



RESEARCH
PROGRAM ON
Livestock and Fish

More meat, milk and fish by and for the poor

Capacity Development 2014-2016

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Capacity Development

(Institutional Planning and Partnerships)

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Introduction

This document presents the main objectives, orientations, and thrust of capacity development work 2014-2016 for the CGIAR global Livestock and Fish (LAF) research program (CRP). The LAF CRP capacity development interventions are based on the premise that the CRP's five flagships and Intermediate Development Outcomes (IDOs) along with Theories of Change (ToCs) and Impact Pathways (IPs) are the framing context for capacity development work. Developing capacities in institutions¹ and value chain (agribusiness) markets is a subtle process in which key players (implementers), value chain actors (intermediate beneficiaries) and producers (LAF's primary clients), service providers / private sector partners and policy makers all play different roles. The concept of research *for* development implies that a change must take place. It is the underlying supposition of this need for change which informs capacity development (engagement) processes with the five (5) flagships and specific country value chains.

Why is "Capacity"² needed for impact?

- Research organized across themes and commodities;
- Cross cutting element is capacity and gender³;
- To strengthen the capacity for research collaboration and research transformation into impact on the ground;
- Going from capacity strategy to action;
- Interaction within flagships of a CRP and among the CRPs for common approaches'
- What levels of capacity?;
- How to document the impact of research from Capacity perspective?.

What types of "Capacities" to strengthen? Why?

- Research capacity (mainstreamed along with the 5 flagships);
- Analysis capacity (capacity for analyzing the constraints for scaling up, for identifying research opportunities and best bets for testing as translational research);
- Policy process, planning and programming capacity;
- Institutional capacity (research, extension, and educational institutions including

¹ Institutions are described as the formal and informal rules that structure and constrain human behavior and interaction. They include the formal laws of the state, social customs and ideologies, as well as various forms of contractual arrangement between two or more parties, which may be upheld, either by formal laws or by other, less formal, mechanisms. Institutional arrangements, on the other hand, are specific arrangements between parties to a contract that govern the way the parties co-operate and/or compete. They are devised primarily for the purpose of reducing transaction costs.

² "Capacity" involves the ability of a society or a sector to continue to develop necessary skills, behaviors, networks and institutions that enable communities and organizations to adapt and become resilient. In practice that means that political and governance processes are required to function, that linkages are made across and between sectors to achieve shared goals and to deliver services and products. It also means that rural communities and organizations drive their own ongoing capacity development and mobilize resources to develop new capacities in the face of new challenges. "Capacity" needs to be seen as an emergent property of the functioning of different processes in a system ("systems theory"). Capacity isn't therefore a distinct "outcome" that can be influenced by a single intervention or organization. Capacity development also isn't a one-off workshop or training event. It is also not about replacing "traditional" capacity development activities with digital tools or bolting on to social media and "new" knowledge (innovation) networks, although these elements are central to capacity development approaches.

³ Capacity development work in the CRP has strong links to the CRPs' gender-related R&D activities. Mainstreaming is reciprocal: gender dimensions will be incorporated into capacity development actions, and appropriate capacity development tools and methods in gender strategies will be developed and used.

- Organizational capacity of key partners/service providers/NGOs and farmers organizations, rural farmer communities;
- Regulatory capacity (capacity to remove adoption constraints);
- Others?.

Whose “Capacities” to strengthen?

- Scientists (in-house and these if LAFs partners)
- Key (local) partners/service providers/NGOs, farmers organizations, innovation hubs, farmer cooperatives etc.;
- Research, extension, and educational institutions
- Policy and regulatory institutions;
- Others?.

How to strengthen “Capacities”?

The LAF CRP adopts a systems thinking approach to capacity development. The main innovation that systemic thinking introduces is that *rather than prioritizing interventions that need immediate fixing*, emphasis is given to defining the “*issue creating system*”, which is made up of interacting parts, which can be used to better understand reality, problems and the context in which they arise. Practically, systemic thinking can be used in participation with value chain system actors, to identify issues, analyze their boundaries, design strategies and policy interventions, forecast and measure their expected impacts, implement them, and monitor and evaluate their successes and failures.

A systems approach to capacity accounts for contextual factors and system patterns, such as individual constraints, organizational shortcomings, institutional interfaces and regulatory and cultural barriers, which may make efforts to build capacities ineffective. A holistic systemic approach is thus required for designing, implementing and measuring capacity development response strategies (which will be based on assessment methodologies and adaptive management) across three distinctive system levels namely:

- **the enabling environment:** the broader system including downstream/upstream policies, rules and legislation, regulations, power relations and social norms;
- **the organizational level:** the internal policies, arrangements, procedures and frameworks that allow an organization to operate and deliver on its mandate, enabling the coming together of individual capacities for achieving common goals. One of the focus areas under consideration for targeted organizational capacity development at the rural levels are (local) Public Private Partnerships (PPPs) that would seek to outline the full range of actions that the public and private sector can take to support and promote, for example, women’s socio-economic rights and income generating opportunities in the LAF value chains and;
- **the individual level:** the skills, experience, knowledge, leadership and motivation of people.

A systems thinking view highlights that without enhancing capacities across institutional, organizational and individual levels it would be difficult for the CRP (and flagships) to transit from the traditional “research outputs” orientation to a more holistic “development outcomes” paradigm and to measure (capacity development) impact.

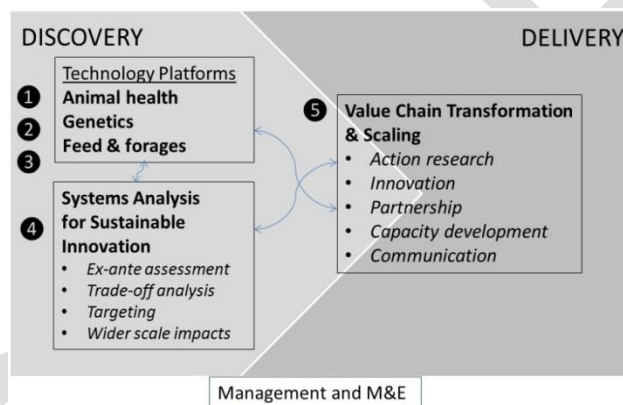
Nine elements of capacity development are identified and defined in CGIAR’s (draft June, 2014) Capacity Development Guidelines underlining its complex and multifaceted nature, with an exploration of how these can be considered as part of the overall capacity development process. While not all the elements may be required or

relevant to the needs of a particular flagship and/or value chain, a minimum set should ideally be used as a developmental foundation, the nine elements⁴ are:

1. Capacity needs assessment and intervention strategy design
2. Design and delivery of innovative learning materials and approaches
3. Develop CRPs and Centers' capacity to partner
4. Developing future research leaders through fellowships
5. Gender-sensitive approaches throughout capacity development
6. Institutional strengthening
7. Monitoring and evaluation (M&E) of capacity development
8. Organizational development
9. Research on Capacity Development

Furthermore, the Capacity Development work will be prioritized within the framework of flagship five and specifically cluster 5.2⁵:

Value Chain Transformation and Scaling



⁴ For details on the nine elements, see Draft Capacity Development Guidelines for the 2nd round of CRPs, version of 3rd June, 2014

⁵ See extension request proposal 2015-2016, 25th April, 2014

Strategy

Objectives:

- To increase capacity within CG centers, partner organizations and value chain actors to diagnose and overcome constraints for the uptake of the value chain development strategies generated by the program (including gender, poverty, equity and sustainability) and to assess trade-offs;
- To identify capacity among stakeholders and partners and create new opportunities that can be leveraged to support the program activities and eventual scaling up.

Research and Development Outcomes:

- Enhanced business management on the part of producer, farmer, women-led organizations within the private sector. An impact-change framework for measuring transformation is in use.
- Improved ability of partners to sustain support to the value chain and help it adapt as needed to remain viable.

Key Activities 2014-2016:

- A questionnaire will be developed to assess the current status of strategic and integrated capacity development efforts within flagships and value chains to determine initial areas for possible support, and subjects for research “investments”; recommendations and areas for initial support will be outlined (2014);
- A capacity development orientation process will be developed for value chain staff and non-capacity development scientists (2015);
- Capacity assessment methodology will be designed (2015);
- A framework for assessing the transformational impacts of capacity development interventions will be developed (2015);
- Capacity assessment and support provided for selected flagships in certain value chains (2015 and 2016);
- Potential capacity development service providers will be identified in selected value chains (2015)⁶;
- Value chain capacity development strategies will be developed (2015);
- Training needs assessments will be completed and training modules will be developed and delivered, including social and gender analysis (2016);
- Comparative analysis of capacity development across value chains will be conducted (2016).

Key Outputs:

- Report with recommendations and areas for initial support to strategic and integrated capacity development efforts within flagships and value chains (2014);
- Capacity Development Orientation Note and training (2015);
- Capacity Assessment Methodology (2015);
- Capacity Impact Framework (2015)⁷;

⁶ A comprehensive 3-year CGIAR Strategy on partnerships will be developed in 2014. This will help the CRP to discuss with which capacity development partners / service providers it wants to engage globally; not only to agree on fair sharing of resources, but also on sharing of responsibility and accountability for results. Funding is not the only measure or incentive for collaborative (partnership) arrangements, a role in the development of proposals and ideas is another, and a role in the management of the implementation of capacity development interventions in the program and in specific in-country projects is another. It is also important to look at their interest and ability to take capacity development functions forward after our program ends.

⁷ Results close the cycle and identify important evidence that in turn acts as feedback mechanism and a beneficial modifier that can correct flagship and value chain programming itself. The shorter the cycle, the quicker corrective interventions can be initiated. A focus on the process will not in itself be sufficient to lead to positive change. There will have to be a strong measurement framework, which should measure the marginal change of capacity and performance levels in the context of the research for development challenge being addressed. The process can

- Capacity Assessment Reports for value chains and capacity development support provided identified by the Capacity Assessments (2015 and 2016);
- List of potential capacity development service providers in selected value chains (2015);
- Value Chain Capacity Development Strategy documents (2015)⁸;
- Training needs assessments and training modules, including social and gender analysis (2016);
- Comparative analysis of capacity development across value chains (2016)⁹.

Key Activities 2014-2016 for the five Flagships and Country Value Chains:

Flagships:

- Support the flagships with the designing of learning programs and mainstreaming of capacity development;
- For each flagship carry out a capacity needs assessment (CNA) for collaborative and transformative capacities¹⁰;
- Support the flagships to develop a strategy for capacity development in line with the research cycle;
- Support the development of a monitoring & evaluation and learning system and effectively use the CNA as baseline information, knowledge capturing on regular basis;
- In 2014-2015, the focus will be on developing work plans (based on Strategic Implementation Plans):
 - Interact with flagship leader and develop a capacity action plan based on CNA;
 - Identify the activities throughout the research cycle of the flagship and align the capacity development activities to achieve program development outcomes – need to be flexible to the needs of the flagship scientists¹¹;
 - Identify the capacity development outcomes that support collaborative and transformative capacity for making impact through the flagships;
 - Document the baseline capacity development indicators specific to the flagship and show progress or lack thereof¹².

Value chains:

lead to development only through results reflected in changes in performance and measured in terms of “better” research uptake, improved efficiency and effectiveness, leading to results-based sustainable development.

⁸ The effort and investment taken in the engagement and assessment phases come together in action during the design and implementation of value chain capacity development strategies. Here, there is a great deal of emphasis on ensuring that strategies are implemented in such a way as to continue to promote ownership as well as alignment to national priorities and a strengthening of national systems. Experience has shown that setting up parallel (research) project systems is suboptimal. The implementation of strategies should be firmly aligned with and even embedded within existing flagship (research) initiatives as the concept of capacity is in itself cross-cutting across thematic and technical areas.

⁹ The process of reviewing and evaluating the results of flagship programs and value chain interventions is critical. The objective of review is not only to capture results, but also to take stock of the entire capacity development process- what worked well and what worked less well, so that these lessons are documented and can be taken forward. The process of review and evaluation can take many forms depending on the context. It may be a dialogue or workshop with stakeholders to invite feedback; it may be an independent formal program evaluation; it may be a report measuring progress against quantitative indicators. Or some combination of these. The methodology notwithstanding, the process of “capacity” review emphasizes measuring progress towards achieving development results, rather than only looking at intermediary research output or activity “results”. This means that the CRP not only notes the number of people who were trained, or the number of research innovations initiated. It means making the link with how those initiatives contributed, or are expected to contribute, to achieving development results. Such an approach includes reviews that focus on sharing lessons learned throughout program and project cycles, rather than being confined exclusively to an end-stage activity.

