

FARA



Monitoring and Evaluation

STRATEGY



2010-2014

Contents

Acknowledgement	ii
Executive Summary	iii
1. Background	1
2. The Need for Monitoring and Evaluation in FARA	3
2.1 Strategic Context	3
3. Strategy for Monitoring and Evaluation in FARA	7
3.1 The Role and Function of M&E in FARA	7
3.2 FARA's Performance Monitoring Framework	8
3.3 Developing an Integrated Monitoring and Evaluation System for FARA	16
References	22
Annex 1: Framework for Integrating and Tracking FARA Results	23
Annex 2: Guidelines for M&E in FARA	27
Acronyms and abbreviations	31
Tables and Figures	
Table 1: FARA's Networking Support Functions	2
Figure 1: The FARA results chain	9
Table 2: Revised FARA Corporate logframe	10
Table 3: Evolution of FARA performance monitoring framework	12
Table 4: Example of indicator integration	13
Table 5: Roles and responsibilities for different institutions	20
Table 6: Results framework for the M&E Unit	21

FARA

Monitoring and Evaluation

STRATEGY

Leonard Oruko



Forum for Agricultural Research in Africa

12 Anmeda Street, Roman Ridge

PMB CT 173, Accra, Ghana

2011

Citation:

Oruko L. 2011. *Monitoring and Evaluation Strategy.* Forum for Agricultural Research in Africa. 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

Website: www.fara-africa.org

ISBN 978-9988-1-8438-1-4 (print)

ISBN 978-9988-2-3722-2 (pdf)

Acknowledgement

The FARA Secretariat acknowledges the support and participation of its stakeholders – the sub-regional research organisations (SROs), national agricultural research institutes, universities, civil society actors (farmers, NGOs and private sector players), advisory service providers, international agricultural research centres and FARA staff in the development of this strategy document.

Executive Summary

The Forum for Agricultural Research in Africa (FARA) is a continent-wide umbrella organization that provides a forum for all stakeholders, African and non-African, of agricultural research and development in Africa.

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:

The creation of broad-based improvements in agricultural productivity, competitiveness and markets by supporting Africa's sub-regional organisations in strengthening capacity for agricultural innovation.

In order to realise its mission, FARA developed an ambitious Strategic Plan (2007–2016) that identifies its niche and potential contribution to sustainable agricultural productivity growth in Africa. A Medium-Term and Operational Plan (MTOP 2008–2012) provides a roadmap and implementation strategies for achieving the goals and objectives of the Strategic Plan. In addition, FARA has been mandated by the African Union Commission (AUC) and the New Partnership for African Development (NEPAD) as the Lead Institution for Pillar IV of the Comprehensive Africa Agriculture Development Programme (CAADP). The focus of CAADP Pillar IV is agricultural research, technology dissemination and adoption.

FARA needs a robust monitoring and evaluation (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. Accordingly, the archetypal M&E system for a typical investment project might not be appropriate for the FARA Secretariat.

An all-inclusive stakeholder consultation process helped define the institutional architecture and operational modalities for the FARA M&E system. The two long-term objectives of this system are:

1. Enhancing FARA'S accountability to stakeholders
2. Enhancing FARA's performance as an apex organisation for coordinating agricultural research, extension, education and training for development in Africa

Accountability to stakeholders will be enhanced by conducting *ex-ante* evaluation through project appraisal, 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. Likewise, by analysing and documenting the outcomes and impacts of investment in its work, FARA will provide investors with information on actual return on investment.

FARA will enhance its performance by identifying the key result areas on organisational performance and their associated indicators. By focusing on organisational performance rather than the usual 'bean counting', analyses by the FARA M&E Unit will facilitate organisational lessons

learnt 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 to ongoing initiatives to enhance efficiency and effectiveness.

Activities of the M&E Unit will be organised around three result areas.

1. Establishing appropriate M&E systems at all levels

FARA will spearhead the development of an embedded performance monitoring system at continental, sub-regional and national levels. Through the process of indicator integration, a common set of standards and – where necessary – custom indicators will be identified 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. Following the indicator integration process, FARA will develop a comprehensive performance monitoring plan (PMP) with protocols for data collection, analysis and reporting. In addition, FARA will support the SROs, the African Forum for Agricultural Advisory Services (AFAAS), national agricultural research institutes (NARIs) and universities to develop effective structures and systems for data collection, analysis and reporting. An automated data collection, analysis and reporting system will be developed and distributed to all Pillar IV institutions.

2. Strengthening the M&E capacity of CAADP Pillar IV institutions

The M&E Unit will pitch on the CAADP agenda and focus on developing the capacity to track implementation and progress of Pillar IV activities. In addition, together with the SROs, AFAAS, national agricultural research systems (NARS) and other stakeholders, a targeted and comprehensive capacity improvement plan will be developed and implemented. FARA will pay special attention to the newly established SROs such as the Centre for Coordination of Agricultural Research and Development for Southern Africa (CCARDESA) and the North Africa Sub-Regional Organization (NASRO), in addition to AFAAS, civil society organizations and farmers' organizations. Together with the African Network for Agriculture, Agroforestry and Natural Resources Education (ANAFE) and the Regional Universities Forum (RUFORUM), FARA will develop a tailor-made capacity development initiative for the universities.

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

The need to establish the outcomes and impacts of investments in research for development initiatives is a key M&E function. In the short term, FARA will focus on developing a comprehensive framework for tracking outcomes and impacts of its investments. Thereafter, specific initiatives focusing primarily on targeted studies will be employed to analyse outcomes and impacts of selected initiatives. FARA recognises that credible and objective impact evaluations are demanding, both in terms of data and in terms of analytical rigour. To the extent possible, therefore, FARA will partner with reputable think tanks and advanced research institutions (ARIs) to deliver on this result.

In order to achieve all this, the FARA M&E Unit needs to enhance its human resource capacity through hiring of additional staff and implementation of a short-term skills development programme. In addition, the unit will rely on strategic partnerships and alliances to support its data collection and analytical work.

1. Background

In 2002, FARA was created as a facilitating and information exchange forum to support the SROs. Over the subsequent years, FARA evolved into a continent-wide umbrella organisation bringing together and forming coalitions of major stakeholders in agricultural research and development in Africa.

FARA's Vision and Mission, which were presented in the Executive Summary, are supplemented by its Value Proposition:

The provision of a strategic platform to foster continental and global networking that reinforces the capacities of Africa's national agricultural research systems and sub-regional organizations.

In response to emerging agricultural development imperatives, FARA developed its Strategic Plan (2007–2016) as well as a five-year Medium-Term Operational Plan (MTOP) covering the period 2008–2012. Of particular significance was the mandate given to FARA by the AUC and NEPAD to serve as the Lead Institution for CAADP Pillar IV implementation. The aforementioned plans define FARA's strategic objectives, key result areas and the implementation modalities for all of its initiatives.

FARA's General objective is *"to contribute to sustainable achievement of high broad-based agricultural growth in Africa"* while the specific objective is *"to contribute to sustainable improvement of broad-based agricultural productivity, competitiveness and markets in Africa."* FARA's contribution to these higher level objectives is through the delivery of five results namely;

Box 1: CAADP Pillar IV Objectives

CAADP Pillar IV constitutes NEPAD's strategy for revitalising, expanding and reforming Africa's agricultural research and technology dissemination and adoption systems. It aims to overcome the constraints to sustainable use of Africa's natural resources with improved technologies, enabling policies, better access to markets and enhanced human and institutional capacities and thereby enable resource-poor smallholders and livestock producers in Africa to achieve sustainable improvements in their livelihoods.

CAADP Pillar IV's objectives are:

- *To develop technologies, policies and institutional innovations that provide solutions to poverty and resource degradation in Africa*
- *To test the adoptability of these options in a participatory and iterative fashion, from farm to regional scale*
- *To develop appropriate mechanisms for wide-scale dissemination and adoption of the technologies and for implementation of sustainable and supportive policy and institutional options*
- *To empower resource-poor farmers in Africa to manage their natural resources and systems sustainably*

1. Appropriate institutional and organizational arrangements for regional agricultural research and development established
2. Broad-based stakeholders have access to the knowledge and technology necessary for innovation
3. Strategic decision making options for policy, institutions and markets developed
4. Human and institutional capacity for innovation developed
5. Platforms for agricultural innovation supported

The delivery of the five results is through the activities that are coordinated by five corresponding Networking Support Functions (NSF) and support Units.

Table 1: FARA's Networking Support Functions

Networking Support Function (NSF)	Objective
NSF1: Advocacy and resource mobilisation	To support forum members (SROs, NARS, and other regional and continental agricultural research and development stakeholders) in establishing appropriate institutional and organisational arrangements for regional agricultural research and development. Specifically, to: (a) support the inclusion of Pillar IV issues in CAADP Compacts; (b) provide assistance and support to the evolution and reform of NARS, and (c) guide governance reform and change management in the FARA and SRO secretariats.
NSF2: Access to knowledge and technologies	To develop mechanisms for information and technology-based innovation exchange between sub-regions that draw on emerging technologies, notably ICT, and application of decision-making tools that transform information into knowledge for innovation.
NSF3: Regional policies and markets	To enhance strategic agricultural policy formulation by: (a) providing policy makers with evidence-based options and tools; (b) empowering and equipping Africa's delegates in international trade and environmental treaty negotiations with the necessary skills and information; and (c) improving broad-based inter- and intra-regional markets.
NSF4: Capacity strengthening	To ensure Africa has the requisite human and institutional capacity in public, private and civil society organizations and institutions for agricultural innovation for improved and broad-based agricultural productivity, competitiveness and markets.
NSF5: Partnerships and strategic alliances	To facilitate the establishment of partnerships that bring together the range of expertise and capacities needed to achieve FARA's stated goals and objectives. These partnerships will serve as platforms for enhancing agricultural innovation.

2. The Need for Monitoring and Evaluation in FARA

2.1 Strategic context

The practice of M&E draws heavily from the theoretical and conceptual foundations of management science.

Monitoring refers to the process of systematic collection and analysis of data on specific indicators in order to generate information on progress and achievement of a given objective.

Evaluation is a periodic assessment of worth or significance of an activity, policy or programme.

In keeping with the principles of project cycle management, typical M&E systems tend to focus on tracking the implementation of planned activities in compliance with workplans and budgets. However, following the Paris Declaration on Aid Effectiveness, there is an ever-increasing need for donor recipient organisations to develop robust M&E systems that provide timely information on:

- Progress of implementation
- Effectiveness and efficiency of the implementation process
- Relevance of products and services generated
- Outcomes and impacts of products and services on target beneficiaries

In order to design a system with these capabilities, it is necessary to understand FARA's uniqueness as a forum. FARA is an apex organisation that serves primarily as a platform for mobilising resources that guides investments in agricultural research and development to derive economies of scale and scope, whilst sharing knowledge and information to realise uptake and adoption at scale. This role was identified and elaborated in FARA's first Strategic Plan (2002–2012):

FARA is not a research implementing body. It is an umbrella organization bringing together and forming a coalition of major stakeholders in agricultural research and development in Africa. It will play advocacy and coordination roles for agricultural research for development (AR4D), while the NARS and the ARIs (working on priorities defined jointly with the SRO) will develop improved technologies along the research-to-development continuum in their respective countries and coverage areas.

Notably, although the FARA *Forum* is responsible for designing and implementing the requisite interventions for realising the objectives articulated in both the Strategic Plan and the MTOP, the FARA *Secretariat* supports the implementation of these initiatives through its NSFs. Accordingly, the archetypal M&E system for a typical investment project might not be appropriate for FARA Secretariat. The following attributes of FARA should therefore guide the design of its M&E system.

2.1.1 FARA the Stakeholder Platform

As a continent-wide forum of stakeholders, FARA provides a strategic platform for fostering global and continental networking for agricultural development in Africa. The stakeholders of

FARA include farmers, the NARS, the SROs, private business concerns, civil society organisations and development partners. Often times, getting this diverse group of stakeholders to agree on a common goal and strategies for achieving a given set of objectives is quite a challenge. Fortunately, the CAADP initiative provides a common framework around which all the stakeholders can rally. In addition, CAADP's Mutual Accountability Framework (MAF) provides 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 endorse a common set of performance criteria for assessing delivery on commitments such as budgetary allocations, outputs and development outcomes.

The primary challenge is therefore getting stakeholders to agree on common frameworks for planning and performance monitoring. In developing the corporate performance monitoring framework (PMF) for the MTOP, FARA borrowed elements from the logical framework matrix (logframe), the results framework and the outcome mapping framework. 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. Thus, irrespective of the framework, FARA should have a PMF that subscribes to the best practice guidelines of performance monitoring. In this regard, FARA's PMF must reflect a logical hierarchy of objectives and a set of performance indicators that embrace the aspirations of its broad stakeholder constituency.

2.1.2 The FARA Secretariat and its networking coordination role

FARA delivers its results through entities over which it does not have direct control. The products and services generated through FARA's investments are therefore co-owned by the implementing partners. Depending on the M&E strategy and plan, these products and services could be classified as FARA's immediate outcomes or direct outputs.

The operational units of the FARA Secretariat are the Networking Support Functions (NSFs). Because of the way the NSFs are organised, using them to define the indicators of performance is difficult. While the process of defining indicators for the specific projects is a fairly straightforward affair, the same does not apply to the NSF. It is therefore not surprising that some of the NSF indicators in the MTOP are identical to the ones developed for time-bound project activities.

An important challenge is thus to identify best practice guidelines and rule of thumb for indicators. In a typical project setting, the fewer the indicators, the better. For an organisation such as FARA, it is far more challenging to identify a few standard indicators that provide sufficient evidence of performance at corporate, NSF and project levels. Nonetheless, the concept of standard indicators provides an additional intuitive appeal; it aggregates a discrete set of activity milestones into a single indicator. A few standard indicators are therefore more appropriate for defining the corporate level performance criteria for a networking and coordinating entity such as FARA.

Finally, most of the implementing partner organisations have their own M&E systems, with custom indicators designed to capture progress of delivery of a diverse range of products and services that fall outside FARA's primary responsibilities. FARA's progress tracking and reporting system should therefore be robust enough to cascade seamlessly and address attribution challenges in the case of shared benefits, following the principles of subsidiarity.

2.2 Stakeholder expectations from the FARA M&E system

In developing the present strategy, an elaborate stakeholder consultation process that included key informant interviews and a stakeholder validation workshop was employed. Accordingly, FARA's key stakeholder groups provided feedback on their expectations from the FARA M&E system.

2.2.1 Expectations from development partners

For most development partners, the Organisation for Economic Co-operation and Development (OECD) with the Development Assistance Committee (DAC) evaluation criteria provides the key reference point for M&E. The criteria include relevance, effectiveness, efficiency, impact and sustainability. The MoU between FARA and development partners signed in early 2008 states that, to the extent possible, the development partners will use the monitoring evaluation and review processes established by FARA. In this regard, FARA as the Grant Recipient of the MDTF, is responsible for the overall M&E. This responsibility entails regular preparation of progress reports on the basis of the indicators specified in the Agreed Annual Program of Activities (MDTF Program Document 2009). It is evident from the foregoing that the development partners rate technical accountability as the primary function of FARA's M&E system.

Box 2: OECD-DAC evaluation criteria

Relevance (doing the right thing)

- *To what extent are the objectives of the programme still valid?*
- *Are the outputs of the programme consistent with the intended impacts & effects?*

Effectiveness (achieving objectives)

- *To what extent are the objectives achieved / likely to be achieved?*
- *What are the major factors influencing the (non) achievement of the objectives?*

Efficiency (doing things right / use of resources)

- *Are activities cost-efficient? Are activities achieved on time?*
- *Is the programme implemented in the most efficient way?*

Impact (outreach and pace of programme output)

- *What is the result of the programme? How many people are affected?*
- *What real difference has the activity made to the beneficiaries?*

Sustainability (long-term effect)

- *Will the benefits of the programme continue after donor funding ceases?*
- *What are the major factors influencing the (non) achievement of sustainability of the programme?*

2.2.2 Expectations from CAADP

As indicated earlier, CAADP is a programme of AU-NEPAD that aims to revitalise Africa's agricultural sector as the engine for economic development and poverty reduction. CAADP's overarching goal – the elimination of hunger and reduction of poverty through agriculture – was endorsed by African heads of state and governments in July 2003 in Maputo, Mozambique. CAADP provides a strategic framework for harmonising investments to generate an annual growth rate of 6 percent in agricultural output. These investments are organised around four mutually reinforcing pillars.

- Pillar 1 - Extending the area under sustainable land management
- Pillar 2 - Improving rural infrastructure and trade-related capacities for market access
- Pillar 3 - Increasing food supply and reducing hunger
- Pillar 4 - Promoting agricultural research, technology dissemination and adoption

An M&E strategy for tracking the implementation, outcomes and impacts of CAADP has been developed. As the Pillar Lead Institution for CAADP Pillar IV, FARA is 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. In addition, the FARA M&E system should track the adoption of technologies and innovations generated from investments in Pillar IV activities.

2.2.3 Expectations from the SROs

Most of the SROs are yet to establish effective M&E systems that respond to the diverse needs of their stakeholders. Their strategic focus remains that of addressing trans-boundary problems and effecting spillovers of the benefits of agricultural research and development. Both the SROs and the NARIs are responsible for implementing Pillar IV activities within their respective regional economic communities (RECs) and at the national level. The SROs therefore look to FARA Secretariat to strengthen their M&E capacity and to provide the overarching M&E framework with standard indicators for tracking the Forum's activities at sub-regional level.

2.2.4 Expectations from the national systems

The national agricultural research and extension systems (NARES) include the NARIs, the universities, and public and private sector extension services. Both the NARIs and the extension systems require custom indicators for tracking their performance. More importantly, the CAADP agenda brings on board additional challenges given the increased levels of investment and the need to track both implementation and outcomes of increased support to agriculture at the country level. The FARA M&E system should therefore provide a set of standard indicators and best practice guidelines for tracking and reporting progress in the implementation of Pillar IV activities at the country level.

The universities need M&E systems that track and report on their research achievements. Most universities in Africa have fairly robust quality assurance mechanisms for teaching and research assessment, including student evaluation and publications in peer-reviewed journals. However, the performance criteria for the CAADP agenda, especially Pillar IV, lay more emphasis on development outcomes of research and training. Both the CAADP and FARA M&E frameworks should provide the standard indicators for tracking improvements in tertiary agricultural education and training.

2.2.5 Expectations from the farming community

The farmers are the ultimate beneficiaries of products and services generated by FARA. The farming community would like to be placed at the forefront in setting the agenda and articulating investment priorities for agricultural research, extension, education and training. Owing largely to the emphasis on farmer participatory research, farmer involvement in agricultural research priority setting and evaluation of technologies has improved somewhat in the last two decades. However, at a more strategic level, the farming community is not adequately represented in programme review and evaluation processes. More critical is the lack of accountability frameworks that empower farmers to review performance of agricultural research, extension and training systems. The FARA M&E system should include a framework that allows active participation of farmers in the review and evaluation of these programmes in accordance with the principles set out in the CAADP Pillar IV document as well as in the roadmap provided by the FAAP.

3. Strategy for Monitoring and Evaluation in FARA

3.1 Role and function of M&E in FARA

The role and function of M&E in FARA is articulated the MTOP:

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

In addition, the stakeholder consultation process helped crystallise and define two strategic objectives.

- *Enhancing accountability:* By conducting *ex ante* evaluation through project appraisal, tracking and reporting progress on implementation of various initiatives, FARA will provide timely information to its investors on the likely returns on their investment. Likewise, by analysing and documenting the outcomes and impacts of FARA investment, FARA provides the investors with timely information on actual return on investment.
- *Enhancing performance:* By identifying key result areas on organisational performance and the associated indicators, and by focusing on organisational performance and not the typical 'bean counting', analyses by the FARA M&E Unit will facilitate organisational lessons learning for performance improvement. The lessons learning should ultimately inform the design of new interventions by the Secretariat and other members of the Forum, in addition to catalysing the necessary adjustments to ongoing initiatives in order to enhance efficiency and effectiveness.

Box 3: Vision and Mission of FARA M&E

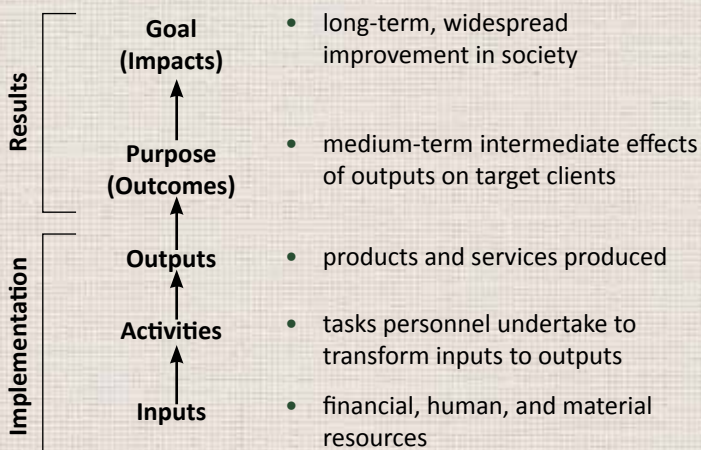
Vision: A results-based and impact-oriented forum for agricultural research in Africa

Mission: To institutionalise the culture of M&E for performance improvement and enhanced accountability to stakeholders

From the foregoing, the primary function of M&E is to generate objective evidence of progress in the implementation of planned activities and the achievement of set objectives. Implementation monitoring contributes to high-quality execution of programmes and projects, leading to successful delivery of results. Effective programme planning should generate clear sets of objectives that respond to clearly identified priority issues. Typically, an objective hierarchy that defines the temporal scale and the levels of responsibility for achieving the objectives should accompany the plan. For purposes of M&E, each objective should have a set of performance indicators with the following attributes.

- Direct:** The indicator should closely track the result it is intended to measure. In cases where a direct indicator is unavailable or not feasible to collect, proxy indicators or indirect measures of the intended result should be employed¹.
- Objective:** They should be unambiguous and operationally precise with regard to what is being measured.
- Adequate:** Taken as a group, the indicator and its companion indicators should be the minimum necessary to capture progress towards the desired result.
- Practical:** Data on the indicator should be available when required and at a reasonable cost.

Box 4: Objective hierarchy



3.2 FARA's Performance Monitoring Framework

While developing the FARA Strategic Plan (2007–2016), a comprehensive analysis of challenges to which FARA is expected to respond to generated five key areas for intervention. Following the causal logic, the five 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 1).

In elaborating FARA's hierarchy of objectives, both the Strategic Plan (2007-2016) and the MTOP adopted a hybrid of the results framework and the logframe. However, the planning and performance reporting employed in 2009 by FARA attempted to follow the Outcome Mapping Framework. The present document adopts the logframe as the corporate PMF for FARA. The following definitions apply to the 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

1. An indicator is a reliable factor that provides the evidence that an objective has been achieved.

Box 4: Strategic challenges for FARA

- *SROs' lack of a continental perspective and the global linkages required to capture the synergies and economies of scale needed to achieve the African vision, thus restricting their ability to improve agricultural productivity, competitiveness and marketing*
- *Poor access of broad-based stakeholders to the knowledge and technology necessary for innovation*
- *Lack of policy and market analyses needed on pan-African agricultural issues to respond to the demand of African policy makers and negotiators*
- *Weak institutional and human capacity of African agricultural research to identify, generate and deliver research outputs that meet the needs of poor people*
- *Difficulties in forming partnerships across sub-regions, especially for effective adoption of innovation. SRO programmes constrained in forming partnerships and alliances by their lack of continental mandates.*

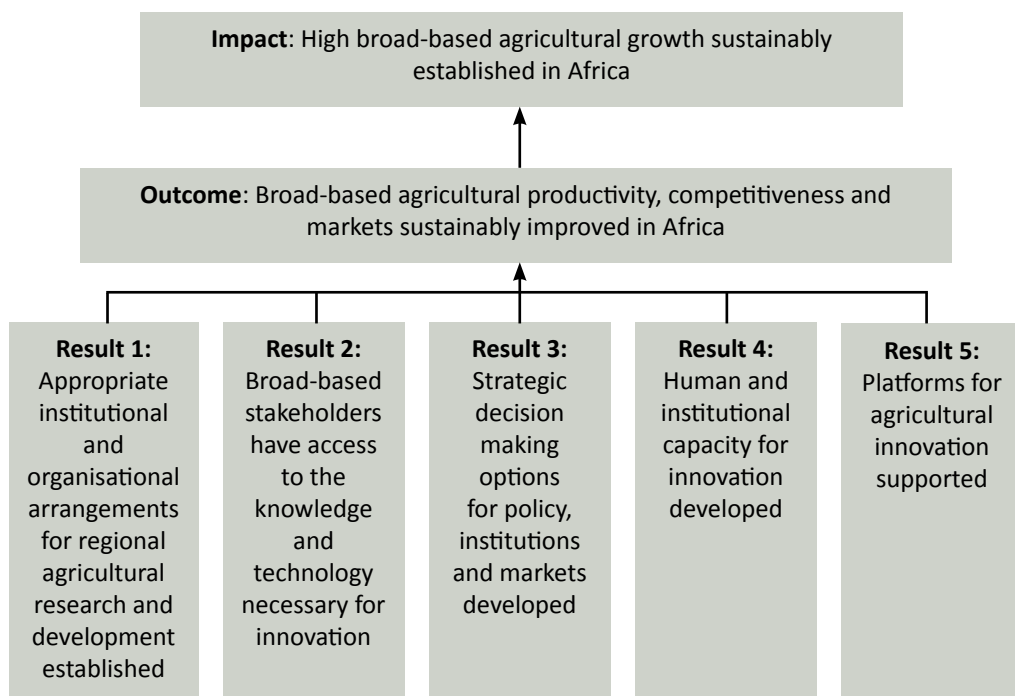


Figure 1: The FARA results chain

scale, a goal is only realised after many years of concerted effort. Borrowing from the MDGs, for example, a 15-year time horizon was set for achievement. As an objective, the goal statement defines an end state and not a process or activity.

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. Accordingly, although other actors contribute to the realisation of the purpose, a higher level of accountability is expected from FARA compared to the goal. 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.

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

FARA is 100 percent responsible for delivery of outputs. As an objective, the result/output statement defines an end state and not a process or activity.

3.2.1 Review of the PMF

The strategic matrix in the FARA strategic plan provides a sound basis for reviewing the PMF. The objective statements reflect an end state, while the outcome-related indicators are key performance indicators. Both are appropriate descriptors. The overarching statement of objectives in both the strategic plan and the MTOP is a higher level objective that speaks to the MDGs. Likewise, the general objective and the specific objective appear to capture the spirit of improving productivity and competitiveness of the agricultural sector.

In reviewing the corporate PMF, the following amendment to Result 2 is proposed:

Broad-based stakeholders (including women and women’s organisations) have access to knowledge and technology necessary for innovation in a gender sensitive manner.

This result statement appears to describe the end state of improved access to knowledge and information by a broad spectrum of stakeholders, including women. Because the term ‘broad-based stakeholders’ is inappropriate, the following amendment is recommended:

A broad spectrum of stakeholders have improved access to knowledge and technology for innovation in a gender-sensitive manner.

In addition, a set of standard indicators are proposed for each result (Tables 2 and 3).

Table 2: Revised FARA corporate logframe

Objective hierarchy	Key performance indicators	Means of verification	Risks and assumptions
Goal/development objective African food insecurity and poverty sustainably reduced and environmental conditions enhanced	<ul style="list-style-type: none"> • Changes in levels of poverty • Changes in food security • Changes in quality of environment 	UNDP reports	<ul style="list-style-type: none"> • Sustained commitment to MDG targets • Governments commit to reducing green house gas emissions
Purpose/outcome Improved sustainable broad based agricultural productivity and competitiveness in Africa	<ul style="list-style-type: none"> • Changes in factor productivity (land labour capital) • Changes in yield of selected commodities • Changes in market access (export volumes, intra-regional trade) 	UNDP reports, AU/CAADP reports, Re-SAKSS reports, FARA reports	<ul style="list-style-type: none"> • Sustained commitments to the CAADP agenda • Supportive policies and institutions for agricultural growth

Objective hierarchy	Key performance indicators	Means of verification	Risks and assumptions
Results			
1. Appropriate institutional and organisational arrangements for regional agricultural research and development established	1.1 Number of agricultural research, extension and education institutions developing and implementing policies and programmes in line with FAAP principles 1.2 Increase in levels of investments in agricultural research, extension and education initiatives	FARA reports	Stakeholders support the NARS reform agenda
2. A broad spectrum of stakeholders have access to knowledge and technology for innovation in a gender-sensitive manner	2.1 Number and category of stakeholder knowledge, information and technology needs identified 2.2 Number of integrated knowledge management and technology innovation platforms in place 2.3 Degree of utilization of knowledge management and technology innovation platforms by stakeholders	FARA reports	Institutions in place to generate knowledge and technologies
3. Strategic decision-making options for policy institutions and markets developed in a gender-sensitive manner	3.1 Number of regional policies for enhancing agricultural productivity growth and market access recommended and adopted by policy makers 3.2 Number of African technocrats participating in agricultural trade negotiations	FARA reports	Stakeholders committed to policy and institutional reforms
4. Human, institution and organisational capacity for innovations developed in a gender sensitive manner	4.1 Number of sustainable and relevant capacity development initiatives developed and implemented 4.2 Number of innovations from African agricultural research, extension and education institutions	FARA reports	There is adequate capacity to address the needs
5. Platforms for agricultural innovations supported	5.1 Number of sustainable and relevant innovation platforms established 5.2 Degree of utilisation of technologies/innovations by stakeholders	FARA reports	Effective demand for innovations exists

Table 3: Evolution of FARA's performance monitoring framework.

Strategic plan	MTOP	M&E strategy
<p>Super objective: African food insecurity and poverty sustainably reduced and environmental conditions enhanced. (<i>Indicators linked to the MDGs for poverty, food security and the environment</i>)</p> <p>General Objective High broad-based agricultural growth sustainably established in Africa</p> <p>Indicators <i>Poor employees</i> Measures of real increases in household income derived from employment in agricultural and related sectors between 2010 and 2016</p> <p><i>Poor consumers</i> A measure of the reduction of poor and vulnerable people's household income required for basic food purchases by 2016</p> <p><i>Growth</i> Measures of real (above inflation) annual increase in GDP from the agricultural sector between 2010 and 2016</p> <p><i>Small-scale farmers and pastoralists</i> Measures for increased agricultural incomes for pastoralists and small-scale farmers</p> <p><i>Livelihood indicators</i> Measures of improvements in basic livelihood indicators relating to physical, social, financial, natural and human capital</p>	<p>General Objective Contribute to sustainable achievement of high broad-based agricultural growth in Africa.</p> <p>Indicator Agricultural growth rate improved and maintained at or above 6% per annum between 2012 and 2015</p>	<p>Goal African food insecurity and poverty sustainably reduced and environmental conditions enhanced</p> <p>Indicators</p> <ul style="list-style-type: none"> • Decrease in levels of poverty • Increase in levels of food security • Improvements in quality of environment

Continued...

Table 3 continued...

Strategic plan		MTO		M&E strategy	
<p>Specific objective Broad-based agricultural productivity, competitiveness and markets sustainably improved in Africa</p> <p>Indicators <i>Diversity</i> Measures of the diversity of clients and improvements in livelihoods</p> <p><i>Productivity</i> Measures based on increases in agricultural production for priority crops, livestock and fisheries, for priority groups per unit of input</p> <p><i>Competitiveness</i> Measures based on the numbers or percentages of commodities and products that conform to specific national, sub-regional and/or international standards</p> <p><i>Markets</i> Measures of the increases in the inter- and intra-regional market share of agricultural products</p>		<p>Specific objective Contribute to sustainable improvement of broad-based agricultural productivity, competitiveness and markets in Africa.</p> <p>Indicators 10% increased productivity over 2007 levels in agricultural productivity per unit priority crop, livestock and fisheries</p>		<p>Purpose Improved sustainable broad-based agricultural productivity and competitiveness in Africa</p> <p>Indicators</p> <ul style="list-style-type: none"> • Increase in factor productivity (land labour capital) • Increase in yield of selected commodities • Increase in levels of market access (export volumes, intra-regional trade) 	
Strategic plan		MTO		M&E strategy	
Result	Basis for indicator	Result	Indicator	Result	Indicator
1. Appropriate institutional and organisational arrangements for regional ARD established	1.1 Levels of policy harmonisation 1.2 Levels of institutionalised reform processes 1.3 Success of organisational mechanisms for harmonising support 1.4 Sources and levels of sustainable financing 1.5 Measures of the diversity of stakeholders engaging with FARA	1. Appropriate institutional and organisational arrangements for regional ARD established	1.1 Number of countries and RECs having and implementing strategies and operational plans for reforming the way ARD is organised to form effective and efficient NARS	1. Appropriate institutional and organisational arrangements for regional ARD established	1.1 Number of agricultural research, extension and education institutions developing and implementing policies and programmes in line with FAAP principles 1.2 Increase in levels of investments in agricultural research, extension and education initiatives

Continued...

Table 3 continued...

Strategic plan		MTOF		M&E strategy	
Result	Basis for indicator	Result	Indicator	Result	Indicator
2. Broad-based stakeholders have access to the knowledge and technology necessary for innovation	2.1 Levels and type of intra- and inter-regional information exchange 2.2 Measures of the spread of availability of decision-making tools 2.3 Extent of intra-regional spread of innovations 2.4 Measures of the diversity of stakeholders benefiting from technology-based innovation	2. Broad-based stakeholders (including women and women's organizations) have access to knowledge and technology necessary for innovation in a gender-sensitive manner	2.1 Number of MARS having and implementing comprehensive strategies for improving access to agricultural knowledge and technologies	2. A broad spectrum of stakeholders have access to knowledge and technology for innovation in a gender-sensitive manner	2.1 Number and category of stakeholder knowledge, information and technology needs identified 2.2 Number of integrated knowledge management and technology innovation platforms in place 2.3 Degree of utilisation of knowledge management and technology innovation platforms by stakeholders
3. Strategic decision making options for policy, institutions and markets developed	3.1 Measures of sub-regional policy issues resolved/influenced by regional decisions 3.2 Measures of improvements in capacity for successful negotiation at regional level for sub-regional support 3.3 Measures of improvement to sub-regional markets and market access 3.4 Extent of successful application of standards 3.5 Levels of inter-regional trade	3. Strategic decision-making options for policy, institutions and markets developed in a gender-sensitive manner	3.1 Enhanced evidence-based policy formulation in support of institutional and market innovations 3.2 Ratio of men to women participants involved in policy development processes	3. Strategic decision-making options for policy institutions and markets developed in a gender-sensitive manner	3.1 Number of regional policies for enhancing agricultural productivity growth and market access recommended and adopted by policy makers 3.2 Number of African technocrats participating in agricultural trade negotiations

Continued...

Table 3 continued...

Strategic plan		MTOF		M&E strategy	
Result	Basis for indicator	Result	Indicator	Result	Indicator
4. Human, organizational and institutional capacity for innovation developed	<p>4.1 Staff-student ratios in agricultural learning institutions across the region</p> <p>4.2 Measures of curricula-coherence across the region</p> <p>4.3 Measures of training at farmer and agricultural extension level</p> <p>4.4 Measures of evolution of R&D institutions towards use of innovation systems approaches</p> <p>4.5 Extent of successful regional capacity strengthening initiatives in appropriate areas</p> <p>4.6 Levels and measures of success of ICT-based initiatives for learning</p> <p>4.7 Measures of the increase in diversity and competence of stakeholders and partners engaged in innovation</p>	4. Human, institutional and organizational capacity for agricultural innovation developed	<p>4.1 A validated strategy for strengthening national and regional capacities for agricultural innovation and number of countries and sub-regions to which it is upscaled</p> <p>4.2 Men-women ratio in capacity-building activities</p>	4. Human, institutional and organizational capacity for innovations developed in a gender-sensitive manner	<p>4.1 Number of sustainable and relevant capacity development initiatives developed and implemented</p> <p>4.2 Number of innovations from African agricultural research, extension and education institutions</p>
5. Platforms for agricultural innovation supported	<p>5.1 Scale and scope of effective platforms for developing innovation capacity</p> <p>5.2 Extent and nature of documented evidence of shared learning</p> <p>5.3 Measures of the diversity of stakeholders involved and benefiting from positive innovations</p> <p>5.4 Scale and scope of validated innovations</p> <p>5.5 Scale and scope of sub-regional and regional interaction on innovation successes</p>	5. Platforms for agricultural innovation supported	6.1 Evidence of effectiveness, Including cost-benefit analysis of innovation platforms, established and disseminated	5. Platforms for agricultural innovations supported	<p>5.1 Number of sustainable and relevant innovation platforms established</p> <p>5.2 Degree of utilisation of technologies/innovations by stakeholders</p>

3.3 Developing an integrated M&E System for FARA

Besides identifying the roles and responsibilities for M&E in FARA, the stakeholder consultation and validation process provided recommendations on key intervention areas for FARA Secretariat. The key areas are:

- Setting up an integrated M&E system for tracking the performance of agricultural research, extension, education and training in Africa
- Developing the requisite capacity to manage the integrated M&E system
- Supporting strategic analysis to demonstrate outcomes and impacts of investments in agricultural research, extension, education and training.

3.3.1 Setting up an integrated M&E system at all levels

The CAADP agenda defines the strategic framework for harmonising and coordinating interventions for enhancing agricultural sector performance in Africa. Likewise, an overarching M&E framework for CAADP identifies a set of standard outcome and impact indicators for tracking performance. Given the diversity in socio-economic and agroclimatic conditions in Africa, some degree of variation in the areas of focus is expected from the CAADP investment plans developed by the RECs and the individual countries. A set of custom indicators that reflects this diversity is therefore required to track these investments. FARA will spearhead the process of indicator integration in order to generate a common set of standard indicators and, where necessary, custom indicators in accordance with the CAADP M&E framework (Table 4). 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 country and sub-regional specific parameters.

Table 4: Example of indicator integration

Outcomes	Indicators
Increased levels of market access (CAADP objective)	<ul style="list-style-type: none"> • FARA: % increase in export volumes • NARI/EIAR^a: % increase in volumes of agricultural exports from Ethiopia • ASARECA^b: % increase in value of exports from eastern and central Africa
Increased adoption of new technologies	<ul style="list-style-type: none"> • DFID: Number of users, both men and women, of new technologies developed with DFID funding over the previous 10 years increases in line with research spending • CAADP: % agricultural land area under improved crop technologies • FARA/FAAP: Number farmers adopting new technologies
Improved performance of agricultural research systems	<ul style="list-style-type: none"> • DFID: Number of technologies/interventions developed (output) of relevance to the poor, disaggregated by gender, rising in line with DFID spending • IDA^c: Technologies demonstrated by the project in the project areas • ASARECA: Number of technologies made available to uptake pathways • NARI/EIAR: Number of technologies made available to users
<p>a=Ethiopian Institute for Agricultural Research b= Association for Strengthening Agricultural Research in Eastern and Central Africa c= International Development Association</p>	

Following the indicator integration process, FARA will develop a comprehensive performance monitoring plan (PMP) with protocols for data collection, analysis and reporting. In addition, FARA will support the SROs, AFAAS, NARIs and universities to develop effective structures for data collection analysis and reporting. An automated data collection, analysis and reporting system will be developed and distributed to all Pillar IV institutions. FARA will partner with ARIs and the international agricultural research centres to develop appropriate custom indicators for agricultural research extension and education.

As indicated earlier, FARA is currently using a variety of planning and monitoring frameworks. These frameworks will be reviewed in order to harmonise within the overall CAADP M&E framework. Likewise, the respective NSF results frameworks will be reviewed and the indicators integrated with the standard indicators in the FARA corporate framework. The process of indicator integration will ensure that each project/NSF objective and their associated indicators are aligned to FARA's PMF. The third level of harmonisation and rationalisation will aim to align the indicators of supported projects to those of their respective NSFs. While doing so, FARA will respect the long-standing commitments with respect to time-bound projects. The custom indicators specified for these projects will be maintained unless individual project reviews recommend specific changes.

Box 5: Example of NSF indicator integration

FARA Result	FARA Corporate Standard Indicator
<p><i>Strategic decision making options for policy institutions and markets developed in a gender-sensitive manner</i></p> <ul style="list-style-type: none"> • NSF 3 Result 1. Tools and approaches for formulating appropriate policies and decision-making options synthesised and disseminated • NSF 3 Result 2: Information on agricultural strategic policy and market issues synthesised and shared 	<p><i>Number of regional policies for enhancing agricultural productivity growth and market access recommended and adopted by policy makers</i></p> <p>NSF 3 indicators</p> <ul style="list-style-type: none"> • Milestone 1: Tools and approaches for formulating policies and decision-making options disseminated (number and type) • Milestone 2: Countries, stakeholders and policymakers utilizing the tools and approaches generated (number of) • Milestone 3: Recommendations on how to implement successful policy initiatives documented and shared (number of) • Milestone 4: Stakeholder groups that make use of recommendations (number of)

The process of unpacking the standard indicators to reflect specific NSF deliverables and responsibilities is illustrated in Annex 1. One standard indicator has been identified for each result. Likewise, the associated milestones and targets that reflect FARA's responsibilities have been identified. Additional indicators that reflect both mainstreaming and integration of gender into FARA initiatives and other cross-cutting initiatives will be developed and included.

The actual tracking and reporting against activity milestones and output indicators will be embedded within the implementation process. Each project supported by FARA is expected to develop a results framework with clear objectives and indicators of achievement. Following

a prescribed PMP, data and information on each indicator will be collected analysed and reported semi-annually by the project implementation team. This data and information will be aggregated at NSF level and forwarded to the M&E Unit. Annex 2 describes the detailed procedure.

In addition to the data and information generated through the NSF structures, the M&E Unit will establish a database on key performance statistics from secondary sources.¹ Through the continent-wide CAADP M&E structures, up-to-date data on key indicators will be compiled at country and REC/SRO level. On an annual basis, the M&E Unit will identify specific analytical themes on processes that drive agricultural sector growth or flagship outcomes and impacts of investments in agricultural research, extension and training. In collaboration with potential partners such as the Regional Strategic Analysis and Knowledge Support System (ReSAKSS), the M&E Unit will prepare analytical papers on progress towards the achievement of outcome and impact indicators.

3.3.2 Developing capacity for performance monitoring at all levels

Being a forum, FARA implements priority initiatives primarily through partnership arrangements. Without adequate capacity to manage a results-based performance monitoring system, the implementing partners are unlikely to capture and report progress on implementation of activities. It is therefore imperative that FARA invests in developing the M&E capacities of SROs, AFAAS and the NARS.

Towards this end, the M&E Unit will pitch on the CAADP agenda and focus on developing the capacity to track the implementation and progress of Pillar IV activities. In addition, together with the SROs, AFAAS, NARS and other stakeholders, a targeted and comprehensive capacity improvement plan will be developed and implemented. FARA will pay special attention to the newly established SROs (CCARDESA and NASRO), in addition to AFAAS, civil society organizations and farmers' organizations.

Together with the ANAFE and RUFORUM, FARA will develop a tailor-made capacity development initiative for the universities.

3.3.3 Establishing the outcomes and impacts of FARA's investments

The need to establish the outcomes and impacts of investments in research for development initiatives is a key M&E function. This result probably provides the greatest challenge to the M&E Unit. In the short term, FARA will focus on developing a comprehensive framework for tracking outcomes and impacts of its investments. Thereafter, specific initiatives focusing primarily on targeted studies will be employed to analyse outcomes and impacts of selected initiatives. FARA recognises that credible and objective impact evaluations are demanding, given the paucity of data on impacts and outcomes and the requisite analytical rigour for demonstrating the same. To the extent possible, FARA will therefore partner with reputable think tanks and advanced research organizations to deliver on this result. The FARA impact and outcome evaluation strategy will not duplicate the CAADP M&E tracking process. Rather,

1. Key trends on performance of agricultural research, extension and training. For example, FARA will forge strategic partnership with the Agricultural Science and Technology Indicators (ASTI), a programme of IFPRI that compiles, analyses, and publicises data on institutional developments, investments and capacity trends in agricultural R&D in low- and middle-income countries.

the analysis will focus primarily on delineating and, where possible, quantifying the impacts of agricultural research and dissemination approaches.

3.3.4 Institutional arrangements for implementation

The stakeholder consultation process identified specific roles and responsibilities in the implementation of the strategy (Table 5). The M&E Unit will be responsible for implementing the present strategy. Accordingly, the team will prepare the corporate PMF and PMP, develop and implement the outcome and impact evaluation strategy, and coordinate capacity development initiatives.

The SROs will track and report progress of implementation, outcomes and impacts of multi-country agricultural productivity as well their own investment programmes. As sub-grantees, the SROs will be expected to track and report progress as specified in the sub-grant agreement.

Since the CAADP agenda is implemented primarily at the country level, the NARES are expected to generate and manage data on key performance indicators. With support from ReSAKSS, the NARES will synthesise and generate country-level performance reports.

The ARIs will provide support in the areas of data collection and analysis. Towards this end, FARA will forge functional partnerships with the Alliance for a Green Revolution in Africa, the research centres supported by the CGIAR, the Global Forum on Rural Advisory Services, and universities in the developed world. The primary objective of these partnership arrangements is to enhance the analytical rigour and technical quality of M&E outputs. The M&E report from FARA will be integrated into the overall CAADP M&E report with a focus on performance of agricultural research, extension and education systems.

As indicated in Section 2.1.2, FARA needs operationalise the subsidiarity principle in the implementation of the present strategy. The integrated M&E system for tracking performance of agricultural research, extension and training will be implemented at continental, sub-regional and national levels. At the national level, the NARIs and other institutions implementing CAADP Pillar IV initiatives will track and report progress against a given set of indicators. These indicators will have been identified in the country CAADP investment plans, agricultural sector common performance assessment frameworks and the specific institutional results frameworks. The monitoring and reporting schedule will be guided by the individual country's nationally integrated M&E system. The FARA Secretariat will have access to the individual country performance data and reports through the CAADP M&E reporting channels.² This dataset will be maintained at the Secretariat as part of the continent-wide agricultural sector performance database.

The SROs will track and report achievements against specific indicators in their operational plans. In addition, each SRO will maintain a database on agriculture sector performance. The performance data and information will be shared with the FARA Secretariat through the existing partnership and reporting channels.

In tracking and reporting the agricultural sector performance in Africa, FARA Secretariat will delineate and attribute achievements from investments by individual countries, the SROs and those from resources mobilised directly by the Secretariat. In this regard, analysis of the

2. The FARA M&E Unit will support the establishment and strengthening of country M&E systems through the SROs, AFAAS and the network of universities.

Forum’s performance will focus on highlighting what the SROs, NARIs, farmers’ organisations, agricultural advisory services and universities have achieved in a given period. By contrast, the analysis of the Secretariat’s performance will focus on the outcomes of networking support and the direct inputs from the NSFs in terms of facilitation and backstopping through brokerage of knowledge, technology and information.

In sum, operationalisation of the subsidiarity principle will be guided by joint planning, prior agreements on commitments, and attribution of outcomes to both joint and individual efforts. Attribution of specific outcomes to efforts of individual institutions will provide adequate evidence of performance for accountability and resource mobilisation. By the same token, attribution of positive outcomes to joint efforts and collective action will provide adequate justification for continued existence of the FARA Forum.

Table 5: Roles and responsibilities for different institutions

Institution	Indicators
FARA	<ul style="list-style-type: none"> • Develop the M&E frameworks and plans for CAADP Pillar IV • Develop an outcome and impact evaluation framework • Strengthen M&E capacity and backstop SROs, NARS, AFAAS and civil society organizations • Track and report progress against selected KPIs at continental level
SROs	<ul style="list-style-type: none"> • Customise and adapt the M&E plans in accordance with their respective initiatives and priorities • Strengthen NARS capacity for M&E • Track and report progress against selected key performance indicators
NARS	<ul style="list-style-type: none"> • Develop, customise and adapt monitoring plans in line with the national development plans and the CAADP investment plans • Generate and manage quality data and information for performance monitoring • Track and report progress against selected indicators at national level
Extension systems (AFAAS)	<ul style="list-style-type: none"> • Track and report on performance of extension/advisory systems based on selected indicators • Participate in review and accountability mechanisms
Farmers' organisations	<ul style="list-style-type: none"> • Provide and information on progress against selected indicators • Participate actively in review and accountability mechanism
Civil society organisations	<ul style="list-style-type: none"> • Provide data and information on progress against selected indicators • Participate actively in review and accountability mechanisms
Private sector associations	<ul style="list-style-type: none"> • Provide data and information on progress against selected indicators • Participate actively in review and accountability mechanisms
Advanced research institutes	<ul style="list-style-type: none"> • Support capacity strengthening initiatives focusing on data management and analysis • Provide analytical support in the preparation of performance reports

3.3.5 Organisation and capacity of M&E Unit

FARA’s approach to M&E draws from international best practice guidelines developed by the Science Council of the CGIAR, the United Nations Development Programme (UNDP), and the

International Fund for Agricultural Development (IFAD), among others. The M&E Unit is housed in the Deputy Executive Director’s Office and although it is part of the management hierarchy, it is divorced from direct supervision or implementation of activities. This arrangement enables the unit to focus on objective analysis and reporting of performance. The unit has developed a results framework and clear deliverables in keeping with the best practice guidelines of performance management (Table 6).

In order to effectively discharge its mandate, the M&E Unit will need additional human resource capacity. In the short term, additional staff will be needed to collect, manage and analyse M&E data. In the medium to long term, an impact evaluation specialist will be required as well. In keeping with FARA’s mandate, the M&E Unit will aim to become a centre of excellence in performance monitoring. Accordingly, the staff will participate in short-term training opportunities worldwide.

Table 6: Results framework for the M&E Unit

Objective statement	Standard indicators of achievement
Strategic Objective: FARA’s performance as an apex organisation for ARD in Africa improved	<ul style="list-style-type: none"> • Increased utilisation of technologies, knowledge and information from ARD investments • Increased return on investments in ARD in Africa
Result 1: Appropriate performance monitoring systems established at all levels	<ul style="list-style-type: none"> • FARA M&E system endorsed by stakeholders • Secretariat-based NSF directorates and supported projects track and report performance according to the FARA PMP • CAADP Pillar IV institutions have functional performance monitoring systems
Result 2: FARA’s capacity for performance monitoring improved	<ul style="list-style-type: none"> • Selected members of the FARA Forum have PMP in place • Selected members of the FARA Forum are tracking and reporting progress following their PMP
Result 3: Outcomes and impacts of selected FARA research and development investments established	<ul style="list-style-type: none"> • FARA outcome and impact framework endorsed by stakeholders • Outcome and impacts FARA investments documented

References

- AU/NEPAD (African Union/New Partnership for Africa's Development). 2006. *Framework for African agricultural productivity (FAAP)*. AU/NEPAD, Midrand, South Africa.
- AU/NEPAD. 2003. *Comprehensive Africa Agriculture Development Programme*. AU/NEPAD, Midrand, South Africa.
- Benin S, Johnson M *et al.* June 2008. *Monitoring and evaluation (M&E) system for the Comprehensive Africa Agriculture Development Programme (CAADP)*. ReSAKSS Working Paper No. 5, International Food Policy Research Institute (IFPRI).
- FARA (Forum for Agricultural Research in Africa). 2002. *FARA Strategic Plan 2002–2012*.
- FARA. 2008. *Enhancing African Agricultural Innovation Capacity: FARA Strategic Plan 2007–2016*. Accra, Ghana. 52pp.
- FARA. 2008. *FARA Secretariat medium-term and operational plan (2008–2012): advancing FARA's 2007–2016 strategic plan for enhancing African agricultural innovation capacity*. June 2008. Accra, Ghana. 100 pp.
- FARA. 2008. FARA trust fund program document for the CAADP Pillar IV Multi-Donor Trust Fund.
- OECD (Organisation for Economic Co-operation). 2005. *The Paris Declaration and Accra agenda for action*. http://www.oecd.org/document/18/0,3343,en_2649_3236398_35401554_1_1_1_1,00.html

Annex 1: Framework for Integrating and Tracking FARA Results

Impact	Standard impact indicators	Targets for impact indicators
<i>African food insecurity and poverty sustainably reduced and environmental conditions enhanced</i>	<ol style="list-style-type: none"> Changes in levels of poverty Changes in food security Changes in quality of environment 	To be derived from the MDG
Final outcome	Standard final outcome indicators	Relevant CAADP M&E indicators
<i>Improved sustainable broad-based agricultural productivity and competitiveness in Africa</i>	<ol style="list-style-type: none"> Changes in factor productivity (land labour capital) Changes in yield of selected commodities Changes in market access (export volumes, intra-regional trade) 	<ol style="list-style-type: none"> Agricultural labour productivity (USD equivalent per worker) Yield (tonne-equivalent per unit production unit) Value of total agricultural exports
Intermediate outcome	Standard intermediate outcome indicators	Pillar IV intermediate outcome indicators
<i>Increased utilisation of agricultural technologies, knowledge and information</i>	<ol style="list-style-type: none"> Degree of adoption of technologies Degree of implementation of regional, sub-regional and national policies 	<ol style="list-style-type: none"> % agricultural land area under sustainable management practices, irrigation, improved crop varieties % total livestock units of improved breeds % natural water bodies under sustainable management regimes (with respect to capture fisheries)

Results	Standard result indicators	Result indicator targets and milestones
<p>Appropriate institutional and organisational arrangements for regional ARD established</p> <p>(FARA MDTF: African agricultural institutions at the national, regional and continental levels are aligned with CAADP Pillar IV FAAP Principles for effective research, extension, and training and education)</p> <p><i>FARA Corporate Activity 1.1 (NSF1 Result 1):</i> integration of CAADP Pillar IV objectives in sub-regional and national productivity programmes supported</p> <p><i>FARA Corporate Activity 1.2 (NSF1 Result 2):</i> National agricultural research systems reform process supported</p> <p><i>FARA Corporate Activity 1.3 (NSF1 Result 3):</i> Advocacy for increased investments in agricultural research, extension and technology adoption enhanced</p>	<p>1.1 Number of agricultural research, extension and education institutions developing and implementing FAAP-compliant policies and programmes^a</p> <p>1.2 Increase in levels of investments in agricultural research, extension and education initiatives</p>	<ol style="list-style-type: none"> 50% of sub-regional and 90% of national programmes integrate FAAP principles in the reform process of agricultural research extension education and training by 2014^b 50% increase in budgetary allocation to agriculture research, extension and technology adoption at national levels in selected countries by 2014 90% increase in resources mobilised by FARA Secretariat and invested in agricultural research extension and technology adoption at continent level by 2014^b 90% percentage of FARA stakeholders expressing satisfaction with FARA's advocacy and resource mobilisation efforts by 2014
<p>A broad spectrum of stakeholders have access to knowledge and technology for innovation in a gender sensitive manner</p> <p><i>FARA Corporate Activity 2.1 (NSF 2 Output 1):</i> stakeholder knowledge and information needs delivery mechanisms established and improved</p> <p><i>FARA Corporate Activity 2.2 (NSF 2 Output 2):</i> appropriate gender sensitive platforms for knowledge management and technology adoption established and supported</p> <p><i>FARA Corporate Activity 2.1 (NSF 2 Output 2):</i> best practice guidelines for knowledge management platforms developed and disseminated</p> <p><i>FARA Corporate Activity 1 (NSF 2 Output 1):</i> FARA Secretariat knowledge management systems established and supported</p>	<p>2.1 Number and category of stakeholder knowledge, information and technology needs identified</p> <p>2.2 Number of integrated knowledge management and technology innovation platforms in place^a</p> <p>2.3 Degree of utilisation of knowledge management and technology innovation platforms by stakeholders</p>	<ol style="list-style-type: none"> Differential stakeholder needs on agricultural knowledge and information endorsed by stakeholders by end of 2010 At least 2 knowledge management platforms established and operating in accordance to best practice guidelines at each SRO by 2014^b At least 2 technology adoption platforms established and operating in accordance to the best practice guidelines at each SRO by 2014 90% of the knowledge management and technology adoption platform actors using gender-sensitive tools for sharing information^b 100% increase in visits to FAREA portal/ website by 2014

Results	Standard result indicators	Result indicator targets and milestones
<p>Strategic decision making options for policy institutions and markets developed in a gender sensitive manner</p> <p><i>FARA Corporate Activity 3.1 (NSF3 Result 1):</i> Tools and approaches for formulating appropriate policies and decision-making options synthesized and disseminated</p> <p><i>FARA Corporate Activity 3.2 (NSF3 Result 2):</i> Information on agricultural strategic policy and market issues for regional trade and innovation synthesized and shared</p> <p><i>FARA Corporate Activity 3.3 (NSF3 Result 3):</i> Capacity for regional policy and trade negotiations enhanced</p>	<p>3.1 Number of regional policies for enhancing agricultural productivity growth and market access recommended and adopted by policy makers^a</p> <p>3.2 Number of African technocrats participating in agricultural trade negotiations</p>	<ol style="list-style-type: none"> 1. At least 5 tools and approaches for formulating policies and decision-making options disseminated by 2014 2. At least 10 clearly identifiable countries, stakeholders groups or policymakers utilizing the tools and approaches generated to formulate policies by 2014^b 3. At least 5 recommendations on how to implement successful policy initiatives documented and shared by 2014 4. At least 10 clearly identifiable stakeholder groups make use of recommendations on how to implement successful policy initiatives by 2014^b 5. At least 2 policy briefs on strategic analysis of policy and market issues produced annually from 2010-2014 6. At least 3 supporting tools/instruments developed and availed to trade negotiators by 2014 7. At least 90% of African officials participating in WTO meetings and are knowledgeable in by WTO, IPPC, OIE and CAC rules and regulations by 2014
<p>Human, institution and organisational capacity for innovations developed in a gender sensitive manner</p> <p><i>FARA Corporate Activity 4.1 (NSF4 Result 1):</i> Capacity strengthening needs for agricultural innovation established and updated</p> <p><i>FARA Corporate Activity 4.2 (NSF4 Result 2):</i> Capacity strengthening initiatives to address identified needs developed and implemented</p>	<p>4.1 Number of sustainable and relevant capacity development initiatives developed and implemented^a</p> <p>4.2 Number of innovations from African agricultural research, extension and education institutions</p>	<ol style="list-style-type: none"> 1. At least 5 agricultural research and training systems have their capacity needs analysed and documented by 2014 2. 90% of the identified needs addressed by 2014^b 3. At least 20 tertiary agricultural education institutions have strategies to address identified competency gaps in agricultural value chains by 2014 4. Database on agricultural capacity strengthening activities developed by end of 2010 5. Best practice guidelines for capacity strengthening applied by at least 10 clearly identifiable NARS by 2014^b 6. At least 1 tertiary agricultural institution per SRO undertaking curriculum reforms by 2014

Results	Standard result indicators	Result indicator targets and milestones
<p>Platforms for agricultural innovations supported</p> <p><i>FARA Corporate Activity 5.1 (NSF5 Result 1):</i> Best practices for establishing and strengthening effective innovation systems for ARD generated synthesised and disseminated</p> <p><i>FARA Corporate Activity 5.2 (NSF5 Result 2):</i> Good practice guidelines for establishing effective partnerships and strategic alliances for ARD generated, synthesised and disseminated</p> <p><i>FARA Corporate Activity 5.3 (NSF5 Result 3):</i> Appropriate partnerships and strategic alliances and innovation platforms established, strengthened and supported</p>	<p>5.1 Number of sustainable and relevant innovation platforms established^a</p> <p>5.2 Degree of utilisation of technologies/innovations by stakeholders</p>	<ol style="list-style-type: none"> 1. At least 5 gender-responsive recommended practices for innovation systems approach for ARD generated by FARA by 2010 2. At least 3 gender-responsive recommended practices for innovation systems approach for ARD adopted by stakeholders by 2014 3. At least 1 innovation platform per SRO established and supported by 2014^b 4. Best practice guidelines for strategic alliances and partnerships for ARD published by FARA by 2012 5. Best practice guidelines for strategic alliances and partnerships for ARD adopted by allied institutions and partners by 2014 6. At least 3 partnerships and strategic alliances established and supported by 2014^b

a=Standard result Indicator to tracked and reported on following CAADP M&E plan

b=Activity milestone to tracked and reported by each NSF

Annex 2: Guidelines for M&E in FARA

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 levels of operation in order to enhance accountability to stakeholders and the organisational performance.

Policy objectives

To ensure that:

1. There are effective mechanisms for establishing objectives and indicators of performance at different operational levels (secretariat, secretariat support units, networking support functions, time-bound projects and activities)
2. There are effective mechanisms for systematic collection and analysis of data on a specified set of performance and process indicators at different operational levels (secretariat, secretariat support units, networking support functions, time-bound projects and activities)
3. There are effective mechanisms for reporting progress towards and achievement of outputs, outcomes and impacts based on a specified set performance indicators at different operational levels (secretariat, secretariat support units, networking support function, time-bound projects and activities)
4. There are effective mechanisms for organisational lessons learning

Reference documents

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

1. M&E strategy
2. PMP (corporate, NSF, project)
3. FARA indicator reference document
4. FARA strategic plan
5. FARA medium-term and operational plan
6. Annual work plans (corporate, NSF, project)
7. FARA performance reports (annual and semi-annual, corporate and programme reports)
8. Financial reports (quarterly, semi-annual and annual)
9. Supervision mission reports
10. Sub-grantee performance reports
11. Field visit reports
12. Mid-term review reports
13. End-of-term review reports

Responsibility

1. Executive Director
2. Deputy Executive Director
3. Monitoring and Evaluation Specialist
4. NSF Directors
5. All heads of units
6. Sub-grantees

Scope and purpose of M&E system

The main purpose of M&E is to enhance accountability to stakeholders in order to improve the performance of the FARA as an apex organisation for coordinating agricultural research, extension, education and training in Africa. FARA's approach to M&E draws from international best practice guidelines developed by the Science Council of the CGIAR, UNDP and IFAD, among others. The approach takes into account the unique characteristics of FARA as a forum with a secretariat that performs a networking support function with limited field presence. M&E in FARA will perform the following tasks;

- Tracking and reporting performance against activity milestones, output, outcome and impact indicators
- Synthesising key lessons from implementation processes, impact assessment and programme reviews to inform programme design and implementation

Responsibilities of different entities

M&E Unit

The M&E Unit is responsible for the design and management of the performance monitoring/M&E system in FARA. Accordingly, the M&E Unit is responsible for:

1. Developing the FARA corporate PMF (logframe, results framework or any other framework deemed relevant for planning M&E)
2. Developing the FARA corporate PMP with a specific indicator reference document and a procedures manual
3. Developing and installing an automated data capture and reporting tool at all levels
4. Developing an outcome and impact evaluation plan
5. Assessing the degree to which the implementation process is in compliance with workplans and budgets in order to ensure timely delivery of output
6. Receiving and synthesising data and information generated by the implementing agencies following a well-defined reporting format based on agreed indicators
7. Preparing technical synthesis papers on FARA's performance and lessons learnt for management and the Board of Directors
8. Commissioning and supervising impact assessment studies
9. Strengthening capacity on skills development to enhance the ability of NSF and partners to monitor and evaluate the key areas of intervention
10. Documenting and disseminating information on the outcomes and impact of FARA interventions on target beneficiaries

11. Conducting internal review of FARA programmes and projects
12. Commissioning and facilitating organisational lessons learning initiatives
13. Facilitating and participating in external reviews

Executive Director

1. Championing organisational learning and leading the process of effecting any needed changes to implement the lessons learnt
2. Commissioning FARA-wide external reviews, including mid-term and end-of-programme reviews
3. Commissioning FARA-wide peer reviews for quality assurance

Deputy Executive Director

1. Commissioning and supervising internal review of FARA programmes and projects
2. Facilitating external reviews
3. Preparing discussion and occasional papers on key lessons learnt from the implementation and the outcome/impact of FARA's research intervention

NSF and other units

1. With support from the M&E Unit, developing the NSF and unit performance monitoring frameworks in accordance with the FARA corporate PMP
2. Developing the performance monitoring plans for the NSFs
3. Conducting regular visits together with the M&E Unit to assess implementation progress
4. Preparing six-monthly and annual performance reports together with performance data and submit to the M&E Unit
5. Organizing annual review and planning meetings together with the M&E Unit to derive lessons learnt for the NSFs

Sub-grantees

1. Preparing and submitting an M&E plan to the relevant NSF Director
2. Collecting and analysing relevant baseline and performance data and ensuring its safe storage and quick retrieval
3. Preparing and submitting to relevant NSF Director six-monthly and annual performance reports and data
4. Documenting and sharing lessons learnt and best practices arising from the programme/project implemented

Procedures for monitoring performance and quality assurance

1. The corporate M&E plan will provide standard performance indicators for use in tracking and reporting. The M&E Unit will facilitate each NSF, unit and project to develop a PMF with standard indicators. The process of indicator integration will ensure that each project/NSF objective and the associated indicators are aligned to the FARA PMF in accordance with the indicator reference document. All the PMFs will be reviewed annually, and also during the mid-term review in order to respond to immediate imperatives.

2. A monitoring plan will be developed at corporate, unit, NSF and project levels that defines each indicator, each method of data collection and analysis, and the reporting frequency of each unit. In addition, an automated data collection and reporting tool will be developed and distributed to each NSF and project in order to facilitate data capture and reporting.
3. Each project leader will collect and analyse data and information on each performance indicator and activity milestone as specified in the M&E plan. This data and information will be transmitted to the programme officer of each NSF. These officers will be responsible for compiling, synthesising and preparing the performance report, following a prescribed format in the M&E procedures manual. The report will be reviewed internally by the NSF Director before onward transmission to the M&E Unit.
4. The M&E Unit will collate and synthesise all performance reports from the NSFs and units into a technical working paper for onward transmission to the Deputy Executive Director.
5. The reporting schedule will follow the Julian calendar year. Accordingly, the six-monthly report focusing on progress against activity milestones will be submitted to the NSF Directors by 10 January and 10 July of each year. The synthesised NSF reports will be submitted to the M&E Unit by 20 January and 20 July each year. The M&E Unit will prepare the draft synthesis paper for submission to the Deputy Executive Director by 31 January and 31 July each year. The annual report will focus on progress against output indicators. Based on the six-monthly reports, each project will submit an annual performance report to the NSF by 15 January each year. The synthesised NSF report will be forwarded to the M&E Unit by 25 January each year and the corporate synthesis paper submitted to the Deputy Executive Director by 7 February each year.
6. In addition to the data capture and reporting procedure outlined above, periodic field visits shall be carried out by the M&E specialist, NSF director and programme officer to assess progress reported against actual progress made. A comprehensive report indicating progress made on the project shall be submitted to the Deputy Executive Director within 14 days of the visit, indicating the lessons learnt, progress made, challenges faced and a recommendation on the way forward.
7. The Executive Director will commission an external group of Eminent Peers to review each NSF portfolio of projects annually. Accordingly, each project and NSF will prepare an annual technical report that focuses on the quality and approach to objective research and the associated results. These reports will be reviewed by the Eminent Peers who will in turn prepare a report to the Executive Director on the quality of research and integrity of results.

Procedure for impact assessment and programme reviews

1. The M&E Unit will develop the FARA corporate outcome and impact M&E framework and plan as a guide to all impact evaluation initiatives in FARA. At the commencement of a sub-grant contract or project, an *ex-ante* impact evaluation will be conducted to establish the baseline scenario and performance targets. If need be, as part of project implementation, a baseline study on key outcome and impact indicators will be conducted.
2. Six months before the end of each project, the M&E Unit will commission an internal impact assessment study to prepare for the end of programme evaluation. Accordingly, each 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 in consultation with the respective NSF or unit and following FARA procurement procedures, a service provider will be commissioned to undertake the study.
3. All external reviews and evaluations will be commissioned by the Executive Director, the Board of Directors or development partners.

Acronyms and abbreviations

ASARECA	Association for Strengthening Agricultural Research in Eastern and Central Africa
AFAAS	African Forum for Agricultural Advisory Services
ANAPE	African Network for Agriculture, Agroforestry and Natural Resources Education
AR4D	agricultural research for Development
ARI	advanced research institute
ARM	agricultural research management
ASTI	agricultural science and technology indicator
AU	Africa Union
AUC	African Union Commission
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
DAC	Development Assistance Committee
DFID	Department for International Development (United Kingdom)
EIAR	Ethiopian Institute for Agricultural Research
FAAP	Framework for African Agricultural Productivity
FARA	Forum for Agricultural Research in Africa
GDP	gross domestic product
GFRAAS	Global Forum for Rural Agricultural Advisory Services
ICT	information and communication technology
IDA	International Development Association (World Bank)
IFAD	International Fund for Agricultural Development
IFPRI	International Food Policy Research Institute
M&E	monitoring and evaluation
MAF	Mutual Accountability Framework (CAADP)
MDG	Millennium Development Goal
MDTF	Multi-Donor Trust Fund
MoU	memorandum of understanding
MTOP	Medium-Term Operational Plan
NARES	national agricultural research and extension systems
NARI	national agricultural research institute

NARS	national agricultural research system
NASRO	North Africa Sub-regional Organisation
NEPAD	New Partnership for Africa's Development
NSF	Networking Support Function
OECD	Organisation for Economic Co-operation and Development
PMF	Performance Monitoring Framework
PMP	performance monitoring plan
REC	regional economic community
ReSAKSS	Regional Strategic Analysis and Knowledge Support System
RUFORUM	Regional Universities Forum
SRO	sub-regional research organisation
UNDP	United Nations Development Programme

About FARA

FARA is the Forum for Agricultural Research in Africa, the apex organization bringing together and forming coalitions of major stakeholders in agricultural research and development in Africa.

FARA is the technical arm of the African Union Commission (AUC) on rural economy and agricultural development and the lead agency of the AU's New Partnership for Africa's Development (NEPAD) to implement the fourth pillar of the Comprehensive African Agricultural Development Programme (CAADP), involving agricultural research, technology dissemination and uptake.

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 supporting Africa's sub-regional organizations (SROs) in strengthening capacity for agricultural innovation.

FARA's Value Proposition: to provide a strategic platform to foster continental and global networking that reinforces the capacities of Africa's national agricultural research systems and sub-regional organizations.

FARA will make this contribution by achieving its *Specific Objective* of sustainable improvements to broad-based agricultural productivity, competitiveness and markets.

Key to this is the delivery of five *Results*, which respond to the priorities expressed by FARA's clients. These are:

1. Establishment of appropriate institutional and organizational arrangements for regional agricultural research and development.
2. Broad-based stakeholders provided access to the knowledge and technology necessary for innovation.
3. Development of strategic decision-making options for policy, institutions and markets.
4. Development of human and institutional capacity for innovation.
5. Support provided for platforms for agricultural innovation.

FARA will deliver these results by supporting the SROs through these Networking Support Functions (NSFs):

NSF1/3. Advocacy and policy

NSF2. Access to knowledge and technologies

NSF4. Capacity strengthening

NSF5. Partnerships and strategic alliances

FARA's donors are the African Development Bank (AfDB), the Canadian International Development Agency (CIDA), the Centre de Coopération Internationale en Recherche Agronomique pour le Développement (CIRAD), the Danish International Development Agency (DANIDA), the Department for International Development (DFID), the European Commission (EC), the International Development Research Centre (IDRC), the Syngenta Foundation, the United States Department of Agriculture (USDA), the World Bank and the Governments of Italy and the Netherlands.



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

www.fara-africa.org