoring and evaluation system and approach. Accordingly, the unit is responsible for:

- a. Developing and updating the FARA corporate performance monitoring framework (results framework matrix or any other framework deemed relevant for planning, monitoring and evaluation).
- b. Developing the FARA corporate performance monitoring plan with specific indicator reference document and procedures manual. These guidance materials and tools are meant to support policy and MTOP implementation in the programme units and cooperating agencies, and to advance M&E practices.
- c. Developing a simple, technology-enabled monitoring approach that supports Foundation managers at multiple levels to capture, analyse, visualize and report on progress in delivering work and achieving results.
- d. Building the capacity of FARA teams and key partners to populate and use the monitoring approach.
- e. Creating clear data visualization and reporting tools to communicate monitoring results to multiple audiences for more effective management and decision-making.
- f. Managing a regular cycle of outcome and impact monitoring and evaluation, producing evaluative knowledge products, and providing coaching and capacity building in M&E to FARA staff and selected partners.
- g. Assessing the degree to which the implementation process is in compliance with work-plans and budgets in order to ensure timely delivery of output.
- h. Receiving and synthesising data and information generated by the implementing agencies following a well-defined reporting format based on agreed indicators.
- i. Generating integrated performance reports and technical synthesis papers on FARA's performance and lessons learnt for Management and the Board of Directors.
- j. Ensuring that relevant data from outcome/impact monitoring feeds is captured appropriately and feeds into the monitoring and reporting system in a concise and timely way to inform decision making, improve practice and contribute to learning.
- k. Commissioning and supervising impact assessment studies.
- l. Monitoring and strengthening internal M&E capacity of the Secretariat and fostering community and capacity development to support improvements in the capacity and competence of M&E units of the SROs and other pertinent Continental Agencies focusing on skills development to enhance the ability of the programme and support units and partners to monitor and evaluate the key areas of intervention.
- m. Providing coaching, training, mentoring as appropriate for FARA teams and key partners to enable relevant, high quality and useful monitoring and evaluation for FARA.

- n. Supporting innovation in approaches to evaluation and measurement that are useful and appropriate for the innovative nature of initiatives and the strategy of FARA, including innovations in technology enabled monitoring and evaluation, gender and resilience and equity measurement.
- o. Documenting and disseminating information on the outcomes and impact of FARA interventions on target beneficiaries; overseeing the production of evaluation knowledge products and reports for the senior leadership and Board of Trustees of FARA, partners, peers, learning forums and the FARA Website. This includes print and multi-media formats as well as creative and innovative ways of communicating M&E findings and lessons.
- p. Conducting internal review of FARA programmes and projects.
- q. Commissioning and facilitating organizational lessons learning initiatives.
- r. Facilitating and participating in external reviews.
- s. Representing FARA at internal and external M&E events.

**B. Executive Director**

- a. Championing organizational learning, and triggering and leading the change necessary to implement the lessons learned.
- b. Commissioning FARA-wide external reviews including mid-term and end-of-programme reviews.
- c. Commissioning FARA-wide peer reviews for quality assurance.

**C. Directors**

- a. Commissioning and supervising internal reviews of FARA programmes and projects.
- b. Facilitating external reviews.
- c. Preparing discussion and occasional papers on key lessons learned from the implementation and the outcome/impact of FARA's interventions.

**D. Programme Managers and Heads of Units (with support from M&E Unit)**

- a. Developing the programme, unit and projects' performance monitoring frameworks in accordance with the FARA corporate performance-monitoring framework.
- b. Developing the performance-monitoring plans for the programme, unit, and projects.
- c. Conducting regular visits to assess implementation progress.
- d. Preparing performance reports together with performance data (and submitting the reports to the M&E unit for consolidation)
- e. Organizing annual review and planning meetings to derive lessons learnt for the programme, unit, and project.
- f. Selecting an appropriate programme/project for evaluation.
- g. Preparing ToRs for the evaluation of the selected programme/project.
- h. Determining evaluation criteria for the selection of evaluation team.

- i. Calling for the evaluation of a proposal through public newspapers.
- j. Selection of an appropriate individual or team of evaluators on the basis of set evaluation criteria and ToR and arranging for signing a contract with the selected party.
- k. Organizing discussion sessions with the evaluation team on the need and objectives of evaluation.
- l. Discussing and finalising questionnaires based on the evaluator/s' inception report.
- m. Holding discussions on the field report to ascertain whether it is prepared as per the ToR and the evaluation questionnaire.
- n. Holding discussions with relevant stakeholders on the draft report to ascertain whether the comments, inputs and observations made in the field report have been incorporated.
- o. Getting a final report incorporating the inputs and suggestions received during the discussion.
- p. Incorporating the recommendations or suggestions of the final report into the Evaluation Action Plan and taking necessary action.

### Field-Level monitoring

Whilst elements of M&E shall be outlined in the detailed work plans and project documents, the overall FARA intervention outputs and goals should be recognised in the whole tracking process. All interventions, which shall be managed by implementation teams, shall report on progress related to activities as outlined in the annual plans to the unit heads at the FARA secretariat. This means all FARA-supported activities shall develop annual work plans in line with the PMP guidelines. The key question for process monitoring at this level is ***“are things happening according to plan and if not, why?”*** To answer this question the following needs to be readied at the project level:

- a) The work plan and budget for each intervention (this should include who should do what and when);
- b) The baseline data for each indicator;
- c) Record keeping and data collection system for each output, defining who should collect, analyse and write reports; and
- d) Project reporting system.

The annual work plan for any intervention shall follow the general format as presented in Annex 3. The plan outlines what needs to be done during the financial year under consideration and identifies those FARA interventions/strategic objectives (results) that it contributes to. Based on the work plan, the M&E plan is also drawn up. The monitoring at the project level shall be in the form of monthly reports discussed at the review meetings by the project team and quarterly reports presented to the line unit at FARA. The quarterly report should include plans for the quarter, achievements, constraints and challenges and how they were overcome and

plans for the next quarter. At the end of each year, just before the next annual plan is developed, the project management shall organize a meeting to review performance on various activities. This review will result in the revision of priorities and focusing of activities to meet the project's objectives.

The MTOP and FARA SP will guide project implementation and clearly spell out the facilitation roles of FARA and the coordination requirements related to the stakeholders participating in the whole implementation process. Consequently, the performance of the project management team shall be judged according to its ability to mobilise relevant stakeholders in the process of project implementation.

Evaluation at the project level shall review the progress made in fulfilling its agreed objectives, to evaluate the process of project preparation and design, its relevance to the FARA's intervention areas and to assess the efficiency and effectiveness with which resources have been used to generate results and achieve the project purpose with a special emphasis on sustainability. The evaluation shall (normally) be undertaken half way through the project life (mid-term review) and at the end of the project (end-of-project evaluation). Evaluations shall be undertaken by independent consultants, and shall measure the impact of the project upon the FARA objectives, including the impact of the project's capacity building activities. The evaluation will link the project to the overarching poverty and food insecurity reduction objective. The conclusions and recommendations will be used to help reorient project activities and to identify what further action is required at both the FARA and the project level to strengthen the capacities of implementation partners and to foster uptake and up-scaling.

The general responsibilities of the project teams for M&E shall be:

- a) Preparing and submitting M&E plans to the relevant programme directors.
- b) Collecting and analysing relevant baseline and performance data and ensuring its safe storage and quick retrieval.
- c) Preparing and submitting relevant performance reports and data.
- d) Documenting and sharing lessons learned and best practices arising from the programme/project implemented.

## 5.6 Reporting Results

The primary responsibility of data collection and reporting will generally depend on the level of monitoring (i.e. programme/project, overall MTOP intervention). With regards to a programme/project, the primary responsibility for collecting the data falls on the programme/project team put in place to manage the implementation of a particular intervention. The specific indicators, though linked to the MTOP standard indicators, will vary from project to project and each project shall design data collection tools and methods that are able to capture all indicators. The M&E unit will coordinate the data collection and management for the overall MTOP intervention.

Each team shall analyse the data and produce monthly, quarterly, annual and end-of-project reports. These reports shall be submitted to the M&E unit. Also, on a regular basis, the programme directors/project officers and M&E unit staff shall visit the projects/field sites to assess progress. Information from these visits, together with the progress reports, shall inform review meetings. The analysis of progress or regression, together with the reports, shall form the basis for M&E of the projects and provide the basis for quarterly/semi-annual progress reports. With regard to the mid-term and final evaluations, some independent evaluators shall be engaged, who will design data collection tools, collect data, analyse and produce reports.

The responsibility of collecting data on the overall MTOP strategic interventions lies with the programme directorates. The M&E unit will backstop the directorates in the collection of all important data, and shall also coordinate with and/or facilitate data collection from the SROs and other partners, analyse, synthesise and develop /semi-annual and annual reports.

All too often, reports do not adequately tell the story of what the development interventions have achieved. Results-based reporting seeks to shift attention away from activities to communicating important results that each intervention has achieved at the output and outcome levels. The RF clearly articulates the results at the output and outcome level and the indicators, baselines and targets. These items, along with the review of indicators, assumptions and risks, constitute the guide for reporting on results. An effective results-based report should communicate and demonstrate the effectiveness of the intervention and make a strong case to stakeholders for continued support, adoption/up-scaling and resources. A results-based report can also be used to demonstrate accountability to governing bodies, stakeholders and donors. Management and implementation teams should also use it to inform decision making. These reports should focus on reporting results at the programme/project outcome level and the contribution to the overall FARA outcomes.

**Performance Reports** shall be the main means of verification. With results-based management, FARA seeks shorter, more concise reports that systematically give account of actual deliverables and benefits, using the indicators designed in the planning phase. Reports shall also indicate any changes in the baseline or in the achievement of targets. Performance reports shall, therefore, be concise, outlining major activities carried out during the period of implementation and any results accomplished. These reports shall be more analytical, placing information about particular activities in their broader context, indicating how the activities are or are not contributing to the broader results being addressed by the programme/project and overall FARA/Africa development agenda. They shall also document progress (by indicators) towards achieving targets established in the annual work plans (AWPs), discuss any lack of achievement, and set out how to address the gaps. Where possible, “success stories” and “case studies” concerning the people-level impact of activities shall be shared.

**Financial reports** shall accurately and clearly track expenditures against agreed baseline costs in the approved annual work plans. Standard reporting matrices (Annex 3) shall be used to summarise the results being achieved.

In writing the results story, teams shall consider:

- a) What was achieved and what were the indicators of success
- b) How actual results compare to expected results
- c) Quantifying achievement whenever possible
- d) Illuminating/illustrating findings with quotes, testimonials, photos, etc.
- e) Reasons for over/under achievement
- f) Any unforeseen problems or opportunities that may require new strategies or a redesign of the initiative
- g) Involvement of others (partners, stakeholders, beneficiaries) and degree of attribution (if possible)
- h) Enough data to describe the effects of activities undertaken.

By presenting credible, reliable and balanced information, implementers will be able to produce effective results-based reports. An effective report can also be one that highlights areas of inefficiency and poor results, etc. Quality criteria for results reporting, when reviewed and rated by external independent consultants, shall include: (a) completeness; (b) balance (good and bad); (c) consistency (between sections); (d) substantiveness and reliability; and (e) clarity.

### 5.6.1 Reporting schedule

The FARA reporting schedule will follow the calendar year, as depicted in Table 6.

- a) Quarterly reports will be submitted by implementation teams to programme directorates by the 10<sup>th</sup> day of the month following the end of the quarter at the latest. The directorate reports should, in turn, be submitted to the M&E unit by the 15<sup>th</sup> day of the same month. The M&E unit will prepare the draft synthesis report and submit it to the deputy executive director by the 20<sup>th</sup> day of the same month. The reports shall be analytical, summarising the status of the achievement of outputs, including findings from institutional visits, quarterly review reports and quarterly progress reports from the implementing agencies. They provide insights on implementation strategies assess whether there is progress towards achieving goals, and note any challenges or obstacles that may hinder achievement of purpose.

**Table 6: Schedule of Reporting**

Report Type	Implementing Actors	Supervising Programme/Unit	Overall FARA (DRI/M&E Unit)	Reporting tool
Monthly (if necessary)	5 <sup>th</sup> February, March, May, June, August, September, November, December		No report expected	Annex 3e
Quarterly	10 <sup>th</sup> April, July, October	15 <sup>th</sup> April, October	20 <sup>th</sup> April, October	Annex 3f
Semi-Annual	subsumed in Q4 report	15 <sup>th</sup> July	31 <sup>st</sup> July	Annex 3f
Annual	15 <sup>th</sup> January	25 <sup>th</sup> January	7 <sup>th</sup> February	TBD

- b) Semi-annual reports focusing on progress against **activity milestones** will be compiled by programme directorates and submitted to the M&E unit by 15<sup>th</sup> July each year. The M&E unit will prepare the draft synthesis paper and submit it to the deputy executive director by 31<sup>st</sup> July each year. The content of the semi-annual report shall be similar that of the quarterly reports.
- c) Annual reports will focus on progress against **output indicators**. Each project will submit an annual performance report to the programme directorate by the 15<sup>th</sup> of January every year. The synthesised report will be forwarded to the M&E unit by 25<sup>th</sup> January and the corporate synthesis paper submitted to the deputy executive director by the 7<sup>th</sup> of February. These are comprehensive annual evaluation reports, giving a detailed assessment of performance. The report also highlights common issues occurring across all sectors/ implementing sites, highlighting issues of sustainability of strategies and processes. The report analyses the quarterly progress reports and quarterly M&E reports, and serves as the base document for the annual review workshop. The report shall be reviewed based on the information, interpretation, comments and issues raised during the Annual Review Workshop. It will provide recommendations that will be taken into account when planning for the following year. Some of the information may change implementation strategies and budget allocations.
- d) Mid-term evaluations, conducted internally or externally, will analyse and describe achievement against the plans outlined in the logical framework. The reports will discuss issues of design, initial lessons learnt (positive or negative) and need for possible adjustments.
- e) Final evaluation reports conducted at the end of the implementation period focus on the achievement of purpose and contribution towards the goal. Measuring achievements against the benchmark (baseline survey), the report assesses whether particular outcomes have been achieved and the level of contribution towards the planned impact. Issues of effectiveness, impact and sustainability are a major consideration.

## 5.7 M&E for Learning, Adjusting and Decision making

FARA management systems for planning, M&E have progressively become more results-based. It is, therefore, expected that the process of implementation will lead to greater learning, adjustment and decision making. This continual process of feedback and adjustment seeks to make programmes and projects more responsive to the environment within which they operate. FARA and the implementing agencies need to ensure that they have adequate mechanisms for flexibility, revision, adjustment and learning. Programme directors and officers shall work in tandem with implementing teams to operationalise the review processes so that learning and adjustment can take place. A number of mechanisms shall be put into place to ensure this:

- a) Establishing and supporting data collection and analysis at all levels.
- b) Utilising biannual meetings and yearly reviews to review the performance of programmes or projects.

- c) Establishing electronic systems to post questions, technical information and assistance needs that can facilitate knowledge sharing and exchange.
- d) Organizing cross-regional learning processes, such as workshops and retreats, to take stock and analyse results.
- e) Exploring FARA and partner events as venues for the dissemination of successful FARA initiatives and practices to inform a wider audience.

## 5.8 Enabling Environment for PMP Implementation

M&E is a management tool to assess actual changes against stated objectives, and making a judgment whether development efforts and investments were worthwhile or “cost-effective”. M&E systems must reflect the information needs and approaches established by corporate policies, strategies such as the SP and MTOP, and reports such as performance and standard programme/project reports. Such M&E systems provide data and results for local and corporate results-oriented management information systems.

Optimising performance between and among agencies and key stakeholders is the key to ensuring accountability, ownership, buy-in and sustainability of development interventions and long-term change. Therefore M&E systems are generally constructed to provide information for reporting on the achievements in order to fulfil accountability responsibilities. This has led to M&E being largely associated with a controlling and accountability function. Increasingly, however, there is recognition that M&E systems contribute to strategic management and learning lessons, and to feeding experiences into policy processes. In this context, it is imperative for programme and project managers and primary stakeholders to indicate from the onset how they intend to utilise the M&E results. To the extent that component and activity managers understand that M&E results will weigh heavily in decisions relating to specific activities, the data collection and analysis is likely to be taken seriously. The MTOP guidelines are summarised below:

- (A) **Indicators of Performance:** Development interventions or plans are aimed at achieving change in the form of the three levels of results: output, outcome and impact. In order to measure change, it is important to agree on the indicators or evidence indicating that change has occurred overtime. It is usual, especially at the output level, that indicators are quantitative to show measurability. At the outcome or impact levels, the indicators become more qualitative but still are measurable. It is important that all programme directorates within the FARA secretariat as well as the partners participating in implementing the MTOP activities understand FARA’s development objectives. This requires continuous interaction among and between the units and agencies.

In M&E of the MTOP, the questions revolve around its three key results of the strategic priorities in terms of how much has been accomplished in these areas and how well they have been accomplished to be able to determine the extent to which development goals have been achieved. Furthermore, in order to be able to measure accomplishment of the results it is crucial to understand and agree on the indicators in terms of outputs, outcomes

and impacts. Indicators *should not contain subjective notions such as 'improve', 'reinforce', 'promote', 'comprehensive', 'enhanced', which are commonly used when writing objectives and project purposes. Definite words like 'install', 'increase from x to y', 'build', 'eradicate', 'number'* are more appropriate for indicators. The indicators can be divided in sub-groups, for instance 'input indicators' related to the inputs, 'process indicators' to the activities, 'outcome indicators' to the purpose or 'impact indicators' to the goal or overall objective. 'Indirect or proxy indicators' are used when data directly related to an objective is difficult to collect for measuring the effectiveness and achievements.

M&E should be conducted systematically in a way that allows FARA and implementers to get the critical and relevant information they need. If there is no known use and purpose for the information, then do not collect it. Therefore, as soon as the MTOP is approved, the M&E unit shall institute an indicators' integration process with partners and stakeholders to review the RF and agree on what information to generate, i.e. from the list of indicators in the RF and any others as will be included in the requisite baseline surveys.

- (B) **Baseline and Benchmark Data:** *Baseline data* is the information on a particular situation prior to the implementation of planned activities. Without baseline information, it is difficult to determine whether a change has occurred. *Benchmark data*, on the other hand, refers to information on the implementation or achievement of particular activities or results that have already been established by previous similar interventions. This guides implementers in planning for implementing particular activities or targets/specific outputs or outcomes within a definite timeframe. Using a simple example, assume it has been established that one extension worker can visit 5 households per working day. Therefore, he or she can make 110 visits per month (22 working days). In planning for extension service delivery, the target output would be 330 visits per quarter or 1,320 annually per extension worker. Here the benchmarks are 5 visits per day, 110 per month, 330 per quarter and 1,320 annually. Combined with unit costs, this comes in handy when budgeting activities. The assigned M&E officer will look into whether these targets are being achieved or not and why.

Some of the activities planned for in the MTOP do not have baseline data against which progress can be measured. Consequently, it may be necessary to amend the RF, taking cognizance of this. Where the group agrees to conduct baseline surveys, the process and formats will be designed, discussed and agreed, with funding and technical backstopping included in the respective work plans and budgets. The process of conducting the baseline surveys and other means of establishing verifiable baseline/benchmark data needs to be expedited. In the meantime, the available data and information shall be analysed and used to refine the RF.

- (C) **External monitoring:** For the MTOP activities to be funded under the Multi-Donor Trust Fund (MDTF), the World Bank (WB) Technical Team's M&E functions involve giving the necessary approvals, authorising the release of funds and endorsing contracts. This process was comprehensively discussed and implemented following the guidelines in the operational manual for the MDTF. The procedures and processes outlined therein, form part and parcel of the PMP. The time-bound activities (TBAs) may also have

specific reporting requirements as specified in the funding agreements, which have to be complied with.

Where implementation of activities is to be effected through sub-grants, the FARA secretariat shall provide adequate and regular advisory service support to ensure efficient and effective use of funds awarded, especially where there is limited capacity. The WB Team, and other donors, will normally conduct regular supervision missions and report on progress, relating achievement to indicators in the RF. The timing of these missions has to be factored into work plans to enable FARA units to compile and consolidate the indicators of progress reported on by contracted parties and from field monitoring visits. FARA, and sub-contractors, shall have a contractual obligation to report and follow-up issues identified during monitoring activities and, if necessary, change implementation plans so as to achieve greater success and impact.

- (D) **Internal management:** FARA manages its programmes and projects through a secretariat supported by task forces and implementation teams drawn from partner organizations. The Board provides overall guidance, while the executive director has responsibility for overall coordination and management of operations. The technical direction is vested with the directors and line managers of programmes. The M&E unit provides support to develop and implement M&E systems.

Coordination within the secretariat and between the secretariat and partners is a daunting task that needs to be diligently worked on with openness and transparency so that none of the parties feels patronised or used. The principles of subsidiarity, collective action and responsibility, and mutual accountability have to be adhered to. The involvement of multiple partners can be overwhelming for the secretariat whose organizational structure is lean on staffing. This could further be compounded if not all parties understand their roles and those of other players; and do not rightly exercise the powers entrusted to them as agreed in the schedules of competence/guidelines.

Delays and slow implementation could occur and should not be totally unexpected or unique, as some of the required organizational structures, procedures and systems may still be in their formative stages and thus not institutionalised across all institutions. The various organs involved in M&E need to be provided with very clear lines of authority, roles and responsibilities to avoid unnecessary overlaps, double accounting and indecision. It is important that the various offices continue to make decisions and feel comfortable doing so; enhance and undertake the annual work planning and management systems in a timely fashion; and track and report on the implementation of the work plan and budget on the guidelines of the PMP.

- (E) **Internal monitoring:** The FARA secretariat is expected to ensure measurement of performance of entities contracted to support the service delivery and institutional strengthening, through reports and field visits. Simple and measurable monitoring indicators on process, outputs and outcomes in line with the RF based on initial baselines have been developed. Where baselines are lacking, respectable amounts of baseline data/information and some performance indicators against which results of the activities can

be measured may be available in existing databases or resident with partners. The PMP clearly defines the M&E system providing a formal framework for regular and systematic collection and management of data on the activities to be undertaken and mechanisms for its appropriate documentation and archival. Establishing and operating adequate communication processes is very vital for the functioning of the system, improving ownership of products, and ensuring sustainability.

- (F) **Internal capacity:** Though slow, expensive, and sometimes frustrating, building capacity for results-based M&E (and other technical and management services) is essential for all organizations. Enabling the M&E functions to be undertaken at different levels of implementation ensures buy-in and increased chances of sustainability. The trade-off of this approach includes delayed implementation and the associated anxiety, impatience and frustration among the partners and stakeholders waiting to see evidence of impact. Building the human resource capacity within the various agencies should be given the highest priority throughout the course of implementation. The expertise built through specialised training in M&E of a few individuals should also be used to develop competencies within the organizations from which they come by providing incentives and opportunities for them to train others.

In order to maximise impact, it is necessary to focus on those activities that contribute rapidly and directly to the FARA purpose. M&E shall focus on implementation (time and financial factors), performance and impact (technical factors), addressing both reporting and impact assessment and feedback issues. The M&E unit shall manage the process to assess capacity requirements and propose what FARA can support under the MTOP. Notwithstanding this, the M&E specialist, together with counterparts in the SROs, shall identify (and facilitate training of) M&E focal points in the implementing agencies and units to create a network of practitioners. A series of processes and formats are proposed in the various annexes to this manual, in addition to a compendium of indicators as outlined in the next section.

## 6. MTOP performance indicators

---

### 6.1 Indicators as Management Tools

The FARA programme architecture (Figure 11) is engineered to facilitate the MfDR process, with performance indicators captured at the level of activity implementation. The secretariat concentrates on capturing outcomes through KPIs or those “targets” and “results” that are the best quantitative measures of goals and accomplishments. In any organization or programme, there are many activities being undertaken, the results of which can be measured. For performance-based budgeting (PBB), programme managers need to identify only the key or major actual and projected results as KPIs. KPIs reflect “targets” when they are projected measurements of results to be achieved in the budget year and over the medium term; and “results” as actual accomplishments in current or past budget years when reviewed to measure performance and/or allocate resources.

FARA has adopted RBM and PBB processes to provide and present the MTOP based on outcomes and outputs to measure performance and provide accountability. Performance-based budgeting improves the spending quality by ensuring effectiveness in achieving development priority and efficiency in implementation. It also increases transparency and accountability by ensuring clarity of goals (outputs, benefits, changes and impacts), providing funding required to finance activities, and delineating roles and responsibilities for performance tracking and reporting. RBM or OBM emphasises the importance of indicators as management tools and clarifies the linkage between management information and the requirement to report key measures of effectiveness and efficiency. Performance indicators provide information that will assist external users to assess effectiveness in achieving the desired MTOP outcomes and FARA’s efficiency in using its resources to provide outputs.

Those involved with determining the impact of research have noted the difficulty of relating relatively modest inputs to outcomes that are subject to a very large number of other influences. But to develop the M&E framework, a clear linkage had to be traced between the various inputs, including expenditure or staff time, and outputs, outcomes and impact—that is the assumed “results chain”. Such a model or “theory of change” would allow the identification of indicators at different points in the results chain to determine what activities are effective in what ways. It would also allow FARA to trace any bottlenecks in achieving results. This approach led to developing “generic” indicators for the three “strategic priority/results areas”—the KPIs. At the output and activity level, it is easy to identify the specific indicators that relate to

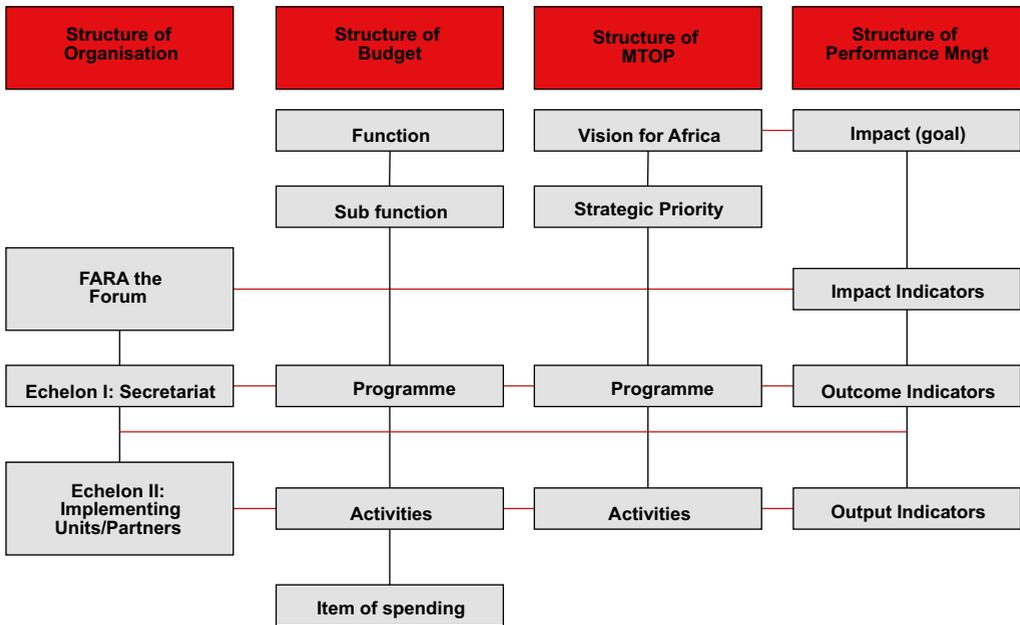


Figure 11: FARA Programme Architecture

“producing” (new policy knowledge, information, technology and capacity/skills to conduct agricultural research, extension and education) and those that relate to “using” the policy and technology-related research-based knowledge and information to strengthen capacity.

Key indicators of effectiveness and efficiency are required for each undertaking. **Effectiveness indicators** illustrate the extent, to which FARA will have achieved its objectives, i.e. desired outcomes, as a direct result of its efforts. The achievement of outcomes is generally a long-term objective, and that there may also be a hierarchy of outcomes within a given strategic objective. These shall be appropriately queried and reflected in the indicators reference manual. **Efficiency indicators**, on the other hand, relate the resource inputs (financial, human, physical or time) to the outputs. This input/output relationship focuses on the key products or services (outputs) that FARA will deliver to its customers, rather than the internal processes by which those products or services are produced. Key efficiency indicators are a natural corollary of the funding base used for OBM/RBM.

In each case, the efficiency and effectiveness indicators outlined in this PMP have been developed and defined to:

- a) **Be relevant.** They should have a logical relationship to the users’ needs, including a clear relationship to objectives that define the desired outcomes. Relevance is assessed in relation to the objectives stated in the FARA SP and MTOP. To enable FARA’s diverse stakeholders to assess overall performance, a comprehensive set of indicators that meet

different users' needs for information has been developed. They reveal performance of all key areas, and provide an adequate range of perspectives for the user.

- b) **Be appropriate.** The indicators should give the users information to assess the extent to which FARA has achieved a predetermined target, goal or outcome and the trend in performance over time. They should also enable comparison of performance with that of similar agencies, or performance relative to a predetermined benchmark.
- c) **Have explanatory notes.** The performance indicators should have adequate notes relating the indicator to the objective and explain why the indicator is considered to be a key measure of performance and how the outputs produced link with the outcome achieved. The notes assist the user to draw meaningful conclusions about FARA's performance. Both the indicators and notes shall not contain irrelevant or superfluous information or any judgemental statements about performance.

In addition, to ensure the validity and reliability of the indicators they have been designed to have the following characteristics:

- a) **Quantifiable** - implying a measurable relationship to attainable benchmarks as a means of determining the extent to which outputs and desired outcomes have been achieved. The focus is on determining whether the performance indicator does in fact represent, in quantified terms, what it purports to indicate;
- b) **Free from bias** - the information used to indicate performance shall be impartially gathered and impartially reported. Selective reporting or distorted presentation of performance information is to be avoided and frankness in reporting poor performance is to be applauded. Importantly, the information should enable the user to judge the performance and FARA shall refrain from presenting judgemental statements as indicators; and
- c) **Verifiable** - appropriately qualified individuals working independently should be able to come to essentially similar conclusions about performance indicators. This means that the information upon which indicators are based must be collected, recorded and analysed in such a way that the conclusions drawn from it can be checked.

This guidance in the application of indicator descriptions is not intended to stifle initiative and opportunities for learning by doing, but rather to encourage those responsible to reflect and think more deeply about what they are planning to do and how they report on progress. It may encourage innovation, particularly given the short time-frame within which to refine and implement the proposed activities. The intention is that those involved in planning, monitoring and managing parts of the MTOP will use the performance management framework to support themselves and their partner implementers to think their way through challenges and document lessons along the way. This would be instead of reporting only the "success stories" and glossing over challenges.

The detailed description of indicators shall be presented in a separate manual—the Indicators Reference Manual. The description shall further elaborate or "unpack" the M&E performance measurement framework—providing guidance for those assessing progress and performance at various levels in the MTOP implementation. The indicators are elaborated to support the

tracking of progress towards targets and also monitoring of the quality of implementation. They include elements important to the design of an innovative set of interventions, and measures of early outcomes identified from these interventions.

The indicator descriptions are to be used by the FARA managers and implementation coordinators as they monitor and report on the progress of implementation. The indicator descriptions are intended to serve two main purposes:-

1. To help those involved in managing processes to think through what they need to do, and what they need to do to support others' activities so that targets can be achieved.
2. To guide those reporting on progress in making assessments about progress towards targets, e.g. reporting the percentage increment in resources (budgetary/financial resources) invested in agricultural innovation systems by the target date.

Before making assessments using the indicator descriptors, the assessors should ask questions in an affirming and appreciative spirit, which could include the following:

- a) Have I/my organization given adequate support to the relevant partner(s) to ensure that this target is met and, if not, what more might be required?
- b) How could I show appreciation for what has been done by a particular partner and encourage continual improvement?
- c) If I was in this person's position, what challenges might I be facing and how might I be feeling?
- d) What additional support and guidance might be needed to raise the quality of this output?
- e) Was clear and detailed guidance provided for the activity in question, along with any other supporting resources?
- f) Was the time-frame clearly communicated, and did I send a reminder?

Effective management of performance guided by the indicator descriptions should not be negatively skewed by any of the following:

- a) Looking for a scapegoat when challenged by another partner about a target not met by one's own organization;
- b) Deliberately avoiding responding directly to a query from a partner because it is embarrassing or awkward;
- c) Criticising other project partners for what is not done on time, or for outputs below the required standard.

In implementing development interventions or plans, whether at the organization or at the programme or project levels, it is always important to remember that these interventions are aimed at achieving change in the form of the three levels of results: output, outcome and impact. Change is change if it can be measured. In order to measure change, it is important to agree on the indicators at the planning stage. Indicators are evidence that change has occurred overtime, which could be quantitative or qualitative. Indicators that are quantitative show measurability, such as number of people trained, or number of vehicles procured, hectares

of land cultivated, but this is usually at the output level. At the outcome or impact levels, the indicators become more qualitative but still are measurable, for example: % increase in the monthly income of a farmer sufficient to meet daily food need (outcome); % increase in the volume of grain traded in country X (outcome) contributing to % increase of the state's annual GDP (impact). Performance indicators are the specific measures used to monitor progress. The levels and sources of indicators for FARA are illustrated in Table 7. M&E should be carried out by classifying final and interim-level indicators. Progress should be monitored on the basis of the defined results-chains of plans, policies, programmes, and projects by developing baselines and time-bound targets of indicators of expected outputs, outcomes and impacts.

## 6.2 Indicators for Goal and Purpose

FARA is, by default, contributing towards the achievement of MDGs (SDGs after 2015) and CAADP goals and, therefore, has to monitor the progress of agricultural growth, poverty reduction and food security in Africa to facilitate a comprehensive knowledge management system about the sector. The generic set of basic indicators in the SP and MTOP, which will be regularly updated and modified to suit the planned interventions, is a starting point. African governments aim at *improving economic wellbeing, standards of living and quality of life* of their citizens through the implementation of various interventions by different state and non-state public and private actors. Generally, therefore, the M&E of **impact** of the MTOP should be seen as providing information on the impact of collective national actions overall, within which specific issues relating to the contribution of agricultural development (or bottlenecks associated with it) can be addressed. The overall monitoring of the MTOP interventions shall therefore cover the outcomes and impacts of continental agricultural development, natural resources management and food security.

The MTOP interventions contribute to the achievement of the continental goal of “reduced poverty and improved livelihoods” by continental-level strengthening of capacity for agricultural innovation to create sustainable broad-based improvements in agricultural and natural resources production and productivity, markets (trade) and competitiveness (food security and economic development). Since the FARA development aspirations are linked to the MDGs/SDGs and CAADP's aspirations, the outcome and impact indicators focus largely on changes in production and productivity trends for priority commodities, inter- and intra-region market share of agricultural products, and commodity/product conformity to specified standards. SDG8 focuses on promoting sustainable, inclusive and sustained economic growth and decent jobs for all, while CAADP focuses on agricultures' contribution to economic growth and inclusive development (Annex 4).

### Measuring Impact Indicators on Poverty, Hunger, Food and Nutrition Security

The generic indicator for the MTOP goal is:

Measures linked to the MDGs/SDGs focusing on decreases in levels of poverty and increases in food and nutrition security by: (1) gender, (2) space, (3) age, (4) socio-economic group, and improvements in the quality of the environment

**Table 7: Levels of Indicators and Sources of Data**

Operational Level	Level of Indicators	Sources	Monitoring Timeframe	Comment
MTOP	Final level (outcome / impact)	<ul style="list-style-type: none"> <li>Surveys when regular data and information cannot be obtained from progress reports or management information system (MIS<sup>8</sup>)</li> <li>National statistics and data</li> </ul>	Periodic	Indicators crafted to estimate aggregated outcomes of programmes and projects implemented to achieve the MTOP goal or objective. They are useful to understand the impact produced by the interventions on the lives of target groups and the extent of their satisfaction. It is with these indicators that the final outcomes and impacts of plans, policies, programmes and projects are measured.
	Interim or intermediate level (input/ process/ output)	<ul style="list-style-type: none"> <li>MIS</li> <li>Progress reports</li> <li>Evaluation reports</li> </ul>	Annual	Output indicators are defined to measure the goods and services produced by the implementation of plans, policies, programmes or projects. Similarly, process and input indicators are defined to measure the inputs and activities of such plans, policies, programmes or projects. The sum of input, process and output indicators are grouped under intermediate indicators
Directorate, Unit, Programme, Project	Final level (outcome / impact)	<ul style="list-style-type: none"> <li>Progress reports</li> <li>Evaluation reports</li> <li>Completion reports</li> <li>MIS</li> </ul>	Periodic/ Annual	Impact/outcome indicators designed to monitor and evaluate the extent to which the objectives or goals of the programme or project are achieved benefiting the people through the outputs produced from the intervention
	Interim level (output/ process/ input/ performance)	<ul style="list-style-type: none"> <li>MIS</li> <li>Progress reports</li> <li>Field monitoring reports</li> </ul>	Quarterly/ Semi-annual/ Annual	<b>Intermediate indicators (output, process and input):</b> to measure the processes and results achieved by means of the inputs, activities and processes of a programme or a project. <b>Performance indicators:</b> The programme/project activities are planned based on a time schedule. These activities are incorporated in the Annual Work Plans with a range of indicators defined for the purpose of monitoring these activities. The monitoring of such indicators can be done through quarterly/ annual progress reports. Employing these indicators and continuous monitoring should be carried out to ascertain whether the targeted outcomes have been achieved.

