World Agroforestry Centre

Capacity Development Strategy

2013-2018

Enhancing the knowledge, use and impact of agroforestry

Contents

List of abbreviations

CBO	Community-based Organization
CCER	Centre Commissioned External Review
CDRF	Capacity Development Results Framework
CDU	Capacity Development Unit
CGIAR	Consultative Group on International Agricultural Research
CRP	CGIAR Research Programme
EMPR	External Programme and Management Reviews
ICRAF	World Agroforestry Centre
ICT	Information and Communication Technology
K2A	Knowledge to Action
M&E	Monitoring and Evaluation
NARES	National Agricultural Research and Education Systems
NARS	National Agricultural Research Systems
NGO	Non-governmental Organization
OECD	Organization for Economic Co-operation and Development
QMS	Quality Management Systems
R&D	Research and Development
SD	Science Domain
SRF	Strategic Results Framework
SWOT	Strengths, Weaknesses, Opportunities and Threats

1. Introduction

This document outlines the World Agroforestry Centre's (also referred to as the International Centre for Research in Agroforestry - ICRAF) strategy for capacity development for the period 2013-2018. The strategy is based on a rigorous analysis of ICRAF's context within the reformed CGIAR, as well as on the synthesis of recommendations from ICRAF's Centre Commissioned External Reviews (CCERs) and External Programme and Management Reviews (EMPRs). In addition, the results of Strengths, Weaknesses, Opportunities and Threats (SWOT) analyses of capacity development at ICRAF undertaken through consultations with ICRAF's research staff in early 2012, and with ICRAF's partners in East Africa and South Asia regions in 2012 and 2013, respectively are incorporated. The background information to this strategy is available as a supplement.[1]

The document begins with operationalization of the concept of capacity development within ICRAF's context (section 2), and then clarifies what capacity development implies to the Centre's Knowledge to Action Framework (section 3). This is then followed by a brief discussion on the role of capacity development within the Centre's broader Strategic Results Framework (section 4) and the resultant key strategic themes of the Centre's capacity development activities (section 5). The document concludes with a brief elaboration of concrete actions that the Centre will pursue to achieve the intended outcomes (section 6).

The World Agroforestry Centre considers capacity development as a necessary lever to accelerate agroforestry research, uptake and impact in the regions and countries where it undertakes its research projects.[2] The Centre will confine its contributions to areas where it has a clear comparative advantage while addressing the evolving needs of its partners and increasing their roles.

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1   Thomas Zschocke and August B Temu (2012) Background Supplement for Capacity Development Strategy of the World Agroforestry Centre. Draft for Discussion (Version 4, August 2012)

2   World Agroforestry Centre (2012) Transforming Lives and Landscapes. Draft Strategy 2013-2022. Nairobi: World Agroforestry Centre, p. 1.

2. Capacity development in agroforestry

Capacity development is much broader than mere knowledge and skill development through training and education. As an important element of the new consensus between donors and developing countries in the context of the 2005 Paris Declaration on Aid Effectiveness, capacity development is now considered the responsibility of partner countries with donors and outsiders playing a support role of mobilizing capacities that reside within individuals and institutions. Partner countries commit themselves to "integrate specific capacity strengthening objectives in national development strategies and pursue their implementation through country-led capacity development strategies where needed," while donors and others commit themselves to "align their analytic and financial support with partners' capacity development objectives and strategies, make effective use of existing capacities and harmonize support for capacity development accordingly".[3] The CGIAR has recognized this role in its Joint Declaration of 2009 which states that it will "promote active engagement and partnership with stakeholders, including national agricultural research systems (NARS), to optimize research effectiveness and efficiency, strengthen and mobilize capacity and country ownership, and fully utilize CGIAR research for achieving development impacts"[4] .

The mobilization of capacity thus refers to what outside partners—domestic or foreign—can do to support, facilitate or catalyse capacity development and related change processes. This is not the same as provision of technical assistance. CGIAR Research Centres such as ICRAF, can play an important role in mobilizing capacity by facilitating access to knowledge; brokering multi-stakeholder agreements that remove blockages to capacity mobilization; participating in relevant policy dialogue or advocacy; providing incremental resources that help in overcoming bottlenecks in change processes; and creating spaces

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3   OECD (2005/2008) Paris Declaration on Aid Effectiveness/Accra Agenda for Action. Paris: Organization for Economic Co-operation and Development (OECD), p. 4, para. 22.