¹⁰ Collaborative capacities are capacities for co-creating shared value for sustainable development through (cross-sector) partnerships.

Transformative capacities are capacities that lead to a profound and radical change that orients into a new direction and achieves an entirely different level of effectiveness. Unlike incremental progress on the same level, transformation implies a fundamental change and little or no resemblance with the past arrangement. These kinds of capacities are necessary to achieve the program development outcomes through the 5 flagships.

¹¹ This includes also interactions with CG/ILRI programme leaders, regional representatives, CRP focal points, CRP component and cluster leaders.

¹² In collaboration with the MEL team and flagship stakeholders.

- Identify capacity gaps along the value chain – through contextualized CNAs;
- Capacity assessment scoping missions and capacity assessments will be conducted in Uganda, Tanzania, India, Ethiopia. However, (a member of) the capacity development team should participate in processes before when value chain Situational Analysis and Partnership Landscaping are being conducted as well as when Impact Pathways (IPs) are being developed. This is because information derived from these processes feed into the capacity assessment process. Similarly, the capacity assessment findings will feed into the mentioned processes, so there should be close collaboration and exchange of information between these processes. In case the value chain Situational Analysis, the value chains' Impact Pathways and the partnership landscaping are already in place, it is imperative that they are made available as input to the pre-assessment desk review.
- Foster and report on discussions around priorities for actions in the context of specific impact pathways;
- Identify opportunities for investments and leveraging capacity development activities with partners and develop joint projects and programs and establish partnerships;
- Provide a starting point for the formulation of capacity development responses¹³;
- Establish baselines and indicators for capturing learning, measuring, monitoring and evaluating progress in capacity development¹⁴;
- Support comparative analysis of capacity development across value chains.

From 2014 onwards the following work is supported:

- Preliminary Capacity Assessment for Uganda and Tanzania value chain;
- Modular content for eight best bet options in Uganda are being developed, field tested, ToT trainings and collaborative arrangement with public/private service providers will be developed to ensure quality training delivery and outreach;
- Support to capacity development activities¹⁵ of innovation platform mechanisms such as the Dairy Development Forum in Tanzania, the smallholder pig platform in Uganda, the aquaculture platform in Egypt;
- In collaboration with the gender team, a quick gender capacity assessment survey was developed and sent to partners in 5 countries in May. Awaiting the outcomes of the surveys, existing training modules will be modified and workshop events will be planned for in 3-5 value chains.

Capacity development (response) strategies for specific value chains should anticipate where future issues that will likely trend for LAF will go, what shapes institutions will take on, and what skill mixes will operate in various settings. The public sector at large will need to operate far more “smartly” at the cusp of multiple disciplines and its attendant institutional architecture. Collaborative and coordinating capacities will remain the dominant capacity needs. A core question to be answered remains¹⁶, however:

“In a world that is rapidly changing, where new knowledge, understanding and skills are continuously required in order to remain competent, valuable and resilient, what would be a forward looking learning model that is agile, can capture capacity changes and new knowledge in real-time, allows for ‘learning-by-doing’ in short cycles, is transferable and scalable and is individually and externally measurable?”

¹³ A capacity development response is an integrated set of deliberate and sequenced actions, based on the analysis of a capacity assessment, attempting to build momentum for the capacity development process by outlining a combination of high-priority short-term initiatives and immediate quick-impact actions, as well as long-term activities that lead to the desired capacity development outcomes.

¹⁴ In collaboration with the MEL team and value chain stakeholders.

¹⁵ Identified by the value chain coordinator and/or through capacity assessments conducted.

¹⁶ In collaboration with Innovation Systems Research.

Strengthening capacities identified in policy¹⁷, planning and programming processes:

- Identify the policy actors and players to transform the research and innovation (technology, intuitional, market, and policy innovations) into adoption by the state, private and farmers and others and support the development of capacities identified by CNA;
- Support action oriented stakeholder consultation to increase the role of the knowledge from the flagships in the policy and investment plans of the organizations and sectoral ministries;
- Engage policy leaders and opinion makers to open up the space for discussion and involve the research and evidence in the policy and strategy development;
- Assist identification of bottle necks in regulatory systems;
- Enhance the performance of the organizations: organizational and management capacity of research, extension and education (and other organizations, e.g. farmer groups, smallholder associations) in the value chain.

¹⁷ In collaboration with the Policy Research team.