8. MIS are mechanisms to collect information on plans, policies, programmes/projects from the implementation levels to the decision making levels that provides systematic, integrated, reliable, precise data, information, and narrative accounts necessary for carrying out managerial functions (policy and decision making) in a qualitative, efficient, effective, and evidence-based manner.

The “measures” or indicators to monitor the ultimate impact of FARA interventions are derived from CAADP and MDGs/SDGs. These indicators were developed on the premise that, a well-performing agricultural sector will raise household incomes, living standards and ultimately rural development. Table 8 summarises some of the indicators used to track poverty, hunger, food and nutrition security in the CAADP.

The evaluation of poverty has to be broadened in order to take into account all relevant aspects of poverty, including different forms of deprivation and relative incomes. Poverty, for example, is also relative to the socio-economic context people are living in, making the distributional issue central in the analysis of human and social well-being. Integrating absolute with relative poverty may lead to complex results: social cohesion is threatened by increasing inequalities, especially in fast growing economies, where absolute poverty may drop while relative poverty is increasing. Besides poverty, the concepts of sustainable development and quality of life involve a number of other dimensions which have to be taken into account, including decent work, education, barriers to opportunities, good governance, freedom, security, peace, economic stability and growth, gender empowerment, participation and voice, patterns of consumption and production, green economy, climate change and environment protection. This list, which is not exhaustive, needs to be integrated with two major crosscutting structural tools for analysis: equity and sustainability. Well-being dimensions need to be fairly distributed and M&E systems must be able to identify excluded groups and those lacking opportunities through measures of distribution among individuals or the breakdown of indicators for different groups (e.g. territories, gender, age, education, income, nationality, etc.). Sustainability indicators are framed on the basis of the classical Brundtland definition of sustainable development and from three conceptual dimensions of human well-being (“here and now”, “later” and “elsewhere”).

**Table 8: Selected indicators to monitor trends in poverty, hunger and food and nutrition security**

Indicator	Definition	Units	What is being measured	Goals and targets
Poverty head count	Percentage of population whose income is less than 1\$ a day.	%	Poverty incidence	MDG 1 target 1
Poverty gap	Mean shortfall from the poverty line of 1\$ a day	\$	Improvement or otherwise in the living standard of people	MDG 1 target 1 CAADP target 4
Income gap	Shortfall between poverty line and average of incomes below poverty line	\$	Prevalence of inequality in income distribution	MDG 1 target 1 CAADP target 4
Rural development	Percentage of rural population having access to “improved sanitation”, formal housing, piped water, telephone, etc.	%	Improvement or otherwise in the living standards in the rural area	MDG1 target 1 CAADP target 4
Underweight children	Percentage of children under five years that are underweight	%	Malnutrition and hunger	MDG1 target 2
Malnutrition incidence	Percentage of population below minimum dietary energy/protein intake	%	Malnutrition and hunger	MDG 1 target 2
Food security	Percentage of population receiving food aid	%	Food security	MDG1 target 2 CAADP target 1

Source: Largely adapted from “ReSAKSS-SA, 2008: Indicators for Monitoring and Evaluation of Agricultural Performance and Shared Goals in Southern Africa, Working Paper No. 24

Between 2004 and 2012, considerable international debate has focused on the measurement of poverty and societal progress, in particular the need to go beyond conventional economic measures such as GDP per capita to more multi-dimensional indicators. A number of concepts such as well-being, sustainable prosperity, sustainable development, deprivations, etc. are increasingly gaining attention in the international debate. The discussions have led to the need to address problems of measurement related to the globalisation of economies, global inequalities, happiness, life evaluation, emotions, hunger and poverty, which will definitely be part of the debate for the identification of the post-2015 indicators, both with regards to the MDGs and the SDGs. There is now a consensus on a “shift of emphasis from measuring economic production to measuring people’s wellbeing<sup>99</sup>”. Development and quality of life are not limited to income growth indicators, for the measurement of societal well-being focuses on the living conditions of citizens and households and cover different dimensions beyond the economic one. Economic performance should be measured based on household conditions (income, consumption and wealth) instead of the production side. The former is a better proxy of the functioning of an economic system, which is seen as a means for people’s well-being and not an aim in itself. In this regard, for example, Households’ Net Adjusted Disposable Income is considered a more appropriate indicator of economic growth/societal progress than GDP. It focuses much more on the citizens’ actual economic conditions by looking at disposable income and also takes into account taxation and social transfer as well as the major public services which people can rely upon.

Quality of life is determined by factors spread over eight domains: (i) material living standards (income, consumption and wealth); (ii) health; (iii) education; (iv) personal activities, including work; (v) political voice and governance; (vi) social connections and relationships; (vii) environment (present and future conditions); and (viii) insecurity of an economic as well as a physical nature. The quality of life domains must be analysed through both objective and subjective measures and life indicators and all the dimensions covered should assess inequalities in a comprehensive way. The UNDP introduced the Multidimensional Poverty Index in the 2010 *Human Development Report*, recognising that measurement of poverty cannot be limited only to an income below a monetary threshold, which, of course, represents a minimum condition. In the EU, for example, the Europe 2020 Strategy uses as its poverty measure the “rate of people at risk of poverty or social exclusion”, which includes a measure of relative poverty, the share of jobless households and those with severe forms of deprivation.

*Food Availability:* Indicators of increased food availability include: (1) increase in area under production of food crops; (2) trends in total production of staple crops, livestock and livestock products, fisheries; (3) total production of forestry in hectares/cubic metres of growth; and, (4) increased volume of processed products. In looking at the increased trends in food availability, it is also prudent to look at the underlying causes/indicators, which lead to such an improved

---

9. ....at the forefront of measuring national well-being are the Human Development Index developed by the UNDP, the Gross National Happiness developed in Bhutan, and Equitable and Sustainable Well-being proposed within OECD, the latter defining the “well-being of a society” (or societal well-being) as the sum of the human well-being and the condition of the ecosystem, and “progress of a society” (or societal progress) as the improvement in human well-being and the ecosystem condition.

performance in food supply. The underlying causes include: (1) increased factor productivity; (2) improved access (by gender) to factors of production; (3) improved technology adoption; (4) crop intensification; (5) improved extension/advisory services; (6) improved control of pests/vectors and diseases; (7) improved access to handling processes; and (8) diversification in agricultural systems. Indicators for enhanced institutional capacity include: number of policies developed; action plans developed and implemented or under implementation; ratio of extensionists/researchers to farmers; proportion of staff that have received training; proportion of staff that have left for other opportunities (brain drain); number of approved but unfilled positions as ratio of total staff; number of policies developed and introduced and their impact in terms of enhancing agricultural development as measured by: (1) number of private companies involved in agricultural development; (2) % of population with access to finance; value of commercial loans for agriculture as % of value of total loans and Agricultural Gross Domestic Product (AgGDP); and (3) total production.

*Access to Food:* Some key indicators for access to food include: (1) trends in agricultural exports/imports; (2) value of total agricultural exports as a percentage of AgGDP; (3) trends in food prices; (4) domestic import and parity prices by major commodities; and (5) trends in poor and vulnerable people's income required for basic food purchases. Food prices are an important indicator of food supply in conventional demand-supply economics. The trends in the price of a commodity determine its supply. Food shortages in local markets will push the price up as prices move towards import parity. Food access is perceived to be a result of interventions such as improved rural infrastructure (road and markets), reduced barriers to trade, improved private and public sector investments in agriculture, improved preservation and storage of food and enhanced partnership between commercial and small-scale farmers. The indicators for the above interventions will directly lead to indicators for access to food.

*Food Safety and Nutritional Value:* Indicators for food safety include trends in the average per capita energy intake levels, proportion of underweight children (under 5 years) and incidences of food poisoning. Factors that can result in improved food safety and nutritional value include: improved standards and quality of packaging, processing, preparation and preservation of food; and improved consumer knowledge on food quality standards and use of safe food, including biotechnology.

*Disaster Preparedness:* Disaster preparedness involves instituting measures that reduce vulnerability to disasters such as drought, floods, migrant pests, etc. Efforts to reduce vulnerability may include setting up and/or strengthening early warning systems covering food availability, food access, food markets, migrant pests and crop/animal diseases. The efforts may also encompass improving access to inputs for the vulnerable groups, including women and those suffering from HIV/AIDS; improving availability and access to employment in agricultural and related sectors for poor and vulnerable people; and rehabilitation of infrastructure such as irrigation schemes, market facilities, roads, etc. The level of disaster preparedness would be indicated by trends of population in need getting food on time. The demand for food may also be met by food reserves and this makes the ratio of food deficit to the food reserves an important indicator of disaster preparedness.

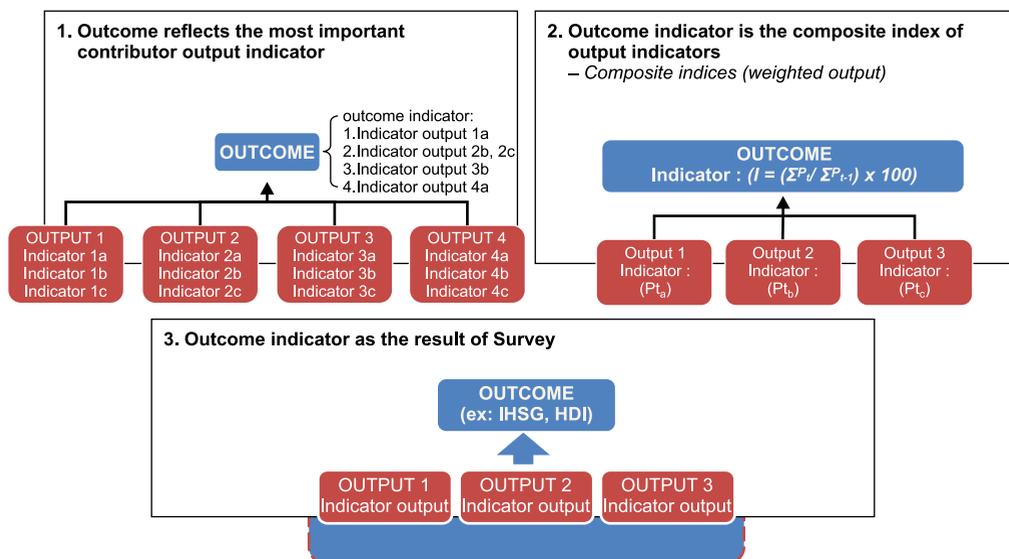
*Indicators for equitable and sustainable use of natural resources and environment:* These relate to the use of water and land resources without necessarily depleting the resources or polluting the environment and disturbing the ecosystem. The indicators try to measure the sustainability of the land and water resources as their disturbance has a bearing on agricultural production and productivity. The consequences of unsustainable use of land and water range from declining yields through higher input needs, to having to resort to lower-value land uses, which may, in turn, retard agricultural growth. The indicators for unsustainable use include rate of deforestation and land degradation. Acreage of protected land can be used to monitor trends in sustainability of agriculture. Other indicators look at whether pastures have been overgrazed or not (livestock/grazing capacity), for overgrazing may limit the livestock production capacity of the economy or region. With regards to water, there are a number of indicators that include ratio of water withdrawals from boreholes, streams, etc. to water recharge from the aquifers; number of essential water bodies contaminated by pollution; and volume of water withdrawal to total renewable water resources. Monitoring trends in the depletion or conservation of protected areas is also important for sustainable agriculture. These protected areas include game reserves, national parks, recreational areas, forestry areas, etc. The larger the area being set aside as protected habitats, the higher the potential to preserve habitat and wildlife resources and the lower the incidence of overgrazing and land degradation. Indicators such as the area of land that is protected can therefore be used to monitor trends in the sustainability of land.

## Measuring outcomes – Productivity, market access and competitiveness

The anticipated reactive change from utilisation of products and services generated by FARA is “*high, broad-based and sustainable agricultural growth in Africa*” as demonstrated by improvements in productivity, competitiveness and market access. These changes can be tracked by measuring the following:

- a) *Productivity:* Changes in real AgGDP growth rate and factor productivity and use by: (1) sub-sector, (2) commodity, (3) gender, (4) socio-economic group, (5) space
- b) *Markets:* Changes in market share, access and status/condition/capacity/severity of related trade-barriers
- c) *Competitiveness:* Changes in returns to investments, costs, and price trends, conformity to specific standards by: (1) sub-sector, (2) commodity, (3) space
- d) *Diversity and sustainability:* Changes in diversity of actors participating in and benefiting from the agricultural innovation system by gender, social group, age and space

The generic outcome indicators above have to be unpacked in order to establish reasonable and credible cause-effect relationships between interventions and outcomes. Some of the common direct measures relating to these indicators are presented in Annex 4. Most (if not all) are composite indicators and cannot be measured directly, but are derived from multiple sets of data using methodologies depicted in Figure 12. It is important to note that the core set of indicators can vary depending on the level of analysis required to take certain decisions. FARA’s core function is to focus on strengthening continental capacity for agricultural innovation.



**Figure 12: Deriving outcome indicators**

Consequently, its interventions largely relate to increasing diversity and strengthening capacities. Four specific indicators measuring the change in diversity have been elaborated for the MTOP at this level:

- a) Percentage increase in the number of individuals, groups, organizations directly affected or reached by FARA interventions (disaggregated by gender)
- b) Percentage increase in core competencies, capabilities and capacities for innovation among targeted (*individual, organizational/inter-organizational and/or institutional*) ARD actors
- c) Degree of stakeholder satisfaction with FARA's performance and quality of products and services
- d) Level of annual contributions by African governments and institutions to FARA funding

## 6.3 Indicators for process monitoring

FARA's new strategy is geared towards processes and programmes that will spur Africa's transformation. It has therefore adapted to continue providing leadership by strengthening the research-extension-education knowledge triangle and even go beyond these to include policy and business in order to build a formidable KIS capacity by identifying the Forum's member organizations with mandates in specialised areas and facilitating interactions among the different specialised organizations so that they function in harmony. Additionally, it has worked towards improving interactions between the public and private sectors to create one cohesive

agricultural innovation system; supporting holistic foresight on priority African issues that will be driven by African organizations and carried out by African experts; and strengthening African agricultural research, training and development organizations and agencies by strengthening capacity in holistic institutional analyses.

FARA will, among other things, be judged by how **efficiently** it converted inputs into results and the “reasonability of costs” in the continental (and global) networking and subsidiarity contexts; the extent to which sustainability was integrated into the design and resourcing of the MTOP; and, for **relevance**, by its ability to align, harmonise and synchronise the FARA MTOP objectives and activities with those of key stakeholders; and appropriateness of organizational and institutional arrangements to achieve these objectives. This is process monitoring, which involves monitoring the implementation of activities and support functions outlined in the MTOP in relation to FARA’s core functions. The idea is to assess whether activities are being undertaken according to plan and ensures “value for money” while adhering to principles of subsidiarity and comparative (and competitive) advantage. The process indicators (except those associated with implementation of activities) do not appear in the RF because the logframe focuses on results. Table 9 captures some of the activities and associated indicators.

## 6.4 Indicators for MTOP Outputs

The indicators for the outputs in the PMF have been organized into a summary table (Table 10) that has been developed to show the relative and hierarchical relationship that exists between indicators and the major priority area and results (at institutional, programme/unit and project levels) for which indicators are to provide data. Indicators are generically defined as ‘yardsticks’ of change, especially of a desired change—the achievement of objectives. This means that indicators always reflect both the evolution of the observable “real world” and the values that people attach to the on-going change. They thus reflect reality and help to interpret it. They are variables that represent the aggregate status or change in status of any group of persons, objects, institutions, or elements under study; and they are essential when reporting on status or change of status of the entities under study. The definition of the indicator should clearly state the relationship of the indicator to the report for which it is used.

Indicators substantiate the answers to questions posed in an evaluation and therefore depend on the context at hand. At this level of measurement, the focus is on *performance assessment* of products and services. The MTOP indicators ideally reflect clarity of objectives and leading questions for performance assessment. They define a model of reality—the (hypothetical) course of events that will lead to good performance. The products and services, along with the service providers and clients, and how and to which end the services are provided, are the basic concepts used to derive efficiency and effectiveness indicators of the service provision (section 6.3). The output indicators measure actual and tangible deliverables. They represent a verification of the analytical model of the service performance in question and the guiding concerns relevant to the usefulness of the product being evaluated.

**Table 9: Some Indicators for Process Monitoring of the MTOP**

Expected outcome	Outcome Indicators	Use of Outcome Monitoring
<p>Improved strategic planning, budgeting and implementation</p>	<ul style="list-style-type: none"> <li>Existence of a clear mission statement, goals and objectives (institutional development plan and its implementation schedule - approved SP, MTOP, Annual Work Plans and Budgets)</li> <li>Evidence of quantitative measures in achieving goals and objectives</li> <li>Existence of outcomes to provide useful communicative data about the institution</li> </ul>	<ul style="list-style-type: none"> <li>A key requirement for achieving the set targets is well-formulated and efficiently executed work programme activities, solid funding base, clear policies/strategies/ principles/frameworks and guidelines</li> </ul>
<p>Increased capacity to cooperate at global, continental and sub-regional level; implementation of programmes (the MTOP) that address the challenges facing the agricultural sector.</p>	<p><i>Institutional improvement and conduciveness of the socio-political environment to achieve goals; efficiency of the policy instruments and other formal means to achieve the goals; effectiveness of the organizational arrangements that stakeholders have adopted to achieve the goals:</i></p> <ul style="list-style-type: none"> <li>Number of legal instruments/memoranda developed to foster cooperation</li> <li>Level of donor and country funding for the MTOP by year.</li> <li>Number of active teams mobilised and supporting MTOP implementation</li> <li>Proportionate implementation of the activities stipulated in the documents by end of specified timeframe</li> <li>A process for identification of institution's strengths and weaknesses, and an action plan to optimise them</li> </ul>	<ul style="list-style-type: none"> <li>Progress as measured by the number of legal instruments will demonstrate FARA's effectiveness in facilitating the development of such instruments</li> <li>Progress in fundraising and African ownership of FARA programmes</li> <li>Slow progress in securing funding support for planned activities indicates a need for adjustments in the level and nature of support</li> <li>Progress as measured by the indicator will demonstrate how effective FARA is in terms of advancing the Africa agenda</li> <li>Progress demonstrates the effectiveness of FARA's facilitation and monitoring processes</li> </ul>
<p>Improved availability of information and data to stakeholders</p>	<ul style="list-style-type: none"> <li>Existence of functional communication, including a communications strategy developed and implemented</li> <li>Tools for communication and information sharing are developed and regularly updated</li> <li>Degree of satisfaction of users (assessed through periodic surveys)</li> </ul>	<ul style="list-style-type: none"> <li>The availability of information that measures whether FARA has the capacity to fulfil its role to disseminate relevant information to the key stakeholders</li> </ul>

Expected outcome	Outcome Indicators	Use of Outcome Monitoring
<p>Improvement in operational processes e.g. harmonised (and automated) M&amp;E system developed and implemented (apply to other – HR, F&amp;A...)</p>	<p><b>Outcome Indicators</b></p> <ul style="list-style-type: none"> <li>• M&amp;E system is operational and harmonised with key partners' M&amp;E systems</li> <li>• Forum members with adequate capacity and fully implementing agreed M&amp;E procedures and processes</li> <li>• Evidence of enhanced knowledge and skill learnt and applied by staff and collaborators/partners</li> <li>• Evidence for better personal attributes acquired and being used by staff and collaborators/partners</li> <li>• Scientific methods to measure professional &amp; functional achievement and personal development of staff</li> <li>• A database to judge effectiveness of operational processes</li> <li>• On-going assessment processes in place (internal programme assessments involving peers, staff performance assessment)</li> <li>• Existence of internal processes that encourage professional development of staff</li> </ul> <p><b>Corporate Values</b></p> <ul style="list-style-type: none"> <li>• Customised corporate values statement and ethical guidelines tailored to realities and institutional culture regularly discussed with all staff</li> <li>• Sound advisory and recourse mechanisms, values-based management practices in place</li> <li>• Orientation, learning and other tools to support staff</li> <li>• Staff assessment of organizational performance against FARA values and ethics</li> </ul>	<p><b>Use of Outcome Monitoring</b></p> <ul style="list-style-type: none"> <li>• Harmonised M&amp;E system facilitates measurement of progress</li> <li>• Insufficient reporting indicates the need to strengthen capacities</li> <li>• Processes strengthen accountability to manage the organization effectively; serve management; and deliver on results</li> <li>• Management Accountability Framework is a tool to promote a modern public service whereby: <ul style="list-style-type: none"> <li>- services are focused on people;</li> <li>- corporate values (e.g. professional, ethical, and people values) are clearly articulated and continually applied;</li> <li>- effective support is provided to management and strategic direction is translated into results, through high organizational performance;</li> <li>- decision making is transparent and accountable;</li> </ul> </li> </ul>

Expected outcome	Outcome Indicators	Use of Outcome Monitoring
<p><b>Governance and Strategic Directions</b></p> <ul style="list-style-type: none"> <li>• Senior management's confidence in departmental support</li> <li>• Perceived coherence of policy agenda – management framework aligned to strategic outcomes, results-focused corporate priorities</li> <li>• Strength of the management team</li> <li>• Corporate management framework used for priority setting, resource (re)allocation, and alignment to MTOP priorities based on performance</li> <li>• Management improvement agenda integrating human resources, comptrollership, service, etc.</li> <li>• Leadership/participation in Africa continent-wide initiatives – horizontal collaboration, environmental scanning for opportunities</li> </ul> <p><b>Policy and Programmes</b></p> <ul style="list-style-type: none"> <li>• Confidence of the Board and Management in the quality of policy options and advice</li> <li>• Sustained analytic capacity and culture of consultation, review and challenge</li> <li>• Results-focused policy and programme agendas linked to MTOP priorities</li> <li>• Stakeholder engagement</li> <li>• Recruitment/development/succession plans</li> <li>• Investments in capacity/analytic tools</li> </ul>	<p><b>Use of Outcome Monitoring</b></p> <ul style="list-style-type: none"> <li>- employees are valued, and human and intellectual capacities are developed;</li> <li>- spending is responsible, with sound stewardship of resources;</li> <li>- risks are identified and managed; and</li> <li>- organizational performance is continually enhanced through innovation, transformation, and learning.</li> </ul>	

Expected outcome	Outcome Indicators	Use of Outcome Monitoring
	<p><b>People</b></p> <ul style="list-style-type: none"> <li>• Comprehensive Human Resources development plan in place, including leadership, recruitment, retention, succession, learning, work/life balance, official languages and employment equity (gender, regional representation)</li> <li>• Progress against human resources targets</li> <li>• Progress in measuring/ improving employee engagement – opportunities to grow, leadership continuum, recognition, rewards and sanctions</li> <li>• Quality of leadership</li> <li>• People-focused service</li> <li>• Service improvement and transformation plans in place for major services/ regulatory programmes</li> <li>• Client satisfaction measured annually</li> <li>• Client satisfaction targets and results</li> <li>• Progress toward targets – technology options fully exploited, empowered front-line deliverers</li> <li>• Collaboration with other partners, effective relationships</li> <li>• Information for stakeholders</li> </ul> <p><b>Risk Management</b></p> <ul style="list-style-type: none"> <li>• Corporate risk profile, reviewed regularly</li> <li>• Tools, training, support for staff</li> <li>• Evidence of risk considerations in strategic planning—risk lens in decision making, risk smart culture</li> <li>• Engagement of external stakeholders in assessing/communicating risks</li> </ul>	

Expected outcome	Outcome Indicators	Use of Outcome Monitoring
	<p><b>Stewardship</b></p> <ul style="list-style-type: none"> <li>• Risk-based audit plans (reviewed regularly) and follow-up</li> <li>• Progress in integrating corporate information systems and controls—management systems that provide relevant information and early warning on resources, results and controls; rigorous audit/evaluation function; functional specialists as partners</li> <li>• Audit findings and control failures—compliance with policies, regulations, legislation and contracts/agreements obligations</li> <li>• Quality assurance in contracting, financial, knowledge and asset management, and information technology stewardship</li> </ul> <p><b>Accountability</b></p> <ul style="list-style-type: none"> <li>• Clarity of accountabilities and responsibilities for due process and results</li> <li>• Delegations appropriate to capabilities and regularly reviewed</li> <li>• Cascading commitments in performance management—senior management committee oversight of performance management and regular review of performance; alignment of individual with corporate commitments</li> </ul> <p><b>Results and Performance</b></p> <ul style="list-style-type: none"> <li>• Quality of corporate plans, monitoring and reporting of programme, service and internal results</li> <li>• Integrated financial and non-financial performance information used in corporate decision making</li> <li>• Departmental reporting based on measurable outcomes</li> </ul>	

Expected outcome	Outcome Indicators	Use of Outcome Monitoring
	<ul style="list-style-type: none"> <li>• Transparent, timely and accessible communications with stakeholders</li> <li>• Progress in strengthening financial and programme results, and performance measurement</li> <li>• Corporate monitoring and review of performance</li> <li>• Risk-based evaluation plans (reviewed regularly) and follow-up</li> <li>• Performance against external benchmarks</li> </ul> <p><b>Learning, Innovation and Change Management</b></p> <ul style="list-style-type: none"> <li>• Strategic organizational learning, a capacity to anticipate and adjust to change, and a disposition to transformation–progress in improving organizational learning and knowledge management practices; culture of innovation</li> <li>• Investments in organizational learning</li> <li>• Stakeholder/staff perceptions of organizational adaptability, change and innovation</li> <li>• Performance measurement used to improve organizational results</li> <li>• Performance as a guide to change</li> <li>• Delegations as an instrument of empowerment</li> <li>• Corporate knowledge and memory captured and managed as strategic resources</li> </ul>	

The indicators have been formulated in such a way that they can be assessed. A number of elements in the model (the activities) become indicators right away, e.g. the number of users of a service or product. Yet, other issues and objectives that come under review are rather abstract, e.g. ‘usefulness’ of information, ‘awareness’ or ‘capacity’ created, etc. Indicators for such objectives are developed through a concept analysis, defining the meaning of the “result” under review and breaking it down into the various key aspects and elements. This is called ‘operationalisation’ and goes as far as defining the concept (result) in terms of concrete things and actions describing its existence. Instead of addressing the abstract concept, the evaluator tries to ascertain specific items—each of which may become an indicator. Though this process follows theoretical logic, it also needs to reflect stakeholders’ views. Whether a product is really useful, depends on the values of the community served. To arrive at an appropriate representation of the issues, turning to the clients for their views is very helpful. Some of the indicators in the MTOP, therefore, may have to change when detailed implementation plans are drawn with the participation of stakeholders. Besides being representative of the basic model, indicators also have to be selected according to a number of methodological rules. The commonly accepted criteria defining good indicators are:

- *Validity* - Does it measure the condition/result?
- *Reliability* - Is it a consistent measure over time?
- *Sensitivity* - Will it be sensitive to changes in conditions?
- *Simplicity* - Will it be easy to collect and analyse the information?
- *Utility* - Will the information be useful for decision making and learning?
- *Affordability* - Can the programme/service provider afford to collect the information?

There are various possibilities of expressing the meaning of each output in the MTOP. However, a definite set of indicators to be used has to be selected by mutual agreement and consensus. The selected indicators provide as many reference points as necessary to capture the essential elements—the services provided, the clients and their benefits. A total of 15 key indicators have been selected. The number of indicators depends on the resources available for data capture and analysis. Except for large and complex interventions, it is often difficult to handle more than 10–15 indicators at once. Generally, it is better to have a few, but significant indicators. The degree of detail is an issue here as well: in order not to confound major and minor issues, the indicators have been defined to roughly be at the same level of abstraction—purpose, key result, result, activity. The hierarchical ordering in Table 10 is meant to facilitate detailed analysis and reporting. When it requires ‘zooming in’ on a particular aspect, the respective indicators lower in the hierarchy can be lumped together to portray the ‘bigger picture’.

The indicators have been formulated on the basis of two different principles, viz. a qualitative and/or a quantitative indicator formulation. The qualitative indicators involve descriptive information. They specify the result in the form of a question, naming concrete things to look for. The idea is to capture processes and qualitative differences, not to count items. Information is often gathered from individual or group judgements and personal observations. Nevertheless, qualitative indicators can be transformed into quantitative information with descriptive scales (a typology

of individual perceptions on an issue) or with nominal scales (e.g. number of good/medium/bad ratings given by observers, or the number of generally positive statements on an issue). Quantitative indicators are used for items that can be counted. Data for deriving the indicators shall normally be generated in the process of providing the service, and standard data collection formats will have to be developed for each of these indicators. For some of the indicators, explicit measurements based on available statistics or formal questionnaires are required.

Both types of indicators (qualitative and quantitative) are 'objective' in their own way. The indicators are expressed in terms of a numerical or an ordinal scale. They also specify the unit of analysis in terms of the level of the social system (who—individuals, communities, organizations, networks etc.); the period of measurement (when); and, where relevant, geographical coverage (where). The quantitative indicators are preferred as they are more precise. However, they restrict interpretation to a particular framework of analysis. Qualitative indicators, on the other hand, give a better view of reality as well as a better understanding of the reasons for change. While quantitative data are less easily contested, qualitative information helps to show the relevance of the 'hard facts'. In the context of an open and dynamic learning process, qualitative information is often more useful for convincing people about relevance and usefulness of a programme and closer to the decision-making situation. Broad-based interventions operating at a general level may not get to the level of detail required for quantitative measurement. For example, instead of looking at the different items determining the 'quality of service provision', a qualitative indicator may simply ask for the overall perception and level of satisfaction of users.

The MTOP indicators are useless, unless their value can be interpreted. Interpretation of the data is necessary in order to arrive at a judgement concerning the social utility of the products and services. It is, therefore, necessary to set a point of reference against which the observation or the measurement can be compared. The ideal reference would be baseline information on the state of an indicator at a historical point in time, referring exactly to the items specified in the indicator (organizational unit, location, etc.). These have been provided in the RF (Annex 1). However, because issues and the evaluation questions evolve over time, suitable baseline data may not be available. A static comparison (before/after) is only meaningful in purely technical projects—and may be less useful in the field of knowledge and social learning, partnership formation and capacity development.

Besides historical data, there are alternative reference values that may be used. Their basis of comparison is a particular norm, either the objectives of the programme or service in question or a generic norm—in normal circumstances, implementers should have an idea of what to expect from a particular type of service or product. Lack of baseline data can be circumvented by using *trends* (e.g. a consistent increase in requests for support, or increasing feedback from readers to a publication), *thresholds* (e.g. at least three countries covered by a database, or the minimum number of participants attending a meeting), and *targets* (e.g. the number of documents distributed by the end of year X, or the proceedings of a conference completed and available in printed form by "period/time"). Information provided by the indicator only gains significance in a contextual analysis that clarifies why indicator data are at the level they are

and why they have (or have not) changed. The interpretation reconstructs the original concepts from the empirical information generated. Other information obtained during the evaluation process (outside of indicator measurement) will often turn out to be extremely important to actually understand the results. Qualitative indicators offer more possibilities in this respect.

Basing the judgement on standard indicators can be dangerous, as measurement without theory leads to an invalid attribution of the data or to useless information because of the missing causal connections. A similar mistake is to jump too quickly from analysis to measurement, without due consideration of the 'evaluability' of a programme. Sometimes, it can be better to formulate questions rather than indicators. Especially with quantitative indicators, reducing reality to a few numbers may be misleading without a clear (and rather qualitative) understanding of the context. This is particularly true in the field of social learning that is characterised by gradual and long-term change, differing views of people, and the cultural dimension of social change.

**Table 10: The MTOP Indicators of Progress and Impact in their Hierarchical Positions<sup>10</sup>**

Purpose	Key Results	Results	Activities (Based on AWP&B 2014 and Project Documents)
<p><i>Productivity</i><sup>11</sup>: Changes in real AgGDP growth rate and factor productivity and use by: (1) sub-sector, (2) commodity, (3) gender, (4) socio-economic group, (5) space</p>	<p>CAADP Indicators</p> <ul style="list-style-type: none"> <li>• Agricultural per capita GDP (agriculture value added per hectare – measuring combined crop-livestock-fishery productivity)</li> <li>• Total factor productivity (with priority on smallholder returns to labour, land and external inputs) – link to the 6% target</li> <li>• Food Production Index (focusing on key strategic commodities)</li> <li>• Irrigated land as percent of total cropland</li> <li>• Change in input use (fertilizer; mechanisation; seed and other purchased inputs)</li> </ul>		
<p><i>Markets</i><sup>12</sup>: Changes in market share, access and status/condition/ capacity/ severity of related trade-barriers</p>	<p>CAADP Indicators</p> <ul style="list-style-type: none"> <li>• Input market functioning;</li> <li>• Volumes traded cross-border (selected commodities and food products, intra-African and global exports) (intra- and Inter-Regional Trade)</li> <li>• Africa's share in global agriculture trade</li> <li>• Number of countries with formal land markets and land tenure policy in Africa</li> <li>• Agricultural land (Ha) with access to road and power within 5, 10 km radius</li> </ul>		
<p><i>Competitiveness</i>: Changes in RoI, costs, and price trends, conformity to specific standards by: (1) sub-sector, (2) commodity, (3) space</p>	<p>CAADP Indicators</p> <ul style="list-style-type: none"> <li>• Harmonised regional quality standards</li> <li>• Evolution of producer price in relation to consumer price</li> <li>• Ease of doing business in agriculture index</li> </ul>		

10. 1. Indicators are displayed relative to the three priority areas; 2. Indicators are not necessarily placed in the same hierarchical positions occupied in the RF (this is of no consequence) but will be reported as anticipated by the RF; 3. The overall objective (goal) indicators are not included in the table, since FARA results just only contribute.

11. Agriculture in SSA – some benchmarks: 30 – 40% of GDP; employs 60% of total workforce (female 50% of total rural workforce); contributes 50% to the income of the rural workforce; export earnings 40% of total export earnings; 30-40% of total production lost to poor post-harvest management system; 5.5% annual growth rate of AgGDP (in real terms), 2002 – 2007; irrigated land 7% of potential (East and South-East Asia: 29%; South Asia: 41%); use of fertiliser per hectare: SSA - 13 kg - i.e., 7% of the average for East Asia; (North Africa) 73 kg - i.e., 38% of the average for East Asia; farm power sources in % - SSA (other developing regions): Hand, 65 (25); Engine, 10 (50); Cereal yields in Africa average only 1.2 tons/ha

12. Africa trades more with the rest of the world than within itself; Intra-African trade has been less than 10% against 40% in Europe and 60% in North America, in 2010. Annual agricultural import bill estimated close to US\$40-50 billion in 2013 (used to be some US\$20 billion in 2006); exports have stagnated at only US\$14-15 billion; dependence on food import has risen from about 12% in 2000 to about 18% in 2010 for crops; and from 4% to 8% for meat during the same period. State of rural infrastructure is poor: road density in Africa is 2.5 times less than in Latin America and 6 times less than in Asia; average transport cost per km for the Douala-N'Djamena (Cameroun-Chad) distance is almost 3 times that of the USA, and 2 times that of Western Europe. This applies to power, water, telephone, internet services, etc., which clearly undermines intra-African trade, productivity and competitiveness.

Purpose	Key Results	Results	Activities (Based on AWP&B 2014 and Project Documents)
<p><i>Diversity and sustainability:</i> Changes in diversity of actors participating in and benefiting from the agricultural innovation system by gender, social group, age and space</p> <p>Overall:</p> <p>a. Percentage increase in number of individuals, groups, organizations directly affected or reached by FARA interventions (disaggregated by gender)</p>	<p>1.1 Visioning Africa's agricultural transformation: with foresight, strategic analysis and partnerships to enable African agricultural stakeholders to determine how the industry should develop and plan how to get there, based on evidence and the combined strength of all stakeholders</p> <p>1.1 Number of countries with AR&amp;D agendas being influenced by the outcome of foresight studies</p>	<p>1.1.1 Number of major studies undertaken with support of Foresight Support Unit established in FARA secretariat</p>	<ul style="list-style-type: none"> <li>Number of competitively commissioned time-bound foresight studies (1.1.2.1)</li> </ul>
<p>b. Percentage increase in core competencies, capabilities and capacities for innovation among targeted (individual, organizational/inter-organizational and/or institutional) ARD actors</p>		<p>1.1.2 Number of new integrated planning and risk assessment tools for agricultural development and foresighting</p>	
<p>c. Degree of stakeholder satisfaction with FARA performance and quality of products and services</p>		<p>1.1.3 Number of long-term continental and sub-regional agricultural research and investment initiatives established with full private-sector engagement</p>	
<p>d. Level of annual contributions by African governments and institutions to FARA funding</p>		<p>1.1.4 Number of national and international agricultural development scenarios assessed against different approaches and perspectives</p> <p>1.1.5 Number of identified priority areas in African agriculture for application of emerging science and technology</p>	<ul style="list-style-type: none"> <li>Number of Country CAADP implementation plans reviewed and found to embrace IAR4D concept (SSA-CP)</li> </ul>

Purpose	Key Results	Results	Activities (Based on AWP&B 2014 and Project Documents)
<p><b>PAEPARD:</b> Opinion of key actors (e.g. EC and AUC officials, leaders, experts, etc.) about the potential contribution of the types of partnerships conceptualised and promoted by PAEPARD towards the achievements of MDGs.</p> <ul style="list-style-type: none"> <li>Degree of interest and availability of African and European stakeholders to engage in ARD multi stakeholder platforms</li> </ul>	<p>1.2 Number of functional partnerships and platforms for agricultural innovation and trade among African stakeholders and between them and northern and southern partners established</p>	<p>1.1.6 Number of identified priority investments needed to make scientific advances in African agriculture possible</p> <p>1.1.7 Number of collaborative programmes and investments supported by the African Science Initiative</p> <p>1.1.8 Number of tools for gender mainstreaming developed as one of the focal areas in interactions and partnerships among farmers, research, education, extension and agri-business organizations</p>	<ul style="list-style-type: none"> <li>Stakeholders increasingly recognise the added value of the S3A (Content of the S3A and its implementation arrangements reflect the opinions of stakeholders and provide accurate, relevant and verifiable data and information, and guidelines stakeholders and their partners can use to make decisions) (1.3.2.1).</li> </ul>
<ul style="list-style-type: none"> <li>Relevance of themes in the partnerships promoted/facilitated/mentored by PAEPARD to stakeholders (particularly "users")</li> <li>Perception of non-traditional actors of their roles in the partnerships promoted/facilitated/mentored by PAEPARD</li> <li>Positioning of MDGs and other objectives of African-European common interest and mutual benefit in European and African funding programmes targeting agricultural innovation</li> </ul>		<p>1.2.1 Number of institutional, policy and market innovations (generated by existing innovation platforms) identified and disseminated</p>	<ul style="list-style-type: none"> <li>Empirical evidence of whether IAR4D works—extra benefits [changes in patterns of interaction, linkages and social capital; levels of awareness and access to information related to technical and operational issues; levels of knowledge, skills, attitudes and practice of IAR4D processes and research issues; performance of innovations (technological, social, policy, market); numbers reached and their perceptions] (SSA-CP)</li> </ul>

Purpose	Key Results	Results	Activities (Based on AWP&B 2014 and Project Documents)
<p><b>UniBRAIN</b></p> <ul style="list-style-type: none"> <li>Percentage increase in number of commercial viable enterprises established directly and indirectly through UniBRAIN activities</li> <li>Percentage increase in number of jobs created directly and indirectly through UniBRAIN activities</li> </ul>		<p>1.2.2 Number of best practices documented and disseminated through agricultural innovation platforms</p> <p>1.2.3 Percentage of CGIAR programmes that are systemically linked with CAADP country programmes</p>	<ul style="list-style-type: none"> <li>Guidelines, principles, methods and tools for implementing IAR4D and for designing, implementing and analysing social experiments (SSA-CP)</li> <li>Databases—process, outcome and impact indicator variables (SSA-CP)</li> <li>Degree of alignment of the CGIAR climate smart agriculture research programmes (and number of thematic proposals developed for collaboration) with those of the African research institutions (NORAD Proposal)</li> </ul>
<p><b>SSA-CP</b></p> <ul style="list-style-type: none"> <li>Percentage increase in adoption and reliance on IAR4D (e.g. increase in involvement of non-traditional actors in ARD)</li> <li>Percentage increase in investment towards supporting IAR4D processes</li> <li>Percentage increase in human and institutional capacity for innovation among ARD actors</li> </ul>		<p>1.2.4 Number of foresight platforms established and operational at the sub-regional level</p> <p>1.2.5 Number of agricultural technology Innovation Platforms (IPs) established</p>	<ul style="list-style-type: none"> <li>Number of multi institutional foresight platforms established and functional (1.1.3.1).</li> <li>Number and diversity of (European, African) stakeholders (individuals and organizations, disaggregated by stakeholder category) mobilised (PAEPARD)</li> <li>Number of proposals submitted to the calls (statistical analysis)(PAEPARD)</li> <li>Number of partnerships initiated, supported, mentored (through the call process, and through the federating themes approach lead by FOs)(PAEPARD)</li> <li>Number of partnerships that have submitted eligible proposals to funding mechanisms (PAEPARD)</li> <li>Replications of IAR4D processes and IPs, including number of IPs established in non-SSA-CP countries (SSA-CP)</li> </ul>

Purpose	Key Results	Results	Activities (Based on AWP&B 2014 and Project Documents)
		<p>1.2.6 Number of programmes for implementing priorities in country and regional AFSIPs designed with technical backstopping support by the CGIAR</p> <p>1.2.7 Number of mapping tools and analytical resources applied for CAADP–CGIAR programme alignment</p>	
1.3	<p>Number of participants reached, participating or contributing to IPs, consultations, workshops, meetings (individuals, institutions disaggregated by country, region, gender, stakeholder category)</p>	<p>1.3.1 Number of effective portals for sharing lessons and experiences to support the work of multi-stakeholder agricultural R&amp;D partnerships (1.2.2)</p>	<ul style="list-style-type: none"> <li>• Number of accesses to the website and blog (disaggregated by region/country)(PAEPARD)</li> <li>• Number of pages (website and blog) visited (PAEPARD)</li> <li>• Number of organizations registered on the website (PAEPARD)</li> </ul>
		1.3.2	<ul style="list-style-type: none"> <li>• Number of eCapacities power users trained (2.2.1.1)</li> <li>• Number of live and operational eCapacities portals of partner organizations (2.2.1.1)</li> </ul>

Purpose	Key Results	Results	Activities (Based on AWP&B 2014 and Project Documents)
		<p>1.3.3 Number of NARS supported and reformed into multi-disciplinary, multi-institutional and multi-stakeholder learning and innovation systems through holistic analyses, reviews and monitoring (2.4.3)</p>	<ul style="list-style-type: none"> <li>• Number of targeted countries whose National Agricultural Innovation System (NAIS) have been assessed (2.4.2.1)</li> <li>• Degree of improvement in competency, capacity and capability in African institutions to plan and implement programmes and policies (Norwegian Development Agency (NORAD) Proposal)</li> <li>• Degree of adoption of climate smart agriculture (CSA) practices (including strengthened service industry) (NORAD Proposal)</li> </ul>
		<p>1.3.4 Number of learning platforms developed and their use facilitated at national, sub-regional and continental levels (2.4.6)</p>	
		<p>1.3.5 Number of men and women using the learning platforms (2.4.7)</p>	<ul style="list-style-type: none"> <li>• Number of people trained (by region/country and by stakeholder category) (PAEPARD)</li> <li>• Number of scientists trained at MSc degree level (PSTAD-DONATA)</li> <li>• Number of research and extension staff who have received short-term training (PSTAD-DONATA)</li> <li>• Number of training events (total number of training days) (PAEPARD);</li> <li>• Capacity of key stakeholders strengthened (PSTAD-DONATA)</li> <li>• Number of Fellows and Associate Fellows inducted into the Academy (1.1.2.1)</li> </ul>

Purpose	Key Results	Results	Activities (Based on AWP&B 2014 and Project Documents)
			<ul style="list-style-type: none"> <li>• Number of participants (individuals and institutions disaggregated by country, region, gender, stakeholder category) reached, participating, contributing to the platform consultations, workshops, training and the quality of discussions and output (1.1.3.1).</li> <li>• Number of NARS researchers and research managers participating in IAR4D training and meetings (SSA-CP: 1.2.2.1)</li> <li>• Number of stakeholders (individuals and institutions disaggregated by category) reached, participating, contributing to the studies (3.1.1.1)</li> <li>• Number of participants (by country, region, gender, stakeholder category) and quality of discussions (content, level of contribution, satisfaction of participants with output) from the workshops (3.1.1.2)</li> <li>• Number of experts entered in database disaggregated by sub-region, gender and category (3.1.1.3).</li> <li>• Number of stakeholders (individuals and institutions disaggregated by category) reached, participating, contributing to the FARA-moderated debates and other events (3.1.1.3)</li> <li>• Number of African scientists with better understanding and engaged in research on climate change adaptation-mitigation specific issues (NORAD Proposal)</li> </ul>

Purpose	Key Results	Results	Activities (Based on AWP&B 2014 and Project Documents)
			<ul style="list-style-type: none"> <li>Number and type (diversity) of stakeholders involved (participating in debates or contributing to documentation) in review of national and regional investment plan(s) with regard to existing or planned research on climate smart agriculture related technical and political economy aspects (NORAD Proposal)</li> <li>Number and competencies of scientists in African universities and research institutes and practitioners in the wider agricultural innovation system (AHC-STAFF)</li> <li>Number and diversity of stakeholders involved (participating in debates or contributing to documentation) in review of national and regional investment plans and development of capacity development strategies and proposals (AHC-STAFF)</li> </ul>
	<p><b>Integrating capacities for change:</b> by making the different actors aware of each other's capacities and contributions, and helping them to exploit their relative collaborative advantages to mutual benefit while also strengthening their own human and institutional capacities</p>		
	<p>2.1 Number of institutions adopting FARA-initiated interventions or mechanisms for identifying, articulating and/or addressing capacity needs</p>	<p>2.1.1 Number of agribusiness innovations promoted to commercialisation level (UnIBRAIN)</p>	<ul style="list-style-type: none"> <li>Number of incubated start-ups generating surplus within 2 years of incubation</li> <li>Revenue generated by start-up incubators from UnIBRAIN activities</li> <li>Number of existing businesses that are supported to expand, diversify and enter new markets</li> <li>Number of assisted business reporting increased income/decreased cost of production/decreased operational time</li> <li>Number of farm families benefitting as suppliers to supported agribusinesses</li> </ul>

Purpose	Key Results	Results	Activities (Based on AWP&B 2014 and Project Documents)
		<p>2.1.2 Number of agribusiness graduates supported to develop into efficient entrepreneurs (UniBRAIN)</p>	<ul style="list-style-type: none"> <li>• Number of jobs (permanent, temporary) created by UniBRAIN activities</li> <li>• Number of jobs (permanent, temporary) created in existing businesses as a result of UniBRAIN interventions</li> <li>• Number of university graduates (BSc, MSc) who benefit from improved agribusiness education through internships, attachments and reviewed agribusiness curriculum</li> <li>• Number of university graduates (BSc, MSc) who have established own businesses with support from incubators within one year of graduation</li> <li>• Number of university graduates (BSc, MSc) employed within six months of graduation</li> </ul>
		<p>2.1.3 Number of new agripreneurships and business partnerships catalysed (UniBRAIN)</p>	<ul style="list-style-type: none"> <li>• Number of innovation incubators developed outside the initial winning consortia based on the UniBRAIN model</li> <li>• Number of innovation incubators still being established</li> <li>• Number of additional universities taking up UniBRAIN improved agricultural education products other than revised curricula</li> <li>• Number of additional universities taking up UniBRAIN revised curricula</li> <li>• Number of programme wide public goods/ services funded through incubator contributions (UniBRAIN – 2.1.1.3)</li> </ul>

Purpose	Key Results	Results	Activities (Based on AWP&B 2014 and Project Documents)
		<p>2.1.4 Number of men and women involved in the new agripreneurship and business partnerships (UniBRAIN)</p>	<ul style="list-style-type: none"> <li>Number of (male, female, youth) graduates (BSc, MSc) who benefit from improved agribusiness education through internships, attachments and reviewed agribusiness curriculum</li> <li>Number of (male, female, youth) university graduates (BSc, MSc) who have established own businesses with support from incubators within one year of graduation</li> <li>Number of (male, female, youth) university graduates (BSc, MSc) employed within six months of graduation</li> </ul>
		<p>2.1.5 Number of innovative outputs, experiences and practices shared and scaled up</p>	<ul style="list-style-type: none"> <li>Number of farmers and other stakeholders having access to proven technologies (PSTAD-DONATA)</li> <li>Number of innovation platforms for technology adaptation/adoption (IPTAs) established and operating (PSTAD-DONATA)</li> <li>Number of functional multi-stakeholder partnerships established around IPTAs (PSTAD-DONATA)</li> <li>Level of stakeholder satisfaction with the technologies and innovation (PSTAD-DONATA)</li> <li>Stakeholders increasingly adopt guidelines for cross country sharing of lessons that result in better youth and women employment policy formulation (2.1.2.2)</li> <li>Number of documented stakeholder-validated poverty reduction technologies and innovations (2.3.1.2)</li> </ul>

Purpose	Key Results	Results	Activities (Based on AWP&B 2014 and Project Documents)
		2.1.6 Number of AFAAS and TAE programmes integrated as part of the whole agricultural innovation system in Africa	<ul style="list-style-type: none"> <li>Number of e-capacities related services delivered to stakeholders by AFAAS (2.1.2.3)</li> <li>Number of stakeholders requesting services of AFAAS through the e-capacity network (2.1.2.3)</li> </ul>
		2.1.7 Number of TAE, Extension, Research and Business programmes actively integrated in the implementation of country CAADP programmes	
		2.1.8 Number of analysis reports documenting evidence to support increased investments in capacity strengthening	<ul style="list-style-type: none"> <li>Stakeholders increasingly adopt recommendations for addressing the human capacity needs to achieve projected yields (2.4.1.1)</li> <li>Number of key commodities identified in each of the country national agriculture and food security investment plan and programmes whose yield gaps and productivity projections have been determined and documented (AHC-STAFF)</li> <li>Amount (and quality) of local, circumstance-specific human capital and productivity data and information disseminated and being used in country and regional programme and policy design and evaluation exercises (AHC-STAFF)</li> </ul>
		2.1.9 Number of gender disaggregated evidence-based analysis reports available	
		2.1.10 Number of best practices for technology introduction and dissemination reviewed and improved to incorporate all levels of the agricultural value chain	

Purpose	Key Results	Results	Activities (Based on AWP&B 2014 and Project Documents)
		2.1.11 Number of methodologies for monitoring institutional change developed, validated and popularised	
		2.1.12 Number of best practices for human and institutional capacity strengthening tested and scaled up	
	2.2 Number of institutions (disaggregated by category) whose capacity development needs have been assessed and/or supported (enhanced knowledge, skills and attitudes of individuals delivered through training workshops; changes in organizational design and culture, accountability, responsiveness, transparency and efficiency)	2.2.1 A functional capacity database on sources of agricultural R&D expertise in and outside Africa	<ul style="list-style-type: none"> <li>Evidence of existence of inventories of available and required competencies, knowledge and skills (AHC-STAFF)</li> <li>Evidence of existence of inventories of available and required human resources by level of training, gender, and commodity value chain (AHC-STAFF)</li> </ul>
		2.2.2 A functional e-Capacity platform and knowledge centre	

Purpose	Key Results	Results	Activities (Based on AWP&B 2014 and Project Documents)
		<p>2.2.3 Level of progressive improvement in the status of supply and demand for agricultural innovation research and capacities</p>	<ul style="list-style-type: none"> <li>• Increases in investments by targeted institutions and countries in capacity development (AHC-STAFF)</li> <li>• Improvements in appropriateness of deployment of human resources and physical infrastructure by numbers, levels of knowledge, skills and competencies, linkages and collaborations). (AHC-STAFF)</li> <li>• Changes in the levels of access and use of knowledge, information and technological advancements, skills and in orientation/responsiveness of capacity strengthening efforts towards demand(AHC-STAFF)</li> <li>• Changes in levels of improvements in service delivery, research outputs, trained personnel, facilities and structures, etc. (AHC-STAFF)</li> </ul>
		<p>2.2.4 Number (and extent of support) of agricultural sectors supported by Centres of Excellence</p>	

Purpose	Key Results	Results	Activities (Based on AWP&B 2014 and Project Documents)
	<p>2.3 Number of functional Communities of Practice for creating gender-sensitive capacities formed and addressing identified capacity deficits in the design &amp; implementation of AR&amp;D programmes</p>	<p>2.3.1 Number of research and capacity-strengthening initiatives identified, analysed and strengthened</p>	<ul style="list-style-type: none"> <li>Evidence of existence of stakeholder and country-endorsed compendia of actions with activities targeted at demand-oriented capacity strengthening priorities (AHC-STAFF)</li> <li>Number of proposals submitted for funding to potential/prospective donors (AHC-STAFF)</li> <li>Amount (and quality) of local, circumstance-specific human capital and productivity data and information disseminated and being used in country and regional programme and policy design and evaluation exercises (AHC-STAFF)</li> <li>Degree of improvement in competency, capacity and capability in African institutions to plan and implement human capital development programmes and policies (AHC-STAFF)</li> <li>Degree of adoption of recommended practices, procedures, etc. (AHC-STAFF)</li> </ul>
		<p>2.3.2 Number of new public-private and private-private 'agripreneurship' and business partnerships supported to improve curricula and quality of learning</p>	
		<p>2.3.3 Number of user-friendly and gender-sensitive approaches for human and institutional capacity strengthening developed and promoted especially among rural communities</p>	
		<p>2.3.4 Number of countries actively supported in the design and implementation of CAADP compacts and investment plans</p>	

Purpose	Key Results	Results	Activities (Based on AWP&B 2014 and Project Documents)
		2.3.5 Number of CGIAR and other IARCs actively involved in promoting successful implementation of CAADP processes at national and regional levels	
		<b>Enabling environment for implementation:</b> through advocacy and communication, to generate enabling policies and ensure that they get the stakeholder support required for their implementation.	
	3.1 Number of countries and RECs in which FAAP principles and guidelines have been embedded in national and/or regional compacts and AFSIPs	3.1.1 Proportion of national and regional CAADP compacts with FAAP principles and guidelines embedded	<ul style="list-style-type: none"> <li>• Number of country investments plans technically reviewed</li> <li>• Number of AR&amp;D FAAP-compliant country programmes formulated</li> </ul>
		3.1.2 Level of standardisation/ integration and application of M&E system for tracking adherence to FAAP principles and guidelines in the development of Agricultural Productivity Projects (APPs)	<ul style="list-style-type: none"> <li>• Evidence of quantitative measures in achieving goals and objectives and existence of outcomes to provide useful communication data about the programme (UniBRAIN – 2.1.1.1)</li> <li>• Evidence of adequacy of capacities, knowledge and skills to guide programme implementation, fully implement agreed procedures and processes (UniBRAIN – 2.1.1.1)</li> <li>• Degree of implementation of agreed activities against targets (UniBRAIN – 2.1.1.2)</li> </ul>

Purpose	Key Results	Results	Activities (Based on AWP&B 2014 and Project Documents)
			<ul style="list-style-type: none"> <li>• Extent (and timeliness) to which M&amp;E information is used for instituting corrective measures for identified bottlenecks (UniBRAIN – 2.1.1.2)</li> <li>• Stakeholders increasingly recognise the added value/endorse/adapt the recommendations (3.1.1.1)</li> <li>• Levels of improvement in staffing, staff KIS, infrastructure and technology deployment (2.4.1.2)</li> <li>• Quality of M&amp;E - completion of tasks, including sufficient collection, analysis, dissemination and use of valid, reliable, comprehensive monitoring data (2.4.1.2)</li> <li>• Degree of implementation of agreed activities and of processing, dissemination of data and information (3.1.3.1)</li> <li>• Level of quality and maintenance of databases, accessibility and use of M&amp;E data and information (3.1.3.1)</li> <li>• Levels of alignment of capabilities and capacities, engagement and diversity of dialogue and relationships for planning, coordinating and managing M&amp;E (3.5.2.1)</li> <li>• Levels of adoption and use of standardised processes (3.5.2.1)</li> </ul>
		3.1.3 Quality of system for mobilising technical assistance for the CAADP Technical Group of Experts (TGE)	
		3.1.4 Level of harmonisation of investments in African agricultural innovation systems	

Purpose	Key Results	Results	Activities (Based on AWP&B 2014 and Project Documents)
		<p>3.1.5 Proportion of FARA budget representing new pan-African agricultural R&amp;D initiatives emerging in response to demand expressed by FARA's constituents</p>	
	<p>3.2 Number of information and knowledge products/packages (<i>briefs, reports, scientific papers and publications documentaries</i>) produced and made available to stakeholders, including extent to which papers meet agreed standards, number/ proportion of policy issues where recommendations are largely endorsed, etc.</p>	<p>3.2.1 Number of policy analysis studies undertaken and evidence generated to support advocacy campaigns</p>	<ul style="list-style-type: none"> <li>Number of key policy documents documenting/ actions needed to address the main barriers to scaling up agricultural practices, lessons related to scaling up CSA (including issues related to gender and inter-generational equity) shared, and/or tabled to the AU continental and regional policy and priority-setting dialogue and decision in the context of the "Sustaining CAADP Momentum" (NORAD Proposal)</li> <li>Extent to which recommendations from the study have been adopted and incorporated into the Science Agenda for African Agriculture (NORAD Proposal)</li> </ul>
		<p>3.2.2 Number of documented successes and failures in African agricultural R&amp;D undertaken to enhance evidence-based CAADP policy-making process</p>	<ul style="list-style-type: none"> <li>Number of briefing papers (on identified trends and emerging issues, utility of emerging sciences and requirements for use, alternative approaches as elucidated from foresight studies) tabled to the Forum and other forums (1.1.2.1).</li> <li>Number of documented outputs from the established foresight platforms (1.1.3.1).</li> </ul>

Purpose	Key Results	Results	Activities (Based on AWP&B 2014 and Project Documents)
			<ul style="list-style-type: none"> <li>Number of documents uploaded on the project repository and made available publicly (PAEPARD)</li> <li>Number of country case-studies of successful examples of scaling up sustainable agricultural practices and the policies and resources that were needed to overcome the barriers to scaling up concluded (NORAD Proposal)</li> </ul>
		3.2.3 Number of best practices for enhancing agricultural innovation in Africa published and disseminated	<ul style="list-style-type: none"> <li>Number of publications and knowledge products shared (3.5.2.1)</li> <li>Amount (and quality) of local, circumstance-specific political economy data and information on CSA disseminated and being used in country and regional programme and policy design and evaluation exercises (NORAD Proposal)</li> </ul>
3.3 Number of stakeholders (individuals, institutions disaggregated by country, region, gender, stakeholder category) to whom information has been disseminated through continental information and knowledge-sharing platforms (websites, publications, visual and social media)		3.3.1 Number of high-level delegates participating in each convened continental platform for advocacy and communicating policy issues (at least 30% women)	<ul style="list-style-type: none"> <li>Number of decision makers reached through advocacy material (disaggregated by category) (PAEPARD)</li> <li>Number of decision makers participating in project-organized (PAEPARD) events (disaggregated by category)</li> </ul>

Purpose	Key Results	Results	Activities (Based on AWP&B 2014 and Project Documents)
		3.3.2 Number of users accessing the continental information-exchange platforms (RAILS and FARA portal)	<ul style="list-style-type: none"> <li>• Number of users accessing the platform (2.3.1.1)</li> <li>• Number of users trained to use and maintain the African AIS portals (3.3.1.1)</li> <li>• Number of users accessing information and knowledge through the continental portals (3.3.1.1)</li> <li>• Number of users (by gender, stakeholder category) accessing learning and IP and/or satisfied with the technologies and innovations on offer (3.3.2.1)</li> <li>• Number of training events and participants (by stakeholder category, gender) (3.3.2.1)</li> </ul>
			<ul style="list-style-type: none"> <li>• Number of participants (and training days) by country/region, gender, stakeholder category, type of training. (3.3.4.1)</li> <li>• Traffic and volume of technical information deposited on the website and social media pages</li> <li>• Number of gender disaggregated users accessing information on ARD through FARA's website and social media pages</li> <li>• Level of recognition of FARA at national, sub-regional, regional and international fora amongst diverse stakeholders</li> <li>• Volume of media coverage for FARA events</li> <li>• Number and quality of photographs in FARA's photographic library</li> <li>• Level of adoption of communication strategy</li> <li>• Volume of gender-sensitive technical information deposited on the mobile App</li> <li>• Number of users downloading mobile App disaggregated by gender</li> </ul>

Purpose	Key Results	Results	Activities (Based on AWP&B 2014 and Project Documents)
		<p>3.3.3 Number of users accessing DONATA learning and IPs</p> <p>3.3.4 Proportion of targeted beneficiaries, NARS and SROs adopting improved innovation-systems approaches</p>	<ul style="list-style-type: none"> <li>Level of satisfaction with reliability of internet access and content of the knowledge portals</li> </ul>
	<p>3.4 Number of platforms used for information delivery and exchange</p>	<p>3.4.1 Number of continental platforms established and facilitated</p>	<ul style="list-style-type: none"> <li>Number of subscribers from different categories of ARD stakeholders engaged in discussions on the virtual platform (1.2.3.1).</li> </ul>
			<ul style="list-style-type: none"> <li>Number of themes/subjects discussed on the D-group platform (1.2.3.1).</li> <li>Number of participants and quality of discussions/reports from the e-Consultations, workshops, using the self-assessment tool (2.4.3.1)</li> <li>Number of participants and quality of discussions from consultative workshops (2.4.4.1)</li> <li>Number of stakeholders (individuals and institutions disaggregated by category) reached, participating, contributing to the studies</li> <li>Number of thematic networks established on the eRAILS online system (3.3.1.1)</li> <li>Number of key issues affecting agricultural innovation raised/posted for discussion through the FARAnet online Dgroups (3.3.1.1)</li> <li>Number of IPTAs &amp; multi-stakeholder partnerships around IPTAs established and operating</li> </ul>

Purpose	Key Results	Results	Activities (Based on AWP&B 2014 and Project Documents)
	3.5 Degree of improvement in availability of ICTs ( <i>magnitude of ICT speed and capacity performance, reliability of internet access, equity, service quality, cost-effectiveness</i> ) amongst targeted NARS institutions	3.5.1 Increase in the number of interlinked knowledge-management portals addressing emerging issues	<ul style="list-style-type: none"> <li>(Magnitude of) ICT speed and capacity performance of existing NARS institutes (PSTAD-RAILS)</li> <li>Level of use and maintenance of AAIS by trained research and extension staff (PSTAD-RAILS)</li> <li>(Extent) NARS share knowledge and information through websites, publications and visual media (PSTAD-RAILS)</li> <li>Level of participants' satisfaction with reliability of internet access and with the content of eRAILS (PSTAD-RAILS)</li> </ul>
		3.5.2 Number of open-access agricultural information platforms inter-linked by RAILS	
		3.5.3 Number of gender-sensitive tools for capturing, packaging and disseminating agricultural information for trade and investment identified and applied	<ul style="list-style-type: none"> <li>Existence of functional communication</li> <li>Number, quality and availability of FARA knowledge products and services</li> <li>Number of tools for communication and information sharing being used/developed</li> </ul>
		3.5.4 Number of knowledge management strategies introduced supporting agricultural R&D	
		3.5.5 Proportion of identified needs and constraints in the functioning of IPs at intra- and inter-regional levels in Africa validated	
		3.5.6 Proportion of intra-Africa agricultural information and knowledge systems that are ICT-based	<ul style="list-style-type: none"> <li>Number of IPTAs using relevant ICT tools in information and knowledge management</li> </ul>

Purpose	Key Results	Results	Activities (Based on AWP&B 2014 and Project Documents)
		3.5.7 Proportion of FARA constituent institutions in Africa applying standardised M&E systems for inter-linked and complementary communication strategies and systems for agricultural development	
		3.5.8 Proportion of needs and demands for communication among agricultural knowledge systems for Africa's agriculture satisfied	

## 7. Reference manual for indicators

A separate complementary manual presents relevant and more detailed information on each MTOP indicator and the data collection sheets to be used by any person collecting data on specific indicators irrespective of spatial location. In general, for each indicator, a justification for the estimates is presented; additionally, what is being measured, the relationship between the indicator and the outcome or impact expected, and the potential sources of data for constructing each indicator are clarified (Table 11). The indicator levels shall be set in baseline studies (where baselines are not given or contestable) and updated annually in order to monitor the progress towards meeting commitments. To avoid duplication of effort, the FARA secretariat shall coordinate with the SROs and NPCA in generating the data required to calculate indicators at the purpose and goal levels. FARA shall retain responsibility, at the continental level, for empirical analysis, developing the analytical techniques, defining data requirements and sources, base year selection and reporting formats for reporting against the results indicators.

**Table 11: Key elements of Indicator Reference Sheet**

<b>NAME/TITLE OF INDICATOR</b> Identify the original name in the RF, its code and level of indicator (example: output indicator or impact indicator)	<b>REPORTING SCHEDULE/FREQUENCY OF COLLECTION</b> Identify period of reporting (monthly, quarterly, semester, annually)
<b>DEFINITION</b> Explanation about the indicator	<b>NEW INDICATOR/INTERNAL PROJECT DEFINITION</b> If it is needed to change or have a new one for the current period, or redefine/customise indicator
<b>OBJECTIVE/REASONING</b> Explanation on the importance of the selected indicator	<b>EXPECTED PERFORMANCE</b> Explain the level/trend of desired performance (increase, decrease, target, etc.)
<b>DATA COLLECTION/SOURCE</b> Source from which information will be obtained to measure indicator	<b>OFFICE IN CHARGE WITH INDICATOR</b> Indicate Programme/Unit responsible for reporting against the indicator
<b>METHODS OF CALCULATION/DATA COLLECTION</b> Indicate units of measurement, if direct into data collection sheets, sequential data, or derived (give formulae)	<b>DATA INDICATOR MANAGER</b> Indicate individual designated as responsible for data collection

<b>ISSUE OF DATA COLLECTION</b> Anticipated imitations in collecting data for the indicator and actions required to ensure data quality	<b>TIME OF INDICATOR DATA COLLECTION</b> Date of data collection
<b>TYPE OF CALCULATION</b> Cumulative or non-cumulative indicator	<b>INDICATOR STANDARD/BENCHMARK OF INDICATOR</b> Identify accepted reference point or standard against which performance or achievements can be assessed

Each intervention under the MTOP shall have a set of indicators against which it shall be monitored. These may be exactly the same indicators in the MTOP logframe or could be customised. In developing the data collection sheets, thought should be given to the collection of disaggregated data (for example, on gender) as well as to capture essential steps in moving towards fulfilling indicators that may take a considerable time to satisfy completely (e.g. those related to policy). The sheets should also be designed in tandem with the MIS—which should reduce data entry time. Table 12 gives a sample indicator reference sheet, followed by a further explanation of the generic information sets.

**Table 12: Indicator Reference Sheet**

**Indicator (Code): I.02**

**Indicator Name: Stakeholders increasingly recognise the added value of regional information-sharing and management<sup>13</sup>**

<b>(a) Original log-frame definition:</b>	Stakeholders recognise the added value of regional information sharing and management
<b>(b) Internal project definition:</b>	Stakeholders “ <i>increasingly</i> ” recognise the added value of regional information sharing and management
<b>(c) Logic for change:</b>	The original definition is not an indicator but a benchmark (no recognisable change over time). The internal change brings into the indicator the element of change over time with the addition of the word “ <i>increasingly</i> ”
<b>(d) Indicator assumption:</b>	That with increasing exposure to quality agricultural data and information supported by targeted training, decision makers in Africa will increasingly see the value of information sharing
<b>(e) Origin &amp; hierarchical level:</b>	A log-frame indicator targeting the purpose. Measurement of change of opinion by qualitative means
<b>(f) Type of indicator:</b>	Impact indicator
<b>(g) Indicator description and relevant information:</b>	Change of opinion over time of the value of use/sharing of relevant agriculture-related information available in the public domain
<b>(h) Unit of measurement:</b>	Qualitative measure of level of opinion
<b>(i) Sources of Data:</b>	FARA proposes to measure change of opinion over time of members and visitors to its website. It will also test the practicality of surveying participants at relevant continental and sub-regional agricultural sector meetings

13. This is an example of how at the lower implementation levels the more direct measures of “changes in diversity of actors participating in and benefiting from the agricultural innovation system”—the indicator that appears in the MTOP at the purpose level—could be expressed.

<b>(j) Data collection method:</b>	Simple questionnaire with staged levels of opinion using standard market survey techniques (the Osgood Index)
<b>(k) Frequency of data collection:</b>	Annually on the website and as practicable at relevant meetings
<b>(l) Baseline situation:</b>	To be determined
<b>(m) Benchmark:</b>	Not available
<b>(n) Responsibility for data collection and reporting:</b>	SP3 – Ifidon
<b>(o) Anticipated data quality limitations &amp; actions necessary to ensure data quality:</b>	As to be expected from qualitative measurements of this type
<b>(p) Data quality control &amp; verification (internal):</b>	None anticipated

- a) *Original MTOP logframe indicator definition:* There may be relational problems inherent in some of the MTOP logframe indicators against which FARA must report its progress and impact over time. Nonetheless, until there is mutual stakeholder agreement to formally change the logframe indicators, all implementers shall have no alternative but to report against the original definitions (or link their indicators to these original defined indicators). Thus the first row in each information sheet shall provide the original logframe definition as it appears in the MTOP logframe.
- b) *Internal project definitions:* To simplify indicator monitoring and enable easy comprehension of data requirements of indicators, project logframe indicator definitions may be rewritten for customisation, but in such a manner as to retain, as far as possible, the original underlying requirement of the indicator. Such rewriting shall strictly be for internal use. Contractual progress reporting will still make use of the original definitions.
- c) *Logic for change:* As the title suggests, where the MTOP indicator has been rewritten, the logic for making the necessary changes to internal definitions of logframe indicators shall be reported.
- d) *Indicator assumption(s):* In seeking to measure progress and/or impact, each indicator makes certain assumptions. These shall be listed and, where necessary, explained.
- e) *Origin and hierarchical level:* A series of indicators have been selected for each of the three key results and associated targeted results of the MTOP. As stated in the previous sections, the indicators for each result have been selected to measure progress and/or impact towards different levels of ambition: purpose, results/outputs and activities. All targeted levels shall be defined in the log-frame that describes the project. The key-results level has been added during the design of the MTOP as a convenient halfway point between results and outcomes. The alternative could have been to name the key results as “results” and the results as “sub-results”.
- f) *Types of indicators:* Indicators either measure progress in the execution of activities or the impacts of those activities on the target population. Progress indicators are frequently located at the sub-result (result in case of MTOP) and activity levels, while impact indicators are more often found at the results (key result in MTOP), purpose and goal levels.

- g) *Indicator definitions and other information:* The information provided in this part of the information sheet is among the most important of the reference material for staff members involved in M&E activities. The definition is included as a means of stipulating precisely how each member of the project must interpret the indicator concerned. It is of utmost importance that everyone interprets each indicator in exactly the same way; if not, variations in measurements are likely to occur. Thus there is a precise description and explanation of the different parts of the indicator definition to avoid confusion. Additional information on each indicator shall also be provided such as the country or the geographical zone where the indicator will be measured (space), gender focus, etc.
- h) *Unit of measure:* The unit to be used for each indicator: number, US\$, etc.
- i) *Data sources:* The source(s) from which the project will collect data to measure the indicator.
- j) *Data collection methods:* Simple elements for data collection shall be developed in this section of the information sheets. Data for the majority of indicators should normally be collected directly into the data collection sheets developed for each indicator concerned. Models of each data collection sheet should be presented immediately after the information sheet. Some data collection sheets may be used to collect sequential data on two or more linked indicators.
- k) *Frequency of data collection:* The frequency of data collection is very much indicator-dependent. Normally data are collected either quarterly or annually but there can be indicators—for example, those related to training—that generate data more frequently and others (e.g. related to policy) that generate data more infrequently.
- l) *Baseline (or reference) data:* To ensure that the impacts and progress of the project show up clearly, it is necessary to measure the baseline or reference situation for each indicator. For the overwhelming majority of indicators, the reference situation is equivalent to zero at time zero (the start of project activities). But for a few others, the reference situation is a real value to be determined by using the method indicated in the relevant information sheets.
- m) *Benchmark:* A benchmark is a reference point or standard against which performance or achievements can be assessed, or it can be a target to strive for.
- n) *Responsibility for data collection:* All Forum members have a certain level of responsibility for indicator data collection for the MTOP as indicated in the data sheets. For specific interventions, the team member responsible for each indicator shall be identified in this section of the information sheet.
- o) *Data limitations anticipated/actions to ensure data quality:* Data to be collected for some indicators may be difficult to obtain or may have elements of inaccuracy. This section of the sheet includes a number of elements that may help to improve accuracy. In reality and despite a lot of revision of indicator definitions, there still exist a few indicators which can prove problematic. Nevertheless, the project should ensure that adequate quality control mechanisms are put in place for data to be collected for all indicators. Programme directors shall lead this initiative.

- p) *Data quality control and verification:* It is important to emphasise that quality control of M&E data is usual for all projects and that the person responsible for quality control is not an M&E policeman but simply ensuring that any dubious data is not used in project reporting. The most direct process involves normalisation of captured data, whereby input data are referenced to the RF matrix and unauthorised data and database modifications are disallowed. In automated systems, quality control is partially ensured through assigning user and access rights.

## 8. System automation

---

---

The FARA strategy for M&E automation is to develop a simple, technology-enabled monitoring approach that supports FARA managers, staff and partners at multiple levels to capture, analyse, visualize and report on progress in delivering work and achieving results. The monitoring approach should inform management and decision-making so that FARA can adapt more quickly and effectively as we learn what's working and sense changes in our environment. This will involve (i) developing and implementing a practical monitoring approach that meets the needs of FARA and its stakeholders; (ii) building the capacity of FARA staff and key partners to populate and use the approach; and (iii) creating clear data visualization and reporting tools to communicate monitoring results to multiple audiences for more effective management and decision-making.

The results framework will be used to communicate the progress and results of the interventions. The general approach will be to include results in a “dashboard”, highlighting only the key high-level objectives and outcomes/outputs achieved, using the framework for planning and review meetings (with the current status of the indicators highlighted), and using the change in the indicators from baseline to highlight the results. Thus, choosing the correct outcome indicator and connecting it to key intervention outputs should provide a powerful communication and dissemination tool to inform and gather support from key stakeholders. Where Web-based data entry and reporting are not practical, provisions will be made for the next best means of transmission, such as the use of Excel templates, which can be transferred by email or hard copy.

FARA M&E data captures technical factors in the form of performance and impact indicators; time factors in the form of detailed periodic plans of various activities; and financial factors in form of comparative budget forecasts and utilisation. The automation tool required should be able to improve productivity by allowing data capture and processing for automated reporting and quick access to information. In addition, the tool should enable normalisation of captured data by referencing input data to the Annual Work Programme/Results Framework Matrix and incorporate easy database query facilities to enable multi-criteria sorting on several aspects of monitoring, analysis of detailed data and the identification of problem areas for rapid decision making. The tool should have the right set of functionalities, produce the right information for

those exerting technical control on the various activities, and be highly interactive to provide direct access to key performance indicators.

The system, overall, should enable the linkage and export of data for further data processing and analysis, with a General User Information (GUI) environment that allows users with little IT skills to navigate through the system. This requires:

- a) A data and application infrastructure that encourages best practices. Data and indicator templates should provide best practices structure for data collection and for metric-based planning and reporting by location by time.
- b) Accessible and open data administered by data's provider to ensure data quality and integrity.
- c) Data collection and analysis in real time.
- d) User-driven data management to ensure sustainability without custom services.
- e) Local to global collaboration – including interactive tools and applications, not just web pages of reports and maps.
- f) Identifying and tracking indicators with context and traceability. Impact is measured based on quantifiable data and progress is tracked against goals - by location and time.

The following strategy and actions will be required:

**1. *Developing and implementing a practical FARA-wide monitoring approach, with an emphasis on:***

- Identifying existing data and information needs across FARA and analysing gaps to determine optimal strategy for monitoring data for the full portfolio of programmatic and operational work.
- Designing and implementing a simple, technology-enabled approach to meet these data and information needs by collecting, storing, retrieving and analysing progress against targets in a near “real time” way.
- Codifying and standardizing monitoring processes and tools to ensure a common approach is used across teams, while addressing customized needs where appropriate (e.g., teams working on TBAs vs. teams working on the FARA finances).
- Guiding the development of any basic, cost-effective technological solutions that may be needed, using an iterative and adaptive approach.
- Ensuring relevant data on outcome/impact monitoring is captured appropriately and fed into the new monitoring and reporting approach in a timely way for a full picture of progress; incorporate scanning data on changes in the external environment to help monitor and mitigate risks.
- Ensuring relevant data related to grants and other resources are captured appropriately and fed into the new monitoring system in a timely way for a full picture of investments made.

**2. *Building the capacity of FARA teams and key partners to populate and use the monitoring approach:***

- Supporting programme and operations teams to populate and use the monitoring approach to track progress and manage their work by extracting useful, relevant information that can help them learn and adapt.
- Engaging with individual teams in developing the short-term monitoring indicators related to strategy and plan delivery (typically connected to inputs, activities, and outputs) that will be integrated with outcomes and impact data in the monitoring approach.
- Ensuring the ability of the M&E function of FARA to use data for integrated reporting.

**3. *Creating clear data visualization and reporting tools to communicate monitoring results to multiple audiences for more effective management and decision-making:***

- Developing tools to analyse and communicate progress for teams and at a FARA-wide level using clear narratives and compelling data visualization.
- Customizing content at a range of levels for different stakeholders, including different sets of programme and operations staff, managers, as well as the Board of Trustees and external stakeholders.
- Linking M&E results and lessons with the strategy and planning functions and ensuring analysis informs dynamic strategy shaping and annual work programming.
- Identifying patterns and implications for the work of the FARA and advising accordingly.

# Annex 1: FARA MTOP 2014–2018

## Results framework

### Annex 1a: Measures of Impact to which FARA Contributes and Measures of Outcomes or Changes Resulting from Uptake and Use of FARA Products

Narrative summary	Indicators	Means of verification	Assumptions
<p><b>Goal:</b> Sustainable reduction of food insecurity and poverty in Africa while protecting the environment</p>	<p>Measures linked to the MDGs (Sustainable Development Goals post-2015) and contribution to Africa's socio-economic development focusing on reduction in levels of poverty, greater wealth creation, resilience and increases in food and nutrition security by: (1) gender, (2) space, (3) age, (4) socio-economic group, and improvements in quality of environment</p>	<p>UNDP reports CAADP M&amp;E ReSAKSS reports African Development Bank statistics Ministries of Agriculture and Finance National accounts WB and FAO statistics</p>	
<p><b>Purpose:</b> To generate high, broad-based and sustainable agricultural growth in Africa</p>	<p>Indicators generally show the efficiency and effectiveness of FARA and partners' investments in boosting agricultural productivity, generating market surpluses for targeted value chains, building functional linkages between and amongst institutions of the AAIS, and boosting stakeholder engagement and investment in the agricultural sector, namely,</p> <p><i>Productivity:</i> Changes in real AgGDP growth rate and factor productivity, and use by: (1) sub-sector, (2) commodity, (3) gender, (4) socio-economic group, (5) space</p> <p><i>Markets:</i> Changes in market share, access and status/condition/ capacity/severity of related trade-barriers</p> <p><i>Competitiveness:</i> Changes in RoI, costs and price trends, conformity to specific standards by: (1) sub-sector, (2) commodity, (3) space</p>	<p>UNDP reports AU/CAADP reports Re-SAKSS reports FARA reports</p> <p>FARA annual reports CAADP M&amp;E ReSAKSS reports Ministries of Agriculture and Finance national accounts WB and FAO reports</p>	<ul style="list-style-type: none"> <li>• Regional political and socio-economic conditions do not negate gains, and agricultural transformation and sustained inclusive agricultural growth continue to be key in continental, regional and national development strategies</li> <li>• National and international contexts promote benefits (at this level)</li> <li>• CAADP components increasingly contribute to a supportive agricultural environment</li> <li>• Active coordination with other relevant non-agricultural R&amp;D sectors boosts positive response to the needs of the rural and urban poor</li> <li>• Strengthened human resource and systemic capacity is developed/ attracted and retained in Africa</li> </ul>

Narrative summary	Indicators	Means of verification	Assumptions
	<p><i>Diversity and sustainability:</i> Changes in diversity of actors participating in and benefiting from the agricultural innovation system by gender, social group, age and space</p> <p><b>Indicator 1:</b> Percentage increase in number of individuals, groups, organizations directly affected or reached by FARA interventions (disaggregated by gender)</p> <p><b>Indicator 2:</b> Percentage increase in core competencies, capabilities and capacities for innovation among targeted (<i>individual, organizational / inter-organizational and/or institutional</i>) ARD actors</p> <p><b>Indicator 3:</b> Degree of stakeholder satisfaction with FARA performance and quality of products and services</p> <p><b>Indicator 4:</b> Level of annual contributions by African governments and institutions to agricultural research funding</p>		<ul style="list-style-type: none"> <li>• National and international political and economic environments do not negate gains as political leadership continues to ensure a conducive and stable policy environment, and evidence-based action improves public sector planning, implementation and review</li> <li>• HIV infection rates do not further undermine the ability of the African labour force to engage in agriculture</li> </ul>

## Annex 1b. Measures of the Added Value of FARA Support and Interventions to Institutional Transformation and Operational Effectiveness of the AAIS

Results	Indicators	Sources of verification	Assumptions
<b>Key Result 1: African agricultural stakeholders determining how the sector should be transformed and establishing the needed collective actions in a gender-sensitive manner</b>	<b>Indicator 1.1:</b> Number of countries with AR&D agendas being influenced by the S3A (outcome of foresight studies, countries and RECs in which FAAP principles and guidelines have been embedded in CAADP national and/or regional compacts and AFSIPs)	FARA M&E progress reports SRO, Regional Economic Communities (RECs) & NARS reports CAADP/IFPRI/ ReSAKSS reports Reports from GFAR Global Foresight Academy CGIAR annual reports African Science Agenda reports	<ul style="list-style-type: none"> <li>National and international political and socio-economic environment does not negate gains at this level while political leadership continues to ensure a conducive and stable policy environment</li> <li>Adequate infrastructure (including ICT) and general systemic capacity is developed and maintained</li> <li>National policies, international events and unfair competition do not compromise gains</li> </ul>
	<b>Indicator 1.2:</b> Number of functional partnerships and platforms for agricultural innovation and trade among African stakeholders and between them and northern and southern partners established		
	<b>Indicator 1.3:</b> Number of participants (directly) reached, participating or contributing to IPs, consultations, workshops, meetings ( <i>individuals, institutions disaggregated by country, region, gender, stakeholder category</i> )		
<b>Key Result 2: Strengthened and integrated continental capacity responding to stakeholder demands within the agricultural innovation system in a gender-sensitive manner</b>	<b>Indicator 2.1:</b> Number of institutions adopting FARA-initiated interventions or mechanisms for identifying, articulating and/or addressing capacity needs	FARA M&E progress reports Tertiary institutions' reports UniBRAIN initiative reports	<ul style="list-style-type: none"> <li>Complementary and enabling policies and legal frameworks are developed and implemented</li> <li>Increased systemic capacity, inclusiveness and evidence-based action improve public sector planning, implementation and review</li> <li>Transformational change stimulates greater stakeholder engagement and investment</li> <li>Targeted and coordinated support, capacity building, peer review and learning generate institutional transformation</li> </ul>
	<b>Indicator 2.2:</b> Number of institutions ( <i>disaggregated by category</i> ) whose capacity development needs have been assessed and/or supported ( <i>enhanced knowledge, skills and attitudes of individuals delivered through training workshops, and changes in organizational design and culture, accountability, responsiveness, transparency and efficiency</i> )		
	<b>Indicator 2.3:</b> Number of functional Communities of Practice for creating gender-sensitive capacities formed and addressing identified capacity deficits in the design and implementation of AR&D programmes		

Results	Indicators	Sources of verification	Assumptions
<b>Key result 3: Creating an enabling environment for increased AR4D investment and implementation of agricultural innovation systems in a gender-sensitive manner</b>	<b>Indicator 3.1:</b> Number of information and knowledge products/packages ( <i>briefs, reports, scientific papers and publications documentaries</i> ) produced and made available to stakeholders	Country and REC reports AU–NEPAD reports FARA reports	
	<b>Indicator 3.2:</b> Number of stakeholders ( <i>individuals, institutions disaggregated by country, region, gender, stakeholder category</i> ) reached with information through continental information and knowledge sharing platforms ( <i>websites, publications, visual and social media</i> )		
	<b>Indicator 3.3:</b> Number of platforms used for information delivery and exchange		
	<b>Indicator 3.4:</b> Degree of improvement in availability of ICTs ( <i>magnitude of ICT speed and capacity performance, reliability of internet access, equity, service quality, cost-effectiveness</i> ) amongst targeted NARS institutions		

## Annex 1c. Activities and Initiatives of the MTOP 2014–2018

Key Activity	Details
<b>SP1: Visioning Africa's Agricultural Transformation</b>	
1.1 Mobilising high-level stakeholder ownership of gender-disaggregated evidence-based information and policy recommendations derived from strategic analysis and foresight studies	1.1.1 Developing and piloting the use of new gender-sensitive integrated planning tools for assessing risks and opportunities for agricultural transformation
	1.1.2 Convening continental think tanks to analyse gender-sensitive policy options for longer-term agricultural transformation (including establishing the African Chapter of the GFAR Global Foresight Academy; supporting study teams at the continental and SRO level)
	1.1.3 Facilitating gender-sensitive foresight platforms (private sector, including farmers, government and knowledge institutions) for developing alternative scenarios at sub-regional and continental levels
1.2 Establishing and maintaining functional partnerships and platforms among African stakeholders (intra-continental), and between them and the northern and southern partners (Africa–South, Africa–North and Africa–South–North), for agricultural research and innovation	1.2.1 Advocating for the adoption of innovation systems approaches and identifying and disseminating gender-sensitive innovations (institutional, policy, market, technological) and best practices for catalysing learning among agricultural innovation actors
	1.2.2 Establishing and maintaining a portal and facilitating gender-sensitive communication platforms and multi-stakeholder exchanges for sharing lessons and experiences
<b>SP2: Integrating Capacities for Change</b>	
2.1 Establishing functional Interactions and partnerships for creating capacity among farmers, research, education, extension, trade and agribusiness organizations	2.1.1 Supporting and promoting commercialisation of agribusiness innovations
	2.1.2 Facilitating the integration of research, education, extension and agribusiness for sharing, scaling and sustaining the CAADP momentum
2.2 Improving responsiveness and relevance of African institutions through mechanisms for articulating demand and strengthening the capacity to respond	2.2.1 Matching and forecasting the supply and demand in capacities for agricultural innovation
2.3 Strengthening and sustaining capacity pools and communities of practice addressing identified capacity deficits (in the design and implementation of R&D programmes) in a gender-sensitive manner	2.3.1 Identifying and promoting suitable teaching, learning and knowledge-sharing approaches that are user-friendly and gender-sensitive

Key Activity	Details
2.4 Strengthening human, organization and institutional capacities for gender-sensitive agricultural innovation	2.4.1 Conducting strategic analyses to generate evidence to support increased investments in capacity strengthening
	2.4.2 Strengthening the capacities of African agricultural innovation systems
	2.4.3 Establishing learning platforms at national, sub-regional and continental levels to promote lessons and best practices for institutional change
	2.4.4 Catalysing development, testing and scaling up of new approaches for human and institutional capacity strengthening
<b>SP3: Enabling Environment for Implementation</b>	
3.1 Facilitating policy analysis and advocacy of overarching priorities and emerging issues that affect agricultural innovation in Africa	3.1.1 Undertaking strategic policy studies to capture, analyse and articulate successes and failures in African ARD to enhance the evidence-based CAADP policy-making process
	3.1.2 Disseminating policy research outcomes widely through various channels, including ministerial and parliamentary conferences, workshops and publications to enhance the evidence-based CAADP policy-making process
	3.1.3 Monitoring and evaluating the quantity, level and harmonisation of investments in African agricultural innovation
3.2 Advocating for and communicating FAAP principles and guidelines in all aspects of CAADP planning and implementation	3.2.1 Facilitating the integration of FAAP principles and guidelines into national and sub-regional CAADP compacts
3.3 Accessing information and knowledge for learning exchange in agricultural innovation knowledge systems	3.3.1 Establishing, managing and facilitating the use of continental platforms (RAILS/e-RAILS, AFAPP, FARAnet, AfricaAdapt, etc.) for knowledge exchange and communicating advocacy messages to policy makers at all levels
	3.3.2 Facilitating development and use of appropriate systems and tools to organize knowledge resources for Africa-wide learning, scaling technologies, facilitating trade, and building constituencies
	3.3.3 Facilitating linkages between knowledge exchange platforms
	3.3.4 'Opening Access' to knowledge resources for African agricultural research, extension, education, farming communities and trade
	3.3.5 Identifying and recommending tools to capture, package and disseminate agricultural knowledge and innovation
	3.3.6 Developing guidelines for communications and knowledge management in ARD

Key Activity	Details
3.4 Catalysing and connecting African policy makers and advocacy agents to deliver evidence-based policy support to the CAADP process and advocacy for increased and better-quality investment in Africa's agricultural innovation and knowledge systems	3.4.1 Identifying and validating the needs and constraints associated with the implementation of effective intra-continental and inter-regional IPs
	3.4.2 Identifying, publishing and disseminating best practices, including institutional changes necessary for enhancing agricultural innovation in Africa
	3.4.3 Spearheading the development and mobilisation of resources for new pan-African agricultural research-for-development initiatives that will emerge in response to the demand expressed by FARA's constituents
3.5 Establishing effective communication strategies and systems, including ICT, for disseminating and building constituencies for policy changes	3.5.1 Facilitating the use of ICTs in organizing information and knowledge dissemination among the agricultural knowledge systems for scaling technologies, facilitating trade and building constituency
	3.5.2 Establishing M&E systems for inter-linked and complementary communication strategies and systems for agricultural development in Africa
	3.5.3 Systematically and dynamically assessing the demands for communication among agricultural knowledge systems for Africa's agriculture

## Annex 2: Standard assessment frameworks

### Annex 2a: Guidelines of the African Evaluation Association (AfrEA), 2002

A checklist to assist in planning evaluations, negotiating clear contracts, reviewing progress and ensuring adequate completion of an evaluation

**Utility:** The utility guidelines are intended to ensure that an evaluation will serve the information needs of intended users *and be owned by stakeholders*.

- U1. Stakeholder Identification:** Persons and organizations involved in or affected by the evaluation (with special attention to beneficiaries at the community level) should be identified and included in the evaluation process, so that their needs can be addressed and the evaluation findings are utilizable and owned by stakeholders to the extent this is useful, feasible and allowed.
- U2. Evaluator Credibility:** The persons conducting the evaluation should be both trustworthy and competent to perform the evaluation, so that the findings have maximum credibility and acceptance.
- U3. Information Scope and Selection:** Information collected should be broad in scope to address pertinent questions about the programme and be responsive to the needs and interests of clients and other specified stakeholders.
- U4. Values Identification:** The perspectives, procedures, and rationale used to interpret the findings should be carefully described, so that the bases for value judgments are clear. The possibility of allowing multiple interpretations of findings should be transparently preserved, provided that these interpretations respond to stakeholders' concerns and needs.
- U5. Report Clarity:** Evaluation reports should clearly describe the programme being evaluated, including its context, and the purposes, procedures, and findings of the evaluation, so that essential information is provided and easily understood.
- U6. Report Timeliness and Dissemination:** Significant interim findings and evaluation reports should be disseminated to intended users, so that they can be used in a reasonably timely fashion, to the extent that this is useful, feasible and allowed. Comments and feedback of intended users on interim findings should be taken into consideration prior to the production of the final report.
- U7. Evaluation Impact:** Evaluations should be planned, conducted, and reported in ways that encourage follow through by stakeholders, so that there is greater likelihood that the evaluation will be used.

**Feasibility:** The feasibility guidelines are intended to ensure that an evaluation will be realistic, prudent, diplomatic, and frugal.

- F1. Practical Procedure:** The evaluation procedures should be practical and keep disruption to a minimum while needed information is obtained.
- F2. Political Viability:** The evaluation should be planned and conducted with anticipation of the different positions of various interest groups, so that their cooperation may be

obtained, and so that possible attempts by any of these groups to curtail evaluation operations or to influence or misapply the results can be averted or counteracted to the extent that this is feasible in the given institutional and national situation.

**F3. Cost Effectiveness:** The evaluation should be efficient and produce information of sufficient value, so that the resources expended can be justified. It should keep within its budget and account for its own expenditures.

**Propriety:** The propriety guidelines are intended to ensure that an evaluation will be conducted legally, ethically, and with due regard for the welfare of those involved in the evaluation, as well as those affected by its results.

**P1. Service Orientation:** The evaluation should be designed to assist organizations to address and effectively serve the needs of the full range of targeted participants.

**P2. Formal Agreements:** Obligations of the formal parties to an evaluation (what is to be done, how, by whom, when) should be agreed to through dialogue and in writing, to the extent that this is feasible and appropriate, so that the parties have a common understanding of all the conditions of the agreement and hence can formally renegotiate it if necessary. Specific attention should be paid to informal and implicit aspects of expectations of all parties to the contract.

**P3. Rights of Human Participants:** Evaluation should be designed and conducted to respect and protect the rights and welfare of human subjects and the communities of which they are members. The confidentiality of personal information collected from various sources must be strictly protected.

**P4. Human Interaction:** Evaluators should respect human dignity and worth in their interactions with other persons associated with an evaluation, so that participants are not threatened or harmed or their cultural or religious values compromised.

**P5. Complete and Fair Assessment:** The evaluation should be complete and fair in its examination and recording of strengths and weaknesses of the programme being evaluated, so that strengths can be built upon and problem areas addressed.

**P6. Disclosure of Findings:** The formal parties to an evaluation should ensure that the full set of findings along with pertinent limitations are made accessible to the persons affected by the evaluation, and any others with expressed legal rights to receive the results. The evaluation team and the evaluating institution will determine what is deemed possible, to ensure that the needs for confidentiality of national or governmental entities and of the contracting agents are respected, and that the evaluators are not exposed to potential harm.

**P7. Conflict of Interest:** Conflict of interest should be dealt with openly and honestly, so that it does not compromise the evaluation processes and results.

**P8. Fiscal Responsibility:** The evaluator's allocation and expenditure of resources should reflect sound accountability procedures and otherwise be prudent and ethically responsible, so that expenditures are accounted for and appropriate.

**Accuracy:** The accuracy guidelines are intended to ensure that an evaluation will reveal and convey technically adequate information about the features that determine the worth or merit of the programme being evaluated.

- A1. Programme Documentation:** The programme being evaluated should be described clearly and accurately so that it is clearly identified, and attention needs to be paid to personal and verbal communications as well as written records.
- A2. Context Analysis:** The context in which the programme exists should be examined in sufficient detail, including political, social, cultural and environmental aspects, so that its likely influences on the programme can be identified and assessed.
- A3. Described Purposes and Procedures:** The purposes and procedures of the evaluation should be monitored and described in enough detail so that they can be identified and assessed
- A4. Defensible Information Sources:** The sources of information used in a programme evaluation should be described in enough detail so that the adequacy of the information can be assessed, without compromising any necessary anonymity or cultural or individual sensitivities of respondents.
- A5: Valid Information:** The information gathering procedures should be chosen or developed and then implemented to ensure that the process arrived at is appropriate for the intended use. Information that is likely to be susceptible to biased reporting should be checked using a range of methods and from a variety of sources.
- A6. Reliable Information:** The information gathering procedures should be chosen or developed and then implemented to ensure that the information obtained is sufficiently reliable.
- A7. Systematic Information:** The information collected, processed, and reported in an evaluation should be systematically reviewed and any errors found should be corrected.
- A8. Analysis of Quantitative Information:** Quantitative information in an evaluation should be appropriately and systematically analysed so that evaluation questions are effectively answered.
- A9. Analysis of Qualitative Information:** Qualitative information in an evaluation should be appropriately and systematically analysed so that evaluation questions are effectively answered.
- A10. Justified Conclusions:** The conclusions reached in an evaluation should be explicitly justified so that stakeholders can assess them.
- A11. Impartial Reporting:** Reporting procedures should guard against distortion caused by personal feelings and biases of any party to the evaluation to ensure that the reports fairly reflect the evaluation findings.
- A12. Meta-evaluation:** The evaluation itself should be formatively and summatively evaluated against these and other pertinent guidelines, so that its conduct is appropriately guided and, on completion, stakeholders can closely examine its strengths and weakness.

## Annex 2b: Evaluation Report Outline Format Recommended by IDEAS

1. **Summary**
2. **Background**
  - 2.1 **Government/Sectoral and Donor Policies:** International, national and local development goals, coherence and complementarity; sectoral features in local and international context; political pressure to accelerate commitment/disbursement of funds available
  - 2.2 **Priority Problems and Opportunities to be Addressed** (relevance)
  - 2.3 **Selection Criteria for Beneficiaries and Benefits** (rights and pro-poor focus)
  - 2.4 **Stakeholder Analysis:** Common, conflicting and unrelated interests; role (active/affected) in the intervention
  - 2.5 **Other Related Interventions:** Cooperation/harmonisation with other donors/actors, synergy with other interventions, past experience and best practice
  - 2.6 **Policy/Programme/Project (PPP) History and Context:** PPP (3Ps) preparation, implementation, evaluation (lessons learned/applied); application of the SAF as a guide for: (a) the formulation of the ToRs and (b) decision making, at each of the stages along the policy/programme/project cycle: (i) PPP idea; (ii) pre-feasibility; (iii) feasibility; (iv) implementation/monitoring; (v) intermediate/end-of-project and ex-post evaluations
3. **Intervention** (intended and unintended results): Logic Model and ToC (as summarised in a “Logical Framework”); lessons learned (past); linear/circular/system approaches adapted to the Intervention’s nature
  - 3.1 **Wider Objectives/Goals/Impact:** Realisation of sustainable benefits for target groups; contributions to these benefits on policy, programme and project levels
  - 3.2 **Specific Objective/Outcome/Purpose:** Realisation of necessary conditions, leading to the creation of sustainable benefits for target groups (e.g. improved governance, better access to basic services, new knowledge and skills applied, changed attitudes and behaviours of stakeholders, especially of the target group (effectiveness)
  - 3.3 **Outputs:** Tangible and intangible results needed for achieving the intervention’s goal: capital goods, products, knowledge (e.g. infrastructure, equipment installed, new capacities and skills acquired) (efficiency)
  - 3.4 **Inputs and Activities** (economy)
  - 3.5 **Flexibility Mechanisms Allowing the Intervention’s Periodic Adaptation**
  - 3.6 **Alternative Solutions**
4. **Assumptions**
  - 4.1 **Assumptions for Success at Different Intervention Levels**
  - 4.2 **Risks and Risk Management**

- 5. Implementation**
  - 5.1 Management of the Intervention:** Roles and responsibilities, management systems and procedures, best practices, transparency, ethics
  - 5.2 Timetable**
  - 5.3 Cost Estimate and Cost-effectiveness** (including non-monetary costs): Financing and co-financing plan, benchmarks
  - 5.4 Special Conditions:** Accompanying measures taken by government and/or other development actors, reliability and predictability of funding, mutual and multiple accountability
- 6. Quality and Feasibility Factors Ensuring Viability and Sustainability**
  - 6.1 Economic and Financial Viability**
  - 6.2 Policy Support**
  - 6.3 Appropriate Technology and “Soft” Implementation Techniques**
  - 6.4 Environmental Aspects,** including climate change and bio-diversity issues
  - 6.5 Socio-cultural Aspects** (including intercultural dialogue): Gender issues, inclusion/participation, empowerment, ownership, legal aspects
  - 6.6 Institutional and Management Capacity:** Capacity building, strengthening and use of local structures (public, voluntary and private), cross-sector cooperation among actors involved, decentralisation of responsibilities
  - 6.7 Innovations and Multiplication Effects**
  - 6.8 Exit Strategy:** Capacity of the target groups to sustain the positive effects created
- 7. Monitoring and Evaluation**
  - 7.1 Monitoring** (fit between plans and implementation)
  - 7.2 Reviews/Evaluations** (lessons learned and recommendation tracking system)
  - 7.3 Reporting System on Monitoring and Evaluation, use of Milestones**
- 8. Other Aspects**
- 9. Lessons Learned (current); Conclusions and Proposals/Recommendations**

## Annex 3: Standard formats for planning and reporting

### Annex 3a: Standard Format for Work plan (short form)

KEY RESULT AREAS	MAJOR ACTIVITIES	PERFORMANCE INDICATORS		MEANS OF VERIFICATION	IMPORTANT ASSUMPTIONS
		INDICATORS OF SUCCESS	EXPECTED IMPACTS		
<b>Key Result 1:</b>					
Result 1.1:					
-					
-					
-					
Result 1.2:					
-					
-					
-					
<b>Key Result 2:</b>					
Result 2.1:					
-					
-					
-					
Etc.					

Annex 3b: Standard Format for Individual Work Plan (detailed and coded)

KEY RESULT AREAS (coded)	MAIN ACTIVITIES (coded)	TARGETED OUTPUTS (coded)	KEY PERFORMANCE INDICATORS (coded)	SUB-ACTIVITY/TASK (coded)	TIME FRAME <sup>14</sup>												Implementation Responsibility	RESOURCES REQUIRED STAFF BUDGET	RELEVANT REMARKS/IMPORTANT ASSUMPTIONS
					J	F	M	A	M	J	J	A	S	O	N	D			
<b>Key Result 1:</b>																			
Result 1.1:																			
<b>Key Result 2:</b>																			
Result 2.1:																			

14. This could be by month for the year (as in template) or Weekly/Daily for a month

## Annex 3c: Standard Format for Activity Sheets

- Strategic Priority:** As stated in MTOP
- Work plan:** State the planning period
- Activity:** Code and name as stated in MTOP
- Sub-Activity/Task:** Split activity into tasks if these are discrete and have distinct outputs.  
It should not be a sequential listing of actions that progressively lead to the same output.

RESULT	Result as stated in MTOP	
SUB ACTIVITY or TASK	As above	
OUTPUT	Specify the direct tangible product(s) and/or services, capital goods, changes expected after the completion of the task. This output should logically be contributing to the attainment of the result stated in the MTOP	
OUTPUT INDICATOR Indicate the quantitative and/or qualitative statistic/parameter that provides a simple and reliable means to measure achievement	SOURCE OF VERIFICATION Specify source of the information for the measurements/indicators specified	
IMPLEMENTATION MILESTONES	State the prior, more easily achieved and measured short-term and intermediate changes that lead to the long-term outcomes. Milestones indicate the interim measurable landmarks, sub-tasks, or what needs to be accomplished over time and are useful for planning concise short-term strategies and collaborations that contribute to full implementation of a stated activity and achievement of long-term outcomes	
PROCUREMENT	Indicate any procurement preference, method, conditionality associated with source of funding	
RESPONSIBILITY FOR IMPLEMENTATION	Assign names (office, individual, organizations) associated with or charged with responsibility for the specific task	
DURATION: (Indicate average estimated time for sub-tasks as indicated by milestones if applicable)	Commencement: Dates	Completion: Dates
PRIMARY CONSTITUENTS: State the individuals, groups, organizations, whether targeted or not that will be most affected by the intervention	PARTICIPANTS: Specify collaborators and partners (actors you will work with directly contributing towards implementation of the action) and/or those that will exert influence (positive or negative) on success	
ASSUMPTIONS	State (if any) the key factors or risks that could affect the progress or success of the action	
FINANCIAL IMPLICATIONS	Estimate in the section below, the costs of the interventions based on targets contained in the milestones, and the coverage of each intervention or activity together with the associated unit costs. State any specific concerns, e.g. costing covers only key technical programmatic areas; areas that have been omitted and why; resources required to address specific needs; improving adherence to procedures; and poor compliance and associated increase in cost.	

Budget line (give code of activity)		1 <sup>st</sup> Qtr	2 <sup>nd</sup> Qtr	3 <sup>rd</sup> Qtr	4 <sup>th</sup> Qtr	5 <sup>th</sup> Qtr	6 <sup>th</sup> Qtr	Total
1	Major cost item							
2								
n								
TOTAL								

Annex 3d: Standard Format for M&E Plan

MONITORING AND EVALUATION PLAN										Sheet No:
Programme/Unit:										Intended use of data
Planning Period:										
No.	Performance Indicator	Baseline value	Data requirement	Method of collection	Date of collection	Responsible	Time/funding requirement			
Key Result 1:										
Result 1.1:										
1.	-									
2.	-									
3.	-									
4.	-									
Key Result 2:										
Result 1.2:										
1.	-									
2.	-									
3.	-									
4.	-									
Key Result 2.1:										
1.	-									
2.	-									
3.	-									
4.	-									

### Annex 3e: Standard Format for Monthly Progress Report

Monthly Progress Report for the Month of \_\_\_\_\_, 201

Name of Reporting Entity:

Results	Planned Activities	Expected Outputs			Actual Outputs			Reasons for Deviations (+ - 10%)	Adjustment for Next Month
		Indicators	Budget Allocated	Beneficiaries	Indicators	Beneficiaries	Beneficiaries		
Result 1:				M	F	M	F		
Milestone 1.1									
Milestone 1.2									
Milestone 1.3									
<b>Result 2:</b>									
Milestone 2.1									
Milestone 2.2									
Milestone 2.3									
<b>Result...n.</b>									
Milestone n.1									
Milestone n.2									
Milestone n.3									

## Annex 3f: Standard Format for Quarterly and Semi-Annual Report

**Project Title:**

**Reporting Period:**

**Name of Project Implementer:**

**Report Submitted by:**

**Date:**

### Project Schedule

#### 1. Status of Planned Activities

As activities are executed, schedule variances often occur (activities can finish earlier or later than originally planned). Please show the status of your planned activities (as per the project work plan) using the following “traffic light system” where:

- Activity milestone which is completed or forecasted to finish on-time or early
- Activity milestone which is forecasted to finish with a delay of 10%
- Activity milestone which is forecasted to finish with a delay of more than 10%

Code	Activity/Task	Milestone	Status	Comment

#### 2. Outputs and Outcomes

For the major activities undertaken during the reporting period, what products have been generated or developed (**outputs generated**) and what has happened? What has changed as a result of your activities? (**outcomes achieved**). Effort should be made to gender-disaggregate the beneficiaries/participants.

Activities undertaken	Outputs generated	Outcomes achieved	Comment

### 3. Outcomes/Impact Achieved

Activity	Outcome indicators		Comments
	Target for the period	Achieved so far	

### 4. Project performance rating

Rate the performance of your project on the following **critical success factors** (CSF):

- (1) Meeting project objectives
- (2) Timeliness
- (3) Functional involvement of stakeholders
- (4) Dissemination of outputs

NB: This is an auto-evaluation process as each project rates its performance on the 4 CSF using a “traffic light system” where:

- No major issues, all critical success factors are on track
- The project is meeting most critical success factors with some but not major issues
- The project is not meeting any critical success factors or is significantly not meeting one of them

Activity	Performance	Comments
Meeting project objectives		
Timeliness		
Functional involvement of stakeholders		
Dissemination of outputs		

### 5. Key issues and Constraints

List any key issues and constraints that you faced during the reporting period; what you did to overcome them; and evidence of completion.

Key Issue /Constraint	Action	Responsible Person(s)	Timeframe	Evidence of Completion

### 6. Lessons Learned

List any lesson you have learned from working with partners during the reporting period. They should cover:

- Working with partners
- Functional involvement of stakeholders

- Good practice/Innovation
- Project/Programme management
- Communication

Lessons Learned	What changed/or is to change because of the lesson learned

## 7. Newsworthy Events/Success Stories

Note any accomplishments/events, e.g. completed surveys, staff participation in workshops, training, etc., that you think are newsworthy and would like to publicise to the donor and other project stakeholders.

## 8. Requested Action/Decision

## 9. Attachments

### (a) Results Framework

Purpose (Outcome) -Level Indicators	Unit of measure	Base- line	MTO Target	Progress (achievement to-date)	Target and (Actual) Cumulative End-of-Year Achievement					Comments
					YR 1	YR 2	YR 3	YR 4	YR 5	
					2014	2015	2016	2017	2018	
Results-Level Indicators										





**(g) Media (including social media) coverage**

Channel	Event	Number of participants
<b>TOTAL</b>		

## Annex 4: Common indicators relevant to FARA MTOP

### Annex 4a. Official list of the MDG Indicators (15 January 2008)

Millennium Development Goals (MDGs)	
Goals and Targets (from the Millennium Declaration)	Indicators for monitoring progress
<b>Goal 1: Eradicate extreme poverty and hunger</b>	
Target 1.A: Halve, between 1990 and 2015, the proportion of people whose income is less than one dollar a day	1.1 Proportion of population below \$1 (PPP) per day 1.2 Poverty gap ratio 1.3 Share of poorest quintile in national consumption
Target 1.B: Achieve full and productive employment and decent work for all, including women and young people	1.4 Growth rate of GDP per person employed 1.5 Employment-to-population ratio 1.6 Proportion of employed people living below \$1 (PPP) per day 1.7 Proportion of own-account and contributing family workers in total employment
Target 1.C: Halve, between 1990 and 2015, the proportion of people who suffer from hunger	1.8 Prevalence of underweight children under five years of age 1.9 Proportion of population below minimum level of dietary energy consumption
<b>Goal 2: Achieve universal primary education</b>	
Target 2.A: Ensure that, by 2015, children everywhere, boys and girls alike, will be able to complete a full course of primary schooling	2.1 Net enrolment ratio in primary education 2.2 Proportion of pupils starting grade 1 who reach last grade of primary school 2.3 Literacy rate of 15–24 year-olds, women and men
<b>Goal 3: Promote gender equality and empower women</b>	
Target 3.A: Eliminate gender disparity in primary and secondary education, preferably by 2005, and in all levels of education no later than 2015	3.1 Ratios of girls to boys in primary, secondary and tertiary education 3.2 Share of women in wage employment in the non-agricultural sector 3.3 Proportion of seats held by women in national parliament
<b>Goal 4: Reduce child mortality</b>	
Target 4.A: Reduce by two-thirds, between 1990 and 2015, the under-five mortality rate	4.1 Under-five mortality rate 4.2 Infant mortality rate 4.3 Proportion of 1 year-old children immunised against measles
<b>Goal 5: Improve maternal health</b>	
Target 5.A: Reduce by three quarters, between 1990 and 2015, the maternal mortality ratio	5.1 Maternal mortality ratio 5.2 Proportion of births attended by skilled health personnel
Target 5.B: Achieve, by 2015, universal access to reproductive health	5.3 Contraceptive prevalence rate 5.4 Adolescent birth rate 5.5 Antenatal care coverage (at least one visit and at least four visits) 5.6 Unmet need for family planning

Millennium Development Goals (MDGs)	
Goals and Targets (from the Millennium Declaration)	Indicators for monitoring progress
<b>Goal 6: Combat HIV/AIDS, malaria and other diseases</b>	
Target 6.A: Have halted by 2015 and begun to reverse the spread of HIV/AIDS	6.1 HIV prevalence among population aged 15–24 years 6.2 Condom use at last high-risk sex 6.3 Proportion of population aged 15–24 years with comprehensive correct knowledge of HIV/AIDS 6.4 Ratio of school attendance of orphans to school attendance of non-orphans aged 10–14 years
Target 6.B: Achieve, by 2010, universal access to treatment for HIV/AIDS for all those who need it	6.5 Proportion of population with advanced HIV infection with access to antiretroviral drugs
Target 6.C: Have halted by 2015 and begun to reverse the incidence of malaria and other major diseases	6.6 Incidence and death rates associated with malaria 6.7 Proportion of children under 5 sleeping under insecticide-treated bednets 6.8 Proportion of children under 5 with fever who are treated with appropriate anti-malarial drugs 6.9 Incidence, prevalence and death rates associated with tuberculosis 6.10 Proportion of tuberculosis cases detected and cured under directly observed treatment short course
<b>Goal 7: Ensure environmental sustainability</b>	
Target 7.A: Integrate the principles of sustainable development into country policies and programmes and reverse the loss of environmental resources	7.1 Proportion of land area covered by forest 7.2 CO2 emissions, total, per capita and per \$1 GDP (PPP) 7.3 Consumption of ozone-depleting substances 7.4 Proportion of fish stocks within safe biological limits 7.5 Proportion of total water resources used
Target 7.B: Reduce biodiversity loss, achieving, by 2010, a significant reduction in the rate of loss	7.6 Proportion of terrestrial and marine areas protected 7.7 Proportion of species threatened with extinction
Target 7.C: Halve, by 2015, the proportion of people without sustainable access to safe drinking water and basic sanitation	7.8 Proportion of population using an improved drinking water source 7.9 Proportion of population using an improved sanitation facility
Target 7.D: By 2020, to have achieved significant improvement in the lives of at least 100 million slum dwellers	7.10 Proportion of urban population living in slums
<b>Goal 8: Develop a global partnership for development</b>	
Target 8.A: Develop further an open, rule-based, predictable, non-discriminatory trading and financial system  Includes a commitment to good governance, development and poverty reduction—both nationally and internationally	<i>Some of the indicators listed below are monitored separately for the least developed countries (LDCs), Africa, landlocked developing countries and small island developing states.</i>

Millennium Development Goals (MDGs)	
Goals and Targets (from the Millennium Declaration)	Indicators for monitoring progress
<p>Target 8.B: Address the special needs of the least developed countries</p> <p>Includes: tariff and quota free access for the least developed countries' exports; enhanced programme of debt relief for heavily indebted poor countries (HIPC) and cancellation of official bilateral debt; and more generous ODA for countries committed to poverty reduction</p> <p>Target 8.C: Address the special needs of landlocked developing countries and small island developing states (through the Programme of Action for the Sustainable Development of Small Island Developing States and the outcome of the twenty-second special session of the General Assembly)</p> <p>Target 8.D: Deal comprehensively with the debt problems of developing countries through national and international measures in order to make debt sustainable in the long term</p>	<p><b>Official development assistance (ODA)</b></p> <p>8.1 Net ODA, total and to the least developed countries, as percentage of OECD/DAC donors' gross national income</p> <p>8.2 Proportion of total bilateral, sector-allocable ODA of OECD/DAC donors to basic social services (basic education, primary health care, nutrition, safe water and sanitation)</p> <p>8.3 Proportion of bilateral official development assistance of OECD/DAC donors that is untied</p> <p>8.4 ODA received in landlocked developing countries as a proportion of their gross national incomes</p> <p>8.5 ODA received in small island developing states as a proportion of their gross national incomes</p> <p><b>Market access</b></p> <p>8.6 Proportion of total developed country imports (by value and excluding arms) from developing countries and least developed countries, admitted free of duty</p> <p>8.7 Average tariffs imposed by developed countries on agricultural products and textiles and clothing from developing countries</p> <p>8.8 Agricultural support estimate for OECD countries as a percentage of their GDP</p> <p>8.9 Proportion of ODA provided to help build trade capacity</p> <p><b>Debt sustainability</b></p> <p>8.10 Total number of countries that have reached their HIPC decision points and number that have reached their HIPC completion points (cumulative)</p> <p>8.11 Debt relief committed under HIPC and MDRI Initiatives</p> <p>8.12 Debt service as a percentage of exports of goods and services</p>
<p>Target 8.E: In cooperation with pharmaceutical companies, provide access to affordable essential drugs in developing countries</p>	<p>8.13 Proportion of population with access to affordable essential drugs on a sustainable basis</p>
<p>Target 8.F: In cooperation with the private sector, make available the benefits of new technologies, especially information and communications</p>	<p>8.14 Fixed telephone lines per 100 inhabitants</p> <p>8.15 Mobile cellular subscriptions per 100 inhabitants</p> <p>8.16 Internet users per 100 inhabitants</p>

The Millennium Development Goals and targets come from the Millennium Declaration, signed by 189 countries, including 147 heads of state and government, in September 2000 (<http://www.un.org/millennium/declaration/ares552e.htm>) and from further agreement by member states at the 2005 World Summit (Resolution adopted by the General Assembly - A/RES/60/1, <http://www.un.org/Docs/journal/asp/ws.asp?m=A/RES/60/1>). The goals and targets are interrelated and should be seen as a whole. They represent a partnership between the developed countries and the developing countries “to create an environment—at the national and global levels alike—which is conducive to development and the elimination of poverty”.

## Annex 4b. Post-2015 Sustainable Development Goals<sup>15</sup>

### Focus area 1. Poverty eradication, building shared prosperity and promoting equality

#### End poverty in all its forms everywhere

- a) Eradicate extreme poverty by 2030
- b) Reduce the proportion of people living below national poverty lines by 2030
- c) By 2030, implement nationally appropriate social protection measures including floors, with focus on coverage of the most marginalized
- d) Build resilience of the poor and reduce by x% deaths and economic losses related to disasters
- e) Achieve full and productive employment for all, including women and young people
- f) Ensure equality of economic opportunity for all women and men, including secure rights to own land, property and other productive assets and access to financial services for all women and men

### Focus area 2. Sustainable agriculture, food security and nutrition

#### End hunger and improve nutrition for all through sustainable agriculture and improved food systems

- a) All people have access to adequate (safe, affordable, diverse and nutritious) food all year round
- b) End malnutrition in all its forms, notably stunting and wasting in children under five years of age
- c) By 2030, ensure sustainable food production systems with high yields, and reduce intensity of use of water by at least x%, chemicals by at least y%, and energy by at least z%
- d) By 2030, achieve access to adequate inputs, knowledge, productive resources, financial services and markets for small farmers and fishers, with a particular focus on women and indigenous peoples
- e) Reduce the global rate of loss and waste along the food supply chain by 50 percent by 2030
- f) All countries have in place sustainable land-use policies by 2020, and all drought-prone countries develop and implement drought preparedness policies by 2020
- g) Achieve climate-smart agriculture that is resilient and adaptable to extreme weather including drought, climate change and natural disasters
- h) Achieve by 2030, protection of agricultural biodiversity, including through use of the practices and local knowledge related to agro-biodiversity and diversity of food

### Focus area 3. Health and population dynamics

#### Healthy life at all ages for all

- a) By 2030, reduce the maternal mortality ratio to less than 40 per 100,000 live births, end preventable new-born and child deaths and reduce by x% child and maternal morbidity

---

15. Source: Working Document of the Open Working Group - May 2014

- b) By 2030, end the epidemics of HIV/AIDS, tuberculosis, malaria and neglected tropical diseases
- c) Reduce by x% the risk of premature mortality from non-communicable diseases (NCDs), injuries and promote mental health with strong focus on prevention
- d) Achieve universal health coverage (UHC), including financial risk protection, with particular attention to the most marginalized
- e) By 2030, ensure universal access to affordable essential medicines and vaccines for all
- f) Ensure universal access to comprehensive sexual and reproductive health for all, including modern methods of family planning
- g) Decrease by x% the number of deaths and illnesses from indoor and outdoor air pollution and other forms of environmental degradation
- h) Eliminate narcotic drug and substance abuse

#### **Focus area 4. Education and life-long learning**

##### **Provide quality education and life-long learning for all**

- a) By 2030, ensure universal, free, equitable access to and completion of quality primary and secondary education for all girls and boys, leading to effective learning outcomes
- b) Ensure that persons with disabilities have access to inclusive education, skills development and vocational training
- c) By 2030, increase by x% the proportion of children able to access and complete quality pre-primary education
- d) By 2030, achieve universal youth and adult literacy, with particular attention to women and the most marginalized
- e) By 2030, increase by x% the number of young and adult women and men with vocational training, technical, engineering and scientific skills
- f) Integrate relevant knowledge and skills in education curricula, including ICT skills, education for sustainable development, and awareness raising on culture's contribution to sustainable development
- g) All schools to provide safe and healthy learning environment for all students

#### **Focus area 5. Gender equality and women's empowerment**

##### **Attain gender equality and women's empowerment everywhere**

- a) By 2030, end all forms of discrimination against women of all ages
- b) By 2030, end violence against women and girls in all its forms
- c) By 2030, ensure equal access to education at all levels
- d) By 2030, ensure equal employment opportunities for women and equal pay for equal work
- e) By 2030, ensure equal access to, and control of, assets and resources, including natural resources management
- f) Ensure equal participation and leadership of women in decision-making in public and private institutions
- g) By 2030, end child, early and forced marriage
- h) By 2030, reduce the burden of unpaid care work

- i) By 2030, ensure universal access to sexual and reproductive health and reproductive rights
- j) Promote the availability of gender disaggregated data to improve gender equality policies, including gender sensitive budgeting

## **Focus area 6. Water and sanitation**

### **Water and sanitation for a sustainable world**

- a) By 2030, provide universal access to safe and affordable drinking water, sanitation and hygiene, especially for women and girls
- b) By 2030, improve wastewater management, recycling and reuse by x%
- c) By 2030, improve water-use efficiency by x% in all sectors, with particular focus on agriculture
- d) Implement integrated water resource management, including appropriate trans-boundary co-operation
- e) By 2030, bring fresh water extraction in line with sustainable supply, protect and restore ecosystems, to provide water-related services
- f) By 2030, significantly improve water quality, eliminate pollution and dumping of toxic materials in water bodies, and protect aquifers
- g) Invest in water harvesting and storage technologies, and double the rainwater harvested by 2030
- h) Decrease by x% mortality and serious injuries, and decrease economic losses caused by water-related disasters, by 2030

## **Focus area 7. Energy**

### **Ensure access to affordable, sustainable, and reliable modern energy for all**

- a) By 2030, ensure universal access to sustainable modern energy services
- b) Double the share of renewable energy in the global energy mix by 2030
- c) Double the global rate of improvement in energy efficiency, including in buildings, industry, agriculture and transport, by 2030
- d) By 2030, increase by x% the share of clean and low- or zero-emission energy technologies, including sustainable biomass and advanced cookstoves
- e) By 2030, phase out fossil fuel subsidies that encourage wasteful consumption

## **Focus area 8. Economic growth, employment and infrastructure**

### **Promote sustainable, inclusive and sustained economic growth and decent jobs for all**

- a) Sustain income growth of the bottom 40% of the income distribution of each country to reduce income inequalities by 2030
- b) Achieve full and productive employment and decent work for all who seek employment including for marginalized groups by 2030
- c) Halve the number of youth not in employment, education or training by 2020
- d) By 2030 improve by x% the energy and resource productivity of economic activities and reduce by y% their waste and emissions per unit of output

- e) Create appropriate climate for SMEs, entrepreneurship and innovation by 2020
- f) Increase the share of high productivity sectors and activities in the economy, and strengthen productive capacities through technological upgrading and greater value addition, with a particular focus on LDCs
- g) Develop sustainable infrastructure accessible to all, with attention to needs of countries in special situations, and by 2030 provide access for 100% of rural populations to basic infrastructure and services
- h) Protect the rights of all workers, including migrant workers, in compliance with ILO fundamental rights at work
- i) End child labour by 2030
- j) Encourage formalization of informal sector activities and employment

### **Focus area 9. Industrialization and promoting equality among nations**

#### **Promote sustainable industrialization and equality among nations**

- a) Ensure adequate policy space and a conducive policy environment for industrial development, including encouragement of industrial entrepreneurship and enterprise formation with inclusion of SMEs
- b) Create decent industrial sector jobs and promote job-rich industrial development
- c) Achieve high productivity levels across industrial sectors in all countries
- d) By 2030 increase industrial diversity particularly in developing countries, with a focus on shifting towards higher value-added activities
- e) By 2030, increase by x% the resource-efficiency of industry, reduce by y% harmful chemicals used and waste generated, and decrease by z% the intensity of carbon emissions from the industrial sector
- f) Increase by a factor of x the share of environmentally sustainable products and services in GDP
- g) By 2020 implement plans and measures to strengthen the technological capabilities of industrial sectors, including plans to accelerate development and adoption of environmentally sound industrial technologies and processes
- h) By 2030 retrofit x% of existing industries on global level based on energy and resource-efficient technologies and environmentally sound industrial processes

### **Focus area 10. Sustainable cities and human settlements**

#### **Build inclusive, safe and sustainable cities and human settlements**

- a) By 2030, ensure universal access to adequate and affordable housing and basic services for all, and eliminate slum-like conditions everywhere

### **Focus area 11. Sustainable Consumption and Production**

#### **Promote sustainable consumption and production patterns**

- a) By 2030 achieve sustainable management and use of natural resources

- b) By 2030 reduce waste by x% through prevention, reduction, recycling and reuse
- c) Improve the resource productivity of economic activities by x%, including through sustainable supply chains by 2030
- d) By 2030 redouble efforts to raise awareness for creating a culture of sufficiency and sustainable lifestyles, including sustainability information on products and services
- e) By 2020, encourage economic incentives that promote sustainable consumption and production patterns including through a product lifecycle approach
- f) By 2030 increase by x% points the share of companies reporting on corporate social and environmental responsibility, including integrated reporting
- g) By 2030, all financial sector actors incorporate sustainable development principles in their business practices
- h) Create incentives for sustainable tourism

### **Focus area 12. Climate change**

**Take urgent and significant action to mitigate and adapt to climate change (*build a climate change goal based on the outcome of COP21 of the UNFCCC*)**

- a) Hold the increase in global average temperature below an x°C rise in accordance with international agreements
- b) Build resilience and adaptive capacity to climate induced hazards in all vulnerable countries
- c) Integrate climate adaptation and emissions reductions into development plans and poverty reduction strategies
- d) Introduce instruments and incentives for investments in low-carbon solutions in infrastructure, industry and other sectors
- e) Improve education and awareness raising on climate change

### **Focus area 13. Conservation and sustainable use of marine resources, oceans and seas**

**Take urgent and significant actions for the conservation and sustainable use of marine resources, oceans and seas**

- a) By 2030, prevent, control and reduce by x% marine pollution and marine disposal of waste and tailings, including from land-based activities
- b) By 2030, restore and protect marine ecosystems from destruction, including by halting and preventing ocean acidification
- c) By 2030, regulate harvesting to restore fish stocks to ecologically safe levels that can produce maximum sustainable yield, and support sustainable small-scale fisheries
- d) Develop and ensure the full implementation of existing regional and international regimes governing oceans and seas, including for resources in areas beyond national jurisdictions
- e) By 2020, eliminate illegal, unreported and unregulated (IUU) fishing and destructive fishing practices

- f) Establish Marine Protected Areas, consistent with international law
- g) By 2030, eliminate fishing subsidies which contribute to overcapacity and overfishing

### **Focus area 14. Ecosystems and biodiversity**

#### **Protect and restore terrestrial ecosystems and halt all biodiversity loss**

- a) By 2020, halt the loss of all biodiversity, including habitats, and protect threatened species
- b) By 2020, ensure conservation and sustainable use of ecosystems, including through restoration of degraded critical ecosystems
- c) Maintain genetic diversity of both farmed species and their wild relatives
- d) By 2030, ensure sustainable management of all forests and mountain ecosystems, halting deforestation and increasing reforestation by x%
- e) By 2030, achieve a land degradation neutral world
- f) Ensure fair and equitable sharing of benefits derived from natural assets, including genetic resources
- g) End poaching and trafficking of endangered species
- h) By 2030, eliminate invasive alien species
- i) Ensure inclusion of indigenous and local communities in decision making, and promote traditional knowledge of indigenous peoples

### **Focus area 15. Means of implementation/Global partnership for sustainable development**

#### **Strengthen global partnership for sustainable development**

##### **Trade:**

- a) Promote open, rules-based, non-discriminatory and equitable multilateral trading and financial systems, including complying with the agricultural mandate of the WTO Doha Round
- b) Provide greater duty-free and quota-free market access to least developed countries in keeping with World Trade Organization decisions
- c) Improve market access for agricultural and industrial exports of developing countries, especially Least Developed Countries, and at least double the share of LDCs' exports in global exports by 2020

##### **Technology transfer, technological capabilities:**

- d) Enhance regional and international cooperation for science, technology, and innovation and solutions-oriented research, and enhance knowledge sharing, including through North-South, South-South and triangular cooperation
- e) Promote transfer and dissemination of clean and environmentally sound technologies to developing countries
- f) Fully operationalize the Technology Bank and STI Capacity Building Mechanism for LDCs

- g) Strengthen institutions and build capacities in developing countries to undertake research, development and adaptation of technologies, including clean and environmentally sound technologies
- h) Support fully research and development of vaccines and medicines for the common diseases of developing countries, notably LDCs

**Financing and debt sustainability:**

- i) Full implementation by developed countries of ODA commitments on an agreed timetable based on agreed principles
- j) Mobilize additional financial resources from multiple sources, including reducing the cost of remittances
- k) Encourage long-term private foreign investment and inclusive finance
- l) Ensure adequate financial resources for investments in sustainable development
- m) Ensure debt sustainability and debt relief
- n) Promote inclusive, participatory decision-making at both national and international levels, including the conclusion of reforms for increasing effective participation of developing countries in international financial institutions
- o) Strengthen domestic resource mobilization, including by improving tax collection and the efficiency of public spending, reducing tax evasion and avoidance, improving stolen asset recovery, and strengthening systems to harness domestic savings for investment
- p) Promote sustainable public procurement, including through national targets

**Capacity building:**

- q) Expand by x% globally the number of scholarships for students from LDCs to enroll in higher education programmes in developed countries and other developing countries, with focus on science, engineering and management
- r) Substantially strengthen capacities for sustainable development data collection and analysis with a focus on generating disaggregated, timely and high-quality data
- s) Countries progressively introduce expanded measures of progress beyond GDP into national accounting, with supportive statistical capacity building in developing countries
- t) Develop and implement capacity building programmes in developing countries, especially LDCs, in support of the national plans implementing sustainable development goals, including in agriculture, water, energy, health as well as in disaster prevention and reduction capacity and sustainable natural resources management

**Strengthened global partnership for sustainable development**

- u) Engage all stakeholders in implementation of the SDGs, including through effective, innovative and accountable partnerships in cooperation with governments that mobilize financial resources, develop and disseminate technologies and provide technical expertise

- v) Regular monitoring and reporting of progress on SDGs within a shared accountability framework, including means of implementation, the global partnership among Member States and multi-stakeholder initiatives and partnerships

## **Focus area 16. Peaceful and inclusive societies, rule of law and capable institutions**

### **Peaceful and inclusive societies, rule of law and capable institutions**

#### **Creating peaceful and inclusive societies:**

- a) By 2030 reduce by x% crime, violence and exploitation especially of children and women including by reducing organized crime and human trafficking
- b) By 2030, eliminate discriminatory laws, policies and practices, empower marginalized groups, in the social, political and economic fields
- c) By 2030, establish inclusive, participatory decision-making, including at local governments, taking into consideration the interests of future generations
- d) By 2020, provide information and education on a culture of nonviolence
- e) By 2030, implement planned and managed migration policies

#### **Rule of law, capable institutions:**

- f) By 2030, develop effective, accountable and transparent institutions at all levels
- g) By 2030, provide equal access to independent and responsive justice systems including related to property and tenure rights, employment, business, taxation, trade and finance
- h) By 2020, provide public services for all, including legal identity
- i) improve access to information on public finance management, public procurement and on the implementation of national development plans
- j) By 2030, decrease by x% corruption in all its forms and illicit financial flows
- k) Remove unnecessary restrictions of freedom of media, association and speech

## Annex 4c. CAADP Results and Indicators

Result Area	Indicators
<b>LEVEL 1 – DEVELOPMENT IMPACT - AGRICULTURES' CONTRIBUTION TO ECONOMIC GROWTH AND INCLUSIVE DEVELOPMENT</b>	
1.1 Agricultural contribution to creation of national wealth	1.1.1 Agriculture GDP growth rate (% change relative to predicted trajectory)
	1.1.2 GDP growth from Agriculture value added
1.2 Impact of agriculture on poverty alleviation	1.2.1 Rate of poverty reduction in rural areas
	1.2.2 Gini coefficient of incomes
	1.2.3 % of new jobs from agricultural commercialisation and agricultural dependent commerce and industry
1.3 Food Security; food autonomy and Nutritionally secure	1.3.1 % Global Hunger Index
	1.3.2 Prevalence (%) of stunting among children under five years old
	1.3.3 Access to dietary food diversity
1.4 Resilience to stresses and shocks	1.4.1 Measure of vulnerability to shocks at national level compared to status quo (specifying number of people involved and segregated by gender; age; urban and rural)
	1.4.2 Government policy and budget instruments on disaster risk management and social protection
	1.4.3 The % of national budget allocated for disaster risk management and social protection
<b>LEVEL 2 – OUTCOME–HIGH and SUSTAINED AGRICULTURAL PERFORMANCE AND GROWTH</b>	
2.1 Increased agriculture Production and Productivity	2.1.1 Agricultural per capita GDP (agriculture value added per hectare – measuring combined crop-livestock-fishery productivity)
	2.1.2 Total factor productivity (with priority on smallholder returns to labour, land and external inputs) – link to the 6% target
	2.1.3 Food Production Index (focusing on key strategic commodities)
	2.1.4 Irrigated land as percent of total cropland
	2.1.5 Change in input use (fertilizer; mechanisation; seed and other purchased inputs)
2.2 Markets and Trade	2.2.1 Input market functioning; ease of doing business in agriculture index
	2.2.2 Volumes traded cross-border (selected commodities and food products, intra-African and global exports) (Intra- and Inter-Regional Trade)
	2.2.3 Harmonised regional quality standards
	2.2.4 Africa's share in global agriculture trade
	2.2.5 Number of countries with formal land markets and land tenure policy in Africa
	2.2.6 Evolution of producer price in relation to consumer price
	2.2.7 Agricultural land (Ha) with access to road and power within 5, 10 km radius
2.3 Empowered and expended domestic agro-industry	2.3.1 Volume change in micro-financing accessed by SMEs
	2.3.2 Agri-entrepreneurial capacity of smallholder farmers and SMEs
	2.3.3 % decline in agricultural produce exported as primary raw material

Result Area		Indicators
2.4 Increased investments in Agriculture (commercialisation of agriculture)	2.4.1	% of public budget spent on agricultural related investment financing (i.e. to generate agricultural returns) – The CAADP Maputo 10% Decision
	2.4.2	% change in private sector investment flows in agriculture (per capita)
	2.4.3	Share of international investments (FDI) in agriculture and agribusiness
	2.4.4	Land size under secure land tenure by local populations (segregated by gender)
	2.4.5	Annual investments in new rural roads; agriculture related - ICT and agricultural produce storage capacity (as well as investments/cost for maintenance)
	2.4.6	Access to loans by agriculture-based SMEs (Volumes)
2.5 Sustainable natural Resources Management (Environmental resilience)	2.5.1	Hectares of land protected or restored under agro-ecosystems (Land & water, agro-forestry, agro-ecology)
	2.5.2	Increasing value of land due to improved land governance and land rights
	2.5.3	Ha of annual LSLBI and effective productive use in the framework of the LSLBI
	2.5.4	Forest area
	2.5.5	Withdrawal of water for agriculture as a percent of total water withdrawal
	2.5.6	% increase in hectares under SLWM annually disaggregated by country, land-use type, and target area
	2.5.7	Biodiversity and ecosystem resilience index
2.6 Value Addition and market development	2.6.1	Value and volume of SMEs trade
	2.6.2	Entrepreneurship Development (Index to be explored through business chambers nomenclature)
	2.6.3	Ease of doing business in agriculture index
<b>LEVEL 3 – OUTPUT: – SYSTEMIC CAPACITY</b>		
3.1 Improved and inclusive policy design and implementation capacity for agriculture	3.1.1	Existence of an inclusive & functioning institutional architecture for governance in the agriculture sector
	3.1.2	Leadership capacities – exhibited through clear vision / agenda, strong accountability, and firm championship
	3.1.3	Capacity for review, learning and planning
3.2 More effective and accountable institutions to drive planning and implementation of public policies and investment programmes	3.2.1	Strategies are in place to define the policy review and formulation processes (inclusiveness, inter-sectorial alignment, policy coherence)
	3.2.2	Policy orientated knowledge mechanisms is in place to support the policy review and formulation process (generation, access, quality of agriculture statistical data available etc.)
	3.2.3	Capacity for analysis and utilisation of policy information; (incentives as the reason for formulation, not as end in itself)
3.3 More inclusive and evidence based agriculture planning and implementation processes	3.3.1	Coherent and inclusiveness system of planning
	3.3.2	Capacity to translate policies into programmes and operational plans (tools and instruments for planning etc.)

Result Area	Indicators
3.4 Improved coordination, partnerships and alliances within and across sectors and countries (regional trade and collaboration)	3.4.1 Capacity for implementing planned programmes
	3.4.2 Capacity for monitoring, evaluation and learning (comprehensive agriculture statistical data available)
3.5 Increased (public/private) investment financing in agriculture achieving better value for money	3.5.1 Mechanisms for leveraging additional public and private financing – including PPPs
	3.5.2 Taxation and interest rates on agriculture inputs and product
	3.5.3 Number of functioning Farmer/ commodity associations, cooperatives and SMEs business organisations (for bulking)
	3.5.4 Quality of public agriculture plans & budgets
	3.5.5 Coherence of policies and attendant tools (e.g. taxation & interest rates) with objective of attracting additional investments
3.6 The knowledge, innovation and learning system and processes effectively informing and supporting farmers, producers and entrepreneurs.	3.6.1 Research and innovation products adapted for improved agricultural productivity
	3.6.2 Strategies for skills assessment, education and skills development
	3.6.3 Data, Information and analytical capacity in national statistical offices
	3.6.4 Countries with functioning Agricultural Risk Assessment capacity and long term agricultural risk management plan

## Annex 4d: Indicators Relating to Productivity, Market Access and Competitiveness

Process, Policy or Intervention Area	Indicator Definition
<p><b>CAADP &amp; national goals</b></p> <p>Economic development, poverty, hunger and food and nutrition security</p>	<ul style="list-style-type: none"> <li>a) Number of people at risk of poverty or social exclusion</li> <li>b) Proportion of population living on less than US\$ per day.</li> <li>c) Proportion of population below minimum dietary energy consumption by: (1) gender; (2) rural/urban; (3) age</li> <li>d) Nutrition diversity by: (1) gender; (2) rural/urban; (3) age</li> <li>e) % change (increase) in contribution of agriculture and forestry to GNP/GDP</li> <li>f) % change in employment in agriculture and forestry sub-sectors</li> <li>g) % change in export earnings from agriculture and forest products</li> <li>h) % change in value-added of agriculture and forestry products manufactured</li> <li>i) adoption of national (and state) policies aimed at removing economic distortions and increasing efficiency of the sub-sectors</li> <li>j) % change in employment in agriculture and forestry sub-sectors by social group, especially poorest groups</li> <li>k) % change in income of agriculture and forestry-dependent populations from agriculture and forest products by social group</li> <li>l) % change in food-secure households in crops and forestry communities</li> <li>m) adoption of national (and state) policies aimed at direct accrual of more benefits from agriculture and forestry sub-sector management and products to poorer sections of society</li> </ul>
<p><b>Improved food production, productivity and overall availability</b></p>	<ul style="list-style-type: none"> <li>a) Trends in area under cereal/staple foods production</li> <li>b) Trends in area under cash crops and horticultural crops</li> <li>c) Crop productivity trends (t/ha) for major commodities</li> <li>d) Trends in areas under agro-forestry</li> <li>e) Forestry products production trends</li> <li>f) Trends in area under irrigation</li> <li>g) Irrigated area as percent of total arable land</li> <li>h) % contribution of AgGDP growth by subsector (food crops, cereal crops, cash crops, forestry, horticulture, etc.)</li> <li>i) Percent of area or output under improved technologies: (1) improved varieties; (2) fertilizer and other inputs; (3) efficient irrigation systems</li> <li>j) Production of major cereal crops in tonnes against consumption requirements per annum</li> <li>k) Productivity of major crops in terms of tonnes per unit of factor of production, e.g., t/ha, t/labour day, t/unit variable cost, etc.</li> <li>l) Production of livestock, fisheries in tonnes</li> <li>m) Real AgGDP growth rate (percent)</li> </ul>

Process, Policy or Intervention Area	Indicator Definition
<p><b>Ensuring food availability</b></p> <p>Increasing agricultural production and productivity through improved technologies, expansion in cultivation area and improved access to inputs</p>	<ul style="list-style-type: none"> <li>a) Percent of area or output under improved technologies: (1) improved varieties; (2) fertilizer and other inputs; (3) efficient irrigation systems</li> <li>b) Production of major cereal crops in tonnes against consumption requirements per annum</li> <li>c) Productivity of major crops in terms of tonnes per unit of factor of production, eg. t/ha, t/labour day, t/unit variable cost, etc.</li> <li>d) Real AgGDP growth rate (percent)</li> <li>e) % contribution of AgGDP growth by subsector (food crops, cereal crops, cash crops, forestry, horticulture, etc.)</li> <li>f) % increase in cultivation area</li> <li>g) % increase in crops produced</li> <li>h) % increase in protected areas (forestry)</li> <li>i) Number of improved farms</li> <li>j) Supply of all categories of crops and forestry products</li> </ul>
<p><b>Ensuring access to food</b></p> <p>Increase access through the promotion of agricultural trade, commercial agricultural production and agrobusiness, including processing</p>	<ul style="list-style-type: none"> <li>a) Value of total agricultural exports/imports within the country (mainly cereals) in metric tonnes</li> <li>b) Value of total agricultural exports by: (1) as % of AgGDP; (2) share of value-added exports; ratio to value of total imports; (4) % contribution by subsector</li> <li>c) Domestic and import-export parity prices by major commodities</li> </ul>
<p><b>Improved food safety and nutritional value</b></p> <p>Improved standards and quality of processing and packaging; consumer awareness on food safety and standards; biotechnology and increased consumption of safe food</p>	<ul style="list-style-type: none"> <li>a) Average per capita dietary energy intake levels</li> <li>b) Proportion of underweight children</li> <li>c) Incidences of food poisoning</li> </ul>

Process, Policy or Intervention Area	Indicator Definition
<p><b>Disaster preparedness and awareness for food security</b></p> <p>Early warning systems covering food availability, access and markets; crop and livestock diseases; food reserves; access to inputs; and rehabilitation of land and infrastructure</p>	<ul style="list-style-type: none"> <li>a) Number of people in need and getting food or income support on time by: (1) gender, (2); age, (3) location—rural/urban</li> <li>b) % of population in need and getting food on time</li> <li>c) Cereal deficit/import ratio</li> <li>d) Food deficit/reserve ratio</li> <li>e) % of cereal deficit that can be covered by food reserves</li> <li>f) % of food deficit that can be covered by financial reserves.</li> <li>g) Reliable early warning reports</li> <li>h) Timely imports to cover food deficits</li> <li>i) Ratio of people in need to people receiving adequate food aid</li> <li>j) Trends in areas under drought-tolerant crops</li> <li>k) Trends in areas under irrigation</li> <li>l) Percent area under conservation agriculture</li> <li>m) Increase in area under irrigation</li> <li>n) Rural road density and quality</li> <li>o) Percent of agricultural production that is lost post-harvest</li> </ul>
<p><b>Equitable and sustainable use of natural resources and environment</b></p> <p>Development of frameworks for cooperation, harmonisation of national environmental policies, monitoring of environmental conditions and trends, and development and implementation of programmes on environment and natural resources</p>	<ul style="list-style-type: none"> <li>a) Rate of deforestation</li> <li>b) Rate of land degradation</li> <li>c) Volume of water withdrawal to total renewable water resources</li> <li>d) Volume of ground water abstractions to total groundwater recharges</li> <li>e) Ratio of livestock unit equivalent to total grazing area</li> <li>f) Number of essential water bodies contaminated by pollution</li> <li>g) % change in rate of forest degradation</li> <li>h) % change in rate of soil erosion</li> <li>i) % change in areas under protected status, and viably managed</li> <li>j) % change in richness, number, population and status of endangered species</li> <li>k) increase in biomass</li> <li>l) increase in area under effective watershed management</li> <li>m) adoption of national (and state) level policies aimed at increasing environmental protection</li> <li>n) adoption of regional and international policies/conventions aimed at increasing environmental protection</li> </ul>