4   CGIAR (2009). Joint Declaration. Washington, DC: Consultative Group on International Agricultural Research (CGIAR).

for learning by doing. ICRAF intends to play a catalysing role in all these dimensions of capacity mobilization.

Capacity development has two components: human and institutional. For humans, their knowledge, skills and attitudes of a specific theme, such as agroforestry, can be enhanced through capacity development. For institutions, their policies, organizational designs, strategies, plans and processes can be improved through capacity development to enable a specific theme, such as agroforestry, to grow and to flourish. In addition, capacity development can promote networking among individuals and organizations in order to improve synergies.

Thus, for agroforestry we need to mobilize human and institutional capacity for research to generate knowledge; for education to advance the communication of the knowledge; and for extension and development agencies to bring the knowledge to practical use and application. The nature of capacity mobilization activities may range from supporting educators to teach agroforestry and supervise graduate research students and other young scholars through mentoring and on-the-job training, seminars, workshops and conferences. The capacity of NARS, NGOs and policy-makers may be mobilized through a variety of tailored and contextually appropriate capacity development activities.

Capacity mobilization and development at ICRAF is part of its strategic goals, as defined by its refreshed strategy (2013-2022), and is achieved through a number of avenues:

- Understand the capacity development needs through capacity needs assessments: this improves effective targeting of capacity development interventions
- Review institutional frameworks for agroforestry capacity: this focuses on policies, strategies, structures and processes to support agroforestry programmes
- Improve access to agroforestry research products
- Contribute to capacity development at different scales

- Support mobilization of national capacities
- Align efforts and approaches with wider CGIAR Consortium initiatives on capacity strengthening.

The World Agroforestry Centre envisions through its research a "rural transformation in the developing world where smallholder households strategically increase their use of trees in agricultural landscapes to improve their food security, nutrition, income, health, shelter, social cohesion, energy resources and environmental sustainability", and capacity development provides a critical pathway for achieving the envisioned transformation.

Programmes working with farmers like William Temwende to demonstrate the virtues of using fertilizer trees.

3. Capacity development and the Knowledge to Action Framework

The emerging consensus is that capacity development activities need to promote processes that contribute to long-term learning and change strategies for sustainable impact.[5] Learning is at the core of the processes where people increase their abilities. It goes beyond just having access to knowledge and information ("know-what"). Knowledge production and innovation, including the agricultural sector, involves interactive learning where individuals and organizations learn from production, search and exploration to increase skills and competencies ("know-how" and "know-why") while being integrated in knowledge-based networks ("know-who"). Innovation as an interactive process is built on the close collaboration of several actors, such as customers or end-users, suppliers and knowledge organizations through collective entrepreneurship.[6]

The linear view of agricultural innovations as a technology-centred process has now been replaced with an innovation system view. Working within the global agricultural innovation system, the World Agroforestry Centre will facilitate learning-oriented processes for the development of a sustainable agroforestry capacity for partner organizations. Capacity development efforts require a multi-layered approach to generate results. These efforts need to synchronize individual, organizational and institutional components. Hence, the Centre will support partners located in regions and countries where ICRAF works in moving towards becoming learning organizations leading to changes in their internal organization and in inter-organizational relationships (organizational learning). It will assist its partners to enable their staff and teams to be more aware of the fact that they are engaged in lifelong learning, be it self-organized learning, facilitated individual learning or group learning.

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5 Pearson, J (2011) Training and Beyond: Seeking Better Practices for Capacity Development, *OECD Development Co-operation Working Papers, No. 1*. Paris: Organization for Economic Co-operation and Development (OECD).

6 OECD (2000) *Knowledge Management in the Learning Society*. Paris: Organization for Economic Co-operation and Development (OECD), p. 23. Christensen, JL & Lundvall, B-A (Eds) (2004) *Product Innovation, Interactive Learning and Economic Performance*. Amsterdam: Elsevier.

