

Framework strategy for the implementing change processes 2010-13

Introduction

From April 2009 until June 2010, the change process within the implementation of the CORAF/WECARD Operational Plan has been guided by a logframe-based approach and deliberate management with technical support and mentoring from *theIDLgroup*¹ as the Change Management Team [CMT] in close collaboration with senior managers in the CORAF/WECARD Secretariat.

The current phase of direct engagement by the CMT has now come to an end, but the need for continued management of the change processes remains. In recognising this CORAF/WECARD recently convened a Workshop² to examine the lessons learned³ from the implementation and to outline a framework for the continued management of the process.

This document builds on the Workshop [*ibid*] output and outlines the activities and rationale for such a framework and is built around addressing key weaknesses in five areas:

- Providing and facilitating technical support and mentoring to NARS-based initiatives for implementing change
- Information sharing and dissemination
- Evidence-based advocacy
- Changes to attitudes and behavioural norms, with priority given to addressing gender issues incentives
- Understanding/information relating to IAR4D paradigm

Rationale for Approach

The approach uses the logframe management tool. It aims to deliver four results, which reflect important areas of the change process and the implementation of the plan⁴, identified during the planning and change management workshops. These Results are:

1. Programme-based IAR4D paradigm for sub-regional agricultural research established
2. Sub-regional capacity of stakeholders for operating in an IAR4D research paradigm strengthened
3. Effective sub-regional partnerships supporting and encouraging IAR4D research established and operational

¹ *theIDLgroup* is a UK-based consultancy firm specialising in international development – see www.theidlg.com

² CORAF/WECARD Participatory Stakeholder Workshop - *Lessons from Change Plans for the Future* 21st-23rd June 2010, Saly Senegal. Workshop Report by J A Sutherland and R Percy, CORAF/WECARD Secretariat, Dakar, Senegal. 50pp

³ *Lessons Learned from Planning and Change Management* - Implementation of a New CORAF/WECARD Strategy CORAF/WECARD Information Bulletin, 6pp

⁴ Result areas 1, 2 and 3 are the same as those identified under the first 18 months of implementation, however the activities and indicators of success are different and reflect a changing emphasis and focus.

4. Sustainable mechanisms for supporting research using an IAR4D approach operationalised

All four of these results are nested within Result 3 of the Operational Plan⁵ and fully coherent with it.

Activities and Rationale for Result 1

[Programme-based IAR4D paradigm for sub-regional agricultural research established]

The IAR4D paradigm is an approach to agricultural research which is poorly understood and often loosely defined. The CORAF/WECARD Operational Plan defines the organisation's interpretation of the approach, however it is not well understood at the level of the NARS, and its benefits as an approach are currently unproven. Clearer definition of the approach needs to be built-up using experience from existing and published work. It is a dynamic situation that will need to be actively monitored and managed.

Whilst most agricultural research initiatives, address some of the aspects of IAR4D the lack of understanding prevents wide scale adoption and use. A number of factors are responsible:

- There are generally low levels of understanding of IAR4D paradigm
- Current levels of knowledge and the nature of various approaches within the NARS are not well known or documented
- Information and tools for utilising the approach are not available

One of the tools that can be used to promote and encourage the shift to the new paradigm, as information and tools become available and the situation better understood, is the competitive grant scheme [CGS]. This can be used to focus change and acceptance, through stipulating specific and focussed criteria for awarding resources to research proposals.

Current accessibility and understanding of the CGS is also an area for improvement. This requires clearer understanding of the mechanisms and processes and ensuring transparency in the way the fund operates.

Activities and Rationale for Result 2

[Sub-regional capacity of stakeholders for operating in an IAR4D research paradigm strengthened]

For CORAF/WECARD to function as an effective sub-regional organisation which promotes agriculture-led development, requires the coherence and alignment of all the key stakeholders with CAADP Pillar IV principles and the FAAP guidelines.

The Workshop identified some unresolved issues that need to be addressed in order for the NARS to develop and strengthen, including:

- Focussed capacity strengthening, in the broadest sense, including empowerment of stakeholders to enable them to access and demand information and solutions, soft-skills training, increasing awareness of new approaches

⁵ Sub-regional agricultural research system strengthened and coordinated

- Review and alignment of the formal rules of the NARIs and other members of the NARS with CAADP Pillar IV and CORAF/WECARD
- The component organisations in many NARS, have not yet aligned their strategic and operational plans with CAADP and FAAP principles, and the IAR4D approach
- NARS are poorly resourced to implement change processes and need some degree of technical support to articulate needs more effectively
- Identifying and changing the attitudes, norms and behavioural patterns that resist or negate attempts to change paradigms, including gender and barriers for information exchange

Activities and Rationale for Result 3

[Effective sub-regional partnerships supporting and encouraging IAR4D research established and operational]

The successful implementation of the Operational Plan and the change processes that this entails, requires stakeholders to share information, communicate well and support each other as well as access support from external sources.

Mobilising resources requires advocacy, and that advocacy needs to be based on evidence and understanding, both of which require access to information.

The Workshop suggested that significant improvements in information sharing and advocacy were needed, identified due to the low impact of the change management process at national level. Two issues were identified which needed to be addressed:

- A review of mechanisms of information exchange within the NARS and between NARS and sub-regionally
- Weaknesses in the linkages among NARS stakeholders to provide feedback

The approach would include the establishment and operationalisation of a communication strategy to support CORAF/WECARD initiatives and strategy; this might also entail capacity strengthening as well as identification of obstructive informal rules.

There is often weak advocacy at national level for CORAF/WECARD and sub-regional initiatives. Policy makers at national and sub-regional levels are often not adequately engaged due to weak understanding and sensitisation to the main issues. This needs to be addressed at both these levels, but requires a structured, and well resourced approach to develop an evidence-based advocacy framework.

Activities and Rationale for Result 4

[Sustainable mechanisms for supporting research using an IAR4D approach operationalised]

In a situation where the IAR4D paradigm is understood and stakeholders are involved and interacting through innovation platforms and developing useful and demand-driven proposals, there is a need for resources to be readily accessible.

The mechanisms that CORAF/WECARD has available are commissioned research and the CGS. For these to work effectively, they need to be:

- Straightforward to operate with unambiguous instructions and procedures

- Well documented with clear manuals, guidance and training [when necessary]
- Clear and transparent governance systems, in terms of the award, reporting, funding and management mechanisms
- Clearly understood and accessible to all stakeholders

The programme Managers at the Secretariat have a role in ensuring stakeholders are sensitised and familiar with the systems and understand how to access funds and utilise them according to the governance structures and management rules.

The implementation of projects needs to be supported by mutual accountability frameworks which ensure transparency and encourage good performance by rewarding positive results and good compliance. These systems will need to be identified, developed, established and resourced as part of the delivery of this Result area.

Logical Framework

Change Management Process 2010-2013, an outline for implementation [Period: 3 years]

Narrative	Objectively Verifiable Indicators	Means of Verification	Assumptions
<p>General Objective</p> <p>Broad-based agricultural productivity, competitiveness and markets improved</p>	<ol style="list-style-type: none"> 1. At least 4% increase in agricultural production for priority commodities per unit of input by 2013 2. At least 20%of commodities and products conform to specific national, sub-regional and/or international standards by 2013 3. At least 10%increase in the inter- and intra-regional market share of agricultural products by 2013 	<ul style="list-style-type: none"> ● Government statistics ● Economic Commission for Africa statistics and reports ● Regional organisation reports ● Selected CGIAR reports and publications 	
<p>Specific Objective</p> <p>Capacity of CORAF/WECARD as an organisation to function effectively in a new paradigm sustainably established</p>	<ol style="list-style-type: none"> 1. All CORAF/WECARD's new organisational structures staffed and operational by 2013 2. 75% increase, over 2010 levels, in the number of positive responses for financial and technical support to sub-regional requests by 2013 	<ul style="list-style-type: none"> ● Annual reports of the RECs ● CORAF/WECARD published and internal reports ● CORAF/WECARD technical reports ● Annual reports from member NARS and ARIs 	<p>[Specific to General Objective]</p> <ol style="list-style-type: none"> 1. IAR4D paradigm is an effective approach 2. Governments meet or exceed Maputo Declaration commitment of 10% contribution to agriculture R&D 3. Adequate infrastructure is maintained 4. National policies and unfair competition do not compromise gains 5. Enabling policies and conducive environment exist and are sustained 6. Effective platforms for consultation exist 7. Adequate resources and enabling environment exist 8. Political/economic environment does not negate gains

Narrative	Objectively Verifiable Indicators	Means of Verification	Assumptions
<p>Results</p> <p>1. Programme-based IAR4D paradigm for sub-regional agricultural research established</p> <p>2. Sub-regional capacity of stakeholders for operating in an IAR4D research paradigm strengthened</p>	<p>1.1 50% increase over 2010 levels, in the number of IAR4D-based projects initiated at sub-regional level by 2013</p> <p>1.2 ...</p> <p>1.3 ...</p> <p>2.1 At least 12 member NARS designing IAR4D-based projects by 2013</p> <p>2.2 At least 12 ARI in member NARS developing IAR4D-based strategic plans by 2013</p> <p>2.3 ...</p>	<ul style="list-style-type: none"> ● Annual reports of the RECs ● CORAF/WECARD published and internal reports ● CORAF/WECARD technical reports ● Annual reports from member NARS and ARIs ● CORAF/WECARD Audit reports ● Multi-media announcements ● Annual and occasional reports of development partners 	<p>[Results to Specific Objective]</p> <ol style="list-style-type: none"> 1. Staffing and resource levels within the NARS of sub-region are adequate and are maintained 2. Good relationships with political stakeholders exist 3. The financial and physical resource commitments of stakeholders, including public and private sectors, NGO and producer organisations are maintained 4. Improved infrastructure is in place and effective 5. Coordination brings added value 6. Good press and other media organisations exist 7. Potential clients able to articulate demand effectively and have resources to respond to output 8. Political/economic environment does not negate gains

Narrative	Objectively Verifiable Indicators	Means of Verification	Assumptions
<p>3. Effective sub-regional partnerships supporting and encouraging IAR4D research established and operational</p> <p>4. Sustainable mechanisms for supporting research using an IAR4D approach operationalised</p>	<p>3.1 At least 9 initiatives involving more than 3 groups of stakeholders being implemented by 2013</p> <p>3.2 At least 2 new sources of funding established by 2013</p> <p>3.3 ...</p> <p>4.1 <i>Numbers and size of grants awarded</i></p> <p>4.2 <i>Numbers and size of successfully completed awards</i></p> <p>4.3 <i>Levels of interest in accessing funds</i></p>	As above	As above

Narrative Summary	Budget and Inputs	Assumptions
<p>Activities ...All the activities need to be developed to reflect the delivery of the Results, taking into account the issues raised in the workshop...</p> <p>[Output 1 - Programme-based IAR4D paradigm for sub-regional agricultural research established] 1.1</p> <p>[Output 2 - Sub-regional capacity of stakeholders for operating in an IAR4D research paradigm strengthened] 2.1</p> <p>[Output 3 - Effective sub-regional partnerships supporting and encouraging IAR4D research established and operational] 3.1</p> <p>[Output 4 – Sustainable mechanisms for supporting research using an IAR4D approach operationalised] 4.1</p>	<p>The necessary and sufficient budgets and inputs can be summarised here, once the activities have been identified.</p>	<ol style="list-style-type: none"> 1. Sub-regional communication systems operate at adequate levels 2. A clear and shared vision and commitment exists/is adopted amongst stakeholders 3. Compatible organisational structures exist within the sub-region 4. Political/economic environment does not negate gains