Process, Policy or Intervention Area	Indicator Definition
<p><b>Strengthening institutional frameworks &amp; capacity building (including social equity)</b></p> <p>Development of legal instruments, annual/ medium/ long-term plans, harmonization of rules &amp; regulations and policies</p>	<ul style="list-style-type: none"> <li>a) Number of policies developed and under implementation</li> <li>b) Action plans developed and implemented or under implementation</li> <li>c) Number of extension officers per 1000 farmers</li> <li>d) Proportion of staff that have received training</li> <li>e) Proportion of staff that have left for other opportunities (brain drain)</li> <li>f) Number of approved but unfilled positions as ratio of total staff</li> <li>g) Number of policies developed and introduced and their impact in terms of enhancing agricultural development as measured by: (1) number of private companies involved in agricultural development; (2) % of population with access finance and value of commercial loans for agriculture as % of value of total loans and AgGDP; (3) total production</li> <li>h) Adoption of policies aimed at increasing access of local people to agriculture and forest management and products</li> <li>i) Increase in involvement of women in crops and forestry activities; recruitment of women into government posts in agriculture and forestry sub-sectors</li> <li>j) % increase in demarcation of lands and resources for sole use of indigenous groups</li> <li>k) Extent and quality of stakeholders' consultations (on objectives and strategies from the outset, and whether they agreed with them and remained in agreement)</li> <li>l) Extent of donor policy and national policies concurrence, the effects of any policy changes; how far the relevant national (development and budgetary) policies and priorities affected the sector positively or adversely</li> <li>m) Degree of commitment of all parties involved, such as governments (e.g. through policy and budgetary support) and counterpart institutions</li> <li>n) Extent to which the intervention is embedded in national/local institutional structures; if it involved creating a new institution, how far good relations with existing institutions were established; whether the institution appears likely to be capable of generating, managing, delivering and continuing the flow of benefits (is it well-led, with adequate and trained staff, sufficient budget and equipment?)</li> <li>o) Technical, financial and managerial capacities of AIS institutions</li> </ul>

Process, Policy or Intervention Area	Indicator Definition
<b>Sustainable agricultural financing and investment</b>	<ul style="list-style-type: none"> <li>a) Percent of annual public spending on agriculture compared to total spending</li> <li>b) Trends in the amount allocated for agriculture as a whole in the national budget</li> <li>c) Trends in expenditure on agricultural R&amp;D as percent of AgGDP</li> <li>d) Trends in total investment in agricultural sector as percent of AgGDP</li> <li>e) Trends in donor commitments on food aid and inputs</li> <li>f) Trends in the number of financial institutions advancing loans to agriculture and total value of loans compared to total financing requirement</li> <li>g) Trends in the number of dealers participating in contract farming, and total value of inputs advanced to farmers on contract farming basis</li> <li>h) Trends in the number of microfinance institutions participating in advancing loans</li> <li>i) Trends in the number of private firms investing in value addition</li> <li>j) Trends in volumes of processed products</li> <li>k) Trends in the value of processed products</li> <li>l) Trends in investments under public/private sector partnerships</li> <li>m) Increase in area under irrigation</li> </ul>
<b>Improved access to key agricultural inputs</b>	<ul style="list-style-type: none"> <li>a) Trends in the use of fertilizer in kg/ha</li> <li>b) Trends in fertilizer production, requirements and imports by country and region</li> <li>c) Trends in the use of lime in kg/ha</li> <li>d) Trends in seed production and imports</li> <li>e) Trends in the number of smallholder farmers engaging in the production of high value crops</li> <li>f) Increase in national average yields for cereal crops</li> <li>g) Average size of arable and grazing land per household</li> <li>h) Percent of people on the waiting list to get land</li> <li>i) Average value of credit per farmer</li> <li>j) Percent of farmers supported by financial institutions</li> <li>k) Trends in the value of credit</li> <li>l) Percent of total arable land farmed</li> </ul>

Process, Policy or Intervention Area	Indicator Definition
<p><b>Access to productive land</b></p>	<ul style="list-style-type: none"> <li>a) Trends in the average land size for small-scale farmers by gender</li> <li>b) Trends in yield (kg/ha)</li> <li>c) Legal/ institutional land policy framework – Existence of a functional national Land policy framework <ul style="list-style-type: none"> <li>– Participation in land policy development and implementation</li> <li>– Recognition of customary tenure in both rural/ urban areas</li> <li>– Land focused institutions with clear mandate</li> </ul> </li> <li>d) Security of tenure for women – Acknowledgement and protection of women’s individual land rights through customary or statutory law <ul style="list-style-type: none"> <li>– The law provides opportunities for those holding land under customary tenure to fully or partially individualize land ownership and use</li> <li>– Procedures for registration of tenure are clearly specified, safeguarded and followed</li> <li>– Proportion of women with documented land rights</li> </ul> </li> <li>e) Land administration systems that promotes equity – Existence of formal mechanisms for land management and land administration <ul style="list-style-type: none"> <li>– Ease and affordability of registration of property</li> <li>– % of land that is registered</li> <li>– % of communal land that is registered</li> <li>– Access to justice / recourse to enforce land rights</li> <li>– % of landless / homeless / squatting households</li> </ul> </li> <li>f) Land management systems that contribute to sustainable land utilisation – Land is mapped and rights are registered <ul style="list-style-type: none"> <li>– Land acquisition generates few conflicts and these are adequately addressed</li> <li>– Land conversion restrictions on rural land parcels</li> <li>– Public institutions involved in land allocations operate in a transparent manner</li> <li>– Incentives for investors are clear, transparent and consistent</li> <li>– Accessible and reliable land information for all interest holders</li> <li>– There are direct and transparent negotiations between right holders and investors</li> <li>– Social and environmental requirements for large scale investments in agriculture are clearly defined and implemented</li> <li>– Clear avenues to lodge complaints when investors do not comply with requirements</li> </ul> </li> <li>g) Resource allocation – % of national budget allocated to land sector <ul style="list-style-type: none"> <li>– % of land policy needs/ objectives covered by national budget</li> <li>– % of composition of donor funds in national land budget</li> <li>– % of total and budget allocated to capacity building of staff dealing with land</li> <li>– level of resources generated from land taxation</li> </ul> </li> </ul>

Process, Policy or Intervention Area	Indicator Definition
<b>Research, technology development and dissemination, training and human resources development</b>	<ul style="list-style-type: none"> <li>a) Percent of households adopting new technologies</li> <li>b) Number of technologies identified to align the farmers production environment to market demands</li> <li>c) Incentive schemes in place to promote technology adoption and use (for the Rols).</li> <li>d) Percent of irrigated area under efficient systems (sprinkler, drip)</li> <li>e) Percent of farm households using improved varieties</li> <li>f) Percent of farm households using inorganic fertilizers</li> <li>g) Number of farmers per extension worker</li> <li>h) Number of professionals per 1000 farmers</li> <li>i) Level of training for professionals (certificate, diploma, degree, higher national diploma, masters, PhD)</li> </ul>
<b>Market access</b> Improvements in transparency of markets; the infrastructure of the marketplace; physical (e.g. road & rail haulage, water transport) and institutional access; market-related information; actor participation and confidence	<ul style="list-style-type: none"> <li>a) Amount allocated to buy food to meet demand during deficit times (financial reserves)</li> <li>b) Amount of food stored in silos to meet deficits</li> <li>c) Deficit/reserve ratio</li> <li>d) Trends in agricultural exports in terms of volumes</li> <li>e) Value and volume of agricultural exports as percent of AgGDP</li> <li>f) Domestic and export parity prices by major commodities</li> <li>g) Trends in food imports</li> <li>h) Percentage value of food consumed that is imported</li> <li>i) Level of improvement in “institutions/rules of the game”—management by more credible entities</li> <li>j) Level of improvement in the institutions around the marketplace</li> <li>k) Level of improvement in the acceptability of the specific organization managing the market/marketplace</li> <li>l) Capacity (numbers, volume) of facilities that improve the individual farmer’s ability to display his produce</li> <li>m) Status of infrastructure that improve the conditions/quality of the produce to be sold, or facilities that allow for easier loading of produce</li> <li>n) Status of infrastructure/procedures that (and adherence/compliance to) facilitate open/transparent sales such as scales and grading systems</li> <li>o) Presence and severity of tariff and non-tariff barriers to access, e.g. denial on account of membership, regulatory/legislative prohibitions</li> <li>p) Openness and ease of access to market and trade information</li> </ul>
<b>Private sector involvement in agricultural development</b>	<ul style="list-style-type: none"> <li>a) Trends in the number of financial institutions advancing loans to agriculture and total value of loans compared to total financing requirement</li> <li>b) Trends in the number of dealers participating in contract farming and total value of inputs advanced to farmers on contract farming basis</li> <li>c) Trends in the number of microfinance institutions participating in advancing loans</li> </ul>
<b>Mainstreaming gender in agricultural development</b>	<ul style="list-style-type: none"> <li>a) Percent of women with key position in the agricultural ministries</li> <li>b) Percent of women with arable land in relation to total farming households</li> <li>c) Percent of women with access to credit</li> </ul>

## Annex 4e: Standard Indicators for Capacity Factors<sup>16</sup>

Indicator	Description
<b>Standard indicators evaluating the conduciveness of the socio-political environment</b>	
Commitment of leaders to the development goal (DG)	<ul style="list-style-type: none"> <li>Social and political leaders consistently and frequently make statements or take leadership actions and decisions supporting the DG</li> </ul>
Compatibility of the DG with social norms and values	<ul style="list-style-type: none"> <li>Social norms and beliefs that underpin the behaviour of stakeholders are compatible with the DG</li> </ul>
Stakeholder participation in decisions about the DG	<ul style="list-style-type: none"> <li>Decision-making processes about the DG consider all stakeholder opinions, and government and other organs of the state are responsive to the views of civil society and the private sector</li> </ul>
Stakeholder voice in decisions about the DG	<ul style="list-style-type: none"> <li>Stakeholders know their rights related to the DG, claim those rights, and communicate their grievances and proposals for change to the government and legislature</li> </ul>
Accountability of public service providers for achieving the DG	<ul style="list-style-type: none"> <li>Government and other public service entities take responsibility for the appropriateness of their policies and actions in relation to the DG</li> <li>When public officials and other public service providers fail to meet expectations about achievement of the DG, stakeholders hold them accountable for their conduct and performance</li> </ul>
Transparency of information to stakeholders about the DG	<ul style="list-style-type: none"> <li>Government and other public service entities provide accurate, relevant, verifiable, and timely information about the DG and explain actions concerning the DG in terms that stakeholders and other stakeholders can use to make decisions</li> </ul>
<b>Standard indicators of the efficiency of policy instruments</b>	
Clarity of the policy instrument in defining DG and the related rights and responsibilities of stakeholders	<ul style="list-style-type: none"> <li>The rights and responsibilities of stakeholders related to the DG are clearly defined and specified</li> <li>Stakeholders have a common understanding of the policy goal and the targets of any specified regulations</li> <li>The authorities and processes concerning the policy instrument are clear</li> <li>Policy instruments related to the DG are consistent with each other</li> </ul>
Consistency of the policy instrument that defines the DG with policy instruments for other DGs	<ul style="list-style-type: none"> <li>Policy instruments related to the DG are consistent with policy instruments for other DGs</li> <li>Stakeholders have a common understanding of the policy goal and the targets of any specified regulations</li> </ul>
Legitimacy of the policy instrument	<ul style="list-style-type: none"> <li>Processes for decisions about policy instrument are informed, transparent, participatory, and deliberate</li> <li>The policy instrument is perceived as desirable and appropriate within the local system of norms, values, beliefs, and definitions</li> <li>The actions and sanctions prescribed by the policy are perceived as fair by stakeholders</li> <li>Rights to appeal are assured</li> </ul>

16. Source: Samuel Otoo, Natalia Agapitova and Joy Behrens (2009): The Capacity Development Results Framework - A strategic and results-oriented approach to learning for capacity development, World Bank Institute, World Bank, Washington DC.

Indicator	Description
Incentives for compliance provided by the policy instrument	<ul style="list-style-type: none"> <li>The policy instrument imposes low transaction costs for compliance and facilitates desired economic and social exchange activities related to the DG by reducing uncertainty and other costs to the participants in these transactions</li> </ul>
Administrative ease of implementing the policy instrument	<ul style="list-style-type: none"> <li>Duty bearers specified by the policy instrument are able to execute their responsibilities readily and effectively, and without undue costs in terms of time and resources</li> </ul>
Freedom of policy instrument from unintended negative consequences	<ul style="list-style-type: none"> <li>The policy instrument minimises unintended negative impacts in DG-related transactions.</li> </ul>
Flexibility of the policy instrument in addressing varying DG situations	<ul style="list-style-type: none"> <li>Policy instruments are predictably flexible in addressing varying situations</li> <li>Policy instruments allow for timely revision when the underlying social and political circumstances have changed</li> </ul>
Resistance of policy instrument to corruption, rent seeking, and regulatory capture	<ul style="list-style-type: none"> <li>Policy instruments minimise opportunities for corruption, include mechanisms to monitor and report corruption, and provide credible and enforceable penalties for corrupt behaviour</li> <li>Policy instruments do not reflect the efforts of vested interests to manipulate the economic and/or legal environment to secure undue privileges or compensation at the expense of the greater public good</li> </ul>
<b>Standard indicators of the effectiveness of organizational arrangements</b>	
Clarity of mission with respect to the DG	<ul style="list-style-type: none"> <li>The vision and mission of the organization are strongly aligned with the DG and clearly articulated, and provide its members with clear points of reference for making decisions and gaining commitment from management, staff, and other stakeholders to work toward the DG</li> <li>Relevant stakeholders recognise the mandate of the organization</li> </ul>
Achievement of outcomes that lead directly to attainment of the DG	<ul style="list-style-type: none"> <li>The organization consistently achieves outcomes that lead directly to the DG expressed in its mission statement</li> </ul>
Operational efficiency in producing DG-related outputs	<ul style="list-style-type: none"> <li>The strategies, inputs, processes, and technology of the organization are managed to optimise the quantity and quality of output relative to the cost of accomplishing its DG-related goals</li> </ul>
Financial viability and probity	<ul style="list-style-type: none"> <li>The organization sustainably secures the funds needed to cover its operating costs</li> <li>Sound financial management, including reporting of externally verified accounts, helps to ensure that the resources of the organization are allocated effectively to achieve its goals</li> </ul>
Supportiveness of stakeholders	<ul style="list-style-type: none"> <li>The organization seeks the support of stakeholders for its DG-related work</li> <li>Organizational decision-making and operational processes involve consultations with appropriate stakeholders</li> </ul>
Adaptability in anticipating and responding to change	<ul style="list-style-type: none"> <li>The organization regularly monitors its internal and external environment for information relevant to the DG and is proactive in adapting its strategy accordingly</li> <li>The organization encourages innovation, manages knowledge, and creates and/or adapts to new technologies</li> </ul>

## Annex 5: Glossary of key terms, concepts and definitions

### Key Sources:

- [CIDA] Canadian International Development Agency, *CIDA Evaluation Guide*, Performance Review Branch, January 2000.
- [Keystone] Impact Planning and Learning (IPL) Guides. Website: [www.KeystoneAccountability.org](http://www.KeystoneAccountability.org)
- [NSF-USA] National Science Foundation, *User-Friendly Handbook for Mixed Method Evaluations*, 1997.
- [OECD] Organization for Economic Co-operation and Development, *Glossary of Key Terms in Evaluation and Results Based Management*, 2002. The glossary was originally published in 2002 in English, French and Spanish and has since been made available in Chinese, Dutch, Italian, Japanese, Portuguese, Russian, Kiswahili, Turkish and Swedish. It has been widely used and is now a standard reference. The African Development Bank (AfDB), the Islamic Development Bank (IsDB) and the OECD-DAC Development Co-operation Directorate published the glossary in Arabic, in a trilingual format with English and French.
- [Rossi et al.] Peter H. Rossi, Howard E. Freeman, and Mark W. Lipsey: *Evaluation. A Systematic Approach*, (6th ed.) 1999.
- [TBS 2001 Evaluation Policy] Treasury Board of Canada Secretariat, *Evaluation Policy*, 2001
- [TBS 2009 Evaluation Policy] - Treasury Board of Canada Secretariat, *Evaluation Policy*, 2009.
- [TBS RBM Lexicon] Treasury Board of Canada Secretariat, *Lexicon for Results-Based Management and Accountability*, 2002 (updated in 2012).
- [UNEG] United Nations Evaluation Group, *Norms for Evaluation in the UN System*, 2005. Available at: <http://www.unevaluation.org/uneqnorms>.
- [UNESCO] United Nations Educational, Scientific and Cultural Organization.
- [UW] United Way of Canada, *Measuring Program Outcomes: A Practical Approach*, 1996.
- [World Bank] Linda G. Morra Imas, and Ray C. Rist: *The Road to Results: Designing and Conducting Development Evaluations*. The World Bank (Ed.) 2009.
- [WB/IEG] World Bank, Independent Evaluation Group. *Designing a Results Framework for achieving results: a How-to Guide*, 2012.

## Accountability

- a) How organizations hold themselves to account externally, especially to those they affect most, and internally to their values and their mission. Accountability goes beyond simply complying with the demands of those with the power to demand accountability. It involves developing mutually accountable learning relationships among all constituents that enhance developmental processes and outcomes.
- b) Obligation to demonstrate that work has been conducted in compliance with agreed rules and standards or to report fairly and accurately on performance results vis à vis mandated roles and/or plans. This may require a careful, even legally defensible, demonstration that the work is consistent with the contract terms.

Note: Accountability in development may refer to the obligations of partners to act according to clearly defined responsibilities, roles and performance expectations, often with respect to the prudent use of resources. For evaluators, it connotes the responsibility to provide accurate, fair and credible monitoring reports and performance assessments. For public sector managers and policymakers, accountability is to taxpayers/citizens. **[OECD-DAC/AfDB/IsDB]**

- c) The obligation to demonstrate and take responsibility for performance in light of agreed expectations. There is a difference between responsibility and accountability—responsibility is the obligation to act whereas accountability is the obligation to answer for an action. **[TBS RBM Lexicon]**
- d) Responsibility for the justification of expenditures, decisions or results of the discharge of authority and official duties, including duties delegated to a subordinate unit or individual. As for programme and project managers, it behooves on them to provide evidence to stakeholders that a programme or project is effective and conforms with planned results, and legal and fiscal requirements. Accountability is also an obligation to provide a true and fair view of performance and the results of operations. It relates to the obligations of development partners to act accordingly to clearly defined responsibilities, roles and performance expectations and to ensure credible M&E and reporting. **[CIDA]**

## Activity

- a) Actions taken or work performed through which inputs, such as funds, technical assistance and other types of resources are mobilised to produce specific outputs. Related term: development intervention. **[OECD-DAC/AfDB/IsDB]**
- b) An operation or work process internal to an organization intended to produce specific outputs (e.g. products or services). Activities are the primary link in the chain through which outcomes are achieved. **[TBS RBM Lexicon]**
- c) Activities are what a programme does with its inputs—the services it provides—to fulfil its mission. Programme activities result in outputs. **[UW]**
- d) Actions in the context of programming, which are both necessary and sufficient, and through which inputs (financial, human, technical and material resources) are mobilised to produce specific outputs or contribute to the outcome. **[CIDA]**

- e) Programme component consisting of various measurable, tangible and recurrent tasks, whose common feature is the pursuit of an objective within a specialised field of activity. **[UNESCO]**

### Activity Ecosystem

- a) The system of actors that influences the outcomes (positively or negatively) that an organization wishes to achieve. All organizations work within a complex and dynamic ecosystem of people and organizations acting simultaneously. (Often, reporting and funding practices reinforce competition and an insular mindset among actors working on the same problem. ToC seeks to encourage the opposite: to reward actors who seek ways of building alignment and collaboration within an ecosystem.)

### Adaptive Research

- a) Research designed to adjust a technology to a particular set of specific farming conditions, including selection or customising of technologies, processes or knowledge to suit the needs of users in a specific location.

### Alignment

- a) Relationship in which the different actors plan interventions separately, but talking to each other so as to ensure that there is minimal overlap, duplication or conflict in the situations.

### Analytical Tools

- a) Methods used to process and interpret information during an evaluation **[OECD-DAC/AfDB/IsDB]**

### Appraisal

- a) An overall assessment of the relevance, feasibility and potential sustainability of a development intervention, prior to a decision of funding.

Note: In development agencies, banks, etc., the purpose of appraisal is to enable decision makers to decide whether the activity represents an appropriate use of corporate resources. Related term: ex-ante evaluation **[OECD-DAC/AfDB/IsDB]**

### Applied Research

- a) Research geared to solving a practical problem facing a society using outputs from basic research.

### Approaches to Evaluation

- a) A variety of approaches has been developed to meet the changing nature of development evaluation. The choice of the evaluation approach depends partly on the context. The

approaches are not mutually inclusive, and evaluations may combine elements of two or more approaches. The approaches include the following: **(WB)**

- Prospective evaluation
- Formative evaluation
- Summative evaluation
- Evaluability assessment
- Goal-based evaluation
- Multisite evaluation
- Cluster evaluation
- Social assessment
- Environmental and social assessment
- Participatory evaluation
- Outcome mapping
- Rapid assessment
- Evaluation synthesis
- Meta-evaluation
- Utilisation- focused evaluation
- Empowerment evaluation
- Realist evaluation
- Inclusive evaluation
- Beneficiary assessment
- Horizontal evaluation

## Assumptions

- a) Hypotheses about factors or risks that could affect the progress or success of a development intervention.

Note: Assumptions can also be understood as hypothesised conditions that bear on the validity of the evaluation itself, e.g., about the characteristics of the population when designing a sampling procedure for a survey. Assumptions are made explicit in theory-based evaluations, where evaluation systematically tracks the anticipated results chain. **[OECD-DAC/AfDB/IsDB]**

- b) The external factors, influences, situations or conditions necessary for project success. Assumptions are external factors that are quite likely but not certain to occur and which are important for the success of the project or programme, but which are largely or completely beyond the control of project management.

## Attribution

- a) The ascription of a causal link between observed (or expected to be observed) changes and a specific intervention.

Note: Attribution refers to that which is to be credited for the observed changes or results achieved. It represents the extent to which observed development effects can be attributed to a specific intervention or to the performance of one or more partner taking account of other interventions, (anticipated or unanticipated) confounding factors, or external shocks. **[OECD-DAC/AfDB/IsDB]**

- b) The assertion that certain events or conditions were, to some extent, caused or influenced by other events or conditions. This means a reasonable connection can be made between a specific outcome and the actions and outputs of a government policy, programme or initiative. **[TBS RBM Lexicon]**

## Audit

- a) An independent, objective assurance activity designed to add value and improve an organization's operations. It helps an organization accomplish its objectives by bringing

a systematic, disciplined approach to assess and improve the effectiveness of risk management, control and governance processes.

Note: a distinction is made between regularity (financial) auditing, which focuses on compliance with applicable statutes and regulations, and performance auditing, which is concerned with relevance, economy, efficiency and effectiveness. Internal auditing provides an assessment of internal controls undertaken by a unit reporting to management while auditing is conducted by an independent organization. **[OECD-DAC/AfDB/IsDB]**

- b) Audits are examinations of a recipient's accounts, records, or other evidence deemed necessary in the circumstances. **[TBS Transfer Payment Policy]**
- c) An examination or review that assesses and reports on the extent to which a condition, process or performance conforms to predetermined standards or criteria, policy and procedures. It must be an independent, objective assurance and consulting activity that is designed to add value and improve an organization's operations. It helps an organization accomplish its objectives by bringing a systematic, disciplined approach to assess and improve the effectiveness of risk management, control and governance processes. **[CIDA]**
- d) An assessment of the adequacy of management controls to ensure the economical and efficient use of resources; the safeguarding of assets; the reliability of financial and other information; the compliance with regulations, rules and established policies; the effectiveness of risk management; and the adequacy of organizational structures, systems and processes. Audit focuses on compliance. **[UNEG]**
- e) An examination or review that assesses and reports on the extent to which a condition, process or performance conforms to predetermined standards or criteria.

### Baseline Data

- a) Information on a particular situation prior to the implementation of planned activities. Baseline data serve as a basis for measuring change. Without this information, it is difficult to determine whether a change has occurred.
- b) Data that describe the situation to be addressed by a programme or project and that serve as the starting point for measuring the performance of that programme or project. **[CIDA]**
- c) Facts about the condition or performance of subjects prior to treatment or intervention. **[NSF]**

### Baseline Study

- a) An analysis describing the situation prior to a development intervention, against which progress can be assessed or comparisons made. **[OECD-DAC/AfDB/IsDB]**

### Basic Research

- a) Scientific investigation that advances knowledge, theories, techniques or measurements of processes, but which may or may not have immediate application.

## Benchmark

- a) Reference point or standard against which performance or achievements can be assessed/ compared.

Note: A benchmark refers to the performance achievements of other comparable organizations in the recent past, or what they can be reasonably inferred to have achieved in the circumstances.

### [OECD-DAC/AfDB/IsDB]

- b) Benchmarks are performance data that are used for comparative purposes. A programme can use its own data as a baseline benchmark against which to compare future performance. It also can use data from another programme as a benchmark. In the latter case, the other programme often is chosen because it is exemplary and its data are used as a target to strive for, rather than as a baseline. [UW]
- c) Reference point or standard against which progress or achievements may be compared, e.g., what has been achieved in the past, what other comparable organizations such as development partners are achieving, what was targeted or budgeted for, what could reasonably have been achieved under the circumstances. It also refers to an intermediate target to measure progress in a given period. [CIDA]

## Beneficiaries

- a) The individuals, groups, or organizations, whether targeted or not, that benefit, directly or indirectly, from the development intervention. Related terms: reach, target group. [OECD-DAC/AfDB/IsDB]
- b) Group of persons who benefit from goods or services provided by public organizations. [UNESCO]

## Beneficiary Assessment

- a) Tool used to improve the impact of development operations by gaining the views of intended beneficiaries regarding a planned or on-going intervention. [WB]

## Benefits

- a) Net programme outcomes, usually translated into monetary terms. Benefits may include both direct and indirect effects. [Rossi et al.]

## Best Practices

- a) Planning and/or operational practices that have proven successful in particular circumstances. Best practices are used to demonstrate what works and what does not and to accumulate and apply knowledge about how and why they work in different situations and contexts. [CIDA]

## Bias

- a) Bias is an inaccurate representation that produces systematic error in a research finding. Bias may result in overestimating or underestimating characteristics or trends. It may result

from incomplete information or invalid data collection methods and may be intentional or unintentional. **[CIDA]**

### Bias in Coverage

- a) The extent to which subgroups of a target population participate differently in a programme. **[Rossi et al.]**

### Capabilities

- a) Resources within a society that influence the type and scale of activity undertaken by individuals and organizations (e.g., natural resources, infrastructure, human resources, technology).

### Capacity

- a) The ability of people, organizations and society as a whole to manage their affairs successfully. **[OECD]**
- b) Organizational and technical abilities, relationships and values that enable countries, organizations, groups and individuals at any level to carry out functions and achieve their development objectives over time.
- c) The ability of people, organizations and society to use their resources, systems and processes they develop to support them in their work and perform. An examination of the systems and management practices associated with human, financial and infrastructure resources helps provide insight into the use of organizational resources. Capacities are demonstrated in the form of: (i) strategic leadership involving the strategies and niche management by the leaders, which set the direction for the organization; (ii) programme management in terms of the ability of the organization to carry out its institutional role; (iii) process management that examines the way the organization manages its human relations and work-related interactions; (iv) structure that identifies the links between how an organization is governed and its mission, as well as the roles that human resources and finance play in the organization's day-to-day activities; and (v) inter-institutional linkages that describes the ability of the organization to manage its external relationships.

### Capacity Building

- a) The building of skills or the acquisition of new knowledge and its application in the pursuit of individual and organizational goals. Capacity building efforts generally include one or more of the following approaches: information dissemination; training; facilitation and mentoring; networking; and feedback, to promote learning from experience (learning by doing, or experiential learning).
- b) The ability of individuals, groups, institutions and organizations to identify and solve development problems over time.

## Capacity Development

- a) The process by which individuals, organizations, institutions and societies develop their individual and collective abilities to perform functions, solve problems and set and achieve objectives.
- b) The strengthening of governance, organizational culture and administrative support structures required for institutions to function effectively.
- c) The processes whereby people, organizations and society as a whole unleash, strengthen, create, adapt and maintain capacity over time. **[OECD]**
- d) A locally driven process of learning by leaders, coalitions and other agents of change that brings about changes in socio-political, policy-related, and organizational factors to enhance local ownership for and the effectiveness and efficiency of efforts to achieve a development goal. **[WB]**

## Capacity for Development

- a) The availability of resources and the efficiency and effectiveness with which societies deploy those resources to identify and pursue their development goals on a sustainable basis. This definition relies on three subsidiary definitions:
  - The availability of resources (human, financial, technical) is a necessary but not sufficient condition for achieving the development goals of a society or an administrative entity.
  - The effectiveness and efficiency with which resources are acquired and used depend on specific configurations of socio-political, policy-related (institutional), and organizational factors that condition the behaviour of political and economic actors.
  - Social and economic development is sustainable when results and performance are locally owned and can be replicated and scaled up by local actors. **[WB]**

## Case Study

- a) An intensive, detailed description and analysis of a single project, programme, or instructional material in the context of its environment. **[NSF]**
- b) A research process focused on understanding a specific phenomenon within its real life context, generally involving multiple sources of information.

## Ceremonial Assessments

- a) Refers to assigning the control of data to a few offices and individuals during an assessment of organizational performance with the intent of carefully hiding any criticism directed at the organization in question.

## Client(s)

- a) The people or organizations who become directly involved in the programme through receiving or consuming its outputs.

- b) The person, group or agency that has commissioned an evaluation and to whom the evaluator has legal responsibility.

### Cluster Evaluation

- a) An evaluation of a set of related activities, projects and/or programmes. [OECD-DAC/AfDB/IsDB]
- b) An evaluation that looks at groups of similar or related interventions. [WB]

### Coding

- a) To translate a given set of data or items into descriptive or analytic categories to be used for data labelling and retrieval. [NSF]

### Collaboration

- a) Relationship in which different actors agree to work together to achieve some specific short-term or long-term objective. Collaborations can be for a day or for a longer period.

### Competence

- b) The demonstrated background, knowledge, and skills necessary to practise a profession (e.g. development evaluation) or to appraise its practice by others.

### Conclusions

- a) Conclusions point out the factors of success and failure of the evaluated intervention, with special attention paid to the intended and unintended results and impacts, and more generally to any other strength or weakness. A conclusion draws on data collection and analyses undertaken, through a transparent chain of arguments. [OECD-DAC/AfDB/IsDB]
- b) A reasoned judgment based on a synthesis of findings.

### Conflict of Interest

- a) When there is a clash between the private interest and the public interest of a person responsible for an evaluation. It is not necessarily fatal to validity (e.g., self-evaluation is a legitimate strategy), but may affect credibility unless various interests are suitably balanced.

### Constituents

- a) There can be different notions of which groups can claim to be core constituents of a developmental intervention. Most often there are three core constituents: those that provide resources (*funders*), those that implement programmes (*partners*), and those most affected by the interventions (*primary constituents*) and in whose name the organization defines its mission. A commonly used term is ‘beneficiary’—but the passivity that this term implies makes it unsuitable in developmental processes.

## Content Analysis

- a) A process using a parsimonious classification system to determine the characteristics of a body of material or practices. **[NSF]**

## Contextual Indicators

- a) Any indicators that are not included in the set identified for project/programme monitoring but would be important to understanding and analysing the performance.

## Cost-benefit Analysis

- a) Analytical procedure for determining the economic efficiency of a programme, expressed as the relationship between costs and outcomes, usually measured in monetary terms. **[Rossi et al.]**

## Cost-effectiveness

- a) The extent to which an organization, programme, policy or initiative is using the most appropriate and efficient means in achieving its expected results relative to alternative design and delivery approaches. **[TBS RBM Lexicon]**
- b) The relation between the costs (inputs) and results produced by a project (or programme). A project or programme is more cost-effective when it achieves its results at the lowest possible cost compared with alternative projects with the same intended results. **[CIDA]**
- c) The efficacy of a programme in achieving given intervention outcomes in relation to the programme costs. **[Rossi et al.]**
- d) The cost per unit of 'outcome'. It relates total inputs to units of 'outcome' achieved.

## Cost Efficiency

- a) The cost per unit of 'output'. It relates total inputs to units of 'output' produced.

## Counterfactual

- a) The situation or condition that hypothetically may prevail for individuals, organizations, or groups if there was no development intervention. **[OECD-DAC/AfDB/IsDB]**

## Country Programme Evaluation/ Country Assistance Evaluation

- a) Evaluation of one or more donor's or agency's portfolio of development interventions, and the assistance strategy behind them, in a partner country. **[OECD-DAC/AfDB/IsDB]**

## Coverage

- a) The extent to which a programme reaches its intended target population. **[Rossi et al.]**

## Culture

- a) A set of values, guiding beliefs, understanding and ways of thinking that are shared by members of an organization and are taught to new members. Culture represents the unwritten, informal standards of an organization.

## Data

- a) Specific quantitative and qualitative information or facts that are collected. **[CIDA]**

## Data Collection Tools

- a) Methodologies used to identify information sources and collect information during an evaluation.

Note: Examples are informal and formal surveys, direct and participatory observation, community interviews, focus groups, expert opinion, case studies, and literature search. **[OECD-DAC/AfDB/IsDB]**

## Decision makers (for ARD)

- a) Those who design funding programmes; those who allocate resources; and those who have an influence on the first two categories (e.g. media, civil society networks, parliamentarians, etc.).

## Demand

- a) What people ask for, need and value so much that they are willing to invest their resources, such as time and money, in order to receive the services. A precondition for farmers to demand agricultural research and/or advisory services is motivation to boost agricultural production, which is closely linked to the existence of favourable market opportunities as well as market access. Furthermore, the demands *from farmers* are strongly framed by the demands being made *on farmers* from other market actors such as marketing organizations, processing companies, traders, consumers, input suppliers and public authorities. Markets are thus providing a significant degree of orientation for farmers. There is a need to ensure that farmers are able to respond effectively to these pressures.

## Development Intervention

- a) An instrument for partner (donor and non-donor) support aimed to promote development.

Note: Examples are policy advice, projects, and programmes. **[OECD-DAC/AfDB/IsDB]**

## Development Objective

- a) Intended impact contributing to physical, financial, institutional, social, environmental, or other benefits to a society, community, or group of people via one or more development interventions. **[OECD-DAC/AfDB/IsDB]**

## Developmental Performance (Developmental Impact)

- a) Applying a developmental approach to social change—not simply ‘doing for people’ or ‘transferring resources’, but working alongside and maximising people’s ability, especially that of the vulnerable and marginalised, to influence and shape the conditions, institutions, systems and relationships that impact the quality of their lives.

## Dependent Variable

- a) A variable that is affected or influenced by a programme.

## Dialogue

- a) An inclusive form of communication that is different from *debate* (where one view seeks to ‘win’ over another) or *consultation* (which is essentially ‘extractive’—where one group seeks the views of another, but retains the power to act on its own). Real dialogue involves an open and equitable exchange of views and opinion. It seeks to explore different perspectives and create a new shared understanding on which to base collaborative action, with all actors feeling that their views and interests have been listened to and taken into account as far as possible. It aims for balance rather than one view dominating another. No participant should have to give up her/his individual views or feel defeated. Dialogue requires transparency and trust. It requires all parties to be willing to listen, learn, and then act in good faith. The language and form of the dialogue should empower vulnerable stakeholders rather than exclude them. In development, dialogue between constituents—the grant makers, implementers and those most affected—is the most effective way of building collaborative learning relationships for impact.

## Dissemination

- a) An act of promoting a research output by a defined uptake pathway; the act can be through organization of field days, open days, farm trials, exhibitions, media events, workshops and seminars, training, public service delivery (e.g. seed production and distribution, quarantine services, quality control services, germplasm conservation, land-use mapping).

## Economy

- a) Absence of waste for a given output.

Note: An activity is economical when the costs of the scarce resources used approximate to the minimum needed to achieve planned objectives. [OECD-DAC/AfDB/IsDB]

## Ecosystem Thinking (Collaboration Capability)

- a) The understanding that complex and sustainable social change is seldom brought about by any single organization acting in isolation. The capability to think systemically and collaborate effectively will enhance both the impact of the organization itself and the activity ecosystem as a whole. It implies mapping actors (people and institutions) that

form part of an organization's space of activity, and developing strategic alignments and collaborations that enhance overall impact of all parties.

## Effect

- a) Intended or unintended change due directly or indirectly to an intervention. Related terms: results, outcome. [OECD-DAC/AfDB/IsDB]
- b) Effect, like impact, is a synonym for outcome although impact is somewhat more direct than an effect. Both terms are commonly used, but neither is a technical term. For technical precision, the Treasury Board Secretariat recommends that outcome be used instead of effect. [TBS RBM Lexicon]

## Effectiveness

- a) Measure of the extent to which a development programme or project/intervention achieves the specific objectives set or are expected to be achieved, taking into account their relative importance.

Note: Also used as an aggregate measure of (or judgment about) the merit or worth of an activity, i.e. the extent to which an intervention has attained, or is expected to attain, its major relevant objectives efficiently in a sustainable fashion and with a positive institutional development impact. Related term: efficacy. [OECD-DAC/AfDB/IsDB]

- b) The extent to which an organization, policy, programme or initiative is meeting its expected results. [TBS RBM Lexicon]
- c) The extent to which objectives or planned outputs have been achieved.

## Effectiveness indicators

- a) Measures illustrating the extent to which the agency has achieved its objectives, i.e. desired outcomes. They reveal the achievements that are a direct result of the agency's efforts. It is recognised that the achievement of outcomes is generally a long-term objective of agencies, and that there may be a hierarchy of outcomes within a given programme.
- b) An **Effectiveness Indicator** is an unbiased, quantitative and verifiable measurement that provides information for external reporting on the extent to which the outputs of a programme or sub-programme have contributed to the achievement of its objective/desired outcome.

## Efficiency

- a) The extent to which an organization, policy, programme or initiative is producing its planned outputs in relation to expenditure of resources. [TBS RBM Lexicon]
- b) The optimal transformation of inputs into outputs. [CIDA]
- c) Generally describes the relation between the quantity of goods and services produced and the quantity of resources used to produce them. [UNESCO]

- d) A measure of how economically resources/inputs (funds, expertise, time, etc.) are converted. **[OECD-DAC/AfDB/IsDB]**. Efficiency tells if the input into the work is appropriate in terms of the output. This could be input in terms of money, time, staff, equipment and so on. When a project run or an intervention is implemented and the issue of replicability or scaling up is of concern, then it is very important to get the efficiency element right.

### Efficiency indicators

- a) Measure relating the resource inputs (financial, human, physical or time) to the agency's outputs. This input/output relationship places the focus on the key products or services (outputs) the agency delivers to its customers, rather than the internal processes by which those products or services are produced. Efficiency indicators are a natural corollary of the funding base used for Output Based Management. They relate 'outputs' to the level of resource 'inputs' required to produce them. The major inputs invariably include a resource cost, but for some programmes elapsed time is an important resource.

### Empowered

- a) Having the individual capabilities and/or the collective capacity to enable individuals or groups to independently take meaningful control of and manage their own development.

### Empowerment Evaluation

- a) A participatory or collaborative evaluation in which the evaluator's role includes consultation and facilitation directed toward the development of the capabilities of the participating stakeholders to conduct evaluation on their own, to use it effectively for advocacy and change, and to have some influence on a programme that affects their lives. **[Rossi et al.]**
- b) Use of evaluation concepts, techniques and findings to foster improvement and self-determination. **[WB]**
- c) Empowers those involved in an evaluation study by giving them new knowledge of their performance.

### Enabling Environment

- a) Attitudes, policies and practices that stimulate and support effective and efficient functioning of organizations and individuals.

### Environmental and Social Assessment

- a) Evaluation that measures the attainment of environmental and social objectives in monitoring the impact of programmes or projects implemented by development organizations. **[WB]**

### Evaluability

- a) Extent to which an activity or a programme can be evaluated in a reliable and credible fashion.

Note: Evaluability assessment calls for the early review of a proposed activity in order to ascertain whether its objectives are adequately defined and its results verifiable. **[OECD-DAC/AfDB/IsDB]**

- b) The extent to which a project or programme has been defined in a manner as to enable subsequent evaluation.

## Evaluation

- a) The systematic and objective assessment of an on-going or completed project, programme or policy, its design, implementation and results. The aim is to determine the relevance and fulfilment of objectives, development efficiency, effectiveness, impact and sustainability. An evaluation should provide information that is credible and useful, enabling the incorporation of lessons learned into the decision-making process of both recipients and donors. Evaluation also refers to the process of determining the worth or significance of an activity, policy or programme. An assessment, as systematic and objective as possible, of a planned, on-going, or completed development intervention.

Note: Evaluation in some instances involves the definition of appropriate standards, the examination of performance against those standards, an assessment of actual and expected results, and the identification of relevant lessons. Related term: review. **[OECD-DAC/AfDB/IsDB]**

- b) The systematic collection and analysis of information on the performance of a policy, programme or initiative to make judgements about relevance, progress or success and cost-effectiveness and/or to inform future programming decisions about design and implementation. **[TBS RBM Lexicon]**

## Evaluation Questions

- a) A set of questions developed by the evaluator, evaluation sponsor, and other stakeholders; the questions define the issues the evaluation will investigate and are stated in terms such that they can be answered using methods available to the evaluator in a way useful to stakeholders. **[Rossi et al.]**

## Evaluation Synthesis

- a) Approach in which an evaluator looks across interventions addressing a similar issue or theme to identify commonalities. **[WB]**

## Ex-Ante Evaluation

- a) An evaluation that is performed before implementation of a development intervention. Related terms: appraisal, quality at entry. **[OECD-DAC/AfDB/IsDB]**

## Expected Result

- a) An outcome that a programme, policy or initiative is designed to produce. **[TBS RBM Lexicon]**

## Ex-Post Evaluation

- a) Evaluation of a development intervention after it has been completed.

Note: It may be undertaken directly after or long after completion. The intention is to identify the factors of success or failure, to assess the sustainability of results and impacts, and to draw conclusions that may inform other interventions. **[OECD-DAC/AfDB/IsDB]**

## External Evaluation

- a) The evaluation of a development intervention conducted by entities and/or individuals outside the donor and implementing organizations. **[OECD-DAC/AfDB/IsDB]**

## Feedback

- a) The transmission of findings generated through the evaluation process to parties for whom it is relevant and useful so as to facilitate learning. This may involve the collection and dissemination of findings, conclusions, recommendations and lessons from experience. **[OECD-DAC/AfDB/IsDB]**

## Final Outcome

- a) These are generally outcomes that take a longer period to be realised, are subject to influences beyond the policy, programme or initiative, and can also be at a more strategic level. **[TBS RBM Lexicon]**

## Financial viability

- a) An organization's ability to maintain a greater inflow of financial resources than outflow.

## Finding

- a) A finding uses evidence from one or more evaluations to allow for a factual statement. **[OECD-DAC/AfDB/IsDB]**
- b) A factual statement about the programme based on evidence. It may involve a synthesis of data and, therefore, judgment.

## Focus Group

- a) A group selected for its relevance to an evaluation that is engaged by a trained facilitator in a series of discussions for sharing insights, ideas, and observations on a topic of concern to the evaluation. **[NSF]**
- b) A small panel of persons selected for their knowledge or perspective on a topic of interest that is convened to discuss the topic with the assistance of a facilitator. The discussion is usually recorded and used to identify important themes or to construct descriptive summaries of views and experiences on the focal point. **[Rossi et al.]**
- c) A carefully planned and moderated informal discussion where one person's ideas bounce off those of another, creating a chain reaction of informative dialogue. The purpose is to

address a specific topic in depth and in a comfortable environment in order to elicit a wide range of opinions, attitudes, feelings and perceptions from a group of individuals who share some common experience relative to the dimension under study.

### Formative Evaluation

- a) Evaluation intended to improve performance, most often conducted during the implementation phase of projects or programmes.

Note: Formative evaluations may also be conducted for other reasons such as compliance, legal requirements or as part of a larger evaluation initiative. Related term: process evaluation.

**[OECD-DAC/AfDB/IsDB]**

- b) Evaluation designed and used to improve an intervention, especially when it is still being developed. **[NSF]**
- c) Evaluative activities undertaken to furnish information that will guide programme improvement. **[Rossi et al.]**

### Generalizability

- a) The extent to which an impact assessment's findings can be extrapolated to similar programmes or from the programme as tested to the programme as implemented. **[Rossi et al.]**

### Goal

- a) The higher-order objective to which a development intervention is intended to contribute. Related term: development objective. **[OECD-DAC/AfDB/IsDB]**
- b) A general statement of desired outcome to be achieved over a specified period of time. The term goal is roughly equivalent to strategic outcome. For technical precision, the Treasury Board Secretariat recommends that strategic outcome be used instead of goal. See also Objective. **[TBS RBM Lexicon]**

### Goal-Based (or Objectives-Based) Evaluation

- a) Evaluation that measures the extent to which a programme or intervention attains clear and specific objectives. **[World Bank]**

### Goal-Free Evaluation

- a) Evaluation in which evaluators make a deliberate attempt to avoid all rhetoric related to programme goals, basing the evaluation solely on the degree to which the programme meets participants' needs. **[WB]**

### Governance

- a) The processes and structures through which decision-making authority is exercised. An effective governance structure ensures individuals or groups of individuals are responsible

for setting policy directions, priorities, taking investment decisions, re-allocating resources, and designing programmes. **[TBS RBM Lexicon]**

- b) Issues and problems involved in aligning the interests of those who manage an organization with those who are responsible for its results and who own it, and with outsiders who have a stake in the organization.

### Horizontal Evaluation

- a) Evaluation that combines an internal assessment process with an external review by peers to identify possible improvements to the implementation processes. **[WB]**

### Horizontal Result

- a) An outcome that is produced through the contributions of two or more departments or agencies, jurisdictions, or non-governmental organizations. **[TBS RBM Lexicon]**

### Impact

- a) Positive and negative, primary and secondary long-term effects produced by a development intervention, directly or indirectly, intended or unintended. **[OECD-DAC/AfDB/IsDB]**. Impacts, which are the third level of results are the longer-term effects of outputs and outcomes on the larger community and are related to the achievement of the goals of a project/programme or intervention. **Impact** tells whether or not the project/strategy/intervention made a difference to the problem that was being addressed. For example, the impact should indicate whether FARA strategies have made a difference to the problem of food security in Africa. In other words, an impact analysis reveals if the strategy was useful or not. Before scaling up an intervention or deciding to replicate it, its validity needs to be confirmed in terms of the impact on the beneficiaries.
- b) Impact, like effect, is a synonym for outcome, although an impact is somewhat more direct than effect. Both terms are commonly used, but neither is a technical term. For technical precision, the Treasury Board Secretariat recommends that outcome be used instead of impact. **[TBS RBM Lexicon]**
- c) The overall and long-term effect of an intervention. Impact is the longer-term or ultimate result attributable to a development intervention in contrast to output and outcome, which reflect more immediate results from the intervention. See “results”. **[CIDA]**
- d) The positive and negative changes produced by a development intervention, directly or indirectly, intended or unintended. **[WB]**
- e) The ultimate planned and unplanned consequences of a programme; an expression of the changes actually produced as a result of the programme, typically several years after it has stabilised or been completed.
- f) Impact may be often used in different and confusing ways! In the language of logical frameworks, impact is used to mean long-term, sustainable, system-wide change. Often, it is used in a more general everyday sense of any lasting change (or outcome) that an

organization can show that it has played an important part in bringing about. Specific short-term impacts (e.g., new jobs created) can lead to long-term system-wide impact over time (e.g., a new and growing business enterprise, or even industry)—but it is more difficult to claim that this is attributable to the work of any single organization.

### Impact Evaluation

- a) Measures the change in a development outcome that is attributable to a defined intervention. Impact evaluations are based on models of cause and effect and require a credible and rigorously defined counterfactual to control for factors other than the intervention that might account for the observed change. Impact evaluations in which comparisons are made between beneficiaries who are randomly assigned to either “treatment” or a “control” group provide the strongest evidence of a relationship between the intervention under study and the outcome measured. **[USAID]**

### Impact Pathway (Results Chain)

- a) Describes all the changes that the organization believes *must take place* in order to achieve lasting success. For each element in the vision of success, the organization seeks to define the changes, however small, in the conditions, institutions, relationships, capabilities, attitudes and behaviours that are considered *essential for long-term success*. Some pre-conditions might be hard, tangible changes in conditions (such as access to agricultural services), but many will be intangible process outcomes (like changes in confidence, skills, capabilities, relationships, attitudes, etc.) that are just as important if changes are to be made and sustained.

### Inclusive Evaluation

- a) Evaluation that includes the least advantaged members of a population as part of the systematic investigation of the merit or worth of a project, programme or policy. **[WB]**

### Independent Evaluation

- a) An evaluation carried out by entities and persons free of the control of those responsible for the design and implementation of the development intervention.

Note: The credibility of an evaluation depends in part on how independently it has been carried out. Independence implies freedom from political influence and organizational pressure. It is characterised by full access to information and by full autonomy in carrying out investigations and reporting findings. **[OECD-DAC/AfDB/IsDB]**

### In-depth Interviews

- a) A guided conversation between a skilled interviewer and an interviewee that seeks to maximise opportunities for the expression of a respondent’s feelings and ideas through the use of open-ended questions and a loosely structured interview guide. **[NSF]**

## Indicator

- a) Quantitative or qualitative factor or variable that provides a simple and reliable means to measure achievement, to reflect the changes connected to an intervention, or to help assess the performance of a development actor. **[OECD-DAC/AfDB/IsDB]**
- b) A statistic or parameter that provides information on trends in the condition of a phenomenon and has significance extending beyond that associated with the properties of the statistic itself. **[TBS RBM Lexicon]**
- c) Signal that reveals progress (or lack thereof) towards objectives; means of measuring what actually happens against what has been planned in terms of quantity, quality and timeliness. An indicator is a quantitative or qualitative variable that provides a simple and reliable basis for assessing achievement, change or performance. **[CIDA]**
- d) An explicit measure used to determine performance; a signal that reveals progress towards objectives; a means of measuring what actually happens against what has been planned in terms of quality, quantity and timeliness.

## Information (material)

- a) A collection of related data that has to be accessed, interpreted, and understood within a given context. Examples of information include books, journal articles, research reports, conference proceedings, consultancy reports, training manuals, maps, posters, CDs, mass media materials, etc.

## Infrastructure

- a) Reference to the basic conditions (facilities and technology) that allow work to go on within the organization.

## Inputs

- a) The financial, human, and material resources used for the development intervention. **[OECD-DAC/AfDB/IsDB]**
- b) Resources (human, material, financial, etc.) used to carry out activities, produce outputs and/or accomplish results. **[TBS RBM Lexicon]**
- c) Inputs are resources a programme uses to achieve its objectives. A programme uses inputs to support activities. **[UW]**
- d) Resources required for achieving the stated results by producing the intended outputs through relevant activities (e.g., human resources, materials, services).

## Inspection

- a) A general examination of an organizational unit, issue or practice to ascertain the extent to which it adheres to normative standards, good practices or other criteria and to make recommendations for improvement or corrective action. It is often performed when there is a perceived risk of non-compliance. **[UNEG]**

## Institution

- a) The formal and informal rules by which system actors interact. Institutions involve a range of areas such as normative structures, culture, legal frameworks, policies and trends.

## Institutional Development Impact

- a) The extent to which an intervention improves or weakens the ability of a country or region to make more efficient, equitable, and sustainable use of its human, financial, and natural resources, for example through: (a) better definition, stability, transparency, enforceability and predictability of institutional arrangements and/or (b) better alignment of the mission and capacity of an organization with its mandate, which derives from these institutional arrangements. Such impacts can include intended and unintended effects of an action. **[OECD-DAC/AfDB/IsDB]**

## Institutional ethos

- a) Implicit or unwritten codes that include cultural values, norms, religious precepts and taboos. Also known as “informal rules of the game”.

## Instrument

- a) An assessment device (test, questionnaire, protocol, etc.) adopted, adapted, or constructed for the purpose of the evaluation. **[NSF]**

## Internal Evaluation

- a) Evaluation of a development intervention conducted by a unit and/or individuals reporting to the management of the donor, partner, or implementing organization. Related term: self-evaluation. **[OECD-DAC/AfDB/IsDB]**

## Inter-organizational

- a) Refers to inter-departmental, inter-governmental or other relationships, including those with the private or not-for-profit sectors. **[TBS 2001 Evaluation Policy]**

## Joint Evaluation

- a) An evaluation in which different donor agencies and/or partners participate.

Note: There are various degrees of “jointness” depending on the extent to which individual partners cooperate in the evaluation process, merge their evaluation resources and combine their evaluation reporting. Joint evaluations can help overcome attribution problems in assessing the effectiveness of programmes and strategies, the complementarity of efforts supported by different partners, the quality of aid coordination, etc. **[OECD-DAC/AfDB/IsDB]**

## Key Informant

- a) Person with the background, knowledge, or special skills relevant to topics examined by the evaluation. **[NSF]**

## Key Performance Indicators

- a) Indicators which give a comprehensive, high-level overview of a programme's performance. They are particularly aimed at the external user of the information.

## Leadership

- a) Process whereby an individual engages in processes of influencing a group of individuals to achieve a common purpose.

## Likert scale

- a) A scale that asks respondents to indicate the extent to which they agree or disagree with a statement. Five and seven-point scales are the most common; three can be used for special situations and children.

## Lessons Learned

- a) Generalizations based on evaluation experiences with projects, programmes, or policies that abstract from the specific circumstances to broader situations. Frequently, lessons highlight strengths or weaknesses in preparation, design, and implementation that affect performance, outcome, and impact. **[OECD-DAC/AfDB/IsDB]**

## Logical Framework (Logframe)

- a) Management tool used to improve the design of interventions, most often at the project level. It involves identifying strategic elements (inputs, outputs, outcomes, impact) and their causal relationships, indicators, and the assumptions or risks that may influence success and failure. It thus facilitates planning, execution and evaluation of a development intervention. Related term: results-based management. **[OECD-DAC/AfDB/IsDB]**

## Logic Model (also referred to as Results-based Logic Model) -

- a) An illustration of the results chain or how the activities of a policy, programme or initiative are expected to lead to the achievement of the final outcomes. Usually displayed as a flow chart. See Results Chain. **[TBS RBM Lexicon]**
- b) The translation of assumptions and mental models of individuals into understandable and familiar systems that complement the needs and expectations of an organization, thus allowing it to make logical decisions.

## Meta-Evaluation

- a) The term is used for evaluations designed to aggregate findings from a series of evaluations. It can also be used to denote the evaluation of an evaluation to judge its quality and/or assess the performance of the evaluators. **[OECD-DAC/AfDB/IsDB]**
- b) Expert review of one or more evaluations against professional quality standards. **[WB]**

## Mid-Term Evaluation

- a) Evaluation performed towards the middle of the period of implementation of the intervention. Related term: formative evaluation. **[OECD-DAC/AfDB/IsDB]**

## Milestone

- a) The prior, more easily achieved and measured short-term and intermediate changes that lead to the long-term outcomes. Milestones indicate the interim measurable landmarks, sub-tasks, or what needs to be accomplished over time and are useful for planning concise short-term strategies and collaborations that contribute to full implementation of a stated activity and achievement of long-term outcomes.

## Missing data

- a) Data that the evaluator intended to collect but was unable to for a variety reasons (e.g., the inability to interview a key informant, limited access to a research setting, blank items on a questionnaire, data entry errors).

## Mission Statement

- a) A formal, public statement of an organization's purpose. It is used by departmental management to set direction and values. **[TBS RBM Lexicon]**

## Mixed Method Evaluation

- a) An evaluation for which the design includes the use of both quantitative and qualitative methods for data collection and data analysis. **[NSF]**

## Monitoring

- a) A continuing function that uses systematic collection of data on specific indicators to provide the management and main stakeholders of an on-going development intervention with indications of the extent of progress and achievement of objectives and progress on the use of allocated funds. Related terms: performance monitoring, indicator. **[OECD-DAC/AfDB/IsDB]**
- b) A continuing function that aims primarily to provide managers and main stakeholders with regular feedback and early indications of progress or lack thereof in the achievement of intended results. Monitoring tracks the actual performance or situation against what was planned or expected according to pre-determined standards. It generally involves collecting and analysing data on implementation processes, strategies and results, and recommending corrective measures. **[CIDA]**
- c) An on-going process to verify systematically that planned activities or processes take place as expected or that progress is being made in achieving planned outputs.

## Motivation

- a) An intrinsic and moral desire to achieve a purpose.

## Multisite Evaluation

- a) Evaluation that examines interventions implemented at a variety of locations. **[WB]**

## Niche Management

- a) Type of management that involves the identification of and concentration on a competitively valuable capability (or set of capabilities) that an organization has more of or can utilise better than its rivals.

## Non-traditional Research Actors

- a) Organizations which are not in the formal research sector and have a stake in agricultural R&D, such as those of farmers and other natural resources users, civil society, private sector, consumers, traders, agro-industry, etc.

## Objective

- a) The high-level, enduring benefit towards which effort is directed. The term is roughly equivalent to strategic outcome. For technical precision, the Treasury Board Secretariat recommends that strategic outcome be used. **[TBS RBM Lexicon]**
- b) Expresses a particular effect that the programme is expected to achieve if completed successfully according to plan.

## On-going Relevance

- a) Ability of an organization to meet the needs and gain the support of its priority stakeholders in the past, present and future.

## Opportunity Cost

- a) The value that one gives up by selecting one of several mutually exclusive alternatives.

## Organization

- a) Formalised entities that involve a cluster of people who are brought together for a common purpose. Organizations both conform to and influence institutions. They include a wide spectrum of human activity and can be categorised as private or public, for-profit or non-profit, governmental or non-governmental, and so forth.

## Outcome

- a) Actual changes that an organization achieves as a result of their activities. Outcomes are the reason why the organization exists and what it would like the world to remember it for. An outcome statement is a very, very brief statement that describes a result—a change

that has (is expected to) taken place, NOT as a need statement or an activity that is still in progress. It captures as briefly as possible the essential transformation the organization expects to have made in the world through its actions and interventions.

- b) A change in and between people, groups, institutions or environments that we can plausibly enable or facilitate. It has the following characteristics: plausible—it must focus on changes in and between people, groups and institutions that the organization can realistically influence (not some idealised state that is unachievable); dynamic—it should be a snapshot of a complex and dynamic system in which people and institutions are working effectively in relationships with each other and with outside agencies to solve problems and enhance the well-being of citizens and the environment. The organization is only one of a number of constituents acting in and influencing the outcomes—hence the need for identifying the key players (individuals, groups and institutions) and then describing the desired behaviours, attitudes, capabilities, values and the relationships between them in a situation where change is always happening.
- c) The likely or achieved short-term and medium-term effects of an intervention’s outputs. Related terms: result, output, impact, effect [**OECD-DAC/AfDB/IsDB**]
- d) Outcomes—the second level of result—are intermediate effects of outputs, such as number of extension workers becoming proficient in extension/advisory services delivery, germination rate (on account of use of good seed), increase in harvested produce from the hectares of land planted, increase in household income, etc. Outcomes can also be measured in terms of changes of attitudes or practices, or in terms of changes in policies or regulations. They are related to the achievement of the objectives of the programme or project, or of the organization itself.
- e) An external consequence attributed to an organization, policy, programme or initiative that is considered significant in relation to its commitments. Outcomes may be described as: immediate, intermediate or final, direct or indirect, intended or unintended. See also Result. [**TBS RBM Lexicon**]
- f) Outcomes are benefits for participants during or after their involvement with a programme. They may relate to knowledge, skills, attitudes, values, behaviour, conditions, or status. For a particular programme there can be various “levels” of outcomes, with initial outcomes leading to longer-term ones. [**UW**]
- g) An effect or consequence of a programme in the medium term. It falls between an output that is short term and one that is often considered to be five years or more from the programme intervention. It is a medium-term result that is the logical consequence of achieving a combination of outputs.

## Outcome Indicators

- a) The specific items of information that track a programme’s success with regard to outcomes. They describe observable, measurable characteristics or changes that represent achievement of an outcome. [**UW**]

## Outcome Mapping

- a) Mapping of the behavioural changes at the early stage (or as early outcomes) of interventions so as to help improve the performance of projects, programmes and policies. **[WB]**

## Outcome Targets

- a) Numerical objectives for a programme's level of achievement in relation to its outcomes. After a programme has had experience with measuring outcomes, it can use its findings to set targets for the number and percent of participants expected to achieve the desired outcomes in the next reporting period. It also can set targets for the extent of change it expects participants to experience. **[UW]**

## Outputs

- a) The products, capital goods and services that result from a development intervention; may also include changes resulting from the intervention that are relevant to the achievement of outcomes. **[OECD-DAC/AfDB/IsDB]**.
- b) Outputs—the first level of result—are immediate tangible results of activities, such as number of people trained, hectares of land under a crop, amount of seed produced, etc. Outputs are related to the implementation of the planned activities.
- c) Direct products or services stemming from the activities of a policy, programme or initiative, and delivered to a target group or population. **[TBS RBM Lexicon]**
- d) Outputs are products of a programme's activities. Another term for "outputs" is "units of service". A programme's outputs should produce desired outcomes for the programme's participants. **[UW]**
- e) Tangible products (including services) of a programme or project necessary to achieve the latter's objectives. Outputs relate to the completion (rather than the conduct) of activities and are the type of results over which managers have a high degree of influence. **[CIDA]**
- f) The physical products, institutional and operational changes, or improved skills and knowledge to be achieved by the project or programme as a result of good management of inputs and activities. They are immediate, visible, concrete and tangible consequences of project inputs. Outputs are the activities, products and services of an organization (workshops, training programmes and materials, advice, etc.) in order to achieve its intended outcomes.

## Participatory Evaluation

- a) Evaluation method in which representatives of agencies and stakeholders (including beneficiaries) work together in designing, carrying out and interpreting an evaluation. **[OECD-DAC/AfDB/IsDB]**
- b) The collective examination and assessment of a programme or project by the stakeholders and beneficiaries. Participatory evaluations are reflective, action-oriented and seek to

build capacity. They are primarily oriented to the information needs of the stakeholders rather than the donor who acts as a facilitator. **[CIDA]**

## Partners

- a) The individuals and/or organizations that collaborate to achieve mutually agreed upon objectives.

Note: The concept of partnership connotes shared goals, common responsibility for outcomes, distinct accountabilities and reciprocal obligations. Partners may include governments, civil society, non-governmental organizations, universities, professional and business associations, multilateral organizations, private companies, etc. **[OECD-DAC/AfDB/IsDB]**

## Partnership

- a) Relationship in which different actors share resources, plan together, define roles together and work in a much closer relationship, often also measuring impact and reporting together. There are many different possibilities of partnership.

## Performance

- a) The degree to which a development intervention or a development partner operates according to specific criteria/standards/guidelines or achieves results in accordance with stated goals or plans. **[OECD-DAC/AfDB/IsDB]**
- b) How well an organization, policy, programme or initiative is achieving its planned results measured against targets, standards or criteria. In results-based management, performance is measured and assessed, reported, and used as a basis for management decision making. **[TBS RBM Lexicon]**

## Performance Evaluation

Performance evaluations focus on descriptive and normative questions, which include what a particular project or programme has achieved; how it is being implemented; and other questions pertinent to programme design, management and operational decision making.

## Performance Indicator

- a) A variable that allows the verification of changes in the development intervention or shows results relative to what was planned. Related terms: performance monitoring, performance measurement. **[OECD-DAC/AfDB/IsDB]**
- b) A particular characteristic or dimension used to measure intended changes defined by an organizational unit's results framework. Performance indicators are used to observe progress and to measure actual results compared to expected results. They serve to answer "how" or "whether" a unit is progressing towards its objectives, rather than "why" or "why not" such progress is being made. Performance indicators are usually expressed in quantifiable terms, and should be objective and measurable (e.g., numeric values, percentages, scores, and indices). **[CIDA]**

- c) Performance Indicators help illustrate how well an organization is doing in meeting its objectives or achieving the desired outcomes. They are a means of assessing and evaluating the characteristics of products, services, processes and operations of the organization. They use qualitative and quantitative information to help determine an organization's success in achieving its objectives. They are used to track progress and provide a basis to evaluate and improve performance. They need to be relevant to the programme's desired outcomes and objectives, quantifiable, verifiable and free from bias.

## Performance Measures

- a) An indicator that provides information (either qualitative or quantitative) on the extent to which a policy, programme or initiative is achieving its outcomes. **[TBS RBM Lexicon]**

## Performance Measurement

- a) A system for assessing performance of development interventions against stated goals. Related terms: performance monitoring, indicator. **[OECD-DAC/AfDB/IsDB]**
- b) The collection, interpretation of, and reporting on data for performance indicators which measure how well programme or projects deliver outputs and contribute to the achievement of higher-level aims [outcomes]. Performance measures are most useful when used for comparisons over time or among programmes performing similar work. A system for assessing performance of development initiatives against stated goals. **[CIDA]**

## Performance Measurement Strategy

- a) Selection, development and on-going use of performance measures to guide corporate decision making. The range of information in a performance measurement strategy could include: reach, outputs and outcomes, performance indicators, data sources, methodology, and costs. **[TBS RBM Lexicon]**

## Performance Monitoring

- a) A continuous process of collecting and analysing data to compare how well a project, programme, or policy is being implemented against expected results. **[OECD-DAC/AfDB/IsDB]**
- b) The on-going process of collecting information in order to assess progress in meeting expected results, and, if necessary, provide warning if progress is not meeting expectations. **[TBS RBM Lexicon]**
- c) A form of project or programme monitoring which aims to provide feedback to project or programme implementers for improving performance. Ideally, well-defined benchmarks are used to measure progress. Progress is often assessed in relation to inputs, primarily financing, in order to assess the extent to which resources are spent appropriately. Within the context of performance-based financing, performance monitoring is also used to guide decisions about the disbursement of funds.

## Performance Reporting

- a) The process of communicating evidence-based performance information. Performance reporting supports decision making, serves to meet accountability requirements and provides a basis for citizen engagement and a performance dialogue with parliamentarians. **[TBS RBM Lexicon]**

## Planned Results (Targets)

- a) Clear and concrete statement of results (including outputs and outcomes) to be achieved within the time frame of parliamentary and departmental planning and reporting (1–3 years), against which actual results can be compared. **[TBS RBM Lexicon]**

## Policy

- a) Legislation, regulation, official guidelines or operating principles that influence behaviour towards a stated outcome. **[TBS RBM Lexicon]**
- b) A policy is a well-articulated, authoritative expression of philosophy and direction. It does not change frequently.

## Practices

Any techniques, methods, procedures, etc. for management of biological entities, machines, materials or infrastructure generated through agricultural research or otherwise that are recommended for the purpose of enhancing agricultural production and productivity.

## Primary Data

- a) Information obtained first-hand by the researcher.

## Priorities

- a) Specific areas that an organization has chosen to focus and report on during the planning period. They represent the things that are most important or what must be done first to support the achievement of the desired strategic outcome(s). **[TBS RBM Lexicon]**

## Process Evaluation

- a) An evaluation of the internal dynamics of implementing organizations, their policy instruments, their service delivery mechanisms, their management practices, and the linkages among these. Related term: formative evaluation. **[OECD-DAC/AfDB/IsDB]**

## Programme

- a) A group of related activities that are designed and managed to meet a specific public need and are often treated as a budgetary unit. **[TBS 2009 Evaluation Policy]**
- b) A group of related projects, services and activities directed towards the achievement of specific goals.

## Programme Activity Architecture

- a) An inventory of all the activities undertaken by a department or agency. The activities are depicted in their logical relationship to each other and to the Strategic Outcome(s) to which they contribute. **[TBS RBM Lexicon]**

## Programme Evaluation

- a) Evaluation of a set of interventions, marshalled to attain specific global, regional, country, or sector development objectives.

Note: A development programme is a time-bound intervention involving multiple activities that may cut across sectors, themes and/or geographic areas. Related term: Country programme/strategy evaluation. **[OECD-DAC/AfDB/IsDB]**

- a) The process of making judgements about a programme based on information and analysis relative to such issues as relevance, cost-effectiveness and success for its stakeholders.

## Programme Rationale

- a) The fundamental reason(s) why a programme exists, together with its underlying assumptions.

## Project

- a) A planned undertaking designed to achieve certain specific objectives within a given budget and a specified period of time.

## Project Evaluation

- a) Evaluation of an individual development intervention designed to achieve specific objectives using specified resources and within specified implementation schedules, often within the framework of a broader programme.

Note: Cost–benefit analysis is a major instrument of project evaluation for projects with measurable benefits. When benefits cannot be quantified, cost effectiveness is a suitable approach. **[OECD-DAC/AfDB/IsDB]**

## Project or Programme Objective

- a) The intended physical, financial, institutional, social, environmental, or other development results to which a project or programme is expected to contribute. **[OECD-DAC/AfDB/IsDB]**

## Project Trap

- a) A situation in which a project takes precedence over an organization and its mission, possibly leading to organizational decline.

## Prospective Evaluation

- a) Evaluation of the likely outcomes of a proposed project, programme or policy and/or determine if an existing programme is evaluable. **[WB]**

## Purpose

- a) The publicly stated objectives of the development programme or project. **[OECD-DAC/AfDB/IsDB]**

## Purposive Sampling

- a) Creating samples by selecting information-rich cases from which one can learn a great deal about issues of central importance to the purpose of the evaluation. **[NSF]**

## Quality Assurance

- a) Quality assurance encompasses any activity that is concerned with assessing and improving the merit or the worth of a development intervention or its compliance with given standards.

Note: Examples of quality assurance activities include appraisal, RBM, reviews during implementation, evaluations, etc. Quality assurance may also refer to the assessment of the quality of a portfolio and its development effectiveness. **[OECD-DAC/AfDB/IsDB]**

## Qualitative Data

- a) Data that use non-numeric information for description. Generally words, but may include photographs and films, audio recordings, and artefacts.

## Quantitative Data

- a) Information that describes, explains, and reports on phenomena using numbers.

## Questionnaire

- a) A set of written questions used to collect data from respondents.

## Rapid Assessment

- a) A systematic, semi-structured evaluation approach that is administrated in the field, typically by a team of evaluators, to assess processes. **[WB]**

## Reach

- a) The beneficiaries and other stakeholders of a development intervention. Related term: beneficiaries. **[OECD-DAC/AfDB/IsDB]**
- b) The individuals and organizations targeted and directly affected by a policy, programme or initiative. **[TBS RBM Lexicon]**

## Realist Evaluation

- a) A theory-driven evaluation that provides a coherent and consistent framework for the way it engages programmes, treating stakeholders as fallible experts and drawing on other approaches to evaluation. **[WB]**

## Recommendations

- a) Proposals aimed at enhancing the effectiveness, quality, or efficiency of a development intervention; at redesigning the objectives; and/or at the reallocation of resources. Recommendations should be linked to conclusions. **[OECD-DAC/AfDB/IsDB]**

## Relevance

- a) The extent to which the objectives of a development intervention are consistent with beneficiaries' requirements, country needs global priorities and partners' and donors' policies.

Note: Retrospectively, the question of relevance often becomes a question as to whether the objectives of an intervention or its design are still appropriate given the changed circumstances.

**[OECD-DAC/AfDB/IsDB]**

- b) The degree to which the objectives of a programme or project remain valid and pertinent as originally planned or as subsequently modified owing to changing circumstances within the immediate context and external environment of that programme or project. For an outcome, the extent to which the outcome reflects key priorities and receives support from key partners. **[CIDA]**
- c) Those characteristics of a programme which make its implementation desirable and appropriate in relation to a given time, context and environment. **[UNESCO]**

## Relationship Map (Alignment Map)

- a) Representation of the different actors in an action on a 'relationship continuum' from alignment to partnership—often defined by the skills, contacts or resources each brings to the relationship; respective roles; advantages to be gained and problems that might arise.

## Reliability

- a) Consistency or dependability of data and evaluation judgements, with reference to the quality of the instruments, procedures and analyses used to collect and interpret evaluation data.

Note: Evaluation information is reliable when repeated observations using similar instruments under similar conditions produce similar results. **[OECD-DAC/AfDB/IsDB]**

- b) Consistency and dependability of data collected through repeated use of a scientific instrument or data collection procedure under the same conditions. Absolute reliability of evaluation data is hard to obtain. However, checklists and training of evaluators

can improve both data reliability and validity. Sound reliability implies exhaustive data collection and the appropriateness of the evaluative questions asked. **[CIDA]**

- c) The quality of a measurement process that would produce similar results from: (1) repeated observations of the same condition or event; (2) multiple observations of the same condition or event by different means. Reliability also refers to the extent that a data collection instrument will yield the same results each time it is administered. In qualitative research, reliability refers to the extent that different researchers, given exposure to the same situation, would reach the same conclusions.

## Research

- a) A systematic examination completed to develop or contribute to knowledge of a particular topic. Research can often feed information into evaluations and other assessments but does not normally inform decision making on its own. **[UNEG]**

## Research Output

- a) A result or product from a research; this can be technology, practice, strategy or information; and this may apply regardless of the type of research.

## Result(s)

- a) The output, outcome or impact (intended or unintended, positive and/or negative) of a development intervention. Related terms: outcome, effect, impact. **[OECD-DAC/AfDB/IsDB]**
- b) The consequence attributed to the activities of an organization or a policy, programme or initiative. Results is a general term that often includes both outputs produced and outcomes achieved by a given organization, policy, programme or initiative. In the government's agenda for results-based management, the term refers exclusively to outcomes. **[TBS RBM Lexicon]**
- c) A describable or measurable change in state that is derived from a cause and effect relationship. **[CIDA]**

## Results Chain

- a) The causal sequence for a development intervention that stipulates the necessary sequence to achieve desired objectives beginning with inputs, moving through activities and outputs, and culminating in outcomes, impacts, and feedback. In some agencies, reach is part of the results chain. Related terms: assumptions, results framework. **[OECD-DAC/AfDB/IsDB]**
- b) The causal or logical relationship between activities and outputs and the outcomes of a given policy, programme or initiative, that they are intended to produce. Usually displayed as a flow chart. **[TBS RBM Lexicon]**

## Results Framework

- a) The programme logic that explains how the development objective is to be achieved, including causal relationships and underlying assumptions. Related terms: results chain, logical framework. **[OECD-DAC/AfDB/IsDB]**
- b) An explicit articulation (graphic display, matrix, or summary) of the different levels, or chains, of results expected from a particular intervention—project, programme, or development strategy. The results specified typically comprise the longer-term objectives (often referred to as “outcomes” or “impact”) and the intermediate outcomes and outputs that precede and lead to those desired longer-term objectives. Similar conceptual tools designed to organize information regarding intended outcomes and results are used across different agencies: logical frameworks, logic models, theories of change, results chains, and outcome mapping. Thus, the results framework captures the essential elements of the logical and expected cause–effect relationships among inputs, outputs, intermediate results or outcomes, and impact. **[WB/IEG]**

## Results-Based Management (RBM)

- a) A management strategy focusing on performance and achievement of outputs, outcomes and impacts. Related term: logical framework. **[OECD-DAC/AfDB/IsDB]**
- b) A comprehensive, lifecycle approach to management that integrates business strategy, people, processes and measurements to improve decision making and drive change. The approach focuses on getting the right design early in a process, implementing performance measurement, learning and changing, and reporting performance. **[TBS RBM Lexicon]**
- c) A management strategy or approach by which an organization ensures that its processes, products and services contribute to the achievement of clearly stated results. Results-based management provides a coherent framework for strategic planning and management by improving learning and accountability. It is also a broad management strategy aimed at achieving important changes in the way agencies operate, with improving performance and achieving results as the central orientation, by defining realistic expected results, monitoring progress towards the achievement of expected results, integrating lessons learned into management decisions and reporting on performance. **[CIDA]**

## (Results-based) Management Accountability Framework (MAF)

- a) A document which serves as a blueprint for managers to outline the rationale, theory, resources and governance and accountability structures of a programme policy or initiative and set out a plan to measure, monitor and report on results throughout the lifecycle of the policy, programme or initiative. **[TBS RBM Lexicon]**

The document generally includes:

- a clear statement of the roles and responsibilities of the main partners involved in delivering the policy, programme or initiative;

- a clear articulation of the resources to be applied and the objectives, activities, outputs and key results to be achieved, along with their linkages;
- an outline of the performance measurement strategy, including costs and performance information (key indicators) that will be tracked;
- the schedule of major evaluation work expected to be done; and
- an outline of the reporting provisions as appropriate for funding recipients and those for the department, including parliamentary reporting. **[TBS 2001 Evaluation Policy]**

## Return on Investment

- a) In fiscal evaluation, the ratio of benefits to costs, generally expressed as a percentage.

## Review (such as rapid assessments and peer reviews)

- a) An assessment of the performance of an intervention, periodically or on an ad hoc basis.

Note: Frequently “evaluation” is used for a more comprehensive and/or more in-depth assessment than “review”. Reviews tend to emphasise operational aspects. Sometimes the terms “review” and “evaluation” are used as synonyms. Related term: evaluation. **[OECD-DAC/AfDB/IsDB]**

- b) Closely associated with monitoring, they are periodic or ad hoc, often light assessments of the performance of an initiative and do not apply the due process of evaluation or rigour in methodology. Reviews tend to emphasise operational issues. Unlike evaluations conducted by independent evaluators, reviews are often conducted by those internal to the subject or the commissioning organization. **[UNEG]**

## Risk Analysis

- a) An analysis or an assessment of factors (called assumptions in the logframe) that affect or are likely to affect the successful achievement of an intervention’s objectives. A detailed examination of the potentially unwanted and negative consequences to human life, health, property, or the environment posed by development interventions; a systematic process to provide information regarding such undesirable consequences; the process of quantification of the probabilities and expected impacts for identified risks. **[OECD-DAC/AfDB/IsDB]**

## Risk-based Approach to Determining Evaluation Approach and Level of Effort

- a) A method for consideration of risk for the purposes of determining the evaluation approach for individual evaluations. Departments should determine, as required, the specific risk criteria relevant to their context. Specific risk criteria may include the size of the population that could be affected by non-performance of the programme, the probability of non-performance, the severity of the consequences that could result, the materiality of the programme and its importance to the public. Additional criteria could include the recentness and quality of the last evaluation and/or other studies, their

findings, the extent of change experienced in the programme's environment, or other criteria. **[TBS 2009 Evaluation Policy]**

## Risk-based Audit Framework

- a) The objective is to ensure that a risk-based approach is implemented in managing and monitoring the programme. The key principles of the risk-based audit framework and plan are to ensure that:
- Due diligence is exercised in respect of expenditure of public funds;
  - Programme administration is in accordance with approved terms and conditions for grant/contribution agreements, and funding recipients are selected in compliance with the terms and conditions;
  - Relevant legislation and policies are respected; and
  - Programme information quality and quantity is relevant to, and available for, decision making.

## Rules

- a) Legal or regulatory structures within an organization. Rules are one of the most important ingredients of an enabling environment.

## Sample

- a) Subset of a population.

## Sector

- a) An area under analysis, such as agriculture, (crop, livestock, forestry, fisheries) health, education, manufacturing, households or business. Sectors are made up of institutions and organizations.

## Sector Programme Evaluation

- a) Evaluation of a cluster of development interventions in a sector within one country or across countries, all of which contribute to the achievement of a specific development goal.

Note: a sector includes development activities commonly grouped together for the purpose of public action such as health, education, agriculture, transport, etc. **[OECD-DAC/AfDB/IsDB]**

## Self-Evaluation

- a) An evaluation by those who are entrusted with the design and delivery of a development intervention. **[OECD-DAC/AfDB/IsDB]**
- b) An evaluation by those who are administering a programme or project in the field. **[CIDA]**

## Service Commitment

- a) Service commitments or standards generally set performance objectives for the delivery of government products or services to the public, specifying the quality or level of service to which a department or agency commits, or can be expected to deliver to clients. **[TBS RBM Lexicon]**

## Social Assessment

- a) Assessment that looks at social structures and changes within a group or community. **[WB]**

## Societal Indicator

- a) An indicator used to track the state of society. It is used to place departmental achievements in a broad societal context, and, in relation with performance indicators, is used to shape government decisions on policies, programmes and initiatives. **[TBS RBM Lexicon]**

## Stakeholders

- a) Agencies, organizations, groups or individuals who have a direct or indirect interest in the development intervention or its evaluation. **[OECD-DAC/AfDB/IsDB]**
- b) People, groups or entities that have a role and interest in the objectives and implementation of a programme or project. They include the community whose situation the programme seeks to change; project field staff who implement activities; project and programme managers who oversee implementation; donors and other decision makers who decide the course of action related to the programme; and supporters, critics and other persons who influence the programme environment. In participatory evaluation, stakeholders assume an increased role in the evaluation process as question makers, evaluation planners, data gatherers and problem solvers. **[CIDA]**
- c) Any group within or outside an organization that has a stake in the organization's performance, e.g. creditors, suppliers, employees and owners.
- d) All people and institutions that are affected positively or negatively by the decisions and actions of an organization.

## Strategies

- a) The rules, guidelines, policies, plans, principles or processes developed with the aim of influencing the external/internal research environment or adapting the agricultural environment in order to attain the objectives and goals of the agricultural sector (as articulated in the global, regional, national development plans).

## Strategic Outcomes

- a) The long-term and enduring benefits to the public that stem from a department's vision and efforts. These outcomes describe the difference a department is mandated to make.

In most cases, these outcomes will require the combined resources and sustained effort of several partners over a long period of time. Most importantly, however, progress toward these outcomes requires, and the public expects, the leadership of a department or agency. Related terms: departmental outcomes, strategic objectives, key results commitments, business line outcomes.) - **[TBS RBM Lexicon]**

## Strategic Research

- a) Research that (a) responds to questions or priorities and (b) identifies the processes, principles and technological elements required for successful adaptation of technologies and increase in the efficiency of applied and adaptive research.

## Success

- a) A favourable programme or project result that is assessed in terms of such considerations as effectiveness, impact, sustainability and contribution to a given performance standard.

## Summative Evaluation

- a) A study conducted at the end of an intervention (or a phase of that intervention) to determine the extent to which anticipated outcomes were produced. Summative evaluation is intended to provide information about the worth of the programme. Related terms: impact evaluation, end-of-project/end-of-term evaluation. **[OECD-DAC/AfDB/IsDB]**

## Survey

- a) Systematic collection of information from a defined population, usually by means of interviews or questionnaires administered to sample of units in the population. **[CIDA]**

## Sustainability

- a) The continuation of benefits from a development intervention after major development assistance has ended. The probability of continued long-term benefits. The resilience to risk of the net benefit flows over time. **[OECD-DAC/AfDB/IsDB]**. Sustainability relates to whether the positive outcomes of the project/intervention at the purpose level are likely to continue after external funding ends, and also whether its longer-term impact on the wider development process can be sustained at the level of the sector, region or country.

## Target

- a) A measurable performance or success level that an organization, programme or initiative plans to achieve within a specified time period. Targets can be either quantitative or qualitative and are appropriate for both outputs and outcomes. **[TBS RBM Lexicon]**

## Target Group

- a) The set of individuals and /or organizations that an activity is intended to influence. **[TBS RBM Lexicon]**

- b) The main beneficiaries of a programme or project that are expected to gain from the results of that programme or project; sector of the population that a programme or project aims to reach in order to address their needs. Related terms: target population, target beneficiaries **[CIDA]**
- c) The specific individuals or organizations for whose benefit the development intervention is undertaken. **[OECD-DAC/AfDB/IsDB]**.
- d) Targeted beneficiaries (people and/or institutions) of research outputs may include:
  - (a) primary beneficiaries, including end-users of a research output (e.g. farmers engaged in agriculture, forestry, fisheries and natural resources management);
  - (b) secondary beneficiaries: intermediary users or change agents that repackage the outputs to produce information, messages, technologies or products for onward dissemination to end-users;
  - (c) tertiary beneficiaries, including policy makers (e.g. government, donors, governing boards) who make decisions that have a direct bearing on resources and the environment in which the research outputs are developed and/or utilised.
- e) People or organizations whose needs are to be satisfied or whose—behaviour or circumstances—the agency aims to change

## Technology

- a) A biological entity, machine, material, infrastructures or software produced as a result of research.
  - Biological entity: animal or plant product for human consumption, shelter, sale, etc. (e.g. variety, breed);
  - Machine is a physical device for easing work (e.g. equipment, instrument, tool, vehicle, computer, windmill, irrigation equipment, engines);
  - Materials are any tangible inputs (e.g. chemicals, drugs, feeds) required by biological entities, machines for producing the required products;
  - Infrastructure is a physical structure in which agricultural research, production and marketing is carried out; and
  - Software is any intellectual package of knowledge for facilitating (i) the production of machines, materials or infrastructure and (ii) enhancing the workings of machines (e.g. computer codes, formulations).

## Terms of Reference

- a) A written document presenting the purpose and scope of the evaluation, the methods to be used, the standard against which performance is to be assessed or analyses are to be conducted, the resources and time allocated, and reporting requirements. Two other expressions sometimes used with the same meaning are “scope of work” and “evaluation mandate”. **[OECD-DAC/AfDB/IsDB]**
- b) Definition of the work that must be carried out and the schedule that must be adhered to by the evaluation team. The terms of reference (TOR) recalls the background and specifies

the scope of the evaluation, states the main motives for an evaluation and the questions asked. It sums up available knowledge and outlines an evaluation method and describes the distribution of work, schedule and the responsibilities among the people participating in the process. It specifies the qualifications required from candidate teams or individuals as well as the criteria to be used to select an evaluation team. **[CIDA]**

- c) The focus and boundaries of a contract, including a statement about who the undertaking is for, the objective, major issues and questions, and sometimes the schedule and available resources.

## Thematic Evaluation

- a) Evaluation of a selection of development interventions, all of which address a specific development priority that cuts across countries, regions, and sectors. **[OECD-DAC/AfDB/IsDB]**

## Theory of Change

- a) An explanation of how an organization thinks social change can be brought about in the context within which it works. The organization first develops a clear vision of success and then identifies the essential preconditions that are needed to achieve it. These preconditions enable the organization to map a number of ‘outcome pathways’: visible and measurable short- and medium-term outcomes that will contribute to its long-term vision of success. These *intermediate outcomes also work as progress markers or indicators of success in an impact planning and monitoring system based on the theory of change*. A theory of change also includes how the organization understands the contribution of other actors working in parallel and complementary ways, and how these efforts can be aligned to achieve outcomes more effectively.
- b) Representation (use a ‘pathways to outcomes’ diagram or ‘bulleted list’, if you do not have the graphics capability, depicting the preconditions under each of the outcomes in your vision) of how an intervention is expected to lead to the desired results. “Theory of change” models typically have five main components: inputs, activities, outputs, outcomes and impacts. Some theory of change models also include other features, including target groups, and internal and external factors, i.e. the assumptions and influences. A theory of change must:
  - Depict a sequence of inputs the project, programme or policy will use; the activities the inputs will support; the outputs towards which the project, programme or policy is budgeting (a single activity or a combination of activities); and the outcomes and impacts expected;
  - Identify events or conditions that may affect obtaining the outcomes;
  - Identify the assumptions the programme is making about causes and effects;
  - Identify critical assumptions that (based on the policy and environmental context and a review of the literature) the evaluation needs to examine. **[WB]**

- c) A “road map” to assess whether the proposed work is aligned with the desired impact and outcomes, and also whether the strategies identified offer the highest potential for efficacy and impact. It provides organizations with an understanding of the landscape and the routes and distances that they need to travel to get to their destination. They use a road map to help them plot the journey (i.e. develop strategies) from where they are now to where we want to be.

## Triangulation

- a) The use of several (three or more) theories, sources or types of information, or types of analysis to verify and substantiate an assessment.

Note: By combining multiple data sources, methods, analyses or theories, evaluators seek to overcome the bias that comes from single informants, single methods, single observer or single theory studies. **[OECD-DAC/AfDB/IsDB]**

- b) A process of using multiple data sources, data collection methods, and/or theories to validate research findings, help eliminate bias, and detect errors or anomalies in discoveries.

## Unit of Analysis

- a) The actual object being investigated (e.g., project, organizations, nations).

## Up-take Pathway

- a) An institution or agency through which research outputs are conveyed to reach the targeted beneficiaries.

## Utilisation-focused Evaluation

- a) Evaluation judged by how useful it is and how it is actually used by the primary intended users, who help select the most appropriate evaluation model, content and method for their particular situation. **[WB]**

## Validity

- a) The extent to which the data collection strategies and instruments measure what they purport to measure. **[OECD-DAC/AfDB/IsDB]**
- b) The extent to which a measurement or test accurately measures what it is supposed to. Valid evaluations take into account all relevant factors, given the whole context of the evaluation, and weigh them appropriately in the process of formulating conclusions and recommendations. **[CIDA]**
- c) Ability of a methodology to be relevant and meaningful as well as appropriate to the task to which it is being applied.

## Validity of an Evaluation

- a) The extent to which an evaluation's conclusions are justified by the data presented.

## Variable

- a) A characteristic that can assume any one of a range of values.

## Vision

- a) A vision of success is a clear picture of the achievable and sustainable future that the organization would like to see in the context in which it works (i.e. if it had all the resources needed and there were no major disasters to derail it from its path). It can still be aspirational. Further, the organization does not have to achieve this vision on its own. A vision of success should not be a static and unachievable perfect state. The vision must be *plausible*—it must focus on changes in and between people, groups and institutions that the organization can realistically influence (not some idealised state that is unachievable). It must be *dynamic*—it should be a snapshot of a complex and dynamic system in which people and institutions are working effectively in relationships with each other and with outside agencies to solve problems and enhance the well-being of citizens and the environment.

## Work plan

- a) A document that details the resources and methodology to be used in conducting an evaluation.

## Writershop

- a) A participatory, highly intensive process and effective methodology for the documentation and distillation of project learning, which involves bringing together authors, editors, artists, and desktop publishing specialists to produce a publication in a relatively short time. Writershops are characterised by critical reviews and revisions, involving peers and a diverse range of stakeholders and users.

## Annex 6: Agricultural innovation systems— the wider service model

The current driver for African agricultural development is market-orientation, which demands that interventions ought to apply a value chain perspective. This means that the service delivery concept moves beyond services targeted directly to farmers to generally targeting all actors in the value chain of a given commodity (with the aim of achieving a win-win situation for all the stakeholders). This can contribute to creating opportunities for growth in the whole value chain and thereby a more dynamic market for the commodities in question. There are ‘clients’ and “backup services” in the value chain. The client can be a producer or a producer organization, a micro-processor or processing company, a trader or an export company, or a consumer. Each of these actors requires improved knowledge, technologies/products, advice and must develop a sustainable and trusting relationship with the service providers that they deem competent and valuable. If a genuine market orientation of services is to be created, it is important to transcend the conventional view of the receivers of services as beneficiaries of aid and instead view the clients as businesses demanding and consuming services.

In addition to the service relationship for every client, service providers themselves also need to access advice, referred to here as “backup services”. In terms of service arrangements, we need to clearly differentiate between (i) the services delivered directly to the business actors by service providers and (ii) the backup services needed by the advisers themselves. The service providers are in a regular relationship with the clients and deliver the services as demanded by them. It is crucial to get the type of support as well as the relationship between the client, the service provider and the delivered services right. But it is, at the same time, important to acknowledge that in order to keep this relationship vibrant and the services continuously attractive for the clients, it is essential to secure high quality backup services for the service providers. Backup services will typically include *training, development of competencies, mentoring, testing new technologies, analysis assistance and development of training material and service tools*.

This differentiation between direct services and backup services is essential for defining roles. It is clearly unsustainable if the FARA secretariat was to step in to directly provide services that would generate the data required for tracking the MTOP results. These tasks are unequivocally the responsibility of local actors—the SROs and other sub-regional and national actors. FARA, through the secretariat, will normally enter the equation by providing backup services to the service providers that directly support the value chain actors. Understandably, during the formative years of the last MTOP, FARA may have acted in a subsidiary role through ad-hoc arrangements with local entities, by-passing the sub-regional agencies and authorities. In the current MTOP, the strategy is to evolve towards a more comprehensive development framework, so that partners are supported in the implementation of their mandates based on the subsidiarity principle. However, capacities vary widely across and within partners, and this could lead to delays in establishing a sustainable system.

Developing sustainable agricultural research and advisory services should be premised on a model that strives to improve local agricultural production by improving markets, partnerships and stimulating dialogue between local stakeholders (with changed attitudes) in the sector, using participatory value chain approaches to identify and analyse real world problems, seek simple effective solutions; it should not work the other way: look for problems to apply newly developed solutions to. The innovation platform approach to market development and market-led technology adoption is based on the principle that increased communication between the various stakeholders will identify opportunities for improvement, both in identifying pressure points in the production-to-market system/process and also allow for novel and more effective approaches to information exchange. Once all relevant parties have been “identified bought into the system”, the main tasks for this innovation platform (IP) would be to engage in the following activities:

1. The IP will, through deliberations and analysis, identify ways and means to **improve on existing markets or even develop new markets**. These improvements may be at various levels.
2. It will **identify technologies** for:
  - a. *improved productivity*—these are technological interventions that are traditionally promoted to increase productivity. By themselves they will often have very little impact as adoption is normally low. However, done within the framework identified through an iterative process between all stakeholders, they may hold more ‘value’.
  - b. *aligning the requirements of production and demand*—more importantly, some technologies/strategies may bring producers closer to the demands of the market.
3. It will provide a platform for **improved information/input supply**. Access to credible and reliable information is crucial in agricultural development. Effective pathways of information exchange are however limited and the traditional “agricultural extension officer” experiences various challenges in the implementation of his/her traditional role. The IP can provide alternative pathways of information exchange and training. By channelling information through this platform and evaluating and ‘endorsing’ it, more credible, reliable and site/context-specific information can be disseminated. Moreover, information that may be passed on by market intermediaries, for their, as well as the farmer’s benefit may be more readily accepted—because both parties have a vested interest in the information. Similarly, input suppliers may be more effective in providing information at appropriate places along the value chain. Traders who also act as input suppliers may be very effective because they are the actual point where money is exchanged and thus the most likely “place” where cash is available for inputs. The IP will thus continuously evaluate alternative information using supply chains, and also evaluate alternative input supply chains using the platform and traders/market intermediaries.
4. **Policy analysis and development:** Bringing about change in policies are often very difficult and involves long periods of lobbying to engage policy makers. Since the IP already involves a range of stakeholders, their contribution to policy analysis and bringing about change can be vital. Moreover, if the IP already includes policy makers, even at the local level,

then the process to bring about change will be easier. Through the iterative process of testing, implementation and evaluation it can implement changes to policies and evaluate local impact. The IP can become a crucial role-player in changing policies; it will identify 'problem' policies, develop appropriate policies, and test and refine policies.

5. **Monitoring impact, evaluation and adaptation:** Once established, the IP engages in an iterative process of consultations or workshops during which problems are diagnosed and improvements identified. These sessions are interspersed with intervention activities agreed upon by the group, results are fed back to the IP and evaluated for further refinement and implementation. M&E is thus an integral part of this process. Initially the IP is externally driven (e.g. by a project, with project funds), but it is assumed that stakeholders would gradually take over this role as the benefits to the role-players are established. The very nature of its functioning allows the IP to become the major body to do M&E. As the real stakeholders are present and they experience the impact, or the lack thereof in the implementation process of interventions or changes in strategies, it is in their interest to adapt, improve and re-evaluate. Such a body can therefore fulfil the crucial role of evaluating impact and also sharing successes.

On the IP, leadership of ideas/interventions depends on competencies being brought in by participants. There is guaranteed free entry and exit depending on contribution, interest and benefits/incentives as perceived by each participant. Institutional structures that encourage all participants to innovate are promoted, while consultations and involvement progress at levels that vary, using mechanisms that are diverse. The roles of the various stakeholders in the IP are as follows:

- a) **Farmers and farmer organizations:** As producers they have access to certain resources; they understand their limitations and challenges. Often there is a lack of skill and expertise with regard to certain technologies and improved farming strategies. Access to information (especially important market-related information) is often a limiting factor—farmers often do not know what the market needs, when the market needs it, and do not produce enough to make it worthy for a market intermediary to collect the produce. The farmer's role in this body is to *provide insight from the producers' perspective on the technology and information needs, and share the challenges in production and marketing.*
- b) **Traders and other market intermediaries:** Similarly small-scale traders and transporters may not always be aware of the needs of the market, and often operate in the dark, buying, transporting and trying to sell to distant marketplaces with limited knowledge of price structures, regulations and grades and standards. More importantly, their needs in terms of the variety of products, the quality and quantity of products may not be known or understood by farmers. Within the IP, the role of market intermediaries is to *facilitate increased communication and sharing of information regarding the entire supply and demand process/chain.* This is critical in that a clear understanding of what the market requires is crucial in providing the incentives for farmers to produce what the market requires. Moreover, the trader can also play an increasing role in supplying other types of information. This may include information regarding technologies or other commercial

inputs such as improved breeds/varieties, feed/feed additives, animal health products, pesticides, fertilizers and improved management strategies. Building better relations between market intermediaries and producers has proven to work elsewhere and this can be seen in even some of the most rudimentary markets where buyers provide inputs and supply information.

- c) *The Marketplace*: Representatives of the marketplace should participate in the IP to understand the specific needs of farmers, traders and those who buy from them—these may include processors and/or retailers buying produce to be processed and then sold to the consumer. Improving the marketplace, its related institutions and infrastructure has the potential to greatly *improve the efficiency of the market, its functioning and the role it plays in facilitating information flow between individual parties*.
- d) *Processors and the consumption end of the value chain*: Their role is specifically to provide *inputs on market needs (type, quality, quantity and timing), its trends and issues of control and feedback* to producers.
- e) *Research, education and development community*: The primary roles of this group are to provide *technical backstopping; assist with analysis; identify opportunities; and unlock potentials*. A vast amount of information and experience is entrenched in these bodies. Very often, information/technology is not fully appreciated as it is often ‘disseminated’ in the form of a sterile technology offered without the facilitating environment that would yield the real value of the intervention. The IP, and the framework that it provides with the linkages to market development, allows interventions to be evaluated within the context of investment and the RoI. This is not only true for the producer, but also for the other role-players in the value chain. The community includes R&D agencies, education and training institutions, agricultural support services, local policy makers, the civil society and the media.

The IP model should focus at the grassroots level—functioning at the level of the local production/market node and its participants and associated interested parties. Results and impacts can be *up and out-scaled* from here. It is, thus, essentially a bottoms-up approach, where planning and decision making are controlled by the target audience, but the process is facilitated by the local R&D agents. Strong linkages to higher levels of decision making and policy development can be fostered from here. Of critical importance is a stakeholder analysis, whereby important people and representatives of relevant institutions can be identified. This should include all those individuals/institutions that are actively engaged in the particular value/market chain, whether as a participant or by facilitating the process (i.e. providing input or advice, or recommending/implementing technologies).

The next logical step is to develop a clear agenda, the *modus operandi* and to develop a set of common goals within a reasonable time frame. An important component of this process is to define roles and responsibilities of the different parties involved. All participants should be clear of their roles, and what this process can contribute to them. The benefits of participating should be understood—once people stand to gain from the process, they may contribute more

purposefully. The next phase involves the actual work according to the framework agreed upon. This involves engaging in activities, defining shortcomings or required interventions, implementing technologies and changes, evaluating change, refining interventions and engaging in a continuous process of implementation, evaluation and adaptation.

For process continuity and sustainability, the main assumption is that the IP would be established by a lead promoter (e.g. a project), funded from outside and facilitated to the point where the process runs according to the work plans as defined by the platform itself. Initially, the process would thus be driven by the project, but as time goes on, and the benefits of the IP are realised, the platform would become increasingly self- or stakeholder-driven.

## Acronyms and abbreviations

AAIS	Africa Agricultural Innovation system
AFAAS	African Forum for Agricultural Advisory Services
AfDB	African Development Bank
AfrEA	African Evaluation Association
AFSIP	Agriculture and Food Security Investment Plan
AgGDP	Agricultural Gross Domestic Product
AIDS	Acquired Immune Deficiency Syndrome
AAIS	African Agricultural Innovation System
AIS	Agricultural Innovation System
ANAPE	African Network for Agriculture, Agro-forestry and Natural Resources Education
APP	Agricultural Productivity Project
ARD	Agricultural Research and Development
AR4D	Agricultural Research for Development
ARI	Advanced Research Institute
ASARECA	Association for Strengthening Agricultural Research in Eastern and Central Africa
ASIP	Agricultural Sector Investment Plan
ASTI	Agricultural Science and Technology Indicators
AU	African Union
AUC	African Union Commission
AWP	Annual Work Plan
CAADP	Comprehensive Africa Agriculture Development Programme
CCARDESA	Centre for Coordination of Agricultural Research and Development for Southern Africa
CGIAR	Consultative Group on International Agricultural Research
CIDA	Canadian International Development Agency
CoP	Community of Practice
CPAF	Common Performance Assessment Framework

CSA	Climate Smart Agriculture
CSF	Critical Success Factors
CSO	Civil Society Organization
DAC	Development Assistance Committee (of the OECD)
DCD	Development Cooperation Directorate (of the OECD)
DG	Development Goal
DONATA	Dissemination of New Agricultural Technologies in Africa
EDPRS	Economic Development and Poverty Reduction Strategy
eRAILS	Online Learning Platform of RAILS
EU	European Union
FAAP	Framework for African Agricultural Productivity
FANRPAN	Food, Agriculture and Natural Resource Policy Analysis Network
FAO	Food and Agriculture Organization of the United Nations
FARA	Forum for Agricultural Research in Africa
G8	Group of Eight (leading industrial nations)
G20	Group of Twenty (Finance Ministers and Central Bank Governors)
GCARD	Global Conference on Agricultural Research for Development
GDP	Gross Domestic Product
GFAR	Global Forum on Agricultural Research
GoR	Government of Rwanda
GUI	General User Information
HIAEL	Higher Institutions of Agricultural Education and Learning
HIPC	Heavily Indebted Poor Countries
HIV	Human immunodeficiency virus
IAR4D	Integrated Agricultural Research for Development
IARC	International Agricultural Research Centre
ICP	International Cooperating Partner
ICT	Information and Communications Technology
IDEAS	International Development Evaluation Association
IEG	Independent Evaluation Group
IFAD	International Fund for Agricultural Development
IFPRI	International Food Policy Research Institute
IP	Innovation Platform
IPTA	Innovation Platform for Technology Adoption
IsDB	Islamic Development Bank

KIS	Knowledge, Information and Skills
KPI	Key Performance Indicators
KR(A)	Key Result (Area)
LDC	Least Developed Countries
LF (Logframe)	Logical Framework
MAF	Management Accountability Framework
M&E	Monitoring and Evaluation
MDG	Millennium Development Goal
MDTF	Multi-Donor Trust Fund
MfDR	Managing for Development Results
MIS	Management (Monitoring) Information System
MoU	Memorandum of Understanding
MTR	Mid-Term Review
MTOP	Medium-Term and Operational Plan
NARI	National Agricultural Research Institute
NARES	National Agricultural Research and Extension Systems
NARS	National Agricultural Research Systems
NASRO	North Africa Sub-Regional Organization
NEPAD	New Partnership for Africa's Development
NGO	Non-Governmental Organization
NORAD	Norwegian Agency for Development
NPCA	NEPAD Planning and Coordinating Agency
NSF	Networking Support Function
NSF-USA	National Science Foundation (of the USA)
OBM	Output Based Management
ODA	Official Development Assistance
OECD	Organization for Economic Cooperation and Development
PAEPARD	Platform for African-European Partnership on Agricultural Research for Development
PAFO	Pan-African Farmers' Organization
PanAAC	Pan-African Agribusiness and Agro-Industry Consortium
PANGOC	Pan Africa Non-Governmental Organization Consortium
(3)PCM	Policy, Programme and Project Cycle Management
PLA	Participatory Learning and Action
PMF	Performance Monitoring Framework (the Results/Logical Framework)

PMP	Performance (Management) Monitoring Plan
PPP	Policy Programme Project
PSTAD	Promoting Science and Technology for Agricultural Development in Africa
RF	Results Framework
R&D	Research and Development
RAILS	Regional Agricultural Information and Learning System
RBM	Results Based Management
REC	Regional Economic Community/Commission
ReSAKSS	Regional Strategic Analysis and Knowledge Support System
RoI	Return on Investment
RUFORUM	Regional Universities Forum for Capacity Building in Agriculture
SABIMA	Safe Biotechnology Management in sub-Saharan Africa
SAKSS	Strategic Analysis and Knowledge Support System
SBTG	Sustainable Benefits for the Target Group
SCARDA	Strengthening Capacity for Agricultural Research and Development in Africa
SDG	Sustainable Development Goals
SP	Strategic Plan (Strategic Priority)
SRO	Sub-regional Research Organization
SSA CP	Sub-Saharan Africa Challenge Programme
TBA	Time-Bound Activity
TBS	Treasury Board (of Canada) Secretariat
TEAM-Africa	Tertiary Education for Agriculture Mechanism (Africa Chapter)
TGE	Technical Group of Experts
ToC	Theory of Change
ToR	Terms of Reference
UN	United Nations
UNAIDS	United Nations Programme on HIV and AIDS
UNDP	United Nations Development Programme
UNEG	United Nations Evaluation Group
UNESCO	United Nations Educational, Scientific and Cultural Organization
UniBRAIN	Universities, Business and Research in Agricultural Innovation
USA	United States of America
UW	United Way (of Canada)
WB	World Bank



## About FARA

The Forum for Agricultural Research in Africa (FARA) is the apex continental organisation responsible for coordinating and advocating for agricultural research-for-development. (AR4D). It serves as the entry point for agricultural research initiatives designed to have a continental reach or a sub-continental reach spanning more than one sub-region.

FARA serves as the technical arm of the African Union Commission (AUC) on matters concerning agricultural science, technology and innovation. FARA has provided a continental forum for stakeholders in AR4D to shape the vision and agenda for the sub-sector and to mobilise themselves to respond to key continent-wide development frameworks, notably the Comprehensive Africa Agriculture Development Programme (CAADP).

FARA's vision: Reduced poverty in Africa as a result of sustainable broad-based agricultural growth and improved livelihoods, particularly of smallholder and pastoral enterprises.

FARA's mission: Creation of broad-based improvements in agricultural productivity, competitiveness and markets by continental-level strengthening of capacity for agricultural innovation.

FARA's Value Proposition: Strengthening Africa's capacity for innovation and transformation by visioning its strategic direction, integrating its capacities for change and creating an enabling policy environment for implementation.

- FARA's strategic direction is derived from and aligned to the Science Agenda for Agriculture in Africa (S3A), which is in turn designed to support the realization of the CAADP vision. FARA's programme is organized around three strategic priorities, namely: Visioning Africa's agricultural transformation with foresight, strategic analysis and partnerships to enable Africa to determine the future of its agriculture, with proactive approaches to exploiting opportunities in agribusiness, trade and markets, taking best advantage of emerging sciences, technologies and risk mitigation and using the combined strengths of public and private stakeholders.
- Integrating capacities for change by making the different actors aware of each other's capacities and contributions, connecting institutions and matching capacity supply to demand to create consolidated, high-capacity and effective African agricultural innovation systems exploiting relative institutional collaborative advantages to mutual benefit while also strengthening their own human and institutional capacities
- Enabling environment for implementation, initially through evidence-based advocacy, communication and widespread stakeholder awareness and engagement and to generate enabling policies, and then ensure that they get the stakeholder support required for the sustainable implementation of programmes for African agricultural innovation

Key to this is the delivery of three Key Results, which respond to the strategic priorities expressed by FARA's clients. These are:

Key Result 1: Stakeholders determine how the sector should be transformed and undertake collective actions in a gender-sensitive manner

Key Result 2: Strengthened and integrated continental capacity responding to stakeholder demands within the agricultural innovation system in a gender-sensitive manner

Key Result 3: Enabling environment for increased AR4D investment and implementation of agricultural innovation systems in a gender-sensitive manner

FARA's donors are the African Development Bank (AfDB), the Danish International Development Agency (DANIDA), the Department for International Development (DFID), the European Commission (EC), the Consultative Group for International Agricultural Research (CGIAR), the Norwegian Agency for Development Cooperation (NORAD), Australian Agency for International Development (AusAid), and the World Bank.



---

---

**Forum for Agricultural Research in Africa**

12 Anmeda Street, Roman Ridge

PMB CT 173, Accra, Ghana

Telephone: +233 302 772823 / 302 779421

Fax: +233 302 773676 / Email: [info@fara-africa.org](mailto:info@fara-africa.org)

[www.fara-africa.org](http://www.fara-africa.org)