

ACIAR Capacity Building Program

Monitoring, Evaluation and Learning Framework





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Disclaimer

This report was drafted by Sara Webb, Duniya Consulting in collaboration with ACIAR.



The Australian Centre for International Agricultural Research (ACIAR) was established in June 1982 by an Act of the Australian Parliament. ACIAR operates as part of Australia's international development cooperation program, with a mission to achieve more productive and sustainable agricultural systems, for the benefit of developing countries and Australia. It commissions collaborative research between Australian and developing-country researchers in areas where Australia has special research competence. It also administers Australia's contribution to the International Agricultural Research Centres.

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Introduction and Overview

As Australia's specialist international agricultural research for development agency, ACIAR builds the capacity of individuals and organisations in developing countries so they can expand, administer and undertake agricultural research. ACIAR focuses on agricultural development and long-term partnerships with organisations and individuals, and integrates its capacity building approach into this way of working. Over the coming decade, ACIAR aims to deliver a range of capacity building approaches, working at multiple levels: individual, organisational and institutional. ACIAR will promote gender equity in its work, ultimately aiming for effective international agricultural research for development in the Indo Pacific region. Included in the ACIAR Act, which sets out the organisation's mandate, the Capacity Building Program is one key means through which ACIAR seeks to build capacity in the region, complementing and interacting with the capacity building work that takes place within research projects and other ACIAR activities.

To contribute to the goals of ACIAR's 10-Year Strategy 2018-2027, the Capacity Building Program has been redesigning existing

sub-programs and developing new subprograms from 2019 onwards. In this context of programmatic change, the Program has developed this Monitoring, Evaluation and Learning (MEL) Framework to support capacity building over the next five years. Initially prepared in 2019, this update was finalised in early 2021 and aims to support the institutionalisation of MEL practice in ACIAR capacity building.

The MEL Framework will support the Program to work towards common aims, support effective monitoring and management, and enable lessons to be captured, shared and used to improve future work. The Capacity Building Program engaged a specialist MEL Consultant, who worked with ACIAR to analyse Program needs and develop this MEL Framework.

This takes place within the wider organisational context of ACIAR. Most relevant is the initiative of the Chief Scientist to develop an organisation-wide Results Framework and Performance Framework. The MELF for the Capacity Building Program is designed to align with that Framework as the organisation-wide process progresses.

Capacity Building Context

The Capacity Building Program comprises a mix of longstanding programs and several new or significantly enhanced schemes to support the development of capacity in partner countries. These include:

- The John Allwright Fellowship (JAF) Program. ACIAR's flagship program, JAF provides PhD and Master's level scholarships to Australian universities.
- The John Dillon Fellowship (JDF) Program.
 Providing training in leadership,
 communications, policy and research
 management, as well as site visits and
 networking opportunities, JDF supports the
 professional development of outstanding
 mid-career agricultural scientists,
 economists and researchers.
- The Meryl Williams Fellowship (MWF)
 Program. Supporting female agriculture
 professionals to develop their leadership
 and management skills, MWF includes
 training, mentoring and support for the
 organisations where the Fellows work.
- The Pacific Agriculture Scholarships and Support (PASS) Program. Redesigned in 2020 to build on the previous University of the South Pacific (USP) scholarships partnership, PASS supports scholarships for postgraduate study at USP and Fiji National University, and supports scholarships and

research management capacity at both institutions.

The Capacity Building Program also includes ACIAR's support for and engagement with the alumni of these programs. Alumni activities include support for country or regional alumni network activities, as well as grant programs for events and for alumni-led small-scale research. A new global Alumni Strategy is in preparation and each Country Office now prepares a clear Alumni Strategy. Alongside the new Alumni Strategy will be a Monitoring, Evaluation and Learning Plan which will link to this overarching MELF.

Furthermore, over 2020, the Capacity Building Team commissioned analytical and consultative work focusing on the organisational and institutional aspects of capacity building. That work is reflected in this updated MELF with greater clarity about the emphasis on organisational capacity outcomes rather than institutional. The MELF is designed to support increased focus on monitoring and evaluating the contributions capacity building is making to the organisational capacity of targeted organisations in partner countries. It will operate in tandem with the ongoing work to strengthen organisational capacity building approaches across ACIAR.

MEL Framework Overview

This MEL Framework (MELF) provides a structured approach to the collection, analysis and use of data about the progress, performance and results of activities within the Capacity Building Program. As a management tool, it is intended to clarify the processes and resources applied to this work, and to underpin well-informed and evidencebased program planning and management. The purpose of the MELF is multi-faceted:

- Management: providing the information needed by the Capacity Building Program in ACIAR and by service providers implementing sub-programs, so they can make sound day-to-day and strategic management decisions based on timely and reliable information.
- Learning: enabling the Capacity Building Program, other ACIAR staff, and the broader agricultural research for development community to learn from program experience, to apply that learning to ongoing and future activities.
- Accountability: supporting strong accountability to ACIAR senior management, including the Training Committee, and to the Australian Government about the use of Capacity Building Program resources, and the achievement of positive outcomes.
- Communication: contributing to the communication and knowledge-sharing work of the ACIAR Outreach Team and the wider ACIAR community as part of highlighting ACIAR's successes, strengthening ACIAR's networks and links, and supporting the wider Australian public and science diplomacy agenda.

The MELF encompasses the main subprograms of the Capacity Building Program, namely: the John Allwright Fellowship (JAF), the IAF Executive Leadership program (IAFel). the John Dillon Fellowship (JDF), the Meryl Williams Fellowship (MWF), the revitalised Pacific Agriculture Scholarships and Support Program (PASS), and ACIAR Alumni activities and programs including ACIAR Learn,.

The tools and methods described in this document were developed, tested and utilised from their launch in 2019. This updated MEL Framework was prepared in early 2021, building on experience to date, and responding to the constraints and opportunities which have arisen as a result of the COVID-19 global pandemic.



Communicative

This MELF and its implementation will be guided by a set of important principles:

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Useful	The MEL system will meet the needs of program management, planning and communication, with relevant and timely information.
Proportional	The MEL system and its methods are proportional to the scale, value and strategic priority of each the Program and its sub-programs.
Ethical	All MEL activities will reflect high standards of ethics in the collection, management, analysis and use of data .
Inclusive	Gender, disability and other social exclusion factors will be addressed in MEL, to monitor the extent to which activities are inclusive (or not).
Integrated	MEL systems will be integrated into program management systems, for efficiency and to ensure maximum utilisation and relevance.
Communicative	Information will be shared with diverse audiences and users, through

communications, outreach, learning and reporting.

Theory of Change

A 2017 Review of Capacity Building observed that: "Within ACIAR, there is a consistent recognition that capacity building is an integral part of the business model... However, [there] is a range of views about what are the objectives" (p12) and that there is: "...a consistently narrow view about what are capacity building activities", focusing on formal education and training, not 'informal' learning-by-doing. Analysis that informs this MELF corroborates this: there is commitment to capacity building, and it is prominent in ACIAR's organisational identity and mandate, but it is not systematically approached, managed or assessed.

ACIAR's most formal, and most recent, articulation of intent with regards to capacity building: the Capacity Building Policy, responds to this view by establishing an articulation of what capacity building is within ACIAR. According to the policy, capacity building includes "on-the-job training, leadership, mentoring, two-way-transfers of ideas and technologies, and empowerment to undertake research". It recognises that capacity building is much more than just building skills and knowledge through training, and that it occurs at individual, organisational and institutional levels. But the Policy omits any reference to the expected outcomes what will be changed – which result from investments in capacity building.

Therefore, to strengthen program planning and management, the Capacity Building Program developed a theory of change for its work. This theory articulates the outcomes ACIAR seeks to achieve through its formal capacity building investments, and is the basis for the monitoring, evaluation and learning framework documented herein. The theory of change was developed within the Capacity Building Program, and then ground-truthed and refined with input from a wider group of ACIAR internal stakeholders, including the Chief Executive Officer, Chief Scientist and

Research Program Managers. It is designed to align with and contribute to the overall Results and Performance Framework which are in development for ACIAR as a whole, and can be adjusted as necessary as the Framework is finalised. The theory of change was refined further during the preparation of this updated MELF, reflecting experience to date and the prevailing context for the Capacity Building Program.

For a program to have robust monitoring and evaluation, and to enable sound program planning, management and implementation, it is essential that there is shared clarity of intent. What this means is that the key stakeholders in a program, including staff and senior management, should have a common understanding of what the program is aiming to achieve and the broad strategy for how it will get there. The Capacity Building Program theory of change is designed to provide this clarity of intent. It illustrates - in diagrammatic form – the changes sought (the intended outcomes) and summarises the pathways towards those changes. A theory of change is not an implementation plan, nor a blueprint for delivery, but a conceptual model based on logic which can provide the underlying scaffolding for a program and its management, and communication of program intent.

The theory of change is conceptualised as a sequence whereby inputs and activities generate capabilities and outputs. These in turn deliver direct outcomes which – through utilisation and influence – should contribute to significant indirect outcomes. Within the theory, there are interconnections, reinforcing influences and feedback loops, which are important in its success. Ultimately, the outcomes of the CBP are designed to contribute to ACIAR's six overall objectives, as set out in the ACIAR 10-Year Strategy 2018-2027 - the development impact. To contribute to this impact, the CBP must work in tandem

¹ Some programs and activities also funded through the Capacity Building Program are initially out of scope. While most are small and ad hoc, the Capacity Building Unit determined that the funding provided to The Crawford Fund (\$1 million per year, and which includes support for the RAID Network), would not be included. An annual Memorandum of Understanding is negotiated with the Crawford Fund, and while it is understood that this does not provide any MEL or reporting obligations, or articulate specific intended outcomes, it does present an opportunity to introduce MEL obligations at some point in the future.

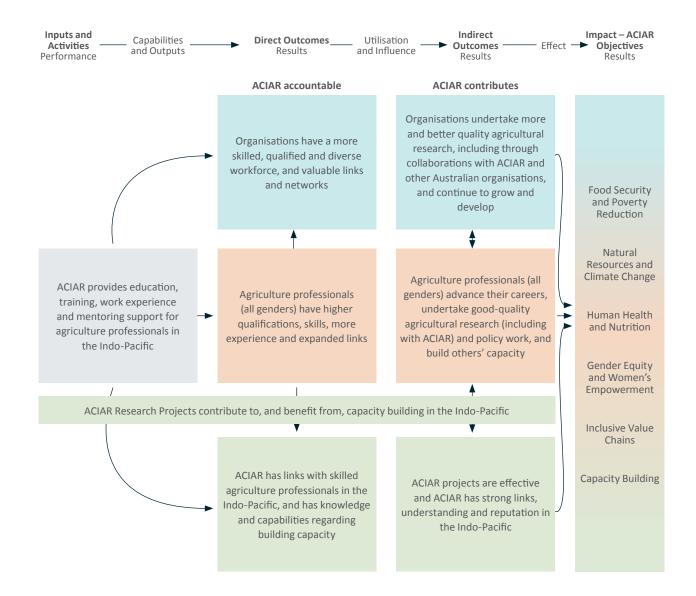
² Estimated for 2019/20, and totalling \$8.4 million in that financial year.

³ For example, the Australian Evaluation Society: https://www.aes.asn.au/images/stories/files/membership/AES_Guidelines_web_v2.pdf

⁴ Coffey, S. 2017, High-Level Review of ACIAR's Capacity Building Program and Related Activities

with the other things ACIAR does, most especially its research projects around the world, and it must function effectively within the context of each partner country and partner organisation.

At a summary level, the CBP theory of change is as follows:



While it is presented diagrammatically in linear form, the Capacity Building Program is deeply conscious of the fact that capacity building is far from a linear process. In practice, achieving the changes described by the outcomes will be much messier and less predictable than the theory of change implies. But as a conceptual structure around which to build the monitoring, evaluation and learning framework, as well as a means to communicate the intentions of the Program as a whole, the theory of change is useful.

The theory recognises that there are three interconnected domains of change: changes for individual agriculture professionals, changes for the organisations in which they work, and changes for

ACIAR itself. Change in one domain is often influenced by changes in other domains. For example, many of the outcomes sought for individual agriculture professionals cannot happen unless they have opportunities and support within their organisations. Therefore, for the Capacity Building Program to be most effective, it must engage with those organisations in ways which enhance opportunities and support for ACIAR alumni. Similarly, ACIAR cannot continue to work with its alumni in research projects if they do not remain in their scientific fields and within their home countries, so the Program must maintain contact with them and find ways to continue support them. The theory of change is detailed further in the attached

⁵ ACIAR. March 2016, Capacity Building Policy

⁶ Ibid

⁷ https://www.aciar.gov.au/publication/Ten-Year-Strategy

diagram below. It provides a more comprehensive articulation of the intended outcomes of the Capacity Building Program.

The ACIAR capacity building program operates with an awareness of the fact that formal and informal institutions influence the effectiveness of the Program. Those institutions – the rules and norms – can operate as enablers and constraints. Understanding the institutional context for capacity building will be an increasing concern for the capacity building program, supported by specialist advice.

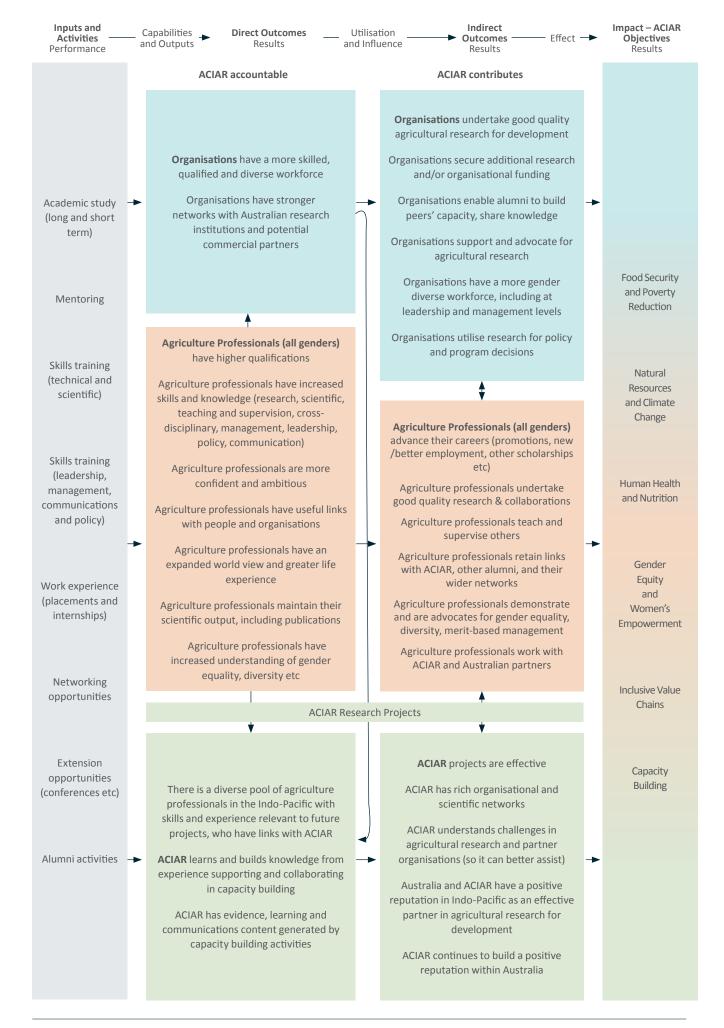
Progress towards these outcomes will depend on the performance of the sub-programs which comprise the Capacity Building Program. Not all of these will contribute to all outcomes. Some, for example, may be more narrowly focused on supporting individuals, regardless of their organisational links. In this case, the MEL for that sub-program would focus on outcomes for those researchers. Other sub-programs, however, will have a more explicit focus on supporting organisational as well as individual development, so their MEL will be broader and encompass more of the outcomes.

It is important to note that the focus of the Capacity Building Program – and in this case, its monitoring and evaluation – extends as far as the Indirect Outcomes. However, that focus is informed by the understanding that the Program is accountable for the Direct Outcomes, but makes a contribution to the Indirect Outcomes. In other words, the Direct Outcomes are expected to be attributable to the work of the Capacity Building Program, but other factors will influence the extent to which Indirect Outcomes occur; although ACIAR makes a key contribution to these, it is not the only influence. The MELF is designed to reflect this important distinction.

Impact (in this case meaning the achievement of ACIAR objectives more broadly) is well beyond the line of accountability for the Capacity Building Program. This is because change at this level is the result of countless enabling and constraining factors, so it is impossible to meaningfully identify the contribution of the Capacity

Building Program. As such, tools, methods or sources of evidence are not included in this MELF to assess impact. However, future impact studies undertaken by the ACIAR Impact Assessment Research Program would be expected to include consideration of the contribution of relevant Capacity Building Program activities.

The theory of change provides the structure for the collection, analysis and use of data through the MELF. The matrix in Section 11 below maps the source of evidence for each element in the theory of change, and Section 7 outlines each of the methods which will provide that evidence.



5.1 Risk and Assumptions

The theory of change for the Capacity Building Program relies on several assumptions which must hold true for the outcomes to be achieved. To manage the

Program in light of these assumptions, they are aligned with an assessment of risk and identification of risk mitigation actions:

Assumption The MELF will be effective if:	Risk The risk is that:	Action CBP will manage risk by:
Capacity Building Program and its service providers have clear and mutually agreed intentions for each sub-program.	Poorly articulated sub-program designs, or those without sufficiently detailed program designs, will lead to confusion or uncertainty about sub-program aims, undermining effective management and implementation, and causing difficulties in the relationship between ACIAR and service providers.	Working with service providers in the design and management of all relevant subprograms; requiring stronger sub-program designs and explicit attention to monitoring, evaluation and learning within them; and ensuring that resources are allocated to support MEL within sub-program budgets and workplans.
There is a culture of openness and trust within ACIAR and between ACIAR and service providers, which enables robust discussion and reflection about the successes, failures, challenges and opportunities within each sub-program and the Program as a whole.	Service providers may feel they cannot raise challenges or instances of underachievement because of the risk of negative reactions from ACIAR, which will reduce the extent to which they can genuinely work with ACIAR to refine sub-program designs or implementation arrangements so they can be more effective.	Taking a constructive approach to managing sub-contracts which demonstrates openness, and values transparency and genuine learning, and which also explores ways to provide explicit incentives within contracts which reward learning and improvement.
All relevant sub-programs within the Capacity Building Program will contribute evidence towards the CBP MELF.	Sub-programs do not have sound MEL arrangements which align the overarching CBP MELF, or which are not resourced adequately or not effectively implemented.	Ensuring that all sub-programs develop and implement appropriate MEL arrangements which align with and feed into the overall MELF, and providing support to assist with this, if necessary.
		Including contractual obligations on service providers which provide incentives for effective MEL.
ACIAR Research Programs engage effectively with the Capacity Building Program and its relevant sub-programs.	If the CBP and the research programs are not well linked with capacity building activities purposefully integrated within projects from their design onwards, there is a risk that positive outcomes will be lesser than they would otherwise be.	Strategic engagement with Research Program Managers; proactively sharing evidence of Capacity Building Program outcomes; bringing learning to bear on project design, review and approval processes; and providing practical and creative suggestions about effective ways to link research and capacity building. Active collaboration with capacity building and organisational evaluations undertaken
		through the Impact Assessment research program.
ACIAR Country Network engages effectively with the Capacity Building Program and its relevant sub-programs.	If the Country Network is not aware of and contributing to relevant capacity building activities specifically alumni and JDF, there is a risk that positive outcomes will be lesser than they would otherwise be.	Leading on engagement with Country Network; proactively sharing evidence of Capacity Building Program outcomes; bringing learning to bear on project design, review and approval processes; and providing practical and creative suggestions about effective ways to link alumni and Fellows with and capacity building and ACIAR.
There is sufficient provision for MEL activities within the Capacity Building Program budget, and within the budgets of subprograms.	Insufficient MEL resources will mean that data is not collected, analysed, reported or used for management or improvement.	Internal and external resources allocated by ACAR to support the implementation of the overarching MEL Framework, which progressively introduce MEL resources into each sub-program, starting with those currently being designed and contracted.

5.2 Sub-program MEL

For this MELF to be effective, all sub-programs within the Capacity Building Program must align their intended outcomes and their monitoring, evaluation and learning approaches with the overarching framework. Sub-programs will be designed (and re-designed, where necessary) to ensure that they provide for the basic requirements of a good-quality MEL system, including clear intentions, a documented MEL approach, clear information flows, explicit resource and responsibility allocation for MEL, and support for learning and utilisation of MEL .



<u>Utilisation</u>

Everything within the MELF is designed with an eye to its use and usefulness, in support of program planning, management, improvement and learning. Utilisation of the evidence created through MEL broadly falls into three categories aligned with the purposes of the MELF: Management, Learning, and Improvement, Accountability (reporting) and Communications (outreach).

6.1 Management, Learning and Improvement

The primary user of the aggregate evidence arising from the MELF and its implementation will be the Capacity Building Program. The Program will utilise it in immediate and longerterm strategic planning and management, and it will inform decisions about the allocation of resources, as well as priorities for program expansion and improvement.

The flow of information within ACIAR, and between ACIAR and its service providers, coupled with a strong culture of reflection and learning, will contribute to collective learning within the Capacity Building Program, and about capacity building for agricultural research more generally.

To widen learning, the Capacity Building Program will also seek other opportunities to share ACIAR's analysis and experience of capacity building for agricultural research for development. These may include contributing to conference proceedings, the preparation of academic and other papers, and input into ACIAR communications events and publications.

6.2 Accountability (Reporting)

Formal reporting of the Capacity Building Program takes place through several processes. Brief overview data and discussion is included in Quarterly Reports to the ACIAR Commission and in the ACIAR Annual Report. Key details are also aggregated annually for inclusion in the ACIAR Annual Report, and ACIAR's reporting against the Portfolio Budget Statement, at a high level. The MELF will enable both reports to include more comprehensive and robust evidence while also enhancing the depth of data through additional case study and other evaluative

work, which will enhance reporting both internally and publicly.

This update of the MELF also introduces a brief Annual Capacity Building Report. It will be prepared at the end of each calendar year, and provide a combination of public reporting and more detailed internal discussion. The Annual Capacity Building Report will be submitted to the ACIAR Training Committee, which meets in February each year to finalise the selection of JAF awards, and will be designed to both summarise the Capacity Building Program and its achievements from the preceding year, and prompt reflection and analysis of the Program from a strategic and performance perspective.

6.3 Communications (Outreach)

The significant investment in collecting data, including rich qualitative data, being made through this MELF, will be a valuable source of information for the outreach and communications work of ACIAR. There is also scope for collaboration between the Capacity Building and Outreach Teams in many MEL activities, such as the development of case studies. Ultimately, there will be stronger and more varied evidence of capacity building outcomes which can be used in outreach and communications products and activities, as a result of the implementation of the MELF.

Tools and Methods

The tools and methods, which will enable the collection, analysis and use of data through this MELF, are outlined below, and their relevance to the theory of change is mapped in detail in the Matrix of Evidence in Section 10

In summary, the tools and methods comprise:

- Tools used by service providers, but which will be increasingly aligned and made consistent;
- A number of additional tools which will be developed and implemented by the Capacity Building Program to collect data not currently being collected; and
- Simple information management tools to increase efficiency in data analysis and reporting.

Disaggregation Variables

As the MEL system for the Capacity Building Program is consolidated, it will progressively systematise the collection of data, including the use of consistent definitions for key variables which will enable aggregation and disaggregation of data across sub-programs, as well as simple analysis such as cross tabulations.

All sub-program service providers will align their relevant M&E tools to ensure that data is collected in alignment with the following key variables:

Variable	Definition
Gender	People will uniformly be asked to indicate their gender on all forms as follows: • Male • Female • Prefer to specify another way
Age	Information about individual participants will include details that enable analysis and reporting of the ages within cohorts.
Highest level of previous qualification	Individuals will be consistently asked to indicate their previous highest qualification as follows: Certificate or Diploma Bachelor's degree/Undergraduate Postgraduate PhD
Disability	At least initially, the requirement to consistently report disability status for people involved in the Capacity Building Program will rely on existing practices within service providers. The key obligation, however, will be to indicate disability status as a simple 'yes/no' for all participants. Collecting accurate disability identity data is notoriously challenging and international best practice involves the use of the Washington Group Short Set of questions. Designed for surveys and censuses, they have also proven effective in application and registration forms, including in the Pacific region. Introducing this approach to disability data collection does require investment in personnel skills and understanding, so where this form of questioning is not already in use, the Capacity Building Program will consider its introduction in future.
Organisation type	When a person provides the name of the organisation at which they work, they must also indicate what type of organisation it is, from the following categories: • University or tertiary institution (i.e. awards formal qualifications) • Government ministry or department • Government research institution (does not award formal qualifications) • Private research institutions (does not award formal qualifications) • NGO, development or other organisation not specified above This categorisation will enable sampling and analysis to explore whether there are differential experiences or outcomes for people working within different types of organisations.

Application/Registration Forms

Each sub-program collects information about the people who participate within it. This takes place through various methods, including application forms for Fellowships, registration forms for seminars or networking events, and enrolment forms for training courses. While these forms do not need to be uniform across sub-programs, it is essential that they have some common elements. This will ensure that key data is collected consistently across sub-programs, and can therefore be aggregated and compared.

Data collected through these forms is mainly demographic, describing the people involved in the activities, and will mainly be used to monitor the extent to which activities are inclusive (or not), to measure change in participation rates and types over time, and to provide a baseline for subsequent evaluative work such as tracer studies and case studies (including for sampling). The Capacity Building Program will work with service providers to ensure consistency in the use of key variables and common data collection.

Service Provider Monitoring Tools (e.g. participant evaluations, online modules and surveys, and participatory methods)

Service providers utilise a range of methods to collect feedback from participants in training, workshops and other activities within capacity building programs, and to monitor their progress. Each has their own format for these, with individually developed questions, categories, ratings and other components.

To progressively bring this important data together in a more consistent way, the Capacity Building Program will collect and compare the various forms and other tools used across the different service providers, to analyse the extent to which they are in alignment, and to which they diverge. Based on this initial comparison of existing tools, specific areas for refinement will be identified and negotiated with service providers. As with the Application/Registration Forms, the aim is not to mandate specific monitoring methods or instruments. Instead, the aim is to achieve consistency across tools and service providers in common areas, such as key questions and definitions of variables. This will maximise opportunities for data aggregation and disaggregation, while leaving the necessary scope for sub-program-specific monitoring tools to continue to be used.

This standardisation work will be completed in 2021.

Alumni Annual Reports

Both service providers and ACIAR Country/Regional Offices hold networking, communication and learning events as part of their capacity building and alumni engagement activities, in many cases guided by the ACIAR Alumni Strategy launched in 2020. It is important that records of these events are kept in ways which provide consistent and relevant data that feeds into the overall MELF. This includes ensuring that information about participants aligns with the key variable definitions above, but also involves reporting on events in a consistent way. As part of operationalising the new Alumni Strategy, Country/Regional Offices will begin using a new template for Annual Reporting on their alumni engagement. These reports will feed important alumni data into the MELF. Additional MEL templates to support Country Offices will also be developed in 2021, in consultation with Country Office staff.

These reports will complement the increasingly comprehensive data available through the Alumni360 alumni database regarding the ACIAR alumni community, their activities and their achievements. The data in Alumni360 will also be further expanded in line with the MELF.

Tracer Studies and Alumni Surveys

Because the individual people supported through the Capacity Building Program are central to so many of the intended outcomes, data about their experiences and their outcomes are central to the monitoring, evaluation and management of the Program. Thus an integrated cycle of tracer studies and alumni surveys is an essential component of the MELF, examining the experiences and career paths of graduates from long and short-term Fellowships.

Once a year, ACIAR will conduct an Alumni Survey. This survey, deployed via the Alumni360 platform and using an online survey tool, will seek regular feedback from alumni. Designed as a simple survey that is not onerous for alumni to complete, it will collect data on alumni's professional outcomes and achievements, as well as feedback on any events or resources each alumnus has engaged with in the previous year. Data will be shared with each Country Office as part of their alumni engagement M&E system, and will be utilised by the Capacity Building Team to inform alumni engagement activities and resourcing. Data will also feed into periodic Tracer Studies.

The Capacity Building Program implemented a substantial Tracer Study of the John Allwright Fellowships in 2020, examining the post-JAF experiences and outcomes for Fellows who completed in 2010-2019. The 2020 Tracer Study covered alumni who completed their JAF between 2010 and 2019; a 10-year timespan for the population. In future, ACIAR will commission a substantial Tracer Study every

five years. This Tracer Study will replicate the mixed-methods approach but examine a five-year timespan for the population. The Study design will be adjusted as necessary but will also retain maximum comparability with the 2020 Study. There may also be value in including the alumni of short-term Fellowship programs in this Study, with data and outcomes disaggregated to examine the differential outcomes from long and short-term capacity building programs.

Alumni Case Studies

Case studies are useful in understanding programs which are complex, or which operate in complexity. Certainly the building of capacity for scientific research and leadership in multiple countries and contexts is a complex undertaking. Case studies complement other research and evidence (such as that which will be developed through tracer studies, service provider reporting, etc.), providing rich data for a small sample as a counterpoint to the broad but shallow data for whole cohorts of agriculture professionals. They provide a practical way to capture complex issues and outcomes, including those relating to leadership, social and world views, and broader personal and organisational changes which cannot readily be captured through other methods in the MELF.

The advantages of case studies are many: they provide insights and understanding which are valuable for learning, and they can provide explanatory evidence which sheds light on other data. They are also useful for the work of communications, both internal and public, as they provide rich stories which can include the direct voice of the people and organisations supported through ACIAR capacity building.

Therefore, to provide greater depth of insight and understanding of the experiences and outcomes resulting from the Capacity Building Program, case studies will be prepared periodically. These may examine the experience of an individual agriculture professional, or a group of professionals (e.g. within a specific field of expertise or country). Ideally, case studies will include multiple perspectives on each case – not just the alumni's own perspective – and will be documented in forms which are suited to publication.

Organisational Case Studies

The capacity building theory of change articulates a number of intended direct and indirect outcomes for organisations. Not all capacity building programs will contribute to these outcomes, but some certainly will. Therefore, a means of examining progress towards these outcomes is required, and organisational case studies will be included to meet this requirement. In addition, any sub-programs with core organisational targeting may include additional institutional M&E activities to provide additional depth of evidence.

Organisational case studies will collect feedback from key organisational leaders regarding the contribution of ACIAR capacity building to their organisation (and thus, to the organisational outcomes sought from the Capacity Building Program). Organisational Case Studies will also provide the opportunity for the organisations which employ alumni to provide their perspectives on ACIAR alumni: their contributions to the organisations, their skills and attitudes, and the extent to which they are sharing their new expertise.

Careful selection of organisations for case studies will be important, and will be done in collaboration with ACIAR Country/Regional Offices and the Country Program, as the nature of organisational engagement varies significantly both in depth and duration.

ACIAR Internal Learning

ACIAR's internal learning about effective capacity building is a key element in the Capacity Building Program's theory of change. A number of initiatives provide opportunities to support this. First, the Capacity Building Working Group is being reinvigorated in 2021, and will be supported to one potential initiative to strengthen the utilisation of data regarding capacity building, which would underpin ACIAR learning and be an increased role for the Training Committee. This Committee brings together some of the key senior staff in ACIAR to make decisions (e.g. approving the award of JAF scholarships), and provides an opportunity to have wider discussions about the approaches and programs which support ACIAR capacity building.

Information Management

At present, there are several different information management systems that are within ACIAR, but not within the Capacity Building Program. Notably, Capacity Building Program data is held independently with individual service providers relating to the specific sub-programs they implement, and the data held within ACIAR is fragmented.

Consolidation of information management across the Capacity Building Program will be a medium-term undertaking. The first step is the preparation of this MELF, and the clearer definition of the types, formats and categories of information that is included within it. Service providers will be required to collect, analyse and manage their data in

alignment with the MELF, and to communicate it to ACIAR through reports and other outputs in ways which increasingly allow the Capacity Building Program to meaningfully aggregate

During 2020, the Capacity Building Program developed and launched a new Alumni Database using Alumni360. This will substantially strengthen the management and use of alumni data, and bring a consistent global approach to alumni data across ACIAR for the first time. The Alumni database will strengthen several aspects of this MELF, especially the implementation of Tracer and Case Studies of alumni.

9 Reporting

Annual Capacity Building Report

A key initiative to support ACIAR learning and reflection regarding capacity building will be the new Annual Capacity Building Report. A brief document, the Report will summarise the year's work in Capacity Building. It will provide descriptive data on all programs, as well as evidence regarding outcomes and feedback on the quality of programs, and of alumni engagement activities. The Report will be provided to the Training Committee and the Capacity Building Working Group, potentially to the ACIAR Commission, and will be published on the ACIAR website.

The process of preparing the Annual Capacity Building Report – early in each calendar year – will also feed into other ACIAR reporting obligations including annual corporate reporting, which takes place mid-year.

Annual Corporate Reporting

ACIAR prepares an annual Corporate Plan, which includes a set of indicators to monitor performance in each portfolio of work, including Capacity Building.

1. Project management

- % of annual deliverables submitted on schedule
- % of total participants identifying as women in all their diversity

2. Delivery of intended program objectives

- % of total program participants successfully completing
- % of participants who self-assess their experience of the Program as satisfactory or above at completion

3. Program contribution to sector and participant outcomes

- % of total program alumni profiled in studies annually who are engaged in relevant sectors
- % of total program alumni profiled in studies annually who self-assess the Program as a significant contribution to career development

This MELF supports annual reporting against these indicators. They are integrated into the matrix at Section 12 and detailed further in Section 13.

Reporting Calendar

The regular cycle of data collection, information flows and reporting is outlined in the following MEL calendar:

Timing	Activity or Report	Responsibility
January-February annually	Annual Capacity Building Report	CBP with evaluation consultant support
May-June annually	Corporate Reporting – data aggregated and provided to Annual Report Team	CBP to aggregate data from all service providers, drawing from previous year's annual reports
July annually	Alumni Annual Reports	Country Offices
July annually	Capacity Building Workplan For each financial year	CBP
October-December annually	Annual Alumni Survey	CBP with contracted evaluation expertise to design and oversee
November 2021	Organisational Case Study Pilot to be completed, then one per year	CBP with contracted evaluation expertise to lead
2025 (due every five years)	Alumni Tracer Study	CBP with contracted evaluation expertise to lead

Resources and Responsibilities

Primary responsibility for managing and implementing this MELF lies with the Capacity Building Program, led by the General Manager, Outreach and Capacity Building, and with dayto-day management by the Capacity Building Manager. This responsibility includes:

- Ongoing management of new and existing sub-programs which ensures they have clear statements of intent (design) and robust, but proportional, M&E systems;
- Oversight of the MEL work which takes place within each sub-program, with a view to ensuring it meets the requirements of this MELF, as well as the implementation and management of each sub-program;
- Engagement and management of any additional service providers, such as research organisations or consultants, who may undertake specific tasks required in the MELF;
- Overall management of information and its communication between ACIAR, service providers and stakeholders;
- Preparation of required overall reporting of the performance and results of the Capacity Building Program;
- Leadership and facilitation of learning exercises within ACIAR; and
- Implementation and management of specific MEL tools and activities set out in this MELF.

Inputs to the MELF, in the form of data and reports, will come from both ACIAR Country/ Regional Offices and service providers. These inputs will include:

- Primary data collected in accordance with this MELF;
- Written reports which analyse and synthesise data collected, which provide evidence of progress towards intended outcomes and results for individual subprograms and activities, and which will be specified in agreements, contracts or M&E frameworks; and
- Participation in, and support for, programlevel learning and evaluation activities which are initiated by the Capacity Building Program (such as learning seminars, reflection meetings and evaluation studies).

The Capacity Building Program launched this MELF in 2019, and circulated it throughout ACIAR, including to Country Offices. Updated versions will be similarly circulated. Service providers were provided with copies and asked to consider how to align and upgrade their program M&E arrangements in alignment with the provision in the MELF. New service providers will build their M&E arrangements to align with the MELF.

The Capacity Building Program will also prepare an Annual MEL Workplan at the start of each financial year. It will set out the year's activities and the budget allocated to support those activities. The workplan will guide the allocation of responsibilities within the Capacity Building Program, as well as the engagement of any service providers or technical expertise required to support implementation.

Updating the MEL Framework

Periodically, the Capacity Building Program will consider whether updates or changes to the MEL Framework are required, to keep it relevant and useful for the Program. In addition, changes may be required in response to the ACIAR-wide results and performance measurement agenda, and the Capacity Building Program will ensure this takes place.



Mr Vi Van Than, a Thai ethnic farmer in Dien Bien province, northwest Vietnam, grow large grass areas to feed his beef cattle. Before, he and other farmers used to rely on the natural grass as a food supply for their herds.



12 Matrix of Evidence

The following table, aligned with the Capacity Building Program theory of change, documents the sources of evidence which will be routinely used to monitor and assess progress towards the intended outputs and outcomes.

The component sub-programs will use this matrix as a menu of options to identify the

relevant tools and methods for deployment within their individual M&E systems, and will supplement these with additional tools and methods specific to each sub-program, as required.

TOC Reference	What do we want to know?	Source of Evidence (method)	Responsibility	Utilisation
Inputs and Activities				
1. Academic study (long and short term) 2. Mentoring 3. Skills training (technical and scientific) 4. Skills training (leadership, management, policy and communications) 5. Work experience (placements and internships	Who is applying (scientific field/ gender/location/ organisation type/ disability, etc.)? Who is being selected? Where are people studying or being trained? What sorts of organisations are hosting work placements and internships? Who is dropping out and who is completing?	Service provider data collection through application/ assessment/ registration forms CBP MELF provides definitions of key disaggregation variables which will ensure consistent data collection across sub-programs	Service Providers	Provided to ACIAR in regular reports (e.g. at the end of each selection cycle or annual program delivery) Used in discussion between CBP and SP to agree any adjustments in future
	Corporate Reporting Indicators: % deliverables on time Number of participants (% by gender) % participants completing (by gender)	CB Program Management Data Service Provider Data and Reports OASIS Data		selections to address any gaps or inequities identified Used by CBP to inform learning across sub-programs Used by CBP to identify potential issues requiring further investigation
6. Networking opportunities 7. Extension opportunities (conferences etc)	Who is participating in networking opportunities (both participants/Fellows and other people)?	Alumni Annual Reports	Country Offices	or evaluation
	What sorts of extension opportunities are most popular?		Service Providers	-

TOC Reference	What do we want to know?	Source of Evidence (method)	Responsibility	Utilisation
Inputs and Activities				
8. Alumni Activities	Which alumni are more or less active in alumni networks and activities?	Alumni Annual Reports Annual Alumni Surveys	Country Offices	Provided to CBP at the end of each alumni event Consolidated by CBP to build a
	What sorts of alumni events are most popular with alumni, DFAT posts and partners?			growing dataset
Direct Outcomes – Organis	ations			
9. Organisations have a more skilled, qualified and diverse workforce	Where are ACIAR alumni working?	Tracer Study Annual Alumni Surveys	СВР	CBP will aggregate an analysis, provide a report internally and establish a thorough internal learning processes. Issue: establishing a baseline agains
10. Organisations have stronger networks with Australian research institutions and potential commercial partners	In what ways are organisations which employ ACIAR alumni connecting with Australian partners?	Organisational Case Studies Alumni Case Studies	СВР	which to measure 'more' As above
Direct Outcomes – Agricult	ture Professionals			
11. Agriculture professionals (all genders) have higher qualifications	How many individuals have been awarded a formal qualification as a result of CBP support? What sorts of individuals did not complete a	Service Provider Reports OASIS Data	Service Providers DFAT	CBP will monitor the completion (success) rates to identify any patterns of under-performance by service providers or particular groups of researchers. Aggregated data will be used
	qualification, if any?			in internal reporting and public communications.
12. Agriculture	How relevant were the skills and knowledge gained through ACIAR	Individual feedback at the end of the Program (Feedback Forms)	Service Providers CBP	
professionals (all genders)	support? What proportion of	Annual Alumni Surveys		Monitoring the relevance of
have increased skills and knowledge (research, scientific, cross- disciplinary, management, leadership, policy and	alumni report that their new skills and knowledge are useful and relevant for their work?	Tracer Studies (providing alumni feedback after returning to their workplace)		the new skills and knowledge will inform CBP and the service provider's decisions about the content, structure and priorities for capacity building activities.
communications)	How do the managers of alumni perceive their new skills and knowledge?	Organisational Case Studies	СВР	-
	Corporate Reporting Indicator: % alumni who self-assess their experience of the Program as satisfactory or above at completion	Service Provider Reports Annual Alumni Survey		
13. Agriculture professionals (all genders) are more confident and ambitious	How do agriculture professionals feel about their career plans and prospects (immediately on completion, and then again some time later)?	Evaluation Forms Tracer Study Annual Alumni Surveys Case Studies	Service providers CBP	Service providers and CBP will use this data to understand the elements within capacity building activities which are most effective at building non-technical outcomes essential for career progression — and will maximise these within programs.

TOC Reference	What do we want to know?	Source of Evidence (method)	Responsibility	Utilisation
Direct Outcomes – Agric	ulture Professionals			
14. Agriculture professionals (all genders) have useful links with people and organisations	To what extent are agriculture professionals (alumni) maintaining their links with the people and organisations they met during their ACIAR program? (disaggregated by Australians, other alumni, Australian organisations and/or others)?	Tracer Study Annual Alumni Surveys Case Studies	СВР	Service providers, Country Offices and CBP will use insights into if and how links are being sustained to inform choices about what sorts of networking and collaboration activities are supported.
15. Agriculture professionals (all genders) have an expanded world view and greater life experience	How have agriculture professionals changed their general views about the world?	Tracer Study Annual Alumni Surveys Case Studies	СВР	CBP will use insights as to these broader personal changes in communications and learning about the benefits of capacity building programs.
16. Agriculture professionals (all genders) maintain their scientific output, including publications	How many publications are researchers producing? (during the Program, in the first year and in three years?)	Application/ Registration Form (for baseline) Service provider monitoring tools Tracer Study Annual Alumni Surveys	Service providers CBP	This will guide CBP assessments of the extent to which service providers are effectively supporting researchers as scientists, and the extent to which links with ACIAR research projects are contributing to scientific output.
17. Agriculture professionals (all genders) have an increased understanding of gender equality, diversity, etc.	In what ways have agriculture professionals shifted their thinking about equality and diversity?	Service provider monitoring tools Tracer Study Annual Alumni Surveys	Service providers CBP	CBP will use insights as to these broader attitudinal changes in communications and learning about the extent to which alumni are becoming active advocates for greater equality and inclusion, and contributing to these changes within their fields and institutions.
Direct Outcomes – ACIAR				
18. There is a diverse pool of agricultural professionals in the Indo-Pacific with skills and experience relevant to future projects who have links to ACIAR	Who are the ACIAR alumni in the region and where are they working?	Tracer Study Alumni database	СВР	CBP will share this information with ACIAR colleagues to support ongoing networking, and the recruitment of scientists for projects and collaborations, and will include this in reports and public communications.
19. ACIAR learns and builds knowledge from experience supporting and collaborating in CB activities	How is ACIAR making use of its capacity building experience?	Publications and presentations Internal discussions	СВР	CBP will facilitate learning and internal communications which shares the experience of effective capacity building within ACIAR, and will also encourage participation in MEL so ACIAR staff and partners can make their own capacity building work more effective.
20. ACIAR has evidence, learning and communications content generated through CB activities	How is the Communications Team utilising evidence from M&E in the production of communication collateral? How well is the MELF supporting the collection and provision of information which is useful for communications and learning?	ACIAR Communications Team feedback	СВР	Strategy and Capacity Building use evidence and stories from MEL in public and strategic communications.

TOC Reference	What do we want to know?	Source of Evidence (method)	Responsibility	Utilisation
Indirect Outcomes - Org	anisations			
21. Organisations undertake good- quality agricultural research for development	What sort of research are ACIAR alumni and their organisations doing? How are alumni contributing to, or leading, this research?	Organisational Case Studies Tracer Studies Researcher Case Studies	СВР	CBP will use this evidence in reporting (accountability), communications, and to inform decisions about
22. Organisations secure additional research and/or organisational funding	How are organisations expanding their research programs or organisational resources, and to what extent is their ACIAR support contributing to this?	Organisational Case Studies Tracer Studies Researcher Case Studies	СВР	ongoing and future capacity building activities. This will include discussions with service providers and Research Program Managers about how to design and deliver capacity
23. Organisations enable alumni to build their peers' capacity and share their knowledge	How are the organisations where alumni work supporting them to share their new skills and knowledge?	Organisational Case Studies Tracer Studies Researcher Case Studies	СВР	building which makes effective contributions to institutional development (where this is relevant and feasible).
24. Organisations support and advocate for agricultural research	For those organisations which have a policy role, how are they advocating for agricultural research, and to what extent has ACIAR support contributed to this?	Organisational Case Studies Researcher Case Studies	CBP	As above
25. Organisations have a more gender-diverse workforce, including at leadership and management levels	In what way are organisations changing the mix of people in their workforce, and how are alumni contributing to this?	Organisational Case Studies Tracer Studies	CBP	CBP will use this evidence to understand whether capacity building sub-programs provide enough additional support and incentive for institutional behaviour change relating to the management of human resources, and thus will make changes to the Program if needed.
26. Organisations utilise research for policy and program decisions	How is agricultural research being utilised by organisations in partner countries ?	Organisational Case Studies Tracer Studies	СВР	
Indirect Outcomes – Ag	riculture Professionals			
27. Agriculture professionals (all genders) advance their careers (promotions, new/ better employment, or winning other academic scholarships or opportunities)	How have alumni careers progressed over time? How do alumni view the contribution ACIAR support has made to their career pathways? What obstacles have alumni faced in advancing their careers in line with their ambitions?	Tracer Studies Alumni Case Studies	CBP	Understanding the enablers and barriers to career progress for alumni will help CBP and service providers adjust capacity building sub-programs, and/or identify necessary other links and strategies, to maximise the likelihood of these outcomes. CBP will also share this evidence within ACIAR and encourage research projects to find effective ways to support alumni
	Corporate Reporting indicator: % of total program alumni profiled in studies annually who self-assess the Program as a significant contribution to career development	Annual Alumni Survey Tracer Studies	СВР	career progression.

TOC Reference	What do we want to know?	Source of Evidence (method)	Responsibility	Utilisation
Indirect Outcomes – Ag	riculture Professionals			
28. Agriculture professionals (all genders) undertake good-quality research, including collaborations	What research are alumni undertaking? Who are they collaborating with? To what extent is this research utilising the skills, knowledge and networks developed with ACIAR support?	Tracer Studies	СВР	Understanding the enablers and barriers for alumni to continue doing good-quality research in their home countries will help CBP, service providers and ACIAR more generally identify ways to support alumni after their capacity building. CBP will also share this evidence within ACIAR and encourage research projects, to also support alumni to continue undertaking research.
29. Agriculture professionals (all genders) teach and supervise others	How are alumni sharing their expertise and knowledge?	Tracer Studies Alumni Case Studies Alumni Survey Organisational Case Studies	CBP	This evidence will inform CBP sub-programs, CBP will also share this evidence within ACIAR and encourage research projects, to also support alumni to continue sharing their expertise.
30. Agriculture professionals retain links with ACIAR, other alumni, and their wider networks	To what extent are alumni maintaining the links they developed during their ACIAR program?	Tracer Studies Alumni Case Studies Alumni Survey	СВР	
31. Agriculture professionals (all genders) demonstrate, and are advocates for, gender equality, diversity and meritbased management	For those alumni who are in management or leadership positions, to what extent are they advocating for and practicing inclusive practices?	Organisational Case Studies Alumni Case Studies Tracer Studies	CBP	CBP will use insights as to these broader attitudinal changes in communications and learning about the extent to which alumni are becoming active advocates for greater equality and inclusion, and contributing to these changes within their fields and institutions – and what obstacles they face in doing so.
32. Agriculture professionals (all genders) work in ACIAR projects and with Australian partners	To what extent are alumni working with Australian partners? How many alumni are working in ACIAR projects at the completion of their capacity building program? (disaggregated by gender) How are ACIAR projects making use of ACIAR alumni?	Tracer Studies Annual Alumni Surveys ACIAR project data	CBP	CBP will monitor this to identify ways to increase these ongoing links and collaborations, if necessary.
Indirect Outcomes: ACI	AR			
33. ACIAR projects are effective	How are ACIAR projects making use of ACIAR alumni to meet skills and expertise needs? To what extent are alumni playing key roles in project successes?	Research project reports and impact assessments, other ACIAR evaluations	СВР	CBP, through internal learning, reporting and communications, will enable ACIAR staff to use these relationships and this understanding in the design and implementation of its research projects and institutional relationships.

TOC Reference	What do we want to know?	Source of Evidence (method)	Responsibility	Utilisation			
Indirect Outcomes: ACI	Indirect Outcomes: ACIAR						
34. ACIAR has rich institutional and scientific networks	How do ACIAR staff perceive the contribution of CB activities to their professional and organisational networks?	Internal discussionss	СВР	CBP, through internal learning, reporting and communications,			
35. ACIAR has a greater understanding of the challenges in agricultural research and partner institutions	How is involvement in the Capacity Building Program (e.g. through hosting Fellows within research projects) contributing to broader ACIAR knowledge of challenges in agricultural research?	Internal discussions	CBP	will enable ACIAR staff to use these relationships and this understanding in the design and implementation of its research projects and institutional relationships.			
36. ACIAR and Australia have a positive reputation in the Indo-Pacific as an effective partner in agricultural research for development	What examples indicate positive views of ACIAR and Australia's support within partner countries and institutions?	Organisational Case Studies Examples of positive media coverage	CBP Country Offices Service Providers Research programs	Informed by this evidence, CBP will work with Country Offices and DFAT to identify additional ways to enhance the public diplomacy (reputational) outcomes of the Capacity Building Program.			
37. ACIAR continues to build a positive reputation within Australia	What examples do we see of ACIAR being referred to in a positive light within Australia?	Examples of positive media coverage, policy and political references to ACIAR	CBP	Informed by this evidence, the Communications Team will develop a Strategy for the Capacity Building Program			

13 Annual Corporate Reporting Indicators

Indicator	Definition	Performance Rubric	Source of Data
1. Project management			
	Number of scheduled	<50% received three months after contracted date = not meeting expectations	- Capacity Building Team
% of annual deliverables submitted on schedule	contract deliverables accepted by Capacity Building Team in line with schedule	50-99% received up to three months after contracted date = meeting expectations	contract management records of service provider contractors
		100% = exceeding expectations	
	Total number of participants identifying as	<30% = not meeting expectations	Service provider annual or other regular reporting
% of total participants identifying as women in all their diversity	women in programs (JAF, JDF, MWF, ACIAR Learn,	30-50% = meeting expectations	of participant numbers in the year - Capacity Building Team
,	PASS), divided by the total number of all participants	>50% = exceeding expectations	aggregates total numbers and calculates %
2. Delivery of intended prog	gram objectives		
	Total number of participants completing programs within calendar year (JAF, JDF, MWF, ACIAR Learn, PASS), divided by the total number of commencing participants Disaggregated by gender, and disability if possible.	<50% = not meeting expectations	
% of total program participants successfully completing		50-95% = meeting expectations	
	NB: 'completion' = assessed by service providers as meeting all requirements, or gaining formal qualification (JAF)	95-100% = exceeding expectations	
	perience of of higher at the end of satisfactory the Program, divided by	<70% = not meeting expectations	Participant feedback forms implemented by all short-
% of participants who self- assess their experience of the Program as satisfactory or above at completion		70%-95% = meeting expectations	term program service providers and provided to the Capacity Building Team. NB: JAF graduates
		95-100% = exceeding expectations	not included in these data

Indicator	Definition	Performance Rubric	Source of Data
3. Program contribution to sector	and participant outcomes		
% of total program alumni profiled in studies annually who are engaged in relevant sectors	Number of alumni responding to Alumni Survey who indicate they are working in sectors linked to their ACIAR training, divided by the total number of alumni responding to the Alumni Survey Disaggregated by gender, and disability if possible	<50% = not meeting expectations	Annual Alumni Survey to be conducted by the Capacity Building Team late in each calendar year
		50-80% = meeting expectations	
		80-100% = exceeding expectations	
% of total program alumni profiled in studies annually who self-assess the Program as a significant contribution to career development	Number of alumni responding to Alumni Survey who report that their ACIAR education and training has made a significant contribution to their career, divided by the total number of alumni responding to the Alumni Survey	<70% = not meeting expectations	Annual Alumni Survey to be conducted by the Capacity Building Team late in each calendar year
		70%-80% = meeting expectations	
		80-100% = exceeding expectations	
	Disaggregated by gender, and disability if possible		
	NB: Periodic Tracer Studies and individual Alumni Case Studies will add depth to this indicator when they are completed (less frequently)		