As an international agricultural research organization, the Centre is committed to the generation and use of knowledge. It puts emphasis on the knowledge-to-action (K2A) framework, that is, a two-way process between deriving knowledge from action and using this knowledge to support further action. The overall aim of capacity development at ICRAF is to accelerate the use and impact of research. The K2A framework helps ICRAF scientists to better understand the context of their work in the regional and country settings, conduct effective research and ensure that research results are communicated in appropriate formats to intended users. The Centre will work with agroforestry stakeholders to identify, strengthen and improve K2A processes in agroforestry, leading to demand-led capacity development activities.

Group discussion on governance issues in Tawanga village, Southeast Sulawesi

Capacity Development Strategy

4. Embedding capacity development into ICRAF's research agenda

The Strategy and Results Framework (SRF) of the CGIAR attributes a cross-cutting support function to capacity development across the CGIAR Research Programmes (CRPs) at the level of the CGIAR system according to the requirements and needs of the different types of research partnerships. The SRF envisions more innovative approaches to capacity development and mobilization combined with effective knowledge management practices.

The World Agroforestry Centre recognizes the support function of capacity development, which cuts across its own Science Domains (SDs) as illustrated in Figure 1. Capacity development activities are integrated into ICRAF's SDs as well as support units (such as the Research Methods Group). These serve as one of the mechanisms of the Centre's K2A framework. The CRPs are integrated within SDs. Likewise, activities promoting capacity development will be incorporated across the CRPs as well as non-CRP research projects in which the Centre is involved. Since ICRAF undertakes agroforestry research in partner countries and regions through its country and regional offices, it will focus its capacity strengthening initiatives on the same regions and countries where its research is located.

By shifting towards the promotion of capacity development and mobilization, ICRAF's role will transform from that of a provider of technical training in agroforestry to that of a facilitator of change over a long-term period. This renewed approach builds on local resources and partnerships and encourages national ownership in development processes. It implies dialogue with national partners and stakeholders in partner countries and regions to implement demand-driven capacity development efforts based on the joint setting of goals and strategies,which will in turn be based on assessed needs. The new approach will benefit ICRAF as it will result in increased coherence and effectiveness of capacity development activities across its research programmes and regions on one hand, and an increased and more effective application of the Centre's lean resources for capacity

development linked as a cross-cutting function for achieving the outcomes of its strategic goals, on the other.
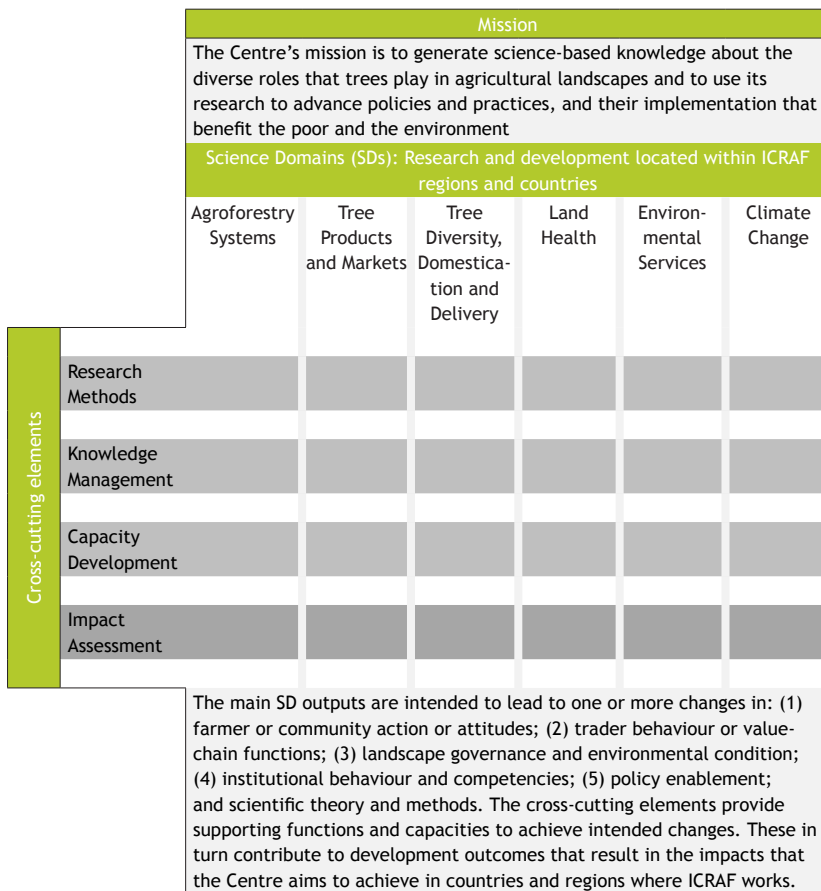
Mission					
The Centre's mission is to generate science-based knowledge about the diverse roles that trees play in agricultural landscapes and to use its research to advance policies and practices, and their implementation that benefit the poor and the environment					
Science Domains (SDs): Research and development located within ICRAF regions and countries					
Agroforestry Systems	Tree Products and Markets	Tree Diversity, Domestication and Delivery	Land Health	Environmental Services	Climate Change
Research Methods					
Knowledge Management					
Capacity Development					
Impact Assessment					

Cross-cutting elements

The main SD outputs are intended to lead to one or more changes in: (1) farmer or community action or attitudes; (2) trader behaviour or value-chain functions; (3) landscape governance and environmental condition; (4) institutional behaviour and competencies; (5) policy enablement; and scientific theory and methods. The cross-cutting elements provide supporting functions and capacities to achieve intended changes. These in turn contribute to development outcomes that result in the impacts that the Centre aims to achieve in countries and regions where ICRAF works.

Figure 1: Science Domains and cross-cutting elements of ICRAF's research agenda

5. Strategic themes for capacity development

Capacity development activities are grouped around three broad strategic themes. This will ensure that the Centre's engagement in this area of work contributes to achieving its mission. The strategy map[7] in Figure 2 brings together the Centre's strategic objectives for capacity development to illustrate causal linkages. The map identifies ICRAF's three strategic themes of capacity development and shows how achieving them would translate into real value for achieving the Centre's mission and help in accelerating the use and impact of its research across the countries and regions where it undertakes research and development activities.

5.1 Learning for impact

Learning for impact implies the provision of high quality learning interventions that are designed to strengthen the capacity of the Centre's partners in achieving its strategic goals. The primary audiences include research partners, research trainees, extension agents/information providers and farmers. Others comprise policy makers in regions and countries where ICRAF works. The Centre recognizes that in providing learning opportunities in agroforestry research, it will help to strengthen capacities in accessing, generating, managing, and exchanging relevant information and knowledge; engaging in networks, alliances, and partnerships; designing, implementing and delivering research programmes, including monitoring and evaluation as well as impact assessment; and formulating and implementing policies relevant to agroforestry. The core services envisioned to achieve these goals are as follows:

- Improve the supply chain in designing, developing and implementing learning solutions by involving ICRAF scientists and their partners in regions to become more efficient and effective.
- Develop and implement innovative learning solutions that address the needs of partners by incorporating evidence-based approaches from instructional science, organizational development, information

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7   Kaplan, RS & Norton, DP (2004) Strategy maps: *Converting intangible assets into tangible outcomes*. Boston, MA: Harvard Business School Press.

science and related disciplines.

- Excel at making available high quality learning opportunities that are customized and contextualized to address the demands of partners.

5.2 Creating synergies

Creating synergies includes measures that allow the exchange of information and knowledge, not only among participants of learning interventions, but also among those providing these interventions across the organization. By capturing, documenting, and sharing experiences and lessons learned, the Centre hopes to create more interactions among the different players and enhance the quality of its capacity development interventions. The core services foreseen to reach these goals are as follows:

- Leverage and complement the services of other research support units by collaborating more closely in assisting ICRAF scientists and their regional and national partners in capacity development activities.

- Optimize the understanding of client needs and extend service provision by analyzing the needs for capacity development of partners from the onset of a joint research project, and extending the interventions to clearly address the demands of ICRAF's partners.

- Encourage and extend knowledge and information exchange among ICRAF scientists as learning providers as well as participants by utilizing current and emerging ICTs for knowledge management (e.g., social semantic web, web-based repositories of agroforestry capacity-related knowledge) and by incorporating K2A approaches in the context of capacity development activities to capture and document lessons learned.

5.3 Managing for results

Managing for capacity development results involves a focus on systematically documenting and reporting on the contributions of capacity development activities along the input, output, outcome and impact pathway of the Centre's research agenda in which these activities are embedded. ICRAF will ensure that its capacity development results framework is in line with the provisions of the SRF

for the CGIAR. The Centre will establish appropriate mechanisms to monitor and evaluate capacity development activities within the overall framework of impact assessment.

Working within the framework of the SRF, ICRAF will ensure that its research results effectively lead to impact. This also requires that the Centre establish complementary measures to report on results it has achieved in promoting capacity development. With the focus on facilitating learning processes, the Centre will adopt a results framework for capacity development to ensure the following:

- Assess needs and identify agroforestry-related capacity constraints of partners in regions and countries
- Define strategies for capacity development interventions
- Ensure partner ownership
- Include indicators and metrics in programme design
- Assess programme results
- Communicate meaningful results to its multiple stakeholders through peer-reviewed publications
- Compare capacity development programmes across the organization.[8]

This framework will allow the Centre to measure learning outcomes in terms of change at the level of the partners involved in capacity development activities, and whether the actions taken by these partners have generated impact on the larger system in achieving the System- and Centre-level objectives and outcomes after completing the learning processes.

The Centre is committed to delivering quality capacity development support linked to its policy on enhancing science quality. The principles of science quality span the three aspects of context/legitimacy, mechanisms/credibility and outcomes/salience. The Centre will establish an integrated set of principles and criteria to ensure the quality of the capacity development components at various stages of

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8 Otoo, S, Agapitova, N, & Behrens, J (2009) *The Capacity Development Results Framework: A Strategic and Results-oriented Approach to Learning for Capacity Development.* Washington, DC: World Bank Institute.

the research process:

- Regarding context and legitimacy, the Centre will respond to local and national capacity development needs and provide contextualized learning solutions.
- Regarding mechanism and credibility, the Centre will apply established approaches based on current understanding in learning theory, organizational development and instructional design, among others.
- With regard to outcome generation and salience, the Centre will define capacity development approaches to contribute to the achievement of Centre-level outcomes as an integral part of its research agenda.

ICRAF will benchmark its capacity development and then consistently monitor and evaluate capacity development the and assess their impacts on learning as an important part of its ongoing impact assessment efforts. The aim is to measure the longer-term effects of the research on livelihoods and landscapes and account for the contribution that capacity development activities make along the impact pathway.

In order to achieve these goals, the following core services are envisioned:

- Define and establish a quality assurance system for learning, education and training based on international standards and integrated with ICRAF's provision of ensuring quality science in order to provide the necessary guidance and leadership when delivering capacity development activities from analysis, design, development, implementation to evaluation.
- Define and implement a capacity development results framework (CDRF) in correspondence with the SRF[9].
- Assess and pursue monitoring and evaluation options for capacity development to supplement impact assessment by identifying and creating metrics and indicators for measuring the outcome and impact of capacity development activities within the context of ICRAF's research agenda.

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9 A preliminary version of CDRF is presented in the Annex

Mission The Centre's mission is to generate science-based knowledge about the diverse roles that trees play in agricultural landscapes and to use its research to advance policies and practices, and their implementation that benefit the poor and the environment.
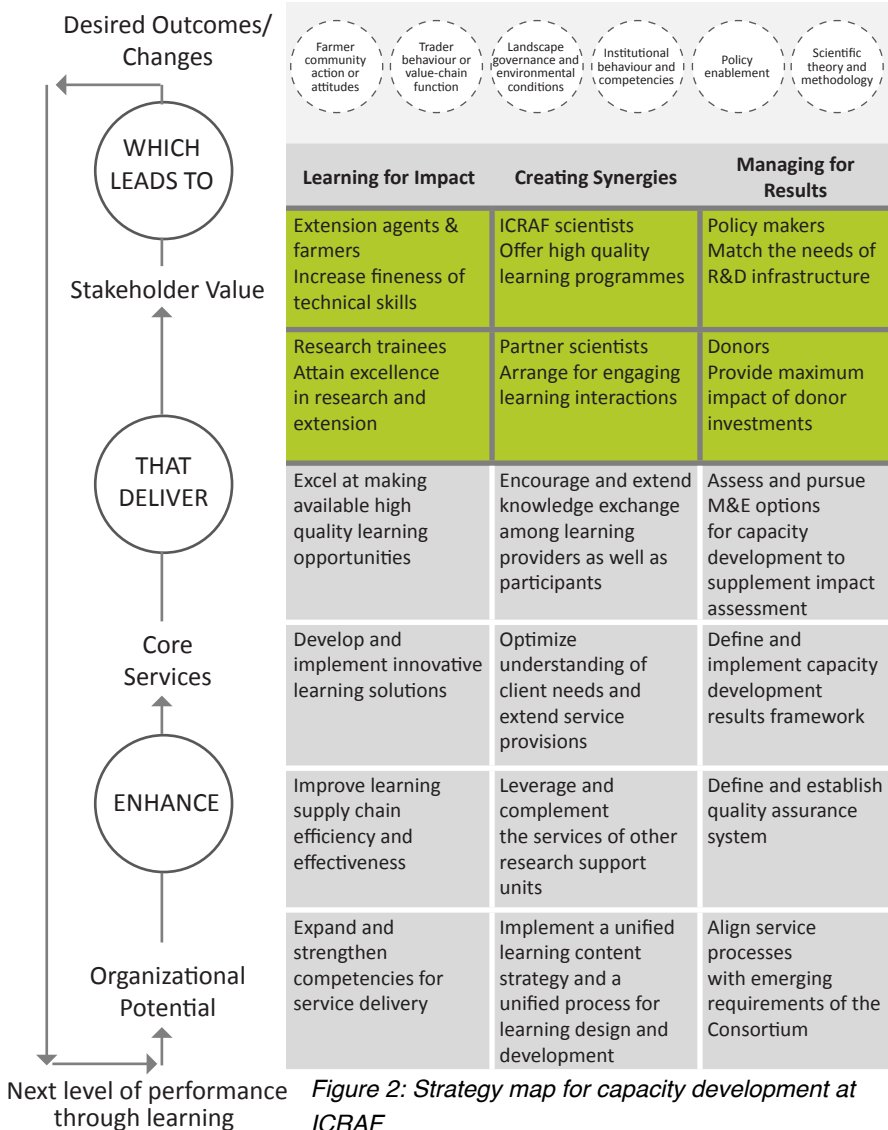

Desired Outcomes/Changes

WHICH LEADS TO

Stakeholder Value

THAT DELIVER

Core Services

ENHANCE

Organizational Potential

Next level of performance through learning

	Learning for Impact	Creating Synergies	Managing for Results
	Extension agents & farmers Increase fineness of technical skills	ICRAF scientists Offer high quality learning programmes	Policy makers Match the needs of R&D infrastructure
	Research trainees Attain excellence in research and extension	Partner scientists Arrange for engaging learning interactions	Donors Provide maximum impact of donor investments
	Excel at making available high quality learning opportunities	Encourage and extend knowledge exchange among learning providers as well as participants	Assess and pursue M&E options for capacity development to supplement impact assessment
	Develop and implement innovative learning solutions	Optimize understanding of client needs and extend service provisions	Define and implement capacity development results framework
	Improve learning supply chain efficiency and effectiveness	Leverage and complement the services of other research support units	Define and establish quality assurance system
	Expand and strengthen competencies for service delivery	Implement a unified learning content strategy and a unified process for learning design and development	Align service processes with emerging requirements of the Consortium

Figure 2: Strategy map for capacity development at ICRAF

2013-2018

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6. Strategic actions

ICRAF's Capacity Development Unit (CDU) will play a catalytic and supporting role in partnership with SDs, regional and country offices and other support units in promoting capacity development based on identified national and regional needs. The CDU will assess capacity needs, identify appropriate interventions and keep ICRAF researchers, SD and project leaders, and regional heads informed about those needs.

CDU will also keep on playing its catalytic role of proactively providing access to relevant knowledge and advice about appropriate capacity development methodologies and tools relevant to the needs of ICRAF researchers and its regional and national partners.

More specifically, ICRAF intends to put these strategies into action through the following activities during the period of this strategy:

a) Contribute towards achieving ICRAF's third strategic goal of "transformation" by aligning the actions of its CDU with those of other units within the umbrella "transformation unit".

b) Make concerted efforts to identify relevant partners' capacity development needs by deploying participatory methodologies and subsequently addressing the identified needs through ICRAF's research projects.

c) Facilitate the capacity of partners to build capacity in agroforestry through provision of access to resources and knowledge by using ICT infrastructure and facilitating regional platforms and networks.

d) Develop and implement Quality Management Systems (QMS) within ICRAF, both for individual as well as group learning initiatives for ICRAF projects through development of checklists, policy and procedural guidelines, provision of toolkits, etc. These systems on one hand, will ensure quality and on the other hand generate essential data for research on capacity development within ICRAF and across its partners

e) Align ICRAF's capacity development agenda with that of the CGIAR Consortium through contributions to the CGIAR-wide working group on Capacity Strengthening, as well as making contributions to ICRAF-relevant CRP capacity strengthening strategies.

f) Ensure that capacity development impact assessment, both for individual and institutional learning initiatives, as well as for assessing institutional capacities forms an integral part of ICRAF's future research projects and is measured along the activity-output-outcome-impact pathway.

g) Ensure that capacity development forms an integral part of ICRAF's prospective research proposals, and effective approaches to capacity development are well articulated and implemented, and evaluated effectively through research activities.

h) Ensure that effective resource mobilization for capacity development, either integrated within research projects or as standalone initiatives, is carried out to advance the capacity development agenda of ICRAF.

CD clients	Core competences required	ICRAF intervention strategy	Expected results/outputs
Universities	• Knowledge of core course content (including advanced research methods & approaches in agroforestry research) • Skills for making course designs relevant to local needs	• Access to knowledge sources through repositories • Collaborative graduate research projects • Post doctoral fellows at ICRAF • Regional university networks and exchange fora	• Enhanced understanding of researchable issues • Advanced methodologies available for graduate researchers in agroforestry • Enhanced research capacity available within partner countries
Training colleges	• Field course content tailored to local needs • Appropriate capacity development methodologies for training field level technicians and extensionists • Course evaluation methodologies	• Access to knowledge sources through repositories • Collaborative capacity development activities through joint research and capacity development projects	• Contextualized knowledge on agroforestry is included in curricula and training programmes • Appropriate capacity development methods used for training agroforestry field professionals • Effectiveness of courses and delivery methods assessed and incorporated into the improved designs
NARES - National Agricultural Research and Education Systems	• Contextualized knowledge on emerging local agroforestry issues - Research & evaluation methods in agroforestry • Impact assessment methodologies - Capacity needs assessment methodologies - Capacity development intervention toolkits and methodologies • Research project management skills	• Access to knowledge sources through repositories • Collaborative agroforestry projects • Seconded NARES staff at ICRAF	• Enhanced relevance and legitimacy of agroforestry research • Enhanced credibility of agroforestry research • Enhanced agroforestry research capacity within partner NARS; • Effectiveness of research and implementation interventions assessed and contribution to CGIAR goals mapped

CD clients	Core competences required	ICRAF intervention strategy	Expected results/outputs
Policy-making institutions	• Awareness about real issues, challenges and potential solutions and their impacts • Research-based policy advice on why agroforestry, how to implement and what is achieved • Building agroforestry institutions	• Contextualized field research studies • Policy briefs • Comparative case studies • Policy makers' visits to field/models of institutional frameworks for agroforestry	• Agroforestry accepted as a credible potential solution for mitigation of environmental and livelihood related challenges • Robust institutional platforms for agroforestry development (agroforestry institutionalized)
Government extension	• Knowledge about successful approaches to extension • Skills on how to disseminate agroforestry knowledge to farmers and NGOs	• 'How-to' manuals on various aspects of agroforestry and agroforestry extension • Field and hands-on job training	• Improved functioning of extension services • Improved appreciation for agroforestry solutions by NGOs and farmers • Increased uptake of agroforestry solutions at farm level
NGOs/CBOs	• Technical skills on agroforestry field training ("how-to" stuff)	• Access to manuals and guides on agroforestry • Approaches to agroforestry extension • Technical training of staff	• Improved appreciation for agroforestry solutions by NGOs and farmers • Increased uptake of agroforestry solutions at farm level
Farmers	• Technical field implementation skills	• Enhance the capacity of NGOs/CBOs and extension agencies who work with farmers	• Trainers' capacity to train farmers on agroforestry solutions enhanced

Anh tap huan, a farmer from Vietnam demonstrates agroforestry tree spacing