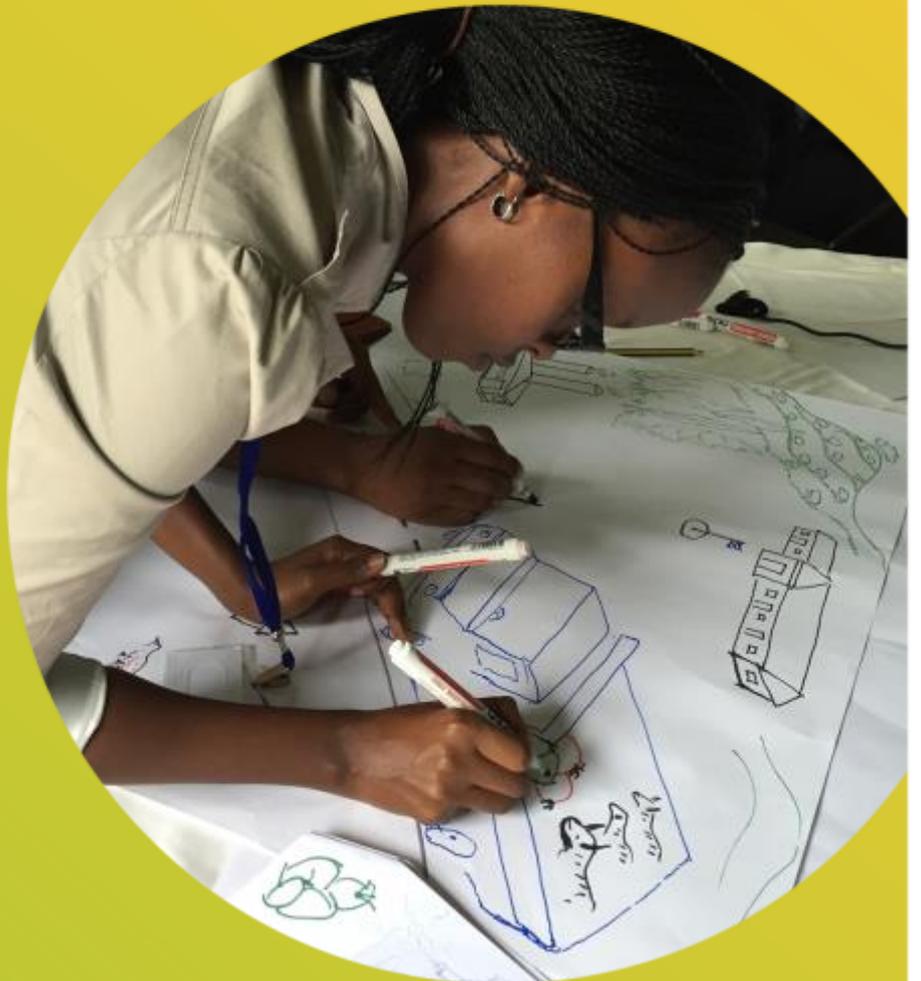




TRAINER'S MANUAL

Facilitating Capacity Needs Assessment



This document has been produced with the financial assistance of the European Union. The views expressed herein can in no way be taken to reflect the official opinion of the European Union.



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Introduction

This training manual was prepared under the project Capacity Development for Agricultural Innovation Systems (CDAIS), a global partnership (Agrinatura, FAO and 8 pilot countries) that aims to strengthen the capacity of countries and key stakeholders to innovate in complex agricultural systems, thereby achieving improved rural livelihoods. CDAIS recognizes that agricultural innovation is a process that is most successful if its actors have the functional capacities to cope with complexity, to collaborate, to reflect and learn and, to engage in strategic and political processes (Common Framework on Capacity Development for Agricultural Innovation Systems, 2016).

CDAIS uses a continuous learning cycle to support national agricultural innovation systems in eight countries in Africa (Angola, Burkina Faso, Ethiopia and Rwanda), in Asia (Bangladesh and Laos), and Central America (Guatemala and Honduras). CDAIS brings together key partners and actors to address commonly identified challenges and opportunities in specific regions or within particular value chains. Together they develop and implement national capacity development plans to strengthen agricultural innovation.

This manual is a resource for the training of National Innovation Facilitators (NIFs) across all 8 countries. The objective of the training is to strengthen the NIFs' facilitation skills and their ability to carry out Capacity Needs Assessments (CNAs) in agricultural innovation niche partnerships. The training is intended to be delivered by the Agrinatura Focal Persons (AFPs) and the Country Project Managers (CPMs) in each country, with the help of various other support personnel from Agrinatura and FAO. These trainers have themselves gone through a Training of Trainers process to familiarise them with the training manual, the interactive and participatory approach required and the use of the various facilitation tools that are contained within it.

The materials were prepared in English by a CDAIS working group comprising staff of the various CDAIS implementing partners from Agrinatura and FAO, piloted in one English-speaking country (with valuable input from the CDAIS country team), then made available to the other seven countries. The manual is not a blueprint for use in precisely the same way across all countries, rather it is a general framework and approach around a series of concepts, tools and techniques. The manual was reviewed, modified and adapted to the national context of each country and translated where necessary to an appropriate language before delivery e.g. European languages such as French, Portuguese, Spanish and national languages in the 8 pilot countries. Elements of the manual such as the facilitation tools may also be useful in other contexts and the modular design allows for parts of it to be extracted and adapted for use as necessary.



The manual has the following elements:

1. Session Plans (SPs) that provide a framework and key content for the sessions, in addition to signposts to the various resource materials required. Each session plan contains 3 main sections for each topic: introduction; development of the concept/approach; and wrap-up/conclusion/summary. An indication of duration is given for each session. The actual duration will depend on the facilitation required and capacities of the trainees.
2. Exercise Sheets (ESs) that provide step by step guidance on specific participatory activities and facilitation tools.
3. Powerpoint presentations (PPTs) that contain information for plenary presentation to NIFs during the training (slides are shown at Annex 5 and the presentations themselves can be downloaded from the links in each sessions).
4. Resource materials including forms and templates for use during the training, background information, or more detail on elements in the manual.

Various training support equipment and facilities are required to accompany this manual in the training of NIFs and are shown in Annexes 1 and 2, and a suggested programme for delivery as a four day course is shown in Annex 3. Key sources for this manual are listed in Annex 4.



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The materials were prepared by a working group comprising staff of the various CDAIS implementing partners from Agrinatura and FAO.

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Various sources provided inspiration for approaches and techniques – the main ones being listed in Annex 4. The views expressed herein can in no way be taken to reflect the official opinion of the European Union. This manual is available for download on the CDAIS website (www.cdais.net) and the Tapipedia website (<http://tapipedia.org>), and can be freely used in whole or in part by anyone provided the source is acknowledged.

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List of Abbreviations

| | |
|-------------------|--|
| Agrinatura | Consortium of European institutions working together for agricultural research and education for development. |
| AICS | The Italian Agency for International Cooperation |
| AFP | Agrinatura Focal Person |
| CDAIS | Capacity Development for Agricultural Innovation Systems |
| CNA | Capacity Needs Assessment |
| CPM | Country Project Managers |
| CIRAD | The French agricultural research and international cooperation organization working for the sustainable development of tropical and Mediterranean regions. |
| ES | Exercise Sheet |
| FAO | Food and Agriculture Organization |
| ICRA | A non-profit organization providing services and training in agricultural innovation systems |
| NIF | National Innovation Facilitator |
| NRI | Natural Resources Institute |
| PPT | Powerpoint presentation |
| Q&A | Question and answer |
| R&D | Research and Development |
| S | Session |
| SP | Session Plan |
| TAP | Tropical Agriculture Platform |
| UL/ISA | University of Lisbon/ Institute |



Session 1. Introduction

S1a. Introduction of the trainees

Session Plan

SP S1a

| Session Plan (SP S1a) | | Total Duration: ± 60 min | |
|---|--|--|--|
| <p>OBJECTIVES National innovation facilitators (NIFs), Country Project Managers (CPMs), Agrinatural Focal Person (AFP) know a little about each other and interact more freely afterwards.</p> | | | |
| CONTENT | Method | Resources | Duration |
| <p>Introduction Some of us know each other, but some of us don't. To help us get to know each other better before we start the course we are going to be using our artistic skills.</p> | Speaking in plenary | none | 5 mins |
| <p>Development</p> <ul style="list-style-type: none"> • Pair up with somebody you don't know (including trainers) • Take it in turns to draw each other's face on a piece of A4 paper (nice and big!) and put the person's name at the top. • Once you both have a portrait of each other take it in turns to interview each other and make notes on a separate piece of A4 paper. Some suggestions for questions are below (some judgement required on what is appropriate): <ol style="list-style-type: none"> a. Who do you work for? b. What is your main responsibility? c. What experience do you have of agricultural innovation systems and capacity development? d. Do you have a spouse and family? e. What are your interests outside work? f. Are you a good artist? 😊 • When everyone is finished, display all the portraits on a wall or display board. • With everyone standing around, each artist then introduces their new friend to the whole group with details from their interview notes (2 mins per person) | Work in pairs then presentation at plenary as icebreaker | <p>sheets of A4 paper and pen or pencil per person</p> | <p>10 mins</p> <p>10 mins</p> <p>30 mins</p> |
| <p>Wrap up</p> <ul style="list-style-type: none"> • Comment on the diversity of the group and the wide range of experience in the room • Invite questions for clarification (but park the issues if it will be dealt with later) • The next session will give you a bit more information about the objectives, structure and methodology of the course | <p>Speaking in plenary</p> <p>Q&A</p> | Flipchart to note issues, clarifications | 5 mins |
| <p>PREPARATION REQUIRED FOR THIS SESSION Resources as listed above.</p> | | | |



S1b. Introduction to the training course

Session Plan

SP S1b

| Session Plan (SP S1b) | | Total Duration: ± 35 min | |
|---|-------------------------|--------------------------|----------|
| <p>OBJECTIVES NIFs understand the objectives of the training course, have an initial understanding of the course and begin to develop some ownership of the process.</p> | | | |
| CONTENT | Method | Resources | Duration |
| <p>Introduction Welcome the trainees. Outline the objectives of the course and the expected results (see overview document on the CNA process). Explain that the course is participatory and that its success will depend on the pooling of the experience and skills of all in the room. Underline the importance of the roles of everybody (to be detailed later) for the agricultural development of their country.</p> | Presentation | None | 10 mins |
| <p>Development Give an outline of the course and the three key areas using PPT S1a</p> <ul style="list-style-type: none"> • Concepts of the project • Tools and methodologies for CNA • Facilitation skills (ask for suggestions on what this means) | Presentation Q&A | PPT S1a | 15 mins |
| <p>Wrap-Up</p> <ul style="list-style-type: none"> • Invite questions, but if they will be covered during the course, park them (but make a note) and explain that they will be covered later • Ask about expectations • Explain that the next session will introduce some important concepts and terminology relating to Agricultural Innovation Systems | Q&A | None | 10 mins |
| <p>PREPARATION REQUIRED FOR THIS SESSION</p> <ul style="list-style-type: none"> • Overview document on the CNA process (PPT S1a). • Resources as above | | | |



Session 2. Understanding Agricultural Innovation Systems (AIS)

S2a. Scenarios in AIS – niche partnership level and system level

Session Plan

SP S2a

| Session Plan (SP S2a) | | Total Duration: ± 60 min | |
|--|--|------------------------------------|----------------|
| <p>OBJECTIVES</p> <p>NIFs have an initial common understanding of the concepts/terminology of AIS and innovation niche partnership. They will also appreciate the complexity of an issue (such as increasing productivity) and the reason why solutions require the involvement of different actors and the need sometimes to address related issues first before tackling the main one. They will understand the importance of effective interaction and learning across the innovation niche partnership.</p> | | | |
| CONTENT | Method | Resources | Duration |
| <p>Introduction</p> <p>An important initial step is to introduce some concepts so that we have a shared understanding of them, and some terminology so that we have clarity of communication about the concepts. We will do this by exploring some realistic scenarios through presentation of case studies or panel discussion or field visit.</p> | <p>Presentation or Panel discussion consisting of actors of value chain.</p> | <p>None</p> | <p>5 mins</p> |
| <p>Development</p> <p>See Exercise Sheet (ES) S2a with scenarios and questions Provide copies of the Exercise Sheet to each group and ask them to complete the exercise</p> | <p>Group work</p> | <p>ES S2a Flipcharts/ pens</p> | <p>45 mins</p> |
| <p>Wrap-Up</p> <ul style="list-style-type: none"> • Innovation niche partnership levels. • Ask questions on concepts and terminology to check learning/understanding of AIS. • Invite questions but defer answers if dealt with later. • In the next session, we will explore further the characteristics of an agricultural innovation system. | <p>Q&A</p> | <p>None</p> | <p>10 mins</p> |
| <p>PREPARATION REQUIRED FOR THIS SESSION</p> <ul style="list-style-type: none"> • Print/copy the exercise sheet with scenarios and questions for each group | | | |



Introduction

This exercise is a way of exploring AIS concepts, AIS terminology and the different perspectives of innovation niche partnership level and system level.

Equipment required

- Copies of this Exercise Sheet; flipcharts/pens

Steps

1. Divide into groups of 3 or 4
2. Each group reads through the scenario below
3. Discuss in groups and answer the following questions (record answers on flipchart paper for later presentation)
 - What are the constraints to be overcome?
 - Which stakeholders need to be involved or not involved?
 - What information will they need to make decisions and prioritise actions?
 - Where will they get this information?
 - How will they communicate with each other and who will initiate this communication?
 - How do they benefit from the skills or knowledge from different parties?
 - Who might be the champion or leader or point of contact for this innovation niche partnership?
 - What do you envisage will be the potential challenges to overcome in the future?
4. In plenary, a member of each group presents answers to the questions
5. Discussion and modification of the answers as necessary



Scenario – Cassava value chain in Rwanda

Mr. GANZA lives in MUHANGA district. This year, he harvested 14 tons/ha of cassava. He has 4 children, two of which have to go to university. He has been planting cassava the past 10 years with a steady harvest. In another neighbouring district, Ruhango, Mr. HIRWA is also planting cassava, but he harvested 24 tons of cassava/ha. Mr HIRWA is a member of the KINAZI Cassava Processing Plant with membership of 789 farmers. Being a member of the processing plant, he has free access to the processing equipment, storage facilities and advice of fellow farmers. This year, several of the members observed a special disease that nobody can identify. They've heard that this could be a viral disease that can only be solved by having new planting material. How to access these materials is a challenge.

In the meantime, Mr. GANZA is the lead farmer and is assigned by RAB as an extension agent to support farmers increase productivity in MUHANGA district, and knows the situation in RUHANGO District. In the past, few months he received several visits from different NGOs and development partners. They all offer interesting ideas about cassava. He knows that there has been successful new variety adopted in Eastern Province, developed by RAB. Below is the list of agencies that recently visited Mr. GANZA with different offers:

- IMBARAGA knows techniques on how to build storage facilities, but has not financial resources to build the facilities,
- IITA has techniques on how to multiply resistant varieties, has the funding to multiply by teaching only 15 farmers but not enough resources to distribute to 2000 farmers Ganza works with;
- Micro-finance can provide credit only if farmers guarantee payment after harvest;
- Transporters can buy cassava in bulk with minimum travel of one truck per day;
- Women's group meet every week to pick up cassava and sell to local markets but usually find it challenging to collect enough cassava volume. They are very keen to have additional work for income in between marketing;
- Local government has funds to build infrastructure but has not decided which type of infrastructure;
- Ministry of Agriculture has introduced new strategy of importing cassava cuttings and distribute them within Rwanda, but still needs service providers to take over;
- Ministry of Trade and Industry is also looking at linking the farmers to markets but few farmers are keen to work with cooperatives, because of low price given by the buyers



S2b. Understanding Agricultural Innovation Systems

Session Plan

SP S2b

| Session Plan (SP S2b) | | Total Duration: ± 60 min | |
|---|---------------|--|------------------------|
| OBJECTIVES | | | |
| Develop a common understanding of the concept of AIS by NIFs | | | |
| CONTENT | Method | Resources | Duration |
| Introduction Explain that from the scenario exercise which illustrates the complexity of AIS, it is important to ensure that we have a common understanding of the concept and terminology. This in its turn will ensure clarity of communication about AIS. | Presentation | None | 5 mins |
| Development See Exercise Sheet S2b for details. <ul style="list-style-type: none"> • Divide participants into groups of 3 • Discuss what they think are key characteristics of AIS • Write these characteristics on yellow cards (one idea/characteristic per card) • Display cards on wall and group similar ideas/characteristics | Group work | ES S2b Yellow Cards Marker pens Pins PPT S2b | 20 mins 20 mins |
| Wrap-up <ul style="list-style-type: none"> • Show understanding of AIS as used in the CDAIS common framework • Refer back to the cards to see if they capture all of this – add cards if necessary • Explain paradigms shifts in agricultural research & development and, evolution to AIS (Powerpoint slide). | Q&A | Powerpoint | 15 mins |
| PREPARATION/MATERIALS REQUIRED FOR THIS SESSION: | | | |
| <ul style="list-style-type: none"> • Resources as above • Suggest Handout of TAP flyer on Common Framework on Capacity Development for Agricultural Innovation Systems. | | | |



Introduction

This exercise follows on from the scenario exercise which illustrated the complexity of AIS. This session should consolidate the understanding of facilitators of AIS and ensure a common understanding of the concept and terminology. This in its turn will ensure clarity of communication about AIS.

Equipment required

Yellow cards, masking tape, blue tack or pins

Powerpoint S2b on TAP common framework concept of AIS including slide on paradigms shifts in agricultural R&D and evolution to AIS.

Steps

- Divide participants into groups of 3
- The group discuss what they think are key characteristics of AIS
- They write these elements on yellow cards (one idea/characteristic per card)
- Cards are then displayed on wall and grouped according to ideas captured
- A Powerpoint presentation of the concept of AIS as adopted in the TAP common framework is shared – It is important to explain the enabling environment as covering both formal institutional arrangements (laws, regulations, standards) and informal institutional arrangements (cultural values, traditions, attitudes etc.)
- Return to cards and check if all characteristics of AIS have been captured – add additional cards if necessary
- Conclude with slide 7 in PPT S2b that shows paradigms shifts in agricultural research and development and evolution to AIS
- Questions and Answer session.



Session 3. Capacity Development for Agricultural Innovation Systems

S3a. What is Capacity and Capacity Development?

Session Plan

SP S3a

| Session Plan (SP S3a) | | Total Duration: ± 35 min | |
|---|---|--------------------------|----------|
| <p>OBJECTIVES</p> <p>The National Innovation Facilitators (NIFs) will be familiar and have an initial understanding of the systemic concept of capacity development, the distinction between the three capacity development dimensions, the difference between functional and technical capacities and different “modalities” to enhance capacities.</p> | | | |
| CONTENT | Method | Resources | Duration |
| <p>Introduction</p> <p>Check the knowledge and understanding of capacity development of the trainees.</p> | | Flipchart | 10 mins |
| <p>Development</p> <ul style="list-style-type: none"> Ask the trainees what they think is capacity development. Capture ideas on a flipchart. Present theory and graphical overview of the elements of the capacity development as well as distinction between the functional and technical capacities. | Plenary discussion “Teaching” moment | PPT S3a | 20 mins |
| <p>Wrap-up</p> <p>Open for discussion to check relevance and understanding. Make link to next session “Capacities for AIS” explaining these “functional capacities” have been identified as critical for a functioning AIS and (optional) the CDAIS project.</p> | Discussion | None | 5 mins |
| <p>PREPARATION REQUIRED FOR THIS SESSION</p> <ul style="list-style-type: none"> Resources as above Hand-Out of “Effective” CD modalities (based on FAO work) (Optional) FAO Booklet Learning Module 1 about CD (why is it important and what effective CD consists of). | | | |



S3b. Capacities for Agricultural Innovation Systems

Session Plan

SP S3b

| Session Plan (SP S3b) | | Total Duration: ± 60 min | |
|--|----------------------------|--|--------------|
| OBJECTIVES Understand different functional capacities and their distinction with technical capacities. | | | |
| CONTENT | Method | Resources | Duration |
| Introduction Explanation of the process and the scenario for the exercise (same scenario as before) | | | 5 |
| Development <ul style="list-style-type: none"> Groups discuss and note what they think are capacities needed for agricultural innovation according to the selected scenario. Cards are displayed on the wall identifying similarities and differences between functional capacities and technical skills. The functional capacities are attributed to the following categories/topics: capacity to navigate complexity, capacity to collaborate, capacity to reflect and learn, capacity to engage in strategic processes. | Group work Exercise | Facilitation Cards Facilitation boards or walls | 25 20 |
| Wrap-up Presentation of the capacity development concepts of the CDAIS project and discussion. | Presentation and Q&A | PPT S3b | 10 |
| PREPARATION REQUIRED FOR THIS SESSION <ul style="list-style-type: none"> Resources as above | | | |



Session 4. Overview of CDAIS Project

S4a. About the CDAIS project

Session Plan

SP S4a

| Session Plan (SP S4a) | | Total Duration: ± 50 min | |
|---|--------------|--------------------------|----------|
| <p>OBJECTIVES NIFs understand the CDAIS project and the context of their work so that they can explain it to stakeholders during niche partnership visits.</p> | | | |
| CONTENT | Method | Resources | Duration |
| <p>Introduction Now that we know a little about some of the key concepts in Agricultural Innovation Systems, we will explore the CDAIS project – what are the objectives, the approach, the partners and the structure of the project.</p> | Presentation | None | 5 mins |
| <p>Development Go through PPT S4a</p> | Presentation | PPT S4a | 30 mins |
| <p>Wrap-up</p> <ul style="list-style-type: none"> • Invite questions/comments • Emphasize the focus on functional capacities in multistakeholder partnerships • The next session will deal with capacity needs assessment | Q&A | None | 15 mins |
| <p>PREPARATION REQUIRED FOR THIS SESSION</p> <ul style="list-style-type: none"> • Resources as above | | | |



Session 5. Introduction to the Capacity Needs Assessment

S5a. What is a Capacity Needs Assessment – why do it?

Session Plan

SP S5a

| Session Plan (SP S5a) | | Total Duration: ± 30 min | |
|---|---|--------------------------|----------|
| <p>OBJECTIVES NIFs will be familiar with the general principles of the capacity needs assessment process, the different steps, link to the baseline to track results, expected products (e.g. capacity assessment report and action plan) and general approaches and tools used.</p> | | | |
| CONTENT | Method | Resources | Duration |
| <p>Introduction Make link to previous session specifically to the “what is capacity and capacity development” session, open up for discussion and reflection.</p> | Recap of key messages from Session S3 with discussion | Flipchart | 10 mins |
| <p>Development Present theory and graphical overview capacity assessment principles, link to baseline to monitor progress, expected products and general approaches and tools used.</p> | “Teaching” moment | PPT S5a | 15 mins |
| <p>Wrap-up Open up for discussion to check relevance and understanding. Make link to next session regarding the role and responsibilities of a NIF within the capacity assessment process.</p> | Discussion | | 5 mins |
| <p>PREPARATION REQUIRED FOR THIS SESSION</p> <ul style="list-style-type: none"> • Resources as above, • Flipchart with key messages from session S3a “what is capacity and capacity development”, • (Optional) FAO’s Learning Module 2 describing the steps within a capacity assessment process. | | | |



S5b. The roles of the National Innovation Facilitators

Session Plan

SP S5b

| Session Plan (SP S5b) | | Total Duration: ± 45 min | |
|--|--------------|--------------------------|----------|
| <p>OBJECTIVES NIFs understand their immediate role in the CNA at innovation niche partnership level as well as the bigger picture of their future roles in the CNA at system level and facilitating CD at both levels.</p> | | | |
| CONTENT | Method | Resources | Duration |
| <p>Introduction This course will strengthen capacity of the NIFs, but to do what? Ask participants what they think a facilitator is: Prompt for descriptions such as a meeting or workshop leader who creates an environment where every trainee can collaborate, innovate, and excel. Capture ideas on flipchart.</p> | Q&A | Flip chart + pens | 10 mins |
| <p>Development NIFs will be the key people in the implementation of the CDAIS project and beyond. Their main roles will be to:</p> <ul style="list-style-type: none"> Interact effectively with stakeholders at innovation niche partnership level to reach an agreed list of functional capacity needs, and an agreed plan to address those needs Interact with AIS stakeholders at system/organisation level to reach an agreed list of functional capacity needs, and an agreed plan to address those needs With the help of specific capacity development specialists, facilitate capacity development at niche and system level through a series of learning cycles During and after the CDAIS project, it is likely that the strengthened facilitation skills and increased understanding of multi-stakeholder partnerships will allow the NIFs to have a beneficial impact on other partnerships for innovation that they deal with in their daily work. <p>NOTE: the first role, and the role that this training course will support is the capacity needs assessment at the level of the niches that the CDAIS project is involved with. Further training will be provided later to support the NIFs in their other roles.</p> | Presentation | PPT S5b | 15 mins |
| <p>Wrap up</p> <ul style="list-style-type: none"> Ask questions to check learning Invite questions for clarification The next session will explore exactly what skills and capabilities the NIFs will need to fulfil role 1 above | Q&A | None | 10 mins |
| <p>PREPARATION REQUIRED FOR THIS SESSION</p> <ul style="list-style-type: none"> Resources as above | | | |



S5c. The skills required by NIFs for Capacity Needs Assessment

Session Plan

SP S5c

| Session Plan (SP S5c) | | Total Duration: ± 60 min | |
|---|---|---|----------|
| <p>OBJECTIVES NIFs appreciate the range of skills required to carry out the capacity needs assessment (CNA); reflect on which they have and which they need to work on and understand that working as a team is crucial.</p> | | | |
| CONTENT | Method | Resources | Duration |
| <p>Introduction You all have a lot of relevant skills and experience, but nobody is perfect at all the skills required to facilitate a CNA – that's why we are a team. We will look at the skills required and reflect on where individuals can best contribute and what they could work on.</p> | Speaking in plenary | None | 5 mins |
| <p>Development</p> <ul style="list-style-type: none"> • Ask each NIF to write down the skills they think they need to facilitate the CNA – one skill per card • Collect and cluster the cards in plenary – perhaps under soft skills, technical skills, and other specific categories that emerge • Ask for explanation if a skill was not clear • Prompt for any additional skills from the list on the next page and add them if they agree • Ask whether there were skills listed that they personally had not thought of • Ask them to write their 3 strongest & 3 weakest skills from the list on two cards, then display & discuss | Cards exercise – individual, then plenary review and discussion | Cards (two colours), Flipchart, pens, masking tape or sticky tac, wall or pin board | 45 mins |
| <p>Wrap up</p> <ul style="list-style-type: none"> • Ask if everybody has all the necessary skills and if not, discuss ways to cope with this. Some of the skills to facilitate CNA (there will be others): <ul style="list-style-type: none"> - Promoting full participation - Understanding group dynamics - Listening - Engaging personally - Body language - Managing conflict - Take risks - Summarising and paraphrasing - Achieving consensus when there are differences of opinion - Use of CNA facilitation 'Tools' - Planning - Managing funds - Presenting information - Analytical capability - Agricultural skills - Transforming own attitudes, behaviour and skills • Invite questions for clarification • The next session will introduce some of the 'Tools' that will be used in the CNA. | Q&A | None | 10 mins |
| <p>PREPARATION REQUIRED FOR THIS SESSION</p> <ul style="list-style-type: none"> • Resources above. | | | |



Session 6. Facilitating Multi-stakeholder involvement

S6a. Involving everyone

Session Plan

SP S6a

| Session Plan (SP S6a) | | Total Duration: ± 75 min | |
|---|----------------------------|--|----------|
| OBJECTIVES: NIFs are better able to facilitate effective discussions in a multi-stakeholder group | | | |
| CONTENT | Method | Resources | Duration |
| Introduction: Explain that when you want to involve everybody in a meeting where some stakeholders dominate and others are very silent, you need facilitation skills to: <ul style="list-style-type: none"> • make every participant feel comfortable participating • give stakeholders time to think, • ensure that one person speaks at a time • encourage all participants to speak (with a little more attention to silent stakeholders) • keep reactions short and concise • keep the discussion in the group focused so that most stakeholders will participate • make participants feel good about their contribution and that the ideas and decisions are theirs | Speaking in plenary | | 5 mins |
| Development Let participants facilitate a session with stakeholders (other participants) that receive instructions in the corridor. See Exercise Sheet ES S6a. | Plenary role play exercise | ES S6a including checklist; Flipchart + pens | 60 mins |
| Wrap-up Discuss what went well/why, did not go well/why (e.g. not easy to facilitate discussions with different stakeholders); what are interpersonal skills required for effective facilitation | Speaking in plenary | None | 10 min |
| Conclusion: Sometimes there are circumstances where not everyone responds. To encourage everybody's participation consider: <ul style="list-style-type: none"> • hierarchy solution: discuss in pairs first • culture (go round with a simpler question first so that everybody speaks) | | | |
| PREPARATION REQUIRED FOR THIS SESSION Resources as above | | | |



Introduction

The idea of the game is that someone will facilitate the meeting in front of the group. This person will receive feedback, and then get a second chance. After we discover together what worked and did not work, the trainer will complement with some theory. The idea is to see how far we will get with our common sense.

Equipment required

- Flipchart paper and pens

Steps

1. Divide participants/trainee into groups of 4.
 - a. Identify a facilitator from each group who will try to run the session. Explain to the facilitator (out of hearing from the participants)
 - The objective of the session (based on the scenario): find a solution or proposal to solve the identified key challenges/issues from the scenario.
 - Role of the facilitator:
 - a. Gather the participants and ask them to share what they think are the key issues/challenges.
 - b. Discuss how to solve the major challenge identified.
 - c. Emphasize that the goal is an active contribution from everyone in the first few minutes.
Think of an approach to get all participants to talk.
 - b. Assign the remaining three trainees to play as John, Margaret and Tom. Give each one the printed role they have to play (see Box 1), i.e.:
 - Margaret is silent,
 - Tom just confirms/repeats John
 - John will initially remain silent but then starts talking and gives various answers to the questions so the discussion achieves nothing
2. Let the facilitator gather his/her group members and give him/her 10 minutes to discuss with the group. During the session, use the cards below as needed.
3. After 10 minutes. Stop the facilitators and gather all groups into the plenary. Discuss with the participants:
 - c. Was the goal of getting active participation from everyone in the first few minutes achieved?
 - d. Did everybody participate? what worked well and what didn't?
 - e. Ask how the facilitator could improve the responses.
4. In the plenary, go through the facilitation tips (see Checklist 1).
5. Let one or two people try to facilitate the same thing again with feedback from participants afterwards
6. **Debriefing:** what was different? What was the effect? Was the goal achieved?



BOX 1. ROLES IN THE GROUP

Below can be printed and distributed to each participant to give them their roles for the exercise.

You are the Facilitator.

- Gather the participants and try to identify the issues/challenges in the cassava scenario. Discuss how to solve the major challenge identified.
- Objective: Attain active contribution from everyone in the first few minutes. Think of an approach to get all participants to talk.

GROUP 1.

You are Margaret, the Silent Participant.

You don't talk during the discussion. You just listen.

GROUP 1.

You are John, the Talker Participant.

Initially you are silent, then you suddenly talk continuously causing confusion in the discussion.

GROUP 1.

You are Tom, the Confirming Participant.

You don't say much, just repeats what the talker participant says. Confirming what he says.

Checklist 1: Facilitation tips

The start

1. Look at everybody in the group, make eye contact with as many people as possible
 - Ask your question (question you have prepared in advance and is consistent with purpose of meeting)
 - Be silent after the question, this allows people to think about their reply
 - Give non-verbal encouragement
 - If necessary, sit down (when standing attention remains on you)
If nobody shows interest at first ...
 - Repeat your question ...
 - Rephrase the question (but keep same meaning)...
 - Direct the question to someone in particular...
 - Always ask if there is a need for further clarification...
2. Collect more reactions
 - Always acknowledge each contribution
 - Sometimes rephrase/seek clarification about a contribution to ensure that you understood well as facilitator as well as other participants
 - Say "Who else?"
 - After two or three responses summarize in concise way and check with group
 - Invite others by asking:
"Who has another experience / idea / interest / opinion?"
"In what other way can we look at this?"
3. Always
 - Keep the contributions/reactions focused, centered on the question
 - Shift quickly from one person to the other, look around, probe for details only if a response is not clear
 - Look encouragingly at silent people



S6b. Asking the right questions

Session Plan

SP S6b

| Session Plan (SP S6b) | | Total Duration: ± 35 min | |
|--|---|---------------------------------|----------|
| <p>OBJECTIVES NIFs learn to involve multiple stakeholders in an initiative/process of innovation, they can get stakeholders ready to participate by asking them the right probing questions.</p> | | | |
| CONTENT | Method | Resources | Duration |
| <p>Introduction Explain that we have the tendency to start with action planning while other stakeholders are still wondering why they are there, what is in it for them and who are the other stakeholders.</p> | Speaking in plenary | None | 5 mins |
| <p>Development Conduct exercise ES S6b.</p> | Role play in plenary Chairs formed in circle | ES S6b A hat for the farmer. | 20 min |
| <p>Wrap-up Communication theory of 1st and 2nd position. We often think and act from our own (1st) position and we usually find it difficult to leave our thoughts, our ideas besides and to really listen to the other and metaphorically get into the other's (2nd) position.</p> | Plenary | | 10 min |
| <p>PREPARATION REQUIRED FOR THIS SESSION</p> <ul style="list-style-type: none"> Background reading: Grove facilitation model; Drexler Sibbest team performance model; Dynamics of networks | | | |



Introduction

This is a role-playing exercise. Each trainee can practice their skills of talking to various levels of people be it a farmer or a policy maker. In this exercise, the situation is at the farm level. It could be changed to be in meeting where a policy maker is present.

Equipment required

- Materials to depict a farm e.g. a drawing or just simply sitting outside under a tree.
- A hat for the farmer or something to indicate he is the farmer.

Steps

1. Before the session, identify one of the trainee to act as a farmer. Instruct him/her to act as a farmer who is busy and has no time to talk nonsense with scientists.
2. At the plenary, ask a volunteer to be the scientist. Instruct the volunteer that he/she has a new variety that could be promising for the farmer. He/she is to convince the farmer to set up a trial to try it out.
3. Give the volunteer at least 5 min to talk to the farmer. Then ask for other volunteers. Try the exercise with maximum 3 volunteers.
4. The other trainee are observers on the behaviour of the farmer and scientists.
5. **Debriefing:** How do we attract the attention of a busy individual? How do we engage people into our initiatives/projects when they are faced with real risks and issues?



S6c. Facilitation – listening skills

Session Plan

SP S6c

| Session Plan (SP S6c) | | Total Duration: ± 25 min | |
|---|--------------------|--|----------|
| <p>OBJECTIVES NIFs learn to involve multiple stakeholders in an initiative/process of innovation, they can get stakeholders ready to participate by: actively listening to them (including summarizing).</p> | | | |
| CONTENT | Method | Resources | Duration |
| <p>Introduction For people to get committed to a project/activity they first need to be listened to, they want to know what's in it for them and trust needs to be build (who are you? What is your interest?). Commitment will come once the activities are commonly defined and these answer common interests.</p> | | None | 5 min |
| <p>Development Conduct Exercise S6c.</p> | Role play in pairs | ES S6b Checklist 2: active listening | 10 min |
| <p>Wrap-up</p> <ul style="list-style-type: none"> • What is the effect on yourself when you match body language and when you summarize? And the effect on the other? • By matching body language and summarizing, the other is feeling heard, understood, and trust is built. • How can these skills help us in a setting of negotiation? | Plenary | | 10 min |
| <p>PREPARATION REQUIRED FOR THIS SESSION</p> <ul style="list-style-type: none"> • Background reading: Grove facilitation model; Drexlen Sibbest team performance model; Dynamics of networks | | | |



Introduction

When you want to involve multiple stakeholders in an initiative/process of innovation, you can get stakeholders ready to participate by active listening to them (including summarizing).

Equipment required

Chairs are arranged as circle for plenary discussions. Another set of chairs are arranged for pair discussions.

Steps

1. Let the participants arrange themselves into two lines. Let them find partners by matching the person who is in front of them.
2. Ask one of the lines to come with you outside the corridor (out of the hearing of the other group). Explain to the group the 3 stages they will go through as shown below. Stages changes with the clap of your hands. Each pair arranges chairs to face each other.
 - Stage 1. Let your partner talk, but you don't look into his/her eyes. Look in various places in the room. Act as you are not interested.
 - Stage 2. Your partner continues talking. Now try to imitate how he/she moves her arms, hands, legs, in short, his/her posture. Try to get eye contact.
 - Stage 3. Your partner continues talking. This time, after a few sentences, try to summarize what he/she says. Wait for his/her confirmation. And encourage him/her to continue.
3. In plenary, analyse the experience of the speaker and listener.
 - a. What is the effect as a listener when you don't have eye contact, match the body language of the speaker, when you summarize
 - b. How does it feel as a speaker? Did you notice the difference in attitude of the listener? What was the effect of these changes to the way you were talking? Did it encourage or discourage you?
4. Conclusion
By matching body language and summarizing, the other is feeling heard, understood, and trust is built.

Checklist 2. For active listening

1. Listen to the other
 - Empty your head from any thoughts
 - Be genuinely curious
 - Copy posture or other non-verbal gestures
 - Listen carefully
 - Make eye contact and support with nodding/making encouraging sounds “aha... I see... etc.”
2. Summarize
 - Summarize briefly the content of what was said
 - Use your own words (match tone of voice, type of language)
 - Check if your summary is correct, Ask “...is that what you mean?”, or “are you saying....?”
 - Be silent and wait for answer

Continue conversation or if summary is not correct, let the other person repeat him/herself



S6d. Identifying interests and negotiation for mutual gain

Session Plan

SP S6d

| Session Plan (SP S6d) | | Total Duration: ± 65 min | |
|---|------------------------|---|--------|
| OBJECTIVES The trainees understand ways to engage and involve actors in a multi-stakeholder process. | | | |
| CONTENT | Method | Resources | Timing |
| Introduction Explain to the trainees that when they want to involve multiple stakeholders in an initiative/process of innovation they can create eagerness to participate and commit by: <ul style="list-style-type: none"> • bringing the interests of the actors on the table • Identify options for mutual gain | Speaking in plenary | ES S6d | 10 min |
| Development <ul style="list-style-type: none"> • Together with the trainees, discuss Checklist 3: identifying interests. • Conduct Exercise S6d: Identifying options for mutual gains. | Plenary with flipchart | Checklist 3: identifying interests ES S6d. | 45 min |
| Wrap-up Discuss: <ul style="list-style-type: none"> • Advantage and disadvantage of leading a meeting when you have an interest in the outcome compared with being neutral (facilitator) • Managing deadlock or conflicts (see extra exercises 1-2 below). <ol style="list-style-type: none"> a. Options are identified that meet interests of most stakeholders b. Otherwise, selection of options using objective criteria agreed generally (this is sometimes necessary to get feeling of fairness) i.e. <ul style="list-style-type: none"> - Jointly decide on: fair procedure, fair standards - Make matrix, apply criteria, check final choice on types of yes. | Plenary | | 10 min |
| PREPARATION REQUIRED FOR THIS SESSION <ul style="list-style-type: none"> • Resources as above | | | |



Checklist 3. Identifying interests

Interests of “the other”

- Drop your own agenda
- Be genuinely curious and friendly
- Ask for the other person’s interest: What do you need?
- Ignore expressions on position and ask for the importance behind the view: what makes this important to you?
- Avoid discussing or judging the interest of the other

Your own interests

- Reveal your own interests; speak plainly about what you find important and why you want something. This builds trust
- Avoid talking about your position

Shared interests

- Summarize all interests, write them on a flip chart
- If many, prioritize the interests of each person
- Find common interests
- Check if others recognize and agree with common interest(s)



Preparation

1. Pick your own case (See Box 2 for options). Make sure you have at least two stakeholder groups of which you know their interests. Instruct your group members on their roles.
2. Arrange seating for trainees to sit next to each other (side by side), all facing the flip chart
3. Have the list of interests visible (without names) on the wall.

Introduction

1. Agree that you will brainstorm and not decide yet
2. Clarify basic rules for brainstorm
 - no criticism, every idea is accepted
 - dream, out of the box
 - put time limit

Steps

1. Start brainstorm:
 - Start by asking for ideas that meet the interest of the others (not own interest)
 - Write down all ideas
 - Encourage with gestures, attitude, say... “what else?”, “great”, “you can do better”
 - Ask for ideas that are in everyone’s interest
2. Improving options
 - Ask participants to pick (star) most promising options given the identified interests
 - Try to improve the most promising ideas. Ask “What will help to realise this option?”
3. Plan decision (if needed)
 - Set a time deadline to evaluate ideas (on basis of objective criteria) and decide.



Box 2. Case studies – Identifying options for mutual gain

1. You are the **facilitator of a workshop** involving policy makers, researchers, farmers' organizations and representatives of product organizations (private sector). They are invited to **choose the value chain** the government should invest extra money in. Everyone wants his/her own value chain to be chosen. The farmers' organizations want it to be the soya value chain as many farmers produce soya. The policymakers prefer cashew nuts because the product can be exported and will provide foreign currency. The discussion seems to escalate around these two positions.

2. As **project manager** you will guide a discussion on how certain funds for **ICT investments** should be spent. University management wants to invest in an expensive management information system because this enables them to steer the university towards competency based learning. The research staff wants analysis software to support their research activities. To you it does not really matter as long as the budget will not be exceeded and the investment will lead to better education because that is the requirement of the donor. There is much discussion and deadlock arises.

3. You are a **researcher** and you are in a meeting with farmers, traders, transporters, and food processors to find out in which way you could collaborate in a project that focuses on **tomato processing**. Some participants have a strong opinion about the choice of technology to be tested. Transporters want the research to be about tomato paste manufacturing as this is a product that does not spoil quickly during transport. Farmers prefer to have a tomato variety that produces year round to avoid having a peak production which lowers the prices. They also would want to avoid adding another task to their already busy schedule so they are in favour of others adding the value. The factory that might do the processing is mainly concerned about getting enough production to avoid machinery standing idle. Researchers in food processing prefer to test solar drying of tomatoes because that does not require a lot of investments, can be done by farmers themselves, and delivers results quickly.

4. As **head of faculty** you have to guide the discussion on the use of project funds for buying new **means of transportation**. Teaching staff in the agri-department want to have a bus for transporting their student to the field for study tours and field work. The food and nutrition department has a lot of outreach projects and prefers buying 3 pick-ups to visit outside stakeholders and transport small amounts of food to the lab for processing. The animal science department wants a tractor to work the university farm land for free fodder and other income generating activities.

You do not want to exceed the budget and it is not possible to buy all means of transport that are proposed. The discussion runs high and deadlock arises.



Extra exercise 1. What is the best approach to avoiding deadlock in a meeting?

ES S6d

Introduction

NIFs are encouraged to think and to debate how to avoid deadlock in a meeting with stakeholders with different positions.

Materials required

- Flipchart with goal
- Flipcharts with options a-c on the wall distributed in the room

Steps

1. Explain the situation: “You are leading a stakeholder meeting. The stakeholder platform has developed a new type of credit scheme (warranty system for cereals). Now they want to scale up this system and have to decide in which region to scale up first. Two players (bank providing credit and Ministry of Agriculture) are dominating the discussion. Suggestions of others have been dismissed and they have turned silent. So the micro credit provider want it in region x and Ministry of Agriculture in region y and they are convincing everybody why their idea is the best. A deadlock, and it is proposed that the decision is postponed to the next meeting but some stakeholder indicate they will not turn up.
2. Discussion/Plenary: If you could redo this meeting what approach would you choose?
 - Ask everybody to come-up with advantages and disadvantages of the two options? And then see if one stakeholder changes their mind
 - Make everybody vote what is the best solution for them and then try to improve this solution with most votes to make it fit as many interests as possible.
 - Organise a brainstorm in which every suggestions is taken on board and make a long list of options.
3. Pick the best approach to avoid such deadlock. Stand in front of the option you prefer. Discuss within the groups (1a-c) why you think this approach is the best.
4. Facilitate discussion in such way that participants discuss how to handle it and what will be the effect of that approach. Start with the smallest group and stand next to them. Then move to other groups. Play devil’s advocate. Increase differences to encourage discussion.
5. Summarize the points on which most NIFs agree and disagree
6. Give own vision acknowledging correct suggestion on the value of brainstorming. Link to the theory (see checklist below on identifying interests)



Introduction

this is an exercise in which NIFs realize that this sort of scenario occurs in their daily lives, and that it is hard to facilitate a discussion where participants have very strong and sometimes conflicting positions. Finally the audience will help the facilitator by providing some tips and gain confidence that it is possible to improve and bring people closer to each other!

Materials required

- none

Steps

1. Ask the participants which of them has found themselves in a situation in which they facilitated or were part of a meeting/workshop and conflict arose. “What happened? What was your role (participant or facilitator?) What did you do in this situation?”
2. Simulate situation.
 - a. The participant that comes with the case will be the facilitator and he will choose the participants of the chosen workshop/meeting. These participants should have strong positions.
 - b. If the participant was not the facilitator of the meeting where conflict arose, you can also ask a volunteer to facilitate.
3. Stop the simulation and discuss some tips. A tip could be to ask questions to go deeper. What makes you want this? What is important to you?
4. Then resume simulation and try-outs tips to see what helps to improve things.
5. Acknowledge the improvement and make a bridge to the theory

Note 1: This might not be a very easy one to facilitate. If you do not feel comfortable simulating, just try to get out some experiences people have with meetings in which conflict arose, the role they played and how difficult these situations can be. Check whether indeed they agree. Reassure them then that there are some tips that will help them bringing people together.

Note 2: If the group comes up with good tips (reflecting the checklist below) you may consider skipping Part 2 below.



S6e. Understanding group dynamics and diversity (The Black Horse murder mystery)

Session Plan

SP S6e

| Session Plan (SP S6e) | | Total Duration: ± 80 min | |
|--|--------------------------|--|----------|
| <p>OBJECTIVES NIFs appreciate better the importance of listening and collaboration, and have an improved understanding of group dynamics and different approaches to problem solving</p> | | | |
| CONTENT | Method | Resources | Duration |
| <p>Introduction The Black Horse murder mystery will test the ability of the group to share/receive information and problem solve. Please do not show your clue cards to anyone else in the group</p> | Speaking in plenary | None | 5 mins |
| <p>Development Carry out the Black Horse murder mystery exercise as in ES S6e.</p> | Participatory group work | ES S6e; flip chart paper; pens; Clue card print out + scissors | 60 mins |
| <p>Wrap up</p> <ul style="list-style-type: none"> Ask the observers to report on what they saw for example: did the participants choose a leader, did certain members dominate, were the voices of some ignored, did some give up and not participate, how was a consensus arrived at?) How do you think the reflections on this exercise can help improve the CNA process? Invite questions The next session will be on action planning for the CNA process. | Q&A in plenary | None | 15 mins |
| <p>PREPARATION REQUIRED FOR THIS SESSION</p> <ul style="list-style-type: none"> Print out one copy of clue cards in ES S6e and cut up – one card per piece of paper. | | | |



Introduction

This exercise helps people understand group dynamics and diversity.

- With the whole group in a circle, announce that what you would like them to do is to work together as a group to solve a murder mystery that took place at the “Black Horse” bar in London. [N.B. rather than adapt the mystery to different cultures, it is better to leave as taking place in London]
- Several clues to the mystery will be shared out among members of the group.
- No-one can move or to pass their clues to someone else to read.
- Do **NOT** give any other instructions (such as how to organise themselves)

By talking to each other, they have to solve the mystery and answer the following questions written on a flipchart:

- Who is the murderer?
- At what time did the murder take place?
- Where did the murder take place?
- What was the weapon?
- What was the motive?

Once they have the clues, the group will be left to its own resources and should only refer to the facilitator when they think they have the answers.

The group must come to a decision about the answers to the above questions and inform the facilitator of their conclusion. If their version is correct, the facilitator informs them of that. If it is not, they should do some further deliberations to come up with another solution and inform the facilitator of this new conclusion, when they are ready.

Equipment required

Clues printed out and cut up one clue per piece of paper.

Steps:

1. The individual clues should be cut out and pasted on cards and then mixed (Do NOT number the cards!)
2. Distribute the clues among the group. If the group is smaller than 28, then some members will have more than one clue (if the group is larger than 28 then some members will not be issued with a clue, but may contribute to solving the mystery).
3. Choose one member of the group to be an observer to watch how the dynamics work out (do they choose a leader, do certain members dominate, are the voices of some ignored, do some give up and not participate, how is a consensus arrived at?) Since in the case of the NIFs Training, the group is quite small (8-12 members), the facilitator may want to take on the role of observer.



The Black Horse Tale – Clues

When he was discovered dead, Mr Brown had a large bruise and bleeding to the side of his head and deep cuts to his throat and neck

Mr Smith attacked Mr Brown at 22:10 in the car park of the “Black Horse” bar

A man getting off the No. 38 bus outside the “Black Horse” saw Mr. Brown with blood all over his face.

A broken bottle with blood on it was found in the “Black Horse” car park.

Brown’s body was found at 23:15

When the man getting off the bus saw Mr Brown, he was sitting on the car park wall holding his head

A spanner with Mr Brown’s blood on it was found in a dust bin near the “Black Horse”

Mr Smith saw Mr Brown in the bar and started threatening him

Mr Brown was having an affair with Smith’s wife

The barman saw Mr Johnson leave the bar at 22:05

At 22:10 Mr Smith came into the bar and ordered a bottle of “Charles”

The spanner had Mr Johnson’s fingerprints on it

Mr Smith and Mr Brown left the bar arguing at 22:05

The barman said that Mr Brown and Mr Johnson were regular customers in the “Black Horse”

Mr Johnson had been drinking on his own in the “Black Horse”

Mr Brown’s body was found in the back alley behind the “Black Horse”

The broken bottle had Mr Smith’s fingerprints on it

Mr Brown had been dead one hour according to the medical expert working with the police

Mr Johnson had been seen opening the boot of his car in the “Black Horse car park just after 22:10 by a regular customer going into the “Black Horse”

The manager of the bar found Mr Brown very attractive

Mr Brown’s bloodstains were found in the car park and back alley

Mr Smith had told Mr Brown he was going to kill him



The barman said that Mr Johnson sometimes handed an envelope across the table to Mr Brown

Mr Brown and Mr Johnson met together from time to time in the “Black Horse”

Mr Johnson could not be found by the police after the killing

The No 38 bus stopped outside the “Black Horse” at 22:12

It was obvious that the body had been dragged some distance

Mr Smith was not at home when the police called to make enquiries after finding the body

The Black Horse Tale – Solution

Murderer: Mr Johnson

Time: 22:15

Place: “Black Horse” car park alley

Weapon: Spanner

Motive: Blackmail

Mr Brown had been involved in a fight with Mr Smith in the “Black Horse” car park over an affair with Smith’s wife. Smith had cut Brown’s face and neck with a broken bottle at 22:10.

Brown met Johnson regularly in the bar. He was blackmailing Johnson. Johnson saw his chance when Brown was injured, and clubbed Brown to death with a spanner taken from his car boot at 22:15. He then dragged the body across the car park to the back alley and threw the spanner in a dustbin near to the “Black Horse”.

Adapted from a mystery devised by Martin Horne – a Social Studies and Careers Teacher from Leeds, UK.



Session 7. Understanding the Capacity Needs Assessment Process

S7a. The CNA Process for CDAIS

Session Plan

SP S7a

| Session Plan (SP S7a) | | Total Duration: ± 45 min | |
|---|---------------------|-------------------------------|----------|
| <p>OBJECTIVES NIFs will be familiar the detailed capacity assessment process for CDAIS and understand the process framework they will be operating within while deepening understanding of tools to be used.</p> | | | |
| CONTENT | Method | Resources | Duration |
| <p>Introduction Recap key messages from Session 5: Introduction to the Capacity Needs Assessment and open up for discussion and reflection.</p> | Speaking in Plenary | Flipchart | 10 mins |
| <p>Development Present steps (Leiden table) of CDAIS Country Capacity Needs Assessment process for niche level and have a discussion.</p> | “Teaching” moment | Printed copy of Leiden Table. | 30 mins |
| <p>Wrap-up Open discussion to check relevance and understanding.</p> | Discussion | | 5 mins |
| <p>PREPARATION REQUIRED FOR THIS SESSION</p> <ul style="list-style-type: none"> Resources as above | | | |



Leiden Table: CDAIS Country Capacity Needs Assessment Process (Innovation Niche Partnership Level)

Outputs

- Country Capacity Assessment report (innovation niche partnership level)
- Capacity Development Action plan
- Contextualised tools (e.g. Capacity Assessment Questionnaire for AIS) and documented process

| Step | Timing | Title | Objective | Approaches | Tool options to be used in a standardized way | Who does it |
|------|--|---|---|--|--|---------------------------------|
| 0 | Prior to start of CNA. | Profiling of innovation niche partnerships? | CDAIS staff understand the niche sufficiently to plan the CNA detail and brief the NIFs during their training | <ul style="list-style-type: none"> • Desk studies/previous reports. Completion of the niche profile in consultation with niche stakeholders | <ul style="list-style-type: none"> • F2F discussions with stake-holders, semi-structured around the niche profile headings. | CPM |
| 1 | Start of CNA | NIF Training | Train the national innovation facilitators on skills to facilitate and tools to use for the CNA. Share the concepts of CDAIS project. | <ul style="list-style-type: none"> • 4 days participatory training – presentations, group exercises, questionnaires. | <ul style="list-style-type: none"> • NIF Training Resources (session plans, exercise sheets and powerpoints). | Led by AFP with CPM |
| 2 | After the NIF Training | NIF action planning | Finalize and agree the NIF workplan to conduct the CNA. | <ul style="list-style-type: none"> • 1 day meeting among NIF and CPM | <ul style="list-style-type: none"> • Action plan template used in NIF training | NIF |
| 3 | Field Visit 1 (stakeholder workshop). | Creating ownership/ galvanising commitment: actors in the innovation niche partnerships | Stakeholder awareness of the project; Common understanding of the history of the niche and the actors involved (what is going well and not). Mutual knowledge of what we can do together (“Dimension / Manage” expectations). | <ul style="list-style-type: none"> • Open invite to leaders of organizations; F2F with all actors in the innovation niche partnership | <ul style="list-style-type: none"> • Short presentation of the objectives of CDAIS to gain interest by actors in the innovation niche partnerships. • Timeline tool. | CPM + NIFs (with AFP initially) |
| 4 | Field Visit 2. Day 1 (stakeholder workshop-morning). | Understanding the innovation niche partnership (1) | Shared understanding of key problems (technical and functional), effects, causes and initial thoughts on solutions | <ul style="list-style-type: none"> • Group work and plenary feedback | <ul style="list-style-type: none"> • Problem tree/solution tree (functional capacity-focused but recognizing technical problems too) | CPM + NIFs (with AFP initially) |

Step 2-5 will also be applied to assessing the organizational AIS capacities at national level



| Step | Timing | Title | Objective | Approaches | Tool options to be used in a standardized way | Who does it |
|------|---|--|--|---|---|---------------------------------|
| 5 | Field Visit 2 Day 1. (Stakeholder workshop afternoon) | Understanding the niche (2): | Shared understanding of who is involved; linkages and influences; structure / governance; boundaries | <ul style="list-style-type: none"> Group work and plenary | <ul style="list-style-type: none"> Netmap tool (making reference to the findings of the Problem / Solution tree) | CPM + NIFs (with AFP initially) |
| | | Facilitated Self-assessment of capacities of actors within the innovation partnerships/ niches | Understanding the existing capacities in the innovation niche partnerships to work together. | <ul style="list-style-type: none"> Individual exercise | <ul style="list-style-type: none"> Capacity assessment questionnaire | CPM + NIFs (with AFP initially) |
| 6 | In between field visit 2 and field visit 3 | Analysis of capacity needs to be addressed by CDAIS | Processing/reflection/collation and analysis of findings/data from visit 1 and 2. | <ul style="list-style-type: none"> Off site + consultations and data analysis of information gathered from timeline, problem tree, netmap and questionnaire. | <ul style="list-style-type: none"> Tables for data/info. from timeline, problem tree, netmap and questionnaire. Capacity profile of each actor Radar plot on capacities within the innovation niche partnerships | CPM, NIFs, AFP |
| 7 | Field Visit 3 (stakeholder workshop). | Visioning | Share and agree with the actors the results of the analysis on capacities within the innovation niche partnership. Discuss and agree with the actors on what they want to do together in the innovation niche partnership. | <ul style="list-style-type: none"> Participatory presentation of results Group discussions Joint decision making on shared vision | <ul style="list-style-type: none"> Presentation of results that facilitate ownership by the actors in the innovation niche partnership Use rich picture or future backwards to develop a shared vision within the innovation niche partnerships | CPM + NIFs (with AFP initially) |
| | | Consensus on capacity development needs | Agreement on capacities required to achieve the shared vision of innovation niche partnership. | <ul style="list-style-type: none"> Plenary proposal / dialogue / refinement / validation | <ul style="list-style-type: none"> Capacity assessment report using template; Presentation | CPM + NIFs (with AFP initially) |
| | | Capacity development action planning | Agree on who, how, when, cost of CD interventions. | <ul style="list-style-type: none"> Some plenary some smaller groups | <ul style="list-style-type: none"> Action planning tools/formats | CPM + NIFs (with AFP initially) |
| 8 | After the Field Visit 3. | Writeup of CNA report | To consolidate data and information on CNA. | <ul style="list-style-type: none"> Data consolidation Consultation with relevant actors | <ul style="list-style-type: none"> CNA report template | CPM, AFP |



S7b. Overview of Tools for Capacity Needs Assessment

Session Plan

SP S7b

| Session Plan (SP S7b) | | Total Duration: ± 40 min | |
|--|---------------------|--------------------------|----------|
| OBJECTIVES NIFs have an initial understanding of the range of tools they will use. | | | |
| CONTENT | Method | Resources | Duration |
| Introduction There are many participatory tools that can be used in the process of capacity needs assessment. The CDAIS project has identified a small number of key tools that can help the innovation niche partnership stakeholders and you to explore and understand the niche partnership and identify functional capacity needs. | Speaking in plenary | None | 5 mins |
| Development Present PPT S7b | Presentation | PPT S7b | 15 mins |
| Wrap up <ul style="list-style-type: none"> • Ask if participants have used any of these tools before and if so, what their experience of using them was like • Invite questions/comments • In the next session, we will move on to using the first of these tools – the timeline | Q&A | None | 10 mins |
| PREPARATION REQUIRED FOR THIS SESSION <ul style="list-style-type: none"> • Resources as above | | | |



S7c. Understanding the situation in the innovation niche partnership (The Timeline Tool)

Session Plan

SP S7c

| Session Plan (SP S7c) | | Total Duration: ± 60 min | |
|--|---------------------|---|----------|
| <p>OBJECTIVES NIFs understand how to use the timeline when working with the actors in the innovation niche partnership, to enable them to reflect on their achievements to date and challenges faced.</p> | | | |
| CONTENT | Method | Resources | Duration |
| <p>Introduction Explain that the timeline exercise will be used in the first visit to the niche partnership to understand more what is happening there and build up a rapport. It should be a participatory exercise for the whole group present at the first niche visit.</p> | Speaking in plenary | None | 5 mins |
| <p>Development</p> <ul style="list-style-type: none"> N.B. Since the NIFs are not actors in the same niche partnership, it will be necessary to choose a process that they have some common involvement in, e.g. you can use the scenario in Session 2a. Complete the exercise outlined in ES S7c | Plenary exercise | Flipