Strengthening Managing for Impact in Eastern and Southern Africa

Grant Completion Report

Simone van Vugt
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Jim Woodhill

Project Report

Wageningen UR Centre for Development Innovation (CDI) works on processes of innovation and change in the areas of secure and healthy food, adaptive agriculture, sustainable markets and ecosystem governance. It is an interdisciplinary and internationally focused unit of Wageningen University & Research centre within the Social Sciences Group.

Through facilitating innovation, brokering knowledge and supporting capacity development, our group of 60 staff help to link Wageningen UR's expertise to the global challenges of sustainable and equitable development. CDI works to inspire new forms of learning and collaboration between citizens, governments, businesses, NGOs and the scientific community.

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Innovation & Change

Ecosystem Governance

Adaptive Agriculture

Sustainable Markets

Secure & Healthy Food

The other implementing organizations were IFPRI-ISNAR (now IFPRI /IKDC), Haramaya University, Khanya-aicdd, IFAD and the Impact Alliance.

IFPRI/ISNAR

Impact Alliance

Khanya-aicdd

Haramaya University

IFAD action learning sites

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The Strengthening Managing for Impact Programme (SMIP) was a pilot initiative established to test the extent to which the use of the Managing for Impact (M4I) approach could enhance the impact of pro-poor interventions for greater development effectiveness. This programme was implemented in the Eastern and Southern Africa region (including French speaking countries) from 2006 till the end of 2009 and was largely funded by IFAD.

A partnership was developed between Wageningen UR Centre for Development Innovation (formerly part of Wageningen International), Khanya-aicdd, IFPRI-IKCD (formerly IFPRI/ISNAR) and Haramaya University (in a joint partnership 'Carmpolea'); and the Impact Alliance.

Preface

There is wide agreement that dramatic change in development practice is needed if interventions are to yield better and more sustained results at micro and at macro level. The Managing for Impact (M4I) approach was guided by needs expressed in reports and in consultations among IFAD staff and its partners. It holds significant promise to address a number of serious development concerns, including a number of those highlighted in recent IFAD reports (and which are also widely experienced across the development world).

This is one of the reasons why exposure to M4I tends to convert trainees to become enthusiastic believers — even where they confess to having been cynical before their engagement. These development concerns are:

- Difficulty in reaching marginalized groups or determining differential impacts;
- Insufficient focus on systemic issues that impact on success;
- Need for accountability to multiple stakeholders;
- Poor or absent theories of change;
- Lack of focus on strengthening of institutions and systems;
- Limited sustainability of intervention impacts;
- Poor M&E, in particular poor quality data, a focus on output level data, no integration between the M&E system and intervention activities, and weak M&E institutional capacity.

M4I is not a unique approach to the management of development interventions, but it has special qualities that make it a worthwhile investment, at least until it has been properly tested. It is a holistic, detailed and context-sensitive concept based on theory and practical experience. Its advantages relate to its integrated view of management processes, a well-developed theory of change and a strong focus on credible monitoring information, adaptive and reflective management and sustainability. M4I is similar to Results Based Management (RBM) and Management for Development Results (MfDR) in terms of the focus on outcomes and impact. Next to a focus on this 'impact pathway', M4I also gives attention to the 'people pathway' by thinking through the active engagement of key stakeholders in this process of change.

M4I is not specifically about 'learning', 'participation' or 'empowerment'. It is about the institutionalisation of management approaches that have a good chance to yield better results than current practice in most organisations. It distinguishes itself in its needs-driven design that tries to pull together disparate management activities, linking three main elements: the strategic guidance of the intervention, organisational learning, and operational management. Although it is not yet entirely successful in linking these elements for a holistic approach, it has that intent, and is evolving based on lessons learned.

Engagement early on by relevant IFAD corporate and field units and especially also partner governments will help guide the development of M4I, and explore the extent to which corporate systems and the M4I processes can be aligned and made to be complementary.

SMIP and M4I have been highly appreciated in a recent evaluation on the programme and further steps to learn from and institutionalise the approach would be required to consolidate the efforts undertaken in SMIP.

Dr. A.J. Woodhill
Director Wageningen UR Centre for Development Innovation

Acknowledgements

Summary sheet

Grant title	Regional Programme to Strengthen 'Managing for Impact' in Eastern and Southern Africa (SMIP). GRANT NO. 818-DLO
Implementing institution	Wageningen UR Centre for development Innovation (formerly part of Wageningen International / DLO Foundation)
Collaborating institutions	Eastern Africa: The Centre for Agricultural Research Management and Policy Learning in Eastern Africa (CARMPoLEA), a partnership by IFPRI/ISNAR (Now IFPRI KDC) and Haramaya University Southern Africa: Khanya-African Institute for Community Driven Development (Khanya-aicdd)
Beneficiary countries	Countries in East and Southern Africa Region: Tanzania, Kenya, Ethiopia, Uganda, Rwanda, Burundi, Lesotho, Zambia, Madagascar, Mozambique and Malawi
Total costs	Approximately USD 1.44 million
Proposed ifad contribution	Approximately USD 1.1 million
Cofinancing	Wageningen UR Centre for development Innovation (formerly part of Wageningen International / DLO Foundation); Lead Agency; USD 92 400 (minimum; CDI contributed more) Sub-Regional Institutions (Programme Partners): USD 35 000 Participating national/local service providers: USD 47 000 IFAD-supported projects: USD 170 000
Approval by IFAD board	December 2005
Duration	January 2007 – December 2009
Programme milestones	Grant Effectiveness Date: 2nd May 2006 Programme Completion Date: 30th June 2009 with no cost extension till 31st December 2009 Grant Closing Date: 31st December 2009 (April 2010)
Target group and benefits	Ultimate target group: Poor rural men and women in Eastern and Southern Africa Other beneficiaries include: implementers of pro-poor rural development interventions including ongoing (with more than 3 years of remaining implementation period, i.e., about 20 projects) and future IFAD-supported projects / programmes; regional/national capacity building institutions and M&E service providers; government/policy makers.

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Executive summary

1.1 Summary

Content

This is a grant completion report of the regional, IFAD funded programme 'Strengthening Managing for Impact' (SMIP) in East and Southern Africa. This completion report of SMIP shall address: (1) the costs and benefits of the Programme; (2) the achievement of its objectives and linked lessons learned; (3) the performance by the Recipient and the Fund of their respective obligations under the Grant Agreement; (4) general lessons learned from the foregoing.

In terms of costs and benefits of the programme, SMIP has been well implemented, in spite of significant challenges and delays. Particularly strengths in the expertise of the implementation team, the quality of planning, detailed guidelines for action, systematic adjustment as experience is gained and thoughtful documentation and use of lessons learned was important in this respect. The success flows from high standards set by the relatively small SMIP team, and a self-critical attitude that welcomes opportunities to improve.

The recipient and its partners in the E/S Africa region have been able to perform well in terms of the agreed programme. All the components have been addressed to some extent:

Component One: Regional Programme effectively and efficiently managed *(contains most elements of the previous component one)* - generally very well managed, with detailed guidelines for implementation, communication strategy, M&E plan etc. Also the regional programme facilitator has been very important in this respect.

Component Two: Capacity to support the managing for impact approach of service providers in the region enhanced *(previously component one)* – especially the regional training workshops have been very well appreciated. More effort is needed for follow up support to individual participants and their organisations to help ensure institutionalisation of the M4I ideas.

Component Three: Needs of Pro poor initiatives in the region in relation to managing for impact better understood and clearly defined *(contains elements of what was previously component two)* – needs of the pro poor initiatives are well understood. Communication has taken place through e.g. a brochure, website etc.

Component Four: Pro-poor initiatives in the region effectively implementing the managing for impact approach with the support of trained service providers *(previously component one)* – this particularly relates to the action learning sites. Especially the action learning site in Zanzibar has been very succesful, which was in part due to a the support of encouraging leadership. In the action learning site in Lesotho the environment for institutionalisation of M4I was less conducive.

Component Five: Increased access and use of new and existing knowledge for managing for impact by professionals/practitioners in the region (*previously component two*) – this mainlyk relates to the web-based information sharing. The initial platform ERIL was not very user-friendly and had to be changed. The blog-based web platform was more conducive for information sharing. However, it was found difficult to get practitioners to share their stories and ideas and this communication strategy would need to be thought through and tested to make it more suitable for the region.

Component Six: Increased support of Institutions, Processes & Systems of the efforts of pro-poor initiatives to manage for impact promoted and advocated for *(originally component three)* - the support provided to action learning sites took up more time and effort than originally expected. There was not enough time to generate enough evidence for policy for a in the short time span of 3 years. More action learning sites and herewith more evidence is needed for engaging policy makers and other decision makers. On a more informal basis the links have been made situation-specific to the action learning sites.

Financial Performance

Summary by Category for the duration of the programme

Summary by Category	Planned Expenditure in US$	% of total budget	Actual Expenditure in US $	% of total budget
I. Personnel costs*	178,000	16.2	223,612	20.3
II. W/SRIs Operating Costs for Prog Facilitation**	144,000	13.1	130,702	11.9
III. Workshop, training and capacity building	598,000	54.4	646,138	58.7
IV. Research and consultancies	180,000	16.4	99,548	9.0
Total	**1,100,000**	**100.0**	**1,100,000**	**100.0**

Status of Funds by Category (USD)

	Grant Allocation	Expenditure 2006	Expenditure 2007	Expenditure 2008	Expenditure 2009	Cumulative expenditure	% of expenditure	Balance under category
I. Personnel costs	178,000	35,359	50,899	66,469	70,885	223,612	125.6	-45,612
II. Operating costs	144,000	25,886	17,896	44,877	42,043	130,702	90.8	13,299
III. Workshop, training and capacity building	598,000	89,937	285,326	132,868	138,007	646,138	108.0	-48,138
IV. Research and consultancies	180,000	21,131	1,650	46,857	29,910	99,548	55.3	80,452
TOTAL	**1,100,000**	**172,313**	**355,771**	**291,071**	**280,845**	**1,100,000**	**100.0**	**0**

Recommendations

The M4I concept should be given a chance to prove itself and should be granted a next phase to complete a reasonable period of work in the action learning sites in order to prove and improve the concept.

SMIP has achieved a significant amount in building programme capacities and mechanisms to support M4I application. It is too early to have observable impacts at institutional or intended beneficiary levels, but the foundations are being laid, and some breakthroughs are being achieved in linking with influential actors.

Achieving results that can be sustained after termination of SMIP is at the core of the SMIP programme logic or theory of change and there have been various strengths in this respect, such as the transfer of expertise and responsibilities to institutions that can become the drivers for M4I in the region or the development of institutional and individual capacities. However, these efforts are seriously threatened by the lack of an enabling environment in institutions for this type of approach, as yet insufficient success with getting buy-in of influential policy and decision-makers, lack of proof of concept, and the major energies and resources that have to go into changing mindsets and building adequate capacities.

Various factors contributed to the success of SMIP: a needs driven design with a well developed logic (theory of change) evolving over time; M4I as a holistic approach to management; high standards set by the implementing team; the use of credible evidence, knowledge sharing, learning and reflective practice as an integral part of programme design and execution; systematic work and detailed documentation for high quality training and programme improvement; an operational model and strategies that promote transfer of expertise and ownership to regional actors, sub-regional institutes and a community of practice; action learning sites; a strong focus on the institutionalisation of M4I in the region.

There are also challenges, such is not being able to produce convincing evidence of the effectiveness of M4I. Demand for M4I should be supported by the current development paradigm in the world which is in line with the principles that SMIP promotes – harmonisation, integration, local ownership, credible

evidence for decisions and policies, and better results or impacts that are truly relevant to the intended beneficiaries and sustained over time. Another challenge is that demand for M4I training far outstrips supply, mostly driven by the need for better M&E systems. However, only a handful of associates have been adequately equipped to be able to deal with M&E challenges in the region. This requires a more sustained effort. Institutional culture and lethargies that prevent change in institutional systems, and lack of buy-in among management have been identified by course participants as serious obstacles to the wider implementation of M4I. Furthermore, some senior managers in IFAD who have had some initial exposure to M4I hold less favourable perceptions of M4I, with fears that its participatory approach, learning emphasis and focus on context are too resource-intensive and cumbersome to implement, especially on a large scale. There are also perceptions that its approach may be 'too complex', that it is suitable only for small community based initiatives, and that it provides 'soft information' rather than 'hard data' that are useful for management decisions. These are not necessarily correct, but SMIP has to work harder to communicate with influential decision-makers in a manner that resonates with their needs and concerns. The lack of an enabling environment for M4I in institutions and inadequate incentives to effect real change in management practices are at present preventing the wider application of M4I.

If the M4I concept is proven to work within the development realities in Africa, the benefits can be major and long-term. Much has been achieved but much still needs to be done. Results are only now beginning to emerge, and the action learning sites, networking and capacity building activities are only now starting to gather momentum. For the future, the evaluation suggestion to fund SMIP for an additional phase of 3-4 years in order to test the concept convincingly. It is well implemented, holds significant promise and well on its way in terms of appropriate strategies to get the proof of concept. Additional funding should be allocated - or obtained through funding partnerships - for knowledge management, sufficient monitoring of progress and achievements, and building a strong community of practice.

The following recommendations have been formulated during the external evaluation for the following broad areas in need of attention:

Recommendation 1: Adequate time and resources to test the concept
Every effort should be made to ensure that SMIP is supported for a second phase so that the concept can be convincingly tested – with adequate and if necessary additional resources for experimenting with M4I and for the following knowledge management activities:

i.   mobilise, capture, package and disseminate relevant knowledge - including from monitoring ALSs, linking with related networks, policy studies etc. – effectively in order to reach and influence well targeted audiences,

ii. building a community of practice that works, and that informs and supports (i).

Recommendation 2: Improving key aspects of the SMIP and M4I designs, with specific attention to implications for scaling up
Refine the M4I model and the SMIP theory of change to address decision-makers concerns and incorporate lessons to date, with specific attention to how best to scale up M4I activities within large, complex programmes.

Recommendation 3: Positioning and communicating the M4I concept
Study the extent to which M4I has been designed and is appropriate for addressing current and emerging development paradigms and challenges, and the concerns of potential client organisations - and communicate this clearly to well targeted, influential decision-makers and forums where they interact. In addition, where possible, use and create opportunities to influence development thinking.

Recommendation 4: Providing proof of concept

In addition to promoting M4I among like-minded organisations in order to accelerate uptake, gather convincing evidence that SMIP works, how, why and under what circumstances, and communicate its relevance and merit effectively to managers and influential decision-makers in targeted organisations.

Recommendation 5: Increasing interest in organisation-wide application of M4I - balancing supply and demand

Without stretching SMIP too thinly, increase demand for, and move towards a critical mass of M4I activity and expertise by targeting influential people and partnerships in order to increase opportunities for the organisation-wide application of M4I

Recommendation 6: Knowledge management and an active M4I community of practice

Establish a systematic approach to knowledge management, including improving the M4I network as an active vehicle for expertise development and sharing, experimenting and advocacy

Recommendation 7: Making the action learning sites work

Focus on the action learning sites as priorities for testing and experimenting with the M4I concept

Recommendation 8: Institutionalisation for sustainability

Further develop the institutionalisation strategies and other efforts towards sustainability so that M4I can be effectively embedded in the region within a few years.

To understand better what the grant programme is about and what the M4I approach contains, below key background information is provided.

1.2   Overview of the programme and the approach

Strengthening Managing for Impact in E/S Africa: The SMIP intervention

SMIP was a pilot initiative established to test the extent to which the use of the 'Managing for Impact' (M4I) approach can enhance the impact of pro-poor interventions for greater development effectiveness. SMIP was a holistic, integrated effort to promote and encourage improved management for greater impact, designed around three cornerstone strategies:

1. *Building M4I capacities* among regional and national service providers, and among the implementers of pro-poor interventions.
2. *Supporting regional knowledge management and networking* to stimulate innovation and the creation and documentation of new knowledge.
3. Fostering systems, processes and procedures conducive to *creating an enabling environment* for the efforts of pro-poor interventions to manage for impact.

At a conceptual planning workshop at Haramaya University in Addis Ababa in November 2006, the SMIP strategy and theory of change was revised for greater clarity without changing the fundamental approach. Since then it has formulated more detailed strategies, implemented through six programme components, still all linked to these three original foci (Table 1.1).

The main thrust of SMIP is capacity building among a variety of stakeholders in a manner that ensures local ownership and further expansion, including through a training of trainers approach. The capacity building includes a two week intensive training course on M4I theory and practice; the exchange of knowledge and experiences using paper and electronic media, forums and opportunities for collaboration; and the generation of new knowledge. The latter is developed by identifying and applying innovative

approaches, supporting pro-poor policy research and working with action-learning sites on a long-term basis to test and further develop the approach.

SMIP was designed to ensure engagement with different actors for different purposes:

- *service providers* – many drawn into a formal network of 'SMIP associates' - who can provide short term support to pro-poor initiatives using the M4I approach;
- *policy and other key decision makers*, in order to facilitate their understanding and promote institutional frameworks conducive to M4I;
- *donors,* in order to share knowledge and stimulate demand for service provider services;
- *regional institutions* that can promote or contribute to SMIP objectives (such as AfrEA);
- *other IFAD initiatives*, in particular (i) ongoing regional knowledge management and networking initiatives on strategic thrust areas; (ii) PRSP related initiatives; (iii) similar initiatives in other regions (e.g. PREVAL).

The main characteristics of the programme are summarised in Table 1.

Table 1. Characteristics of SMIP

Programme	Regional Programme to Strengthen 'Management for Impact' in Eastern and Southern Africa
Goal	To contribute to increasing the impact of interventions aimed at rural poverty reduction in Eastern and Southern Africa
Purpose	Key stakeholders more effectively manage pro-poor programmes in Eastern and Southern Africa.
Components	1. Effective and efficient programme management 2. Enhanced service provider capacities 3. Clearly understood and defined M4I related needs of pro poor initiatives 4. M4I implementation by pro poor initiatives with service provider support 5. Increased access to, and use of new and existing knowledge by professionals and practitioners 6. Support of, and advocacy for, the institutions, processes and systems of the efforts of pro poor initiatives to manage for impact
Desired outcomes/impact	1. Enhanced capacity of service providers to extend effective support to pro-poor interventions in pursuing management to enhance impact 2. Enhanced capacity of pro-poor institutions/interventions to manage development processes for impact and thereby contribute to improving the livelihoods of the rural poor 3. Increased awareness and understanding of, and hence support for key policy- and decision-makers for results-based management and participatory development 4. Contributions to the empowerment of the beneficiaries of pro poor interventions to participate meaningfully in the design, management and M&E of development initiatives.
Budget	US$ 1.4 million over three years (2006-2008) – IFAD US$1.1 million; Implementing agency US$92 000; SRIs US$35 000; National/local service providers US$47 000; IFAD supported projects US$ 170 000
Duration	Grant into effect: 2 May 2006; Completion date: 30 June 2009. *But no cost extension till 31 December 2009* Grant closing date: 31 December 2009
Implementing organisation	Wageningen International / DLO Foundation (now Centre for Development Innovation), Wageningen University and Research Centre, The Netherlands, in partnership with two sub-regional institutions (SRIs) – CARMPoLea in Eastern Africa (IFPRI/ISNAR and Haramaya University), and Khanya-aicdd in Southern Africa

Institutional partner	Impact Alliance (global network of practitioners involved in capacity building)
Programme oversight and guidance	Steering Committee comprised of representatives of Wageningen International (now CDI), SRIs, IFAD and initially also UNOPS Annual critical reflection/review meetings with service providers, selected IFAD field representatives, government officials and Steering Committee members.
Supervision	IFAD (East and Southern Africa Division)

Managing for Impact (M4I)

The '*Managing for Impact*' (M4I) approach is used to encourage better management of pro-poor interventions for greater impact that is sustained over time. It has been conceptualised as a holistic approach that can address some of the main weaknesses and challenges that have hampered the success of development interventions in Africa in past decades. It therefore has its own underpinning development paradigm based on theory and practical experience of managers and practitioners. The approach encourages thinking through, and incorporating in planning and action several critical elements that are often neglected[1]:

– the 'impact pathway' (the logic in the change processes);
– the relationship/people pathway (what needs to happen in order to get all actors to work together to achieve impact);
– the context – ensuring that that there is clear understanding of relevant development strategies and policies under which the intervention operates, and that may influence its success; and,
– understanding how an organisation or group of people engage in a learning process in a way that empowers them and enables them to look logically at what they want to achieve. It is therefore not simply about external experts imparting knowledge; participation is emphasized.

A number of core concepts were thus embedded in M4I, informed by ongoing debates on these topics:

– empowerment and participation, including a gender focus;
– theories of change, logical frameworks (logframes), systems analysis;
– facilitation and experiential learning - getting people to engage and learn in an interactive manner;
– monitoring and evaluation at all levels of hierarchy, including process evaluation; and,
– leadership and management.

In practice M4I focuses on four interlinked key areas underpinned by a set of principles that define the development 'philosophy' within which M4I (and hence SMIP) operates. These are put in practice through a number of approaches, methodologies and tools that can be tailor-made depending on the context and circumstances. The M4I key areas and principles are summarised in Table 2.

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[1] This section draws heavily from SMIP: Eastern and Southern Africa. Programme Management and Coordination: Guiding Principles and Operational Procedures. Annex 4 of the SMIP Annual Report 2006.

Table 2. The key areas of focus for, and principles underpinning the M4I approach

	Area / principle	Description
Key areas of focus	Guiding the strategy towards impact	Taking a strategic perspective whether an initiative is heading towards its goals, and reacting quickly to adjust the strategy or even the objectives
	Ensuring effective operations	Managing the day to day coordination of financial, physical and human resources to ensure that the actions and outputs required by the current strategy are being effectively and efficiently achieved.
	Creating a learning environment	Establishing a culture and set of relationships with all those involved in an initiative that will build trust, stimulate critical questioning and innovation, and gain commitment and ownership.
	Establishing information gathering and management systems	Ensuring that the systems are in place to provide the information needed to guide the strategy, ensure effective operations and encourage learning.
Principles	– People-centred development – benefits need to go to groups of people, not just to the development of a sector – A rigorous and shared understanding by stakeholders of theories of change which underpin the strategy of intervention – Empowerment of stakeholders at all levels – Learning – that is, a self-conscious process of reviewing and reflecting on experience, generating and applying knowledge in innovative and creative ways to improve action. – Appreciating and building on existing strengths and capacities – Promoting participatory development at all levels and including disadvantaged and vulnerable people – Promoting effective partnerships between stakeholders, including civil society, public and private sectors – Ensuring that initiatives are based on a holistic understanding of livelihoods and systems – Promoting economically, environmentally, socially and institutionally sustainable interventions – Recognising the importance of the roles of leadership and management which are consistent with learning and participatory approaches.	

List of abbreviations and acronyms

AfrEA	African Evaluation Association
ALS	Action Learning Site
ARRI	Annual Report on Results and Impact of IFAD Operations
ASDP-L	Agriculture Sector Development Programme – Livestock
ASFT	Agricultural Services Facilitation Team
ASSP	Agricultural Services Support Programme
CaMaRi	Capacity Building in Managing for Results and Impact
CDI	Wageningen UR Centre for Development Innovation
CARMPoLEA	Centre for Agricultural Research Management and Policy Learning for Eastern Africa
CMR	Corporate Management Results
CoP	Community of Practice
COSOP	Country Strategic Opportunities Programme
CPPMS	Corporate Planning and Performance Management System
ENRAP	Knowledge Networking for Rural Development in Asia/Pacific Region
EO	Evaluation Office
ERIL	Electronic Regional Information and Learning Centre
FIDAfrique	Programme du Fonds International pour le Développement Agricole - Division Afrique de L'Ouest et du Centre
GBS	General Budget Support
IA	Impact Alliance
ICT	Information and Communication Technology
IFAD	International Fund for Agricultural Development
IFPRI	International Food Policy Research Institute
ISNAR	International Service for National Agricultural Research
KPIs	Key Performance Indicators
M&E	Monitoring and Evaluation
M4I	Managing for Impact
MDG	Millennium Development Goal
MfDR	Management for Development Results
MUVI	Rural Micro, Small and Medium Enterprise Support Programme (kiSwahili)
NGO	Non-government Organisation
OM	Outcome Mapping
PCR	Project Completion Report
PIPs	Policies, Institutions, Processes
PREVAL	Programme for Strengthening the Regional Capacity for Monitoring and Evaluation of IFAD's Rural Poverty-Alleviation Projects in Latin America and the Caribbean
PRSP	Poverty Reduction Strategy Papers
PSR	Project Status Report
RB-COSOP	Results-based Country Strategic Opportunities Programme
RIMS	Results and Impact Management System
RO-AWPB	Results-oriented Annual Work Plan and Budget
RPF	Regional Programme Facilitator
SANReMP	Sustainable Agriculture and Natural Resources Management Programme
SMIP	Regional Programme for Strengthening Managing for Impact in Eastern and Southern Africa
SRI	Sub-regional Institution
SWAp	Sector-Wide Approach
TOC	Theory of Change
Wageningen UR	Wageningen University & Research centre

1 Costs and benefits of the programme

1.1 Implementation

In spite of significant challenges and delays, SMIP has been well implemented, with particular strengths in the expertise of the implementation team, the quality of planning, detailed guidelines for action, systematic adjustment as experience is gained and thoughtful documentation and use of lessons learned The success flows from high standards set by the relatively small SMIP team, and a self-critical attitude that welcomes opportunities to improve.

Implementation delays stemmed from an unexpectedly intensive effort to establish and nurture sub-regional institutions (SRIs) and action learning sites (ALSs) where the concept can be systematically tested and improved. There are some instances where SMIP could have acted faster, but where priorities shifted this was generally well justified. Yet in spite of the delays and some ongoing challenges, SMIP remains on track in terms of the key components that have to be implemented.

Although the SMIP action plan was ambitious, timelines are difficult to predict for interventions that are emergent and complex. Moreover, it takes time to effect *real change* in behaviour, practices and institutional systems, and the main challenge has been the extent to which mindsets had to shift and capacities had to be developed from a low base.

The M4I concept should be given a chance to prove itself and should be granted a next phase to complete a reasonable period of work in the action learning sites in order to prove and improve the concept.

Note: the financial costs are explained in chapter 4.

1.2 Impact

SMIP has achieved a significant amount in building programme capacities and mechanisms to support M4I application. There are many ongoing efforts by the service providers and project implementers who have been trained in M4I to include aspects of M4I in their work, although most of these are only in narrow areas such as M&E or planning rather than more broadly across organisational silos. This may present a 'bottom-up' approach to change, but there are strong indications that wider institutional buy-in will be imperative for success. Only the action learning sites are as yet offering the opportunity for larger institutional change with M4I as catalyst, although the institutional cultures and systems in these sites may also present major obstacles to the successful implementation of M4I.

The SMIP implementation delays as well as some inadequate programme strategies have delayed efforts to influence those stakeholders that can bring about organisational change, but it is an appropriate time now to shift emphasis to this important strategic imperative. It is too early to have observable impacts at institutional or intended beneficiary levels, but the foundations are being laid, and some breakthroughs are being achieved in linking with influential actors.

However, unless SMIP places much greater emphasis on understanding the role of the enabling environment - and incorporating this understanding in the SMIP approach, the M4I concept, targeting and processes of engagement with clients - M4I may not be seen as, or indeed be a viable approach to improving development.

1.3   Sustainability

Achieving results that can be sustained after termination of SMIP is at the core of the SMIP programme logic or theory of change. Strengths in this respect include the efforts to

–   Transfer expertise and responsibilities to institutions that can become the drivers for M4I in the region;
–   Build institutional and individual capacities, including among a group of high quality service providers who can satisfy, and help create demand;
–   Reflect on, analyse and document experiences so that M4I can be adapted to changing contexts and when scaling up initiatives;
–   Establish partnerships and an M4I community of practice that can continue to share and evolve the concept and practice;
–   Institutionalise M4I in the region, including in university courses;
–   Exit in a systematic and timely manner.

However, these efforts are seriously threatened by the lack of an enabling environment in institutions for this type of approach, as yet insufficient success with getting buy-in of influential policy and decision-makers, lack of proof of concept, and the major energies and resources that have to go into changing mindsets and building adequate capacities.

1.4   Success factors

The following factors were pivotal to the success of SMIP to date:

–   A needs driven design with a well-developed logic (theory of change) which evolves as lessons are learnt in collaboration with the programme stakeholders;
–   A holistic approach to management that addresses key concerns in current development practice;
–   High standards set for the programme by an expert, committed and self-critical implementation team, with particular praise given for the dedication and expertise of the Regional Programme Facilitator;
–   The use of credible evidence, knowledge sharing, learning and reflective practice as an integral part of programme design and execution, informing an adaptive management approach;
–   Systematic work and detailed documentation for high quality training, and to guide, and record and analyse performance as well as reasons for success or failure;
–   An operational model and strategies that promote transfer of expertise and ownership to regional actors, including through sub-regional institutions that can foster and further develop M4I, and a community of practice that can provide a pool of expertise and advocacy for M4I;
–   Collaboration with interested organisations to establish action learning sites in order to obtain proof of concept in challenging conditions; and
–   A strong focus on the institutionalisation of M4I in the region, emphasizing the sustainability of results and capacities in the region after termination of the programme.

1.5   Challenges

SMIP has not yet produced convincing evidence of the effectiveness of M4I and has also not yet succeeded in reaching enough influential decision-makers with an interest to create an enabling institutional environment for its implementation. But demand for M4I should be supported by the current

development paradigm in the world which is in line with the principles that SMIP promotes – harmonisation, integration, local ownership, credible evidence for decisions and policies, and better results or impacts that are truly relevant to the intended beneficiaries and sustained over time.

At present demand for M4I training far outstrips supply, mostly driven by the need for better M&E systems. Yet there is only limited demand for its implementation in organisations - and not enough to sustain a regional network of M4I specialists. This is in part due to the fact that participants in the training courses – mostly M&E staff - generally do not have the power to effect institutional change. Institutional culture and lethargies that prevent change in institutional systems, and lack of buy-in among management have been identified by course participants as serious obstacles to the wider implementation of M4I.

But high quality experts should be available when called upon for technical assistance, and these take time to develop. Yet only a handful of associates have as yet been adequately equipped, and it is clear that it is somewhat challenging to become an expert in M4I implementation without good experience with its implementation the field. This 'chicken and egg' situation is a challenge that requires a strategic choice between 'revolution' and 'evolution' – mobilising multi-stakeholder alliances that can help accelerate the uptake of M4I, or growing organically, building on convincing evidence as it becomes available.

Some senior managers in IFAD who have had some initial exposure to M4I hold less favourable perceptions of M4I, with fears that its participatory approach, learning emphasis and focus on context are too resource-intensive and cumbersome to implement, especially on a large scale. There are also perceptions that its approach may be 'too complex', that it is suitable only for small community based initiatives, and that it provides 'soft information' rather than 'hard data' that are useful for management decisions. These are not necessarily correct, but SMIP has to work harder to communicate with influential decision-makers in a manner that resonates with their needs and concerns.

As noted before, the lack of an enabling environment for M4I in institutions and inadequate incentives to effect real change in management practices are at present preventing the wider application of M4I. Organisations do not change easily, and the lack of capacity is a serious challenge. The capabilities and systems of the two SRIs that have to anchor M4I in the region are still developing. Only a few service providers have the confidence, expertise and opportunity to train and provide technical support. This is a need to work with empathetic institutions, and to ensure that M4I is adequately institutionalised in the SRIs and ideally also through formal university courses and research initiatives in key areas of management and development.

1.6   The future

If the M4I concept is proven to work within the development realities in Africa, the benefits can be major and long-term. Much has been achieved but much still needs to be done. Results are only now beginning to emerge, and the action learning sites, networking and capacity building activities are only now starting to gather momentum.
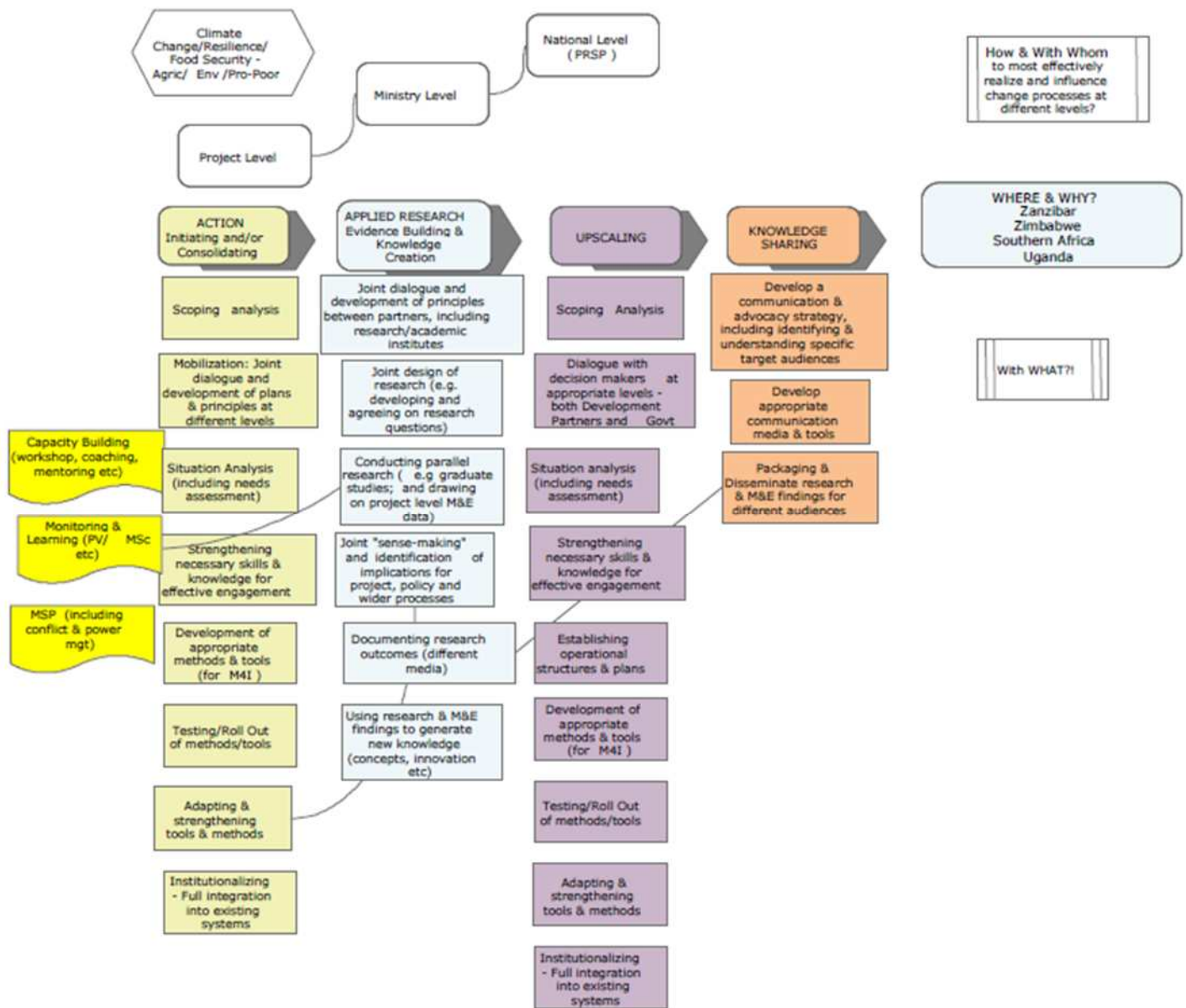
According to the external evaluation SMIP therefore has to be funded for an additional phase of 3-4 years in order to test the concept convincingly. It is well implemented, holds significant promise and well on its way in terms of appropriate strategies to get the proof of concept. Additional funding should be allocated - or obtained through funding partnerships - for knowledge management, sufficient monitoring of progress and achievements, and building a strong community of practice.

Recommendations have also been formulated for the following broad areas in need of attention:

- Improving key aspects of the M4I and SMIP designs, with specific attention to issues related to scaling up
- Positioning and communication the M4I concept
- Proving proof of concept
- Increasing interest in organisation-wide application of M4I, balancing supply and demand
- Knowledge management and an active M4I community of practice
- Making the action learning sites work
- Institutionalization for sustainability

Figure 1 below represents the ideas with the process developed to bring the M4I approach further.

Figure 1. Ideas for the future of M4I in Eastern and Southern Africa

2 Achievement of objectives of the programme and lessons learned

2.1 Overview of the Programme

2.1.1 Aims, objectives and approach

The overall goal of the Strengthening Management for Impact Programme was "To contribute to increasing the impact of interventions aimed at rural poverty reduction in Eastern and Southern Africa". The purpose was "Key stakeholders more effectively manage pro-poor programmes in Eastern and Southern Africa towards impact".

SMIP was based on the Managing for Impact approach (M4I) which is aimed at ensuring that pro-poor interventions are better managed to achieve and sustain desired impact.

The main thrust area of SMIP was capacity building – "the process by which individuals, groups and organisations improve their ability to perform their functions and achieve the desired results over time" (Morgan, 1997).

SMIP was working, mainly, with IFAD financed programmes but didn't overrule working with other pro-poor projects and programmes as an entry point for capacity building activities. Service providers engaged to provide short term support to pro-poor initiatives (for example, in designing a monitoring and evaluation system, conducting training on participatory approaches) were a key target group, given that a number of projects/programmes rely on them to assist in the development of strategic and implementation plans, and the capacity of service providers in this region has been weak in terms of managing for impact. Additionally, SMIP aimed to engage with policy and other key decision makers in order to better understand and promote institutional frameworks that are more conducive to the application of the managing for impact approach. Capacity building activities were to include theoretical and practical training, facilitating the exchange of experiences and knowledge, and generating new knowledge through the application of innovative initiatives.

SMIP was also to generate new knowledge and strengthen the M4I, as well as its own strategies and approaches. This was to be achieved through i) identifying and applying innovative approaches and ii) working with action learning sites on a long term basis to test the M4I . Information and knowledge generated through these experiences were to be disseminated and shared using appropriate communication tools such as electronic and paper media; forums; and collaborating with other relevant regional and national networks. A key use of the information and knowledge generated would be to engage in dialogue with policy and other decision makers (such as bi-lateral and multi-lateral donors) to positively influence existing institutional frameworks within which pro-poor programmes and projects operate.

SMIP aimed to implement its key strategies (described above and illustrated in the Figure 2) through 6 components:

Component One: Regional Programme effectively and efficiently managed *(contains most elements of the previous component one)*

Component Two: Capacity to support the managing for impact approach of service providers in the region enhanced *(previously component one)*

Component Three: Needs of Pro poor initiatives in the region in relation to managing for impact better understood and clearly defined *(contains elements of what was previously component two)*

Component Four: Pro-poor initiatives in the region effectively implementing the managing for impact approach with the support of trained service providers *(previously component one)*

Component Five: Increased access and use of new and existing knowledge for managing for impact by professionals/practitioners in the region (*previously component two*)

Component Six: Increased support of Institutions, Processes & Systems of the efforts of pro-poor initiatives to manage for impact promoted and advocated for *(originally component three)*.
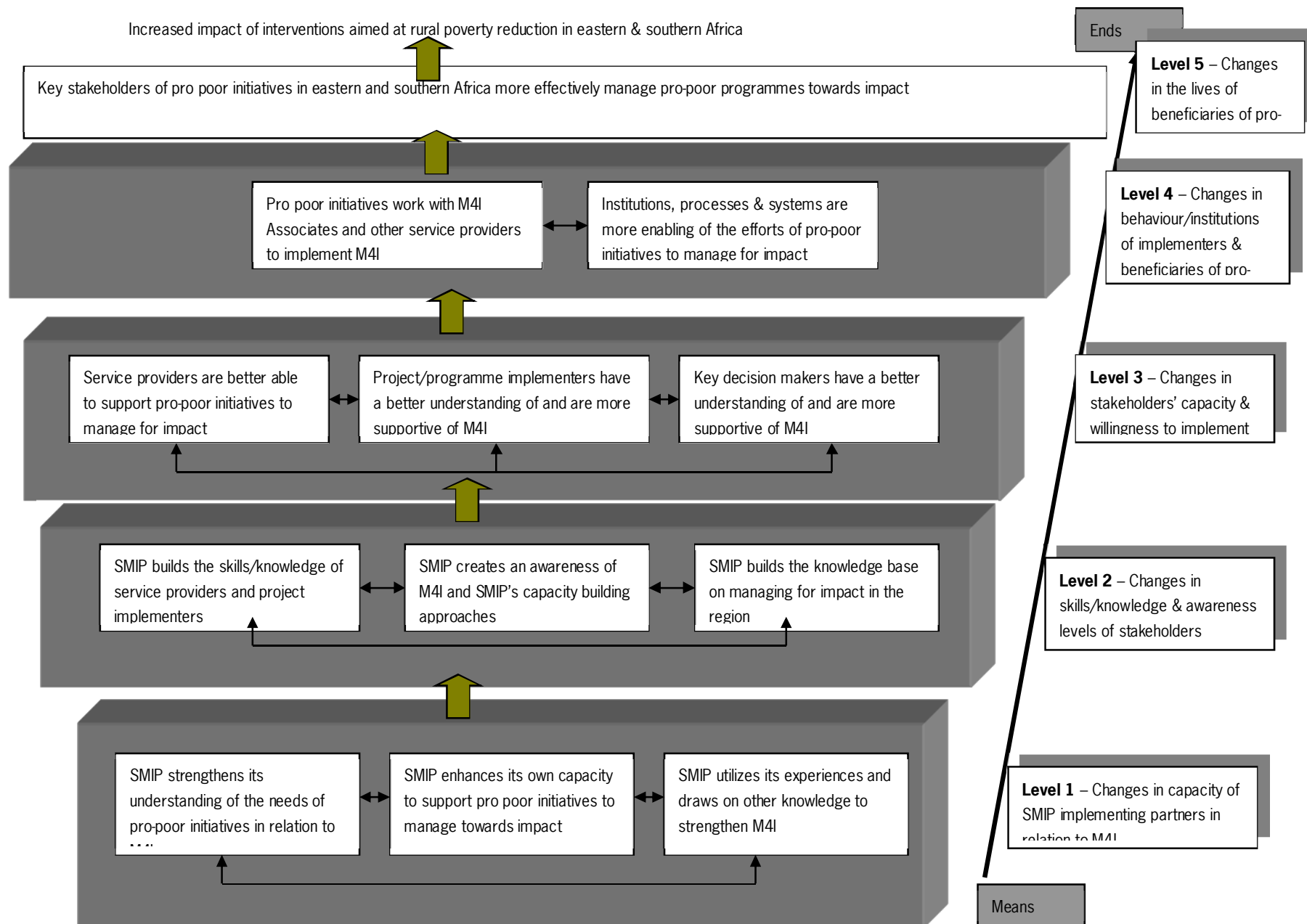
Increased impact of interventions aimed at rural poverty reduction in eastern & southern Africa

Key stakeholders of pro poor initiatives in eastern and southern Africa more effectively manage pro-poor programmes towards impact

Pro poor initiatives work with M4I Associates and other service providers to implement M4I

Institutions, processes & systems are more enabling of the efforts of pro-poor initiatives to manage for impact

Service providers are better able to support pro-poor initiatives to manage for impact

Project/programme implementers have a better understanding of and are more supportive of M4I

Key decision makers have a better understanding of and are more supportive of M4I

SMIP builds the skills/knowledge of service providers and project implementers

SMIP creates an awareness of M4I and SMIP's capacity building approaches

SMIP builds the knowledge base on managing for impact in the region

SMIP strengthens its understanding of the needs of pro-poor initiatives in relation to M4I

SMIP enhances its own capacity to support pro poor initiatives to manage towards impact

SMIP utilizes its experiences and draws on other knowledge to strengthen M4I

Ends

Level 5 – Changes in the lives of beneficiaries of pro-

Level 4 – Changes in behaviour/institutions of implementers & beneficiaries of pro-

Level 3 – Changes in stakeholders' capacity & willingness to implement

Level 2 – Changes in skills/knowledge & awareness levels of stakeholders

Level 1 – Changes in capacity of SMIP implementing partners in relation to M4I

Means

Figure 2. Illustration of the SMIP theory of change

The implementation of the programme was coordinated by the Centre for Development Innovation (CDI, formerly Wageningen International), part of Wageningen University & Research Centre, the Netherlands. CDI had developed partnership arrangements with two sub-regional institutions (SRIs) (CARMPoLEA in Eastern Africa and Khanya-aicdd in Southern Africa) that both played major roles in the implementation and coordination of programme activities. The Regional Programme also collaborated with Impact Alliance (IA), a global network comprising an international community of practitioners (individuals and organisations) involved in capacity building, but this collaboration ended after 2 years due to organizational issues at IA.

Programme oversight and guidance was to be provided by a steering committee comprised of representatives of Wageningen International, sub-regional institutions and IFAD. The steering committee was to meet annually to review the progress in implementation and approve work plans and budgets, as well as provide guidance on implementation and management issues. In addition, broader and more inclusive stakeholder review and critical reflection meetings were to be held (bi)annually and include national / local service providers involved in the programme, selected IFAD field representatives, relevant government officials and the members of the steering committee. The review meetings would reflect on progress and performance, discuss key issues and constraints and share lessons learned.

The total programme budget was estimated at USD 1.4 million over three years, of which USD 1.1 million was to be contributed by IFAD. The remainder of the programme budget was expected to be contributed by Wageningen International, partners and benefiting participants in the programme.

2.2   Context - The region within which SMIP operated

In September 2008, Ministers of developing and donor countries responsible for promoting development and Heads of multilateral and bilateral development institutions endorsed the need to accelerate and deepen implementation of the Paris Declaration on Aid Effectiveness. The Accra Agenda for Action focuses on three major challenges:

– Country ownership – Governments needing to take stronger leadership of their own development policies and engage with their parliaments & citizens in shaping those policies;
– Building more effective and inclusive partnerships – Given the increasing proliferation of development actors and the consequent management and coordination challenges;
– Achieving development results – demonstrating that actions translate into positive impacts on people's lives and being accountable for them.

Agendas such as the Paris Declaration and Accra are manifestations of major shifts in priorities, underlying theories behind positive change and views around relationships and power. This further translates itself into methodologies such as Participatory Poverty Assessments (PPAs) and Poverty Reduction Strategy Papers (PRSPs) that seek to engage the poor in decisions and actions that influence their lives. Sector Wide Approaches (SWaPs) aim at transferring ownership and responsibility to Governments, who not so long ago received support only under strict, pre-determined conditions. Today, financing agencies are rarely referred to as 'donors' and increasingly seen as 'development partners.'

Questions about the effectiveness of development investments are driving donors towards ever more rigorous attempts to achieve accountability through approaches such as Results Based Management (RBM) or Managing for Development Results (MfDR). This is a system that assumes that performance and impact will be increased by demanding that expected results are specified up-front and then holding agencies accountable for delivering them. There is a strong focus on quantitative targets and indicators as part of this system.

While this might at first seem like an obvious initiative to improve aid effectiveness, however, there are two big problems with it. Firstly, it assumes that what will be achieved can be clearly specified in advance and, in practice, leaves little room for adaptation. In a complex, dynamic and rapidly changing world, this if often a difficult to achieve. Secondly, the focus on tangible results and associated 'intervention logic' often does not take into account the time and processes required. That is, creating a sense of ownership, developing relationships and the individual and collective capacities required to make results possible.

M4I was seeking to test a comprehensive approach to the managing of development interventions by directly engaging with and contributing to resolving the following:

- Lack of ownership of the intervention among local stakeholders, who often see such donor driven activities (even if supported by the government) as disempowering, irrelevant or a series of opportunities from which to take as much as possible without a thought of what happens after the intervention comes to an end;
- Plans based on logframes that do not account for realities on the ground as conditions change, and that are often designed with only rudimentary participatory processes to satisfy bureaucratic requirements that local stakeholders had been consulted;
- In other words, plans that are made and executed with little involvement and understanding by those who are to benefit from the intervention, and thus without an incentive or motivation to work towards the desired results and impacts;
- Data collected for planning, monitoring, reporting and evaluation purposes that are frequently unreliable and even purposely adjusted to create an impression of positive results;
- Capacity building and other activities that do not have a strong focus on sustainability that recognize the context and dynamic systems in which the intervention is implemented, how these change over time and how this might affect results;
- Management approaches that do not understand the importance for success of stakeholder understanding; of processes that will inspire those who are intended to manage, implement and benefit to make a success of the intervention; of credible data collection and useful analyses that inform decision-making at all levels; and of tracking unintended consequences as much as those that were intended.

2.3   Overall Performance

In general the Programme has performed very well, as can also be seen in the evaluation report (Zenda Ofir, April 2009). The regional institutions have been able to take over responsibilities over time as can be seen in for example the regional training courses on M4I that by the end of the programme were being held independently from CDI, and in South Africa have been accredited as a course. CDI had a more supportive and overall coordination role towards the end of the programme. The capacity development of the SRIs and the regional capacity development have been important success factors in the programme. Furthermore, there has been more focus on action learning sites over the years. Also ideas for further strengthening managing for impact after the closing date of this grant have been further researched. Sharing of lessons learned has also been done. The policy forums have not been able to be held. As indicated in the evaluation report, there was need for more action learning sites over a longer period of time (more than this 3 years) to be able to generate enough data for policy influencing at a higher level.

2.3.1   Component One: Regional Programme effectively and efficiently managed

(Original) Component 1: Capacity building on the managing for impact approach.

Activities: performance

Table 3. Activity performance, Component One

Activity		Performance
1.1	Programme efficiently & effectively managed and administered by all implementation partners	– In general the programme has been well managed. CDI took the lead from the beginning and handed over responsibilities over time to the SRIs. – Particularly having a regional programme facilitator in the region (Kenya) has been very useful in this respect. Here departure mid-2009 left a bit of a gap. – Also departure of staff at the SRI's has been an issue over the 3 years. However, tasks assigned to the SRIs have been able to be carried forward by new members. At Carmpolea there was one focal point present from start to finish which was very helpful.
1.2	Ensure Steering Committee is informed regularly of progress & performance	– Annual critical reflection meetings were normally directly followed by steering committee meetings in order to discuss progress and strategic issues. – Also during the years the Steering Committee provided input to strategic issues as and when needed (teleconferences).
1.3	Review progress and performance regularly to ensure plans are on track & adapted if necessary	– The regular teleconferences (mostly bi-monthly) have considerable assisted in the updating of partners on progress and performance with reference to the AWPB and the M&E strategy, and to discuss critical issues. Strategic issues were communicated to the steering committee for feedback. – The regional programme facilitator was very supportive in this respect and communication worsened a bit after her departure mid-2009. For example the mid-year reflection meeting (teleconference) was not carried out in 2009.
1.4	Administer the SMIP Programme	– The SMIP finances have been spent based on the guide lines in the operational plan and invoices generated to request for reimbursement. – Internal audits have been carried out as part of the organizations regulations

Contribution of activities to Component one Objectives

Performance Question: To what extent is SMIP being effectively and efficiently managed?

Information required:

- The extent to which AWPBs is effectively and efficiently implemented and reasons according to SRI's and WI
- The extent to which communication within and between SRIs and WI has supported programme management.
- The extent to which mechanisms in place are supporting critical reflection, learning and program adaptation.
- The extent to which the Programme Steering Committee implementing the ToR? Explanation of how they contribute to SMIP goals. Views of SC, SRI's and WI.
- The extent to which the SMIP team is implementing the AWPB effectively. Reasons for change.

Key points:
- Generally the AWPBs were well implemented.
- Communication between SRIs and CDI (former WI) was generally adequate. Building on the regional programme facilitator was extremely helpful in this respect. The reflection was effective and developed throughout the years using the regular telephone conferences and annual review and planning sessions.
- Communication within SRIs was also adequate as tasks were implemented according to plans, even though there has been some delay due to staff changes.
- Responsibilities have been shared, CDI taking a less prominent role over time, and SRIs taking up more responsibilities (e.g. developing AWPB) . Training of staff of SRIs has been important in this respect.
- Funds have been released to the SRIs timely based on invoices. In the future it would be better to transfer the funds to the SRIs each year based on the planning sessions.
- Bi-monthly teleconferences have helped considerable in monitoring and supporting progress of the programme. The annual critical reflection meetings have been very useful for looking more strategically at progress and planning and to share critical issues. Also during team activities (e.g. regional training courses) daily reflection events were built into the work to reflect and act on issues.
- The steering committee has been useful mainly when attending the steering committee meeting right after the annual critical reflection meetings. On demand support has been provided through discussions or teleconferences. However, due to busy schedules the feedback has not always been timely enough and other measures for support would need to be thought through for a continuation of the programme.
- Whilst the collaboration with IFPRI/KICD and Khanya continued from beginning until the end, the collaboration with the Impact Alliance (part of PACT Kenya) has been discontinued due to organizational problems which affected the implementation of expected activities. These have been taken care of by other partners in the programme.

On the whole management of the programme has been effective and efficient.

Lessons learned:
- Attention should be paid to the embedding of M4I in the SRIs. This requires a capacity development strategy built into the programme. This will also deal with the issues of staff departure. Khanya has integrated M4I in several of its projects and so has IFPRI/KICD (previously ISNAR). Restructuring and many staff changes at Haramaya University have hindered the integration of M4I in the institute. Collaboration with IFPRI/KICD in Carmpolea are aiming at improving this.
- The training course on M4I is now accredited (through Khanya) in South Africa by the University of Free State. The idea is that Haramaya University also aims for a similar accreditation of the course in Ethiopia.
- The development and use of a detailed AWPB, operational guidelines, communication strategy, M&E plan have proven very beneficial in supporting the management of the program towards impact. Especially the critical reflection of the team in order to adapt the strategies was a valuable contribution.

2.3.2 Component Two: Capacity to support the managing for impact approach of service providers in the region enhanced

(Original) Component 1: Capacity building on the managing for impact approach

Activities: performance

Table 4. Activity performance, Component Two

Activity no.	Activity	Performance
2.1 Increased skills & knowledge of regional service providers in the managing for impact approach		
2.1.2	Conduct training workshops for regional service providers & practitioners	– In total 4 regional training workshops on M4I have been organised in 3 years time in: Kenya (Nairobi), Lesotho, Ethiopia (at Haramaya University), South Africa (Bloemfontein) and Madagascar. – After these regional training workshops, specific was foreseen but has been an issue over the years ; but was difficult to implement due to lack of financial resources.
2.1.3.	Develop and regularly review mechanisms to ensure that SMIP capacity building benefits are sustained in the long term	– The September 2009 the M4I workshop was accredited in South Africa by Free State University and the idea was that Haramaya would follow suit. However, the representative from Haramaya couldn't go for the training as planned, and therefore contacting the University of Free State has not been done. UFS is however willing to continue the discussion. – The approach taken during the training has been very interactive, working with participants' case studies etc. Also having peer discussions regularly and developing a personal action plan were supposed to assist participants in thinking through the implications of the training for their work.

Contribution of activities to Component Two objectives:

Performance Question: To what extent is a regional workshop an appropriate method to building capacity of service providers and project staff? Why/why not?

Information required:
- Perceptions of SPs and project staff on having the current regional workshops as a key method for capacity building in M4I?
- Explanation on why it works or doesn't and why?

Performance Question:
To what extent has SMIP contributed to a sustainable increase in the capacity of service providers & project/programme implementers in the region to support pro-poor initiatives to manage for impact? Why/why not?

Information required:
- Change in M4I competency (knowledge, attitudes, skills)
- The nature of activities (e.g. training, consulting, process facilitation) that service providers have engaged in as a result of being trained in M4I.
- The helping and hindering factors (both SMIP related as well as external conditions) in advancing M4I.
- Feedback from the clients who received M4I support from the service providers
- The most significant changes as a result of the being trained at the regional workshop
- The extent to which regional workshops are sustainable and effective methods for capacity development in M4I

Key points:

Generally the regional training workshops have been very successful as indicated by the evaluation reports of these workshops and the programme evaluation. In total 4 regional training workshops have been held over a period of 3 years (the first year took up some time for setting up the management structure and collaboration with SRIs). These workshops took place in: Kenya (Nairobi; March 2007), Lesotho (September 2007), Ethiopia (Haramaya; September 2008) and South Africa (Bloemfontein; September 2009. In total some 100 participants have been trained from the E/S region.

The last course included an accreditation process to make the course a recognized short course in South Africa. As part of this process each participant's class, practical exercise and field work was assessed. The idea is to also have a similar accreditation process at Haramaya University in Ethiopia.

The input from CDI in the courses has gradually decreased with the SRIs taking up a more active role over time. The last 2 regional training workshops have been organised and facilitated by the SRIs with little involvement of CDI. Over time also the training approach and the content (slightly) changed, to integrate input from SRIs.

Lessons learned:
- Importance of the critical reflection sessions in the evening. This helped to generate learning among facilitators and improvements of the training.
- Content is never ready and will need continuous updating in line with new developments and learning from past experiences in the training course as well as application in e.g. action learning sites. For example further deepening ideas around a learning organisation, organisational development. institutional (incl. policy) strengthening and change management would be useful.
- The trainings have attracted a variety of participants: program managers, M&E officers, and less M&E service providers. However, one of the ideas of SMIP was to create a larger pool of M4I/M&E service providers to help reduce the gap in M&E capacity in E/S Africa. This is a bit of a catch-22 as the M&E capacity is already low and there are not that many good M&E service providers around, so how do you train these or potential service providers to become good facilitators in M4I? Another issue here is that for good service provider capacity more capacity development is needed. Partly this has been done through action-learning sites but only a few service providers have been able to participate in this. More research on the reason (e.g. cost?) behind lower participation of service providers in the regional training workshop would be useful to come up with a better targeting strategy next time.
- One training alone will not always be enough for sustainable changes in an organisation, depending on the position, motivation and capacity of the participants. SMIP had limited capacity to follow up on participants' personal action plans. More resources and thinking through a sustainable strategy for capacity development would be important for the future. Coaching and sharing of the experiences around the M4I approach is recommended.
- Finally the action learning sites where combinations of training, implementation, on the job coaching could be implemented are key in the development of the M4I approach.

2.3.3 Component Three: Needs of Pro-poor initiatives in the region in relation to managing for impact better understood and clearly defined

(Original) Component 1: Capacity building on the managing for impact approach.

Activities – Performance

Table 5. Activity Performance, Component 3

Activity no.	Activity	Performance
3.1 Increased awareness and understanding of pro-poor initiatives of the Managing for Impact approach		
3.1.1	Develop and disseminate communication materials	The following communication materials have been developed and disseminated: – Brochures on M4I and SMIP – Flyers on M4I and SMIP – Abstract of M4I and SMIP for the SAMEA conference and SCAPEMA IFAD conference – A short video on a training on Most Significant Change Technique with Participatory Video: http://www.blip.tv/file/2496439/ – Posters on M4I and SMIP – Write shop report, SMIP reports – A booklet on M4I (produced by CDI, WUR) – Communication briefs – A website on M4I has been developed and implemented
3.1.2	Ensure that pro-poor initiatives are aware of SMIP and the M for I	The above mentioned materials have been used for information sharing. Over the years different web platforms have been created for knowledge sharing. The most productive one easy access has been: http://mande4mfi.wordpress.com/ Here you can find background information on M4I and a blog. Unfortunately due to the closing of the programme there have been no further blogs. We also discovered that web based sharing of information (even by SRIs) seems to be limited in the region. It was agreed not to expand the website too much as CDI already has a good resource portal on PPME/M4I: http://portals.wi.wur.nl/ppme/ Also attending or organising conferences have become more important over the years and when more materials and insights became available. CDI has been organising seminars (on complexity, innovation, evaluative quality) that attracted a lot of international experts. SMIP was represented by Khanya and was awarded a bursary to attend the bi annual AfREA conference "Perspectives on Impact Evaluation: approaches to assessing development effectiveness' in Cairo. As a spin- off from the AfREA conference the SMIP was invited to present a paper on M4I at the SAMEA conference in August 2009, the theme of which was evaluation, highlighting the importance of values at the centre of evaluation. M&E discussion lists and a contact list built up over time has been used for promoting SMIP and M4I or specific activities (e.g. regional training courses). CDI also has an international training course on PPME/M4I and strongly advocates for M4I in all of its work.

Contribution of activities to Component Three objectives

Performance questions: To what extent has SMIP's communication activities resulted in the needs of Pro-poor initiatives understood and clearly defined? Why/why not?

Information required:
- The number and types of communication materials prepared;
- The number and types of interactions with other relevant groups

Key points:

Over time more initiatives have been taken to share lessons and ideas from SMIP and on M4I as can be seen in the table above. Networking has become more important over time. It sometimes has been a bit of a struggle to communicate what M4I is about. Some have found it too difficult to understand and the communication had to be improved. M4I is similar to RBM, MfDR but more holistic in nature and combines the impact pathway with the people pathway. CDI has written up a booklet to share the key ideas around M4I, including examples e.g. from the action learning sites. This booklet is also used in the international course on PPME/M4I in Wageningen, the Netherlands.

More than the previous web platform (partly also used for internal communication and documentation), the M&E blog was used to share experiences and lessons learned regarding the implementation of M4I, especially in the Action Learning Sites.

Over time a more user-friendly and attractive brochure on M4I (annex A) has been developed and distributed.

Lessons learned

- There is a need to effectively communicate what M4I constitutes and what it's benefits and gaps are compared to other existing approaches, such as RBM / MfDR. More clear and more widespread presentations on what M4I means conceptually and what the practical implications include are needed. Possibly presenting M4I at international forums and publications may support this.
- Although web-based information shared on M4I and SMIP has been found useful it has been difficult to get people to actively contribute to the blog. Having one person assigned to support this task would be useful in future. This would require a separate budget.
- The video prepared in Zanzibar on the SMIP support training on MSC-PV and subsequent videos with MSC stories have been highly appreciated and assisted in telling part of the SMIP story to policy makers and other stakeholders. More interactive media can be used for communication and learning in the future.
- Stories, PV, case study descriptions based on action learning sites and other experiences should be collected and developed for certain target groups.

2.3.4 Component Four: Pro-poor initiatives in the region effectively implementing the managing for impact approach with support of trained service providers

Activities – Performance

Note: in the table below mainly the performance in the last year is provided. A summary of performance of key activities is provided afterwards.

Table 6. Activity Performance, Component 4

Activity no.	Activity	Performance
4.1	**Action learning/research sites applying the managing for impact approach holistically**	
4.1.1	Develop and regularly review mechanisms to guide implementation of M for I in the region	SMIP action learning site guidelines were developed.
4.2 Pro poor initiatives effectively supported by SMIP team members & service providers to apply the managing for impact approach on a demand driven basis.		
4.2.2.1	Support MUVI in training on M4I and the development of their participatory M&E system	This support was not given due to delay on the part of MUVI.
4.3 Action learning/research sites applying the managing for impact approach holistically		
4.3.1.2	Conduct ALS Planning Meeting	The Zanzibar action learning site planning meeting was carried out as planned with the involvement of the key stakeholders of ASSP/ASDP-L. A community based planning (CBP) training was conducted for SANReMP
4.3.1.3	Support the establishment of an effective electronic MIS	Technical support was given for ASSP/ASDP-L while preparing the MIS Request For Proposal. This technical support has helped in clarifying the queries raised by IFAD.
4.3.1.4	Provide coaching and backstopping support to stakeholders to implement the M&E system	The implementation of the ASSP/ASDP-L PM&E was being followed frequently and proper coaching was given when ever found necessary.
4.3.1.5	Support the establishment of mechanisms to ensure stakeholders are motivated to engage in M&E	The issue of incentives was discussed thoroughly with FFS facilitators and the program. In line with this, the program has taken the matter to higher level decision makers.
4.3.1.6	Review and strengthen the M&E system based on lessons & experiences	During the data entry training the implementation of the system was reviewed and the lessons and experiences discussed.
4.3.1.7	Strengthen capacity for identifying, documenting and communicating lessons learnt	A training by CDI on PV and MSC training has been organized for FFS facilitators, ASFT and communication experts from the government. Furthermore, a write shop was organized to document lessons learnt.
4.3.1.9	Support the establishment of critical reflection forums	Critical reflection has become institutionalised with partners in the program, and also in the action learning site in Zanzibar.
4.3.1.10	Facilitate annual stakeholder review and planning meetings	This was not conducted because finance that was supposed to be contributed from the ASSP/ASDP-L side was not available .
4.3.1.11	Provide coaching and backstopping support to stakeholders to enhance their ability to effectively guide the	This was carried out during the training or other occasions whenever SMIP teams visited action learning sites.

Activity no.	Activity	Performance
	strategy towards impact	
4.3.1.12	Identify ways in which existing operational systems support/hinder Programme efforts to manage towards impact & recommendations for change	This was done together with 4.3.1.11
4.3.1.13	Gather data & information required to address ALS learning questions	CARMPoLEA conducted this together with 4.3.1.7 Khanya also developed a methodology for the research which was a combination of desktop research, structured and semi-structured interviews and field research.
4.3.1.14	Facilitate regular meetings between learning team	This was carried out during the training or other occasions whenever SMIP teams visited action learning sites
4.3.1.15	Document and disseminate new insights/knowledge	Through: writeshop in Zanzibar; presentation in AfREA; CARMPOLEA has written a paper for an international conference (India); M4I booklet published by CDI Khanya has also prepared and distrusted reports of the action learning site activities
4.3.1.16	Convene national seminar to discuss lessons & mechanisms for strengthening managing for impact	This was not conducted because finance that was supposed to be contributed from the ASSP/ASDP-L side was not available.
4.3.2.5	Effectively manage the ALS activities	A terms of reference for conducting Action research into the conditions and capacities that make for effective implementation of SANReMP was designed and that was implemented

Performance Questions: To what extent have SMIP's capacity building activities resulted in the effective & sustainable implementation of the managing for impact approach amongst pro-poor initiatives (action learning sites and ad-hoc requests) in the region? Why/why not?

Information required:

Action learning sites & ad-hoc requests:

- The number and type of action learning sites that fully embrace the Managing for Impact principles and the degree of change in M4I self-assessments ,
- Perceptions and feedback from action learning sites and ad-hoc request projects on the effectiveness of the M4I implementation activities,
- The effectiveness of the M4I implementation activities.

Key points:
- In the beginning of SMIP there have been a few ad-hoc requests to which SMIP has helped to respond but over time a more concerted effort has gone into supporting the action learning sites in Zanzibar and Lesotho. Whilst for Zanzibar the focus was on a participatory M&E system, the focus in Lesotho has been more on community based planning.
- The Zanzibar action learning site has become an example for many other programmes in terms of integrating M4I into the programme and approach. Leadership by the project managers has been

crucial in this respect. Supportive activities were geared at institutionalising M4I which included not only addressing capacities and systems but also organisational culture and leadership.

- The implementation of the M4I in the action learning site passed through the following process;
  - Assessment of the current level of program implementation using the M4I self assessment tool;
  - Deciding the next level of program implementation that the program would like to be after one year;
  - Identifying activities that would help to close the gap between what is and what ought to be;
  - Creating the action learning team;
  - Implementing the identified activities; such as, training on data entry, documenting lessons learned and organizing stakeholders meeting.
- Various challenges had to be dealt with during the changes such as support from higher level authorities in Lesotho that had not undergone full training on (and thus understanding of) M4I. In Zanzibar the participatory M&E system meant a change in organisational culture and working with clients. For example now that criticial reflection events were being held, staff had to deal with both positive as well as negative feedback from farmers and other stakeholders. Although these critical reflection events helped to get the real issues to the table, some staff had to adjust their behaviour so as not to become offended by the increased level of participation and feedback from farmers and stakeholders.
- The Zanzibar action learning site gained interest from other areas and SMIP was requested to assess the potential for and help set up an M&E system for the agricultural sector in Kenya.

Lessons learned:
- Leadership support is crucial for the effective integration and institutionalization of M4I.
- Institutionalisation of M4I concepts, ideas and practices takes time, money and motivation. Also being ready to deal with the consequences of these changes is important as often a change of organisational culture is required. This would also mean more collaboration with other stakeholders in order to have a shared approach towards helping to address the specific issues of the clients. The government can not do this alone. Issues go beyond the focus of a programme, such as agriculture, but also touch on other issues like water, social cohesion etc.
- The implementation of the M4I in general and PM&E in particular requires lots of work in areas of capacities and making conditions ready. In the area of capacity building continuous training on data collection, data entry, preliminary analysis, conducting critical reflection and information communication is required.
- Getting the support at higher level (policy or programme level, e.g. IFAD headquarters) has been a challenge throughout the lifetime of SMIP. As indicated in the evaluation report policy makers often want evidence before giving support, whilst the evidence had to be clearly generated from the action learning sites. The IFAD guide 'Managing for Impact in Rural Development. A Guide for Project M&E' has been published in 2002 and was based on extensive research in IFAD funded projects. The M4I approach as described in this book has been further elaborated in SMIP. However, some people need to be even more convinced. That is one of the reasons why the evaluator of the programme suggested to have an extended period with more action learning sites – to provide more evidence for those hat need it. The evaluator had already been convinced by the worth of M4I as a concept and activities undertaken by SMIP to implement these ideas.
- It is important to assess and address the capacities and conditions that are required to be able to manage for impact. For example the participatory monitoring put extra work on the shoulders of the facilitators, some of which started asking for extra incentives. This could be a major stumbling block, just like lack of leadership support in Lesotho. Here introducing community based planning faced serious problems as the top level management was used to top down planning, which defies the notion of bottom up planning. Continuous support at all levels is necessary to ensure that linking of processes and activities are being done. SanREMP in particular has faced challenges in the PMU which hindered the effective implementation of an approach that could empower staff, farmers and other stakeholders to better manage for impact.

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- There is a need for capacity development not only of those engaged in implementation but also those engaged in policy making and strategic design and decision making so as to align strategies, cultures and systems and get strategic support for practical implementation procedures and processes. A participatory M&E system is not just something that farmers and facilitators do, it requires dedicated support and often a change in culture (leadership) from management too. Empowerment means not only engaging and operational level but also at strategic level so as to see where and how a programme unfolds
- Financial compliance reporting seems to override the need for platforms for critical reflection. The high demand to report for accountability seems to be counterproductive to the need for critical reflection and sensemaking so that one arrives at good strategic decisions. Without this, managing for impact is an illusion.

2.3.5 Component Five: Increased access and use of new and existing knowledge for managing for impact by professionals/practitioners in the region

(Original) component 2: support to regional knowledge management and networking

Activities – Performance

Table 7. Activity Performance, Component 5

Activity No.	Activity	Performance
5.1	Case studies, lessons learned and best practices documented and disseminated	
5.1.1	Document and disseminate lessons & experiences with M4I	Guidelines for case study documentation has been developed Write shop held in September 08. It was organized by IA and facilitated by a team from International Institute for Rural Reconstruction. The write shop involved 6 members of the SMIP team and 4 M4I network members. A number of reflections and experiences have been shared through the SMIP Blog (http://mande4mfi.wordpress.com) by members of the SMIP team. However, it will be important to identify other ways of sharing information to a wider audience using different communication tools in 2009.
5.1.2	Document and disseminate key knowledge (issues) papers	The IFPRI ISNAR members of the SMIP team had planned to present a key note paper at the ISNAR conference on "Advancing Agriculture in Developing Countries through Knowledge and Innovation conference." However, as the conference focused on impact stories, and the SMIP project had not yet engaged with projects for long enough to identify impact stories; a poster presentation was presented instead.
5.2	Regional learning and innovation networks established and active	
5.2.1	Develop and establish ERIL	The structure of ERIL was not modified. However, ERIL continued to be utilized. Additionally, a SMIP blog dedicated to M&E was established and has been quite active to date. □In December SMIP was informed that the ERIL host would be shutting down all hosting services. Subsequently, SMIP shifted the resources from ERIL to the M4I blog until a decision is made as to the most effective virtual communication method. The use and usefulness of ERIL and the blog was included in the M4I network survey. Several M4I newsletters were sent out during the course of the years.

Performance Questions:
- To what extent is there a change in the availability of and access to new and existing knowledge as a result of the program? Why? Why not?
- To what extent is the information provided relevant and used and how is it used? Why? Why not?
- To what extent has new knowledge been generated and shared? Why/why not?
- To what extent are the mechanisms for knowledge sharing effective? Why? Why not?

Information required:

Availability and access:
- The number of people who subscribed to ERIL
- The number and the nature of the trained M4I service providers and project staff entered in the consultancy database
- The number and nature of subscribers who are actively engaging in knowledge sharing through ERIL
- Nature of knowledge being shared.
- Perceptions of subscribers on the relevance, user friendliness and availability of the knowledge shared and to what extent this is new to them. Explanations.
- The number of trained SP and project staff who indicate they are subscribed to ERIL – why/why not. And who are actively engaged with ERIL – reasons.

Relevance and use:
- The number of M4I associates and partners who are actively participating in SMIP virtual forums and discussions hosted via ERIL
- Number hits of ERIL
- Perceptions of users on relevance

New knowledge generation:
- Number and types of new postings (e.g. papers, case studies,) on ERIL
- Perceptions of users on contribution to learning of users

Mechanisms for knowledge sharing:
- Types of mechanisms for knowledge sharing (e.g. ERIL, newsletter, workshops, workshop materials etc.)
- Perceptions of target group on usefulness of these mechanisms

Key points:

The M4I Network Writeshop was an opportunity for collective review and reflection on M4I principles and concepts, and participants' achievements and challenges with application. In this writeshop, participants benefited from the coaching on communication and writing provided by the IIRR team.

The process of documenting experiences began and extended beyond the formal writeshop dates and yielded a set of well-written narratives. These included an updated description of the M4I approach, summaries of field experiences and reflections on the challenges of practice. As envisaged, these documents can be adapted for various purposes. Some of them have already been circulated to a wider audience via the blog. CDI has also published a booklet on managing for impact, including many of the stories from the action learning sites.

Statistics related to usage of ERIL and the M4I Blog (http://mande4mfi.wordpress.com/) were as follows end of 2009:

ERIL had 182 registered users, of which:

- 24 have never logged in
- 76 last logged in over a year ago
- ~135 are registered as Visitors
- 14 were registered M4I Associates
- 11 were registered M4I Partners
- 12 persons have registered with the database (including 2 SMIP team members)
- There are currently no active M4I network members actively participating in SMIP virtual forums.

New postings take place fairly regularly on the **M4I blog**. From April 08 to date here have been:

- 34 Posts
- 28 Comments
- 4425 views with visitors from a variety of different countries as illustrated by the cluster map in Figure 3
  (taken from: http://www4.clustrmaps.com/counter/maps.php?url=http://mande4mfi.wordpress.com/)

The M4I network survey revealed that network members appreciate the mechanisms that SMIP has put in place for information sharing and interaction (e.g. ERIL, the blog, newsletter etc). However, many of them cited the lack of time as the main constraint to more frequent and effective networking. In addition, several respondents cited difficulties with access to ERIL or said they had not received the electronic newsletter. Therefore, follow up interactions would include updating the mailing list to improve communications and encourage more participation in the blog. It has also been noted that communications from ERIL, such as the newsletter are "blocked" by some email servers and, therefore, are not reaching the intended recipients.

In December 2009, SMIP was informed that the ERIL host would be shutting down hosting services. Given that, during the course of the year, the M4I Blog overtook ERIL as the main platform for electronic exchange among network members, probably because it is more user-friendly; the team decided to move all resources on ERIL to the M4I Blog temporarily. This worked out quite well as the blog was more user-friendly.

distance in which individuals are clustered
Dot sizes: ● = 1,000+ ● = 100 - 999 ◉ = 10 - 99 ◇ = 1 - 9 visits

The above map depicts: 330 visits from 21 Nov 2008 to 21 Jan 2009
This map is normally updated *daily* (latest: 2009-01-21 07:25:51 GMT)

Figure 3. The SMIP Blog & cluster map depicting visitors from 21st November to 21st January 2009

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Lessons learned:

- It is important to ensure that there is a good "fit" between communication tools used and the context - of both the communicator as well as the target group.
- SMIP has relied almost completely on electronic platforms (e.g. the Blog & ERIL), with a few communication materials developed used posters and brochures. The experiences to date, particularly with electronic platforms have often been challenging and lessons seem to indicate that there was not necessarily a good fit between the tools used and the context. For example, often, individuals with tangible experiences that would be valuable to share are field based and not comfortable with or have access to e-media and vice-versa. Additionally, it does seem that communicating through writing is something that not many are comfortable with and it may be useful to explore more creative ways of capturing experiences such as the use of short videos (this has partly been done but not published). Also getting others in to help document stories (such as the during the SMIP writeshop in Nairobi or the action learning site writeshop in Zanzibar) would be useful in this respect.

2.3.6   Component Six: Increased support of Institutions, Processes & Systems of the efforts of pro-poor initiatives to manage for impact

(Original) component 3: fostering conducive policies, systems and processes

Activities – Performance

Table 8. Activity Performance, Component 6

Activity		Performance
6.1	Implications of institutions, processes and systems for the effective application of the managing for impact approach better understood	
6.1.1	Identify and/or develop mechanisms to assist pro-poor initiatives to engage with institutions, processes & systems	It has been proven difficult to really engage at a higher level with institutions and policy makers. Important here is providing evidence. The evalaution suggested to continue with action learning sites in order to provide more evidence. However action learning sites take a lot of time and effort to do this. SMIP was already in its end stage when the action learning site in Zanzibar was about ready for policy influencing. It needed a bit more time (and money).
6.1.2	Research and document issues papers on institutions, processes & systems in relation to M4I	This was not done.
6.1.3	Develop a better understanding of IFAD/UNOPS and policies & processes of other relevant funding agencies in order to better support initiatives to better manage for impact	There was input provided to a consultant developing a lessons learned document for IFAD on experiences with Managing for Development Results (MfDR) Close engagement with IFAD staff during training and especially the action learnig sites, but also with IFAD Rome staff have helped to create a better understanding of IFAD policies and processes.
6.2	Policy and other key decision makers more aware of the importance of the managing for impact approach	
6.2.1	Develop and disseminate policy briefs widely to relevant policy & other decision makers	No policy briefs have been developed although a M4I brochure has helped greatly in communicating about SMIP and M4I
6.2.2	Conduct a regional workshop for policy makers	This has not been carried out due to the time it took to support

Activity		Performance
		the action learning sites and before some clear results could be observed.

Contribution of activities to Component Six objectives

Performance Questions:
- To what extent is there increased support of policy and other decision makers for the managing for impact approach and how is this reached? Why/not?

Information required:
- Policy forum: perceptions on their support for MfI
- The nature of activities (e.g. visits, policy briefs, policy forum) carried out by SRIs and WI to influence policy and decision makers on supporting MfI.
- Types of responses by policy and decision makers on MfI.

Key points:

While SMIP has not been able to organise policy fora there have been examples of exchange with policy makers and other decision makers and there has been some indication of increased interest in M4I. For example;

- During the support to action learning sites there has been direct engagement with decision makers in the project and on an occasional basis with policy makers. For example there was a meeting with a policy makers before the writeshop in Zanzibar and this policy maker also opended the writeshop with an inspiring speech. Organising the policy event with policy makers has not been possible due to closing of SMIP when the project was still generating more lessons learned (note_ this will however be done during a regional IFAD meeting on 'Managing for Impact' in the second half of 2011, in Zanzibar).
- The work carried out in Zanzibar raised the interest of GTZ who is supporting the Kenyan Agricultural Sector. Work has been carried out to help develop a participatory and learning oriented M&E system for the agricultural sector in Kenya. This work is done in close collaboration with GTZ, the Agricultural Sector Coordination Unit (ASCU), the Permanent Secretary and the Donor Working Group.
- The Country Director and Monitoring and Evaluation officer of Vita/Refuge Trust International (an Irish NGO operating in Ethiopia) requested CARMPoLEA to organize and deliver M4I training for the organizations stakeholders in 2009.

Lessons learned:

Effective policy engagement requires i) evidence on which to base arguments and recommendations; and ii) a clear identification of which policies or practices need to change and why.

SMIP is now in a much better position to engage in policy dialogue. However, before doing so, it needs to take time to identify and understand on-going policy debates and position itself accordingly.

3 Performance by the recipient and the fund of their respective obligations

3.1 Performance by programme components

As can be seen from chapter 2 generally the recipient and its partners in the E/S Africa region have been able to perform well in terms of the agreed programme. All the components have been addressed to some extent:

Component One: Regional Programme effectively and efficiently managed *(contains most elements of the previous component one)* - generally very well managed, with detailed guidelines for implementation, communication strategy, M&E plan etc. Also the regional programme facilitator has been very important in this respect.

Component Two: Capacity to support the managing for impact approach of service providers in the region enhanced *(previously component one)* – especially the regional training workshops have been very well appreciated. More effort is needed for follow up support to individual participants and their organisations to help ensure institutionalization of the M4I ideas.

Component Three: Needs of Pro poor initiatives in the region in relation to managing for impact better understood and clearly defined *(contains elements of what was previously component two)* – needs of the pro poor initiatives are well understood. Communication has taken place through e.g. a brochure, website etc.

Component Four: Pro-poor initiatives in the region effectively implementing the managing for impact approach with the support of trained service providers *(previously component one)* – this particularly relates to the action learning sites. Especially the action learning site in Zanzibar has been very successful, which was in part due to a the support of encouraging leadership. In the action learning site in Lesotho the environment for institutionalization of M4I was less conducive.

Component Five: Increased access and use of new and existing knowledge for managing for impact by professionals/practitioners in the region (*previously component two*) – this mainly relates to the web-based information sharing. The initial platform ERIL was not very user-friendly and had to be changed. The blog-based web platform was more conducive for information sharing. However, it was found difficult to get practitioners to share their stories and ideas and this communication strategy would need to be thought through and tested to make it more suitable for the region.

Component Six: Increased support of Institutions, Processes & Systems of the efforts of pro-poor initiatives to manage for impact promoted and advocated for *(originally component three)* - the support provided to action learning sites took up more time and effort than originally expected. There was not enough time to generate enough evidence for policy for a in the short time span of 3 years. More action learning sites and herewith more evidence is needed for engaging policy makers and other decision makers. On a more informal basis the links have been made situation-specific to the action learning sites. Financial performance

The table below provides a summarized overview of planned v/s actual expenditure of the IFAD Grant to date, including a detailed breakdown of planned versus actual by category and by component.

Taken into account the above justification for the activities performed it is clear that these mirror the budget. The personal cost have been more than planned for as the capacity building of the SRIs really asked for more strengthening. Also the coordination costs for the implementation of such a learning oriented programme was much more than foreseen. The policy component has been less focussed and therefore the research and consultancy part was much less at the end.

Summary by Category for the duration of the programme

Summary by Category	Planned Expenditure in US$	% of total budget	Actual Expenditure in US $	% of total budget
I. Personnel costs*	178,000	16.2	223,612	20.3
II. W/SRIs Operating Costs for Prog Facilitation**	144,000	13.1	130,702	11.9
III. Workshop, training and capacity building	598,000	54.4	646,138	58.7
IV. Research and consultancies	180,000	16.4	99,548	9.0
Total	1,100,000	100.0	1,100,000	100.0

Summary by Component for the duration of the programme

Summary by Component	Planned Expenditure in US$	% of total budget	Actual Expenditure in US $	% of total budget
Prog Facilitation and coordination (Personnel)	230,400	20.9	212,466	19.3
Prog facilitation and coordination (Operating costs)	196,900	17.9	180,961	16.5
Comp 1: Cap building	405,600	36.9	618,873	56.3
Comp 2: KM and networking	159,200	14.5	77,678	7.1
Comp 3: Policy	107,900	9.8	10,022	0.9
Total	1,100,000	100.0	1,100,000	100.0

Summary for the total expenditure

2006	172,313
2007	355,771
2008	291,071
2009	280,845
Total	1,100,000
Grant	1,100,000
Balance	0

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4   Lessons learned from the foregoing

The lessons learned are summarised from the previous chapters and partly based on the recommendations from the evaluation. These lessons could be taken up as inputs into future strategies.

Recommendation 1: Adequate time and resources to test the concept

Every effort should be made to ensure that SMIP is supported for a second phase so that the concept can be convincingly tested – with adequate and if necessary *additional* resources for experimenting with M4I and for the following knowledge management activities:

- **mobilise, capture, package and disseminate relevant knowledge – including from monitoring ALSs, linking with related networks, policy studies etc. – effectively in order to reach and influence well targeted audiences,**
- **building a community of practice that works, and that informs and supports (i).**

For consideration by IFAD Regional Programme for East and Southern Africa
This programme has been well managed but needs more resources to decrease the strain on the SMIP team during the important experimental phase and help ensure a focus on key priorities. Consider supporting SMIP for an additional four year period to enable it to provide convincing evidence of whether it works or not, why and under what conditions.

If necessary, help establish alliances to make such support possible, and consider providing or establishing partnerships for *additional* funding, especially for knowledge mobilisation and sharing with stakeholders who may be critical to its success.

Recommendation 2: Improving key aspects of the SMIP and M4I designs, with specific attention to implications for scaling up

Refine the M4I model and the SMIP theory of change to address decision-makers concerns and incorporate lessons to date, with specific attention to how best to scale up M4I activities within large, complex programmes.

For consideration by the SMIP team
Revisit the SMIP theory of change as well as the M4I model in the light of the lessons learned during the past two years and the issues raised in chapter 6. The following are examples of key aspects that need to be considered when designing and executing the next phase:

- What are the main drivers for change towards internalising or institutionalising M4I? Are these effective or desirable? How can managers be convinced of its merit given the common resistance to change - and the frequent lack of incentives to do so?
- The fact that M4I is, or appears to be, promoting the devolution of power to intended beneficiaries - or exposing those with power to the comment of those at lower levels of the institutional or intervention hierarchy. This is not necessarily welcome and may lead to resistance at best, and sabotage at worst, from influential actors.

- The perceived 'heaviness' of M4I in terms of time and money, especially when it is being implemented in a comprehensive manner. Can development initiatives afford the resources and time spent on wide participation and reflection? Can participation be curtailed to address this issue, yet the intervention still remain true to M4I principles and SMIP objectives? What are the implications for expansion/scaling up initiatives – is M4I destined to be useful for project interventions of somewhat limited scale, rather than on the scale that will lead to national or regional development?
- What is the correct level of focus for SMIP? Has there been too little focus on the programme management teams, and too much at community level, or in support of M&E units?
- The extent of contextualisation and tailor-making of processes and tools needed in each case, and the implications for expansion/scaling up – can adequate technical assistance be obtained given the complex programmes in operation in development? Or should avenues be seriously pursued to get M4I integrated into management as well as development courses and research initiatives at universities as part of a strategy to embed it firmly in wider education initiatives?
- The extent to which in-the-field support can be accommodated to supplement the two week training course – or any other model implemented that may provide for better preparation of persons to implement M4I. This may be needed to ensure that those already trained receive some additional and/or refresher support. However, the capacity constraints in SMIP need to be considered.
- The extent to which collective learning processes and events differ between organisations and programmes, in particular how it plays out at different organisational levels where M4I is being used, and the implications for the M4I approach.
- The extent to which the different components of M4I can be better integrated to be a coherent management system focused on achieving the best results, and effectively linked to broader institutional systems (such as those in IFAD).
- The type of enabling environment that should be in place to make M4I work, and the 'success factors' that will make it viable and sustained in the long term.

Recommendation 3: Positioning and communicating the M4I concept

Study the extent to which M4I has been designed and is appropriate for addressing current and emerging development paradigms and challenges, and the concerns of potential client organisations - and communicate this clearly to well targeted, influential decision-makers and forums where they interact. In addition, where possible, use and create opportunities to influence development thinking.

For consideration by the SMIP team
SMIP needs to promote the M4I concept with a good understanding of the key concerns of specific organisations (in IFAD for example) that may be important clients, as well as major development paradigms and policy frameworks (and their evolution) as these usually determine the types of methodologies used for development interventions. The SMIP team therefore have to consider *i.a.* the implications for SMIP activities given developments such as

- the shift away from seeing development as simple, stand-alone projects to systems approaches and complex development interventions (including sector-wide approaches, general budget support (GBS), transformative service delivery);
- an increasing emphasis on partnerships and hence the formation of harmonised approaches to intervention implementation and M&E - and the need to align with such powerful systems;

- the increasing emphasis on 'evidence-based policy-making' that most often is marketed as requiring quantitative data and positivist M&E methodologies;
- the increasing focus on country-led development and M&E, requiring aid-dependent governments to take the lead within asymmetrical power relationships and with insufficient capacities.

It will also be important to identify and determine the extent to which forums that steer development approaches can be influenced, and devise strategies to reach such audiences. These could include targeting key actors in for example the OECD DAC network, NGO initiatives (e.g. Civicus), private foundation forums active in Africa (such as AGAG), NONIE, development networks, evaluation associations, etc. Conferences and planning meetings could be important vehicles for establishing useful contacts and linkages. It may be more effective if this can be done jointly with initiatives with similar approaches and underlying principles to management, planning and M&E.

It will be necessary to make a well justified case for promoting M4I in Africa during a time when resources are decreasing and competition between different approaches is increasing. M4I should be promoted as one of the approaches that can assist managers and decision-makers from different parts of the organisation or initiatives, and its unique strengths should be emphasised. This will include focusing on managers' concerns, for example determining whether the perceived 'heaviness' of M4I in terms of concept and more importantly, in terms of time (to use participatory processes), is 'real' and if so, 'necessary'. Clarify the extent to which M4I can and needs to be contextualised, and emphasise that M4I is not (only) about M&E, and/or participatory processes, and/or qualitative information or anecdotes, and/or about communities at 'grassroots' level, but about improving management, including for the benefit of senior levels, to get better results (greater impact).

Clarify M4I (and SMIP) concept in language understood by different target groups using tailor-made communication products and strategies, and focusing on the benefits to them. Stay away from anything that sounds like rhetoric. 'Learning' is becoming a jaded term, often perceived as something for people who are not serious about accountability. This can easily lead to marginalisation of SMIP initiatives.

Working with influential individuals who can act as M4I champions will be helpful.

Simplify M4I if appropriate, but only to a point where it remains effective and does not lose its strengths.

For consideration by IFAD (including key units such as KM, OE, and Country Offices)
Take time to consider and liaise with SMIP about the extent to which M4I has the potential to address current development and organisational concerns - and the nature of the evidence and the processes that will be needed to convince managers of its merit. Try to identify in conjunction with the SMIP team areas that may need particular attention in order to fully exploit the potential that M4I may have for an organisation such as IFAD.

Recommendation 4: Providing proof of concept

In addition to promoting M4I among like-minded organisations in order to accelerate uptake, gather convincing evidence that SMIP works, how, why and under what circumstances, and communicate its relevance and merit effectively to managers and influential decision-makers in targeted organisations.

For consideration by the SMIP team

The SMIP M&E system has been very well developed, but is demanding to implement, and monitoring has lagged behind. Determine whether it can be simplified while ensuring that SMIP performance and results are tracked and measured in a credible manner. It is not clear that with current monitoring approaches in the action learning sites for example, or in ad hoc implementation of M4I, will convincingly show the difference that M4I makes to interventions. The results of M4I implementation need to be distinguished from other empowerment or management development initiatives operating in the same project or area (for example, the Farmer Field Schools in the Zanzibar ALS), and how it will be measured. Such methodology has to be systematically implemented as early on as possible in order to show results.

As external or internal dynamics may badly affect development projects/programmes, consider establishing alliances with organisations interested in experimenting with M4I that can generate additional funding opportunities to expand the number of action learning sites. Alternatively or in addition, more systematic tracking can be done of M4I activities by network members (in other words, beyond gathering impact stories only).

This will require understanding exactly how SMIP/M4I empowers people, institutions and systems, how this can be measured, and what this means for the SMIP theory of change and for the M4I model. And finally, as noted in recommendation 3, the results need to be communicated in a manner that targets and resonates with influential organisations and individuals – using different types of policy briefs and practice notes that explain concepts related to M4I, in addition to face to face meetings and other means of disseminating knowledge.

Recommendation 5: Increasing interest in organisation-wide application of M4I - balancing supply and demand

Without stretching SMIP too thinly, increase demand for, and move towards a critical mass of M4I activity and expertise by targeting influential people and partnerships in order to increase opportunities for the organisation-wide application of M4I

For consideration by the SMIP team

SMIP is not yet very visible, and may remain a small initiative unless it develops strategies to gather profile and momentum. There are several ways to do this, at different levels, and will require balancing supplying expertise and contributing to creating a demand.

In essence a strategic choice has to be made between a 'top-down revolution' or 'bottom-up evolution'. That is, determine whether the approach should be to work hard to prove the concept with current sites, resources, contacts and processes, thus growing M4I organically, or whether it is desirable for example to:

– engage more forcefully with initiatives, forums and networks that promote management or M&E approaches with similar values and principles[2] in order to create a wave of interest and demand for M4I type work; and/or
– work with a few more potential sponsors, like-minded organisations and programmes, and government agencies (such as the recent Kenya government initiative) to foster efforts to prove the

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[2] Such empathetic / like-minded organisations can be identified through listservs, scanning the literature including grey reports of global and regional organisations as well as abstracts of conferences on related themes.

concept with new resources (for example to establish more ALSs and more consultants who are trained and provided with opportunities for M4I implementation), and/or

- establish linkages with universities and funding initiatives through which additional human resources can be engaged, in particular such as postgraduate students, postdoctoral fellows or interns.

The following are some additional examples of what can be done.

It may be more productive to focus on IFAD (or similar organisations) at national level rather than on a project by project basis, working with those country office managers who have an interest in SMIP approaches, and helping them to think through how to 'manage for impact' at their level and in the projects the fund. Step up efforts to ensure that the IFAD Regional Programme and Country Offices are aware of the complementarity of MfDR and M4I systems, recent results of SMIP and the potential benefits of M4I - strategically analysed against their development needs.

An adequate supply of expertise will mean continuing a strong focus on building SRI training capacities and those of a core group of associates who can be trainers of trainers, and encouraging them to establish commercial initiatives that can promote M4I. The growth in Outcome Mapping consultancy initiatives can serve as a model.

It may also be useful to create awareness among professional communities that have not traditionally been targets for M4I marketing efforts by using their specialist listservs or newsletters.

For consideration by IFAD (at corporate and country level)
Assess the complementarities and dissonances between M4I and IFAD systems and strategies, including those of the Office of Evaluation, the Knowledge Management Strategy, and the systems directing MfDR – and determine how the synergies can be exploited or improved before termination of the programme.

Recommendation 6: Knowledge management and an active M4I community of practice

Establish a systematic approach to knowledge management, including improving the M4I network as an active vehicle for expertise development and sharing, experimenting and advocacy

For consideration by the SMIP team
The M4I network has been established but is not functioning optimally. It faces challenges similar to other networks in Africa and elsewhere, and it could be useful to conduct a quick study through liaison with contacts with similar initiatives to determine the factors that have led to success in establishing robust communities of practice in Africa and elsewhere. Examples could include Preval, Outcome Mapping and some of the UNDP global and regional knowledge networks. At the very least an active moderator should be appointed to manage network communication with updated tools and approaches.

At some stage a strategic choice may have to be made between the quality and quantity of network members. As more people are trained in and exposed to M4I, it would be useful to expand the network to include all those who are interested in sharing and learning around M4I, similar to the CoP on Outcome Mapping, while recognising the limitations of this modality given the many networks to which people belong, and the inadequate Internet connections in some parts of Africa. SMIP and M4I should also be more actively promoted among global M&E, learning and management practice CoPs and information networks.

In essence this means that SMIP requires a much more focused and creative knowledge management strategy that encompasses the many dimensions of working with knowledge - creating, mobilising, capturing, sharing and learning – in order to capitalise on those practicing M4I as well as influence those who can benefit from its knowledge.

For consideration by IFAD
Consider making available resources in the second phase to encourage a more vibrant M4I network and more systematic and focused knowledge management strategy.

Recommendation 7: Making the action learning sites work

Focus on the action learning sites as priorities for testing and experimenting with the M4I concept

For consideration by the SMIP team
The action learning sites will require significant SMIP support, and it will be important to determine how much training of the trainers and in-the-field process support will be required to provide all the stakeholders with required skills. This will include monitoring and nurturing key programme staff, and in Zanzibar especially the M&E team who will be critical for delivery, yet with limited capacities in the demands made by M4I. They are faced with significant implementation challenges, in particular to ensure multidirectional flows and the use of M&E information.

Unintended consequences of M4I implementation should be identified, and the incentives for embedding M4I in programme activities as well as the institutional dynamics that might affect M4I should be understood.

As noted before, the number of action learning sites could be expanded to minimise risk in case programmatic challenges neutralise and disguise the positive effects that M4I may bring to the programmes.

Recommendation 8: Institutionalisation for sustainability

Further develop the institutionalisation strategies and other efforts towards sustainability so that M4I can be effectively embedded in the region within a few years.

For consideration by the SMIP team
It will be important for SMIP to develop, monitor, analyse and document those elements that provide for positive results that will be sustained over time. It will be necessary to follow those factors that determine the success or failure of the SRIs, including whether they are systemic or can be addressed through different project interventions, and take remedial action. The "training the trainers" model should continue to be a cornerstone, and commercial models will help to embed M4I in the region. The SRIs should be given the space to increase ownership and add value as M4I evolves, while expanding their capacities to train in M4I. Efforts to institutionalise M4I in academic institutions should be further developed in management for development courses, and opportunities explored to include it as research and postgraduate studies focus.

Monitoring in the action learning sites can help determine what type of enabling environment should be in place to make M4I work, and the 'success factors' that will make it viable and sustained in the long term. These should also be recognised in the theory of change.

References and resources

In addition to the documents listed below, material from several websites were used for this completion report. The websites included:

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- IFAD: www.ifad.org, www.fidafrique.net
- Khanya-aicdd: www.khanya-aicdd.org
- IFPRI-ISNAR: www.ifpri.org
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Annex 1

Brochure

Annex 2

Detailed budget

Summary by Component for the duration of the programme

Summary by Component	Planned Expenditure in US$	% of total budget	Actual Expenditure in US $	% of total budget
Prog.Facilitation and coordination (Personnel)	230,400	20.9	212,466	19.3
Prog facilitation and coordination (Operating costs)	196,900	17.9	180,961	16.5
Comp 1: Cap building	405,600	36.9	618,873	56.3
Comp 2: KM and networking	159,200	14.5	77,678	7.1
Comp 3: Policy	107,900	9.8	10,022	0.9
Total	**1,100,000**	**100.0**	**1,100,000**	**100.0**

Status of Funds by Component (USD)

	As per Prog Design Doc	Expenditure 2006	Expenditure 2007	Expenditure 2008	Expenditure 2009	Cumulative expenditure	% of expenditure	Balance
Prog Facilitation and coordination (Personnel)	230,400	35,359	44,443	50,958	81,706	212,466	92.2	17,934
Prog facilitation and coordination (Operating costs)	196,900	38,056	37,859	43,409	61,637	180,961	91.9	15,939
Comp 1: Cap building	405,600	98,898	259,503	145,578	114,894	618,873	152.6	-213,273
Comp 2: KM and networking	159,200		11,486	49,257	16,935	77,678	48.8	81,522
Comp 3: Policy	107,900		2,480	1,869	5,673	10,022	9.3	97,878
TOTAL	**1,100,000**	**172,313**	**355.771**	**291,071**	**280,845**	**1,100,000**	**100.0**	**0**

Summary by Category for the duration of the programme

Summary by Category	Planned Expenditure in US$	% of total budget	Actual Expenditure in US $	% of total budget
I. Personnel costs*	178,000	16.2	223,612	20.3
II. W/SRIs Operating Costs for Prog Facilitation**	144,000	13.1	130,702	11.9
III. Workshop, training and capacity building	598,000	54.4	646,138	58.7
IV. Research and consultancies	180,000	16.4	99,548	9.0
Total	**1,100,000**	**100.0**	**1,100,000**	**100.0**

Status of Funds by Category (USD)

	Grant Allocation	Expenditure 2006	Expenditure 2007	Expenditure 2008	Expenditure 2009	Cumulative expenditure	% of expenditure	Balance under category
I. Personnel costs	178,000	35,359	50,899	66,469	70,885	223,612	125.6	-45,612
II. Operating costs	144,000	25,886	17,896	44,877	42,043	130,702	90.8	13,299
III. Workshop, training and capacity building	598,000	89,937	285,326	132,868	138,007	646,138	108.0	-48,138
IV. Research and consultancies	180,000	21,131	1,650	46,857	29,910	99,548	55.3	80,452
TOTAL	**1,100,000**	**172,313**	**355,771**	**291,071**	**280,845**	**1,100,000**	**100.0**	**0**

Summary for the total expenditure	
2006	172,313
2007	355,771
2008	291,071
2009	280,845
Total	**1,100,000**
Grant	**1,100,000**
Balance	**0**

The Strengthening Managing for Impact Programme (SMIP) was a pilot initiative established to test the extent to which the use of the Managing for Impact (M4I) approach could enhance the impact of pro-poor interventions for greater development effectiveness. SMIP was a holistic, integrated effort to promote and encourage improved management for greater impact, designed around three cornerstone strategies:

1. *Building M4I capacities* among regional and national service providers, and among the implementers of pro-poor interventions.
2. *Supporting regional knowledge management and networking* to stimulate innovation and the creation and documentation of new knowledge.
3. Fostering systems, processes and procedures conducive to *creating an enabling environment* for the efforts of pro-poor interventions to manage for impact.

This programme was implemented in the Eastern and Southern Africa region (including French speaking countries) from 2006 till the end of 2009 and was largely funded by IFAD.

For this programme a partnership was developed between Wageningen UR Centre for Development Innovation (formerly part of Wageningen International), Khanya-aicdd, IFPRI-IKCD (formerly IFPRI/ISNAR) and Haramaya University (in a joint partnership 'Carmpolea'); and the Impact Alliance.

More information: www.cdi.wur.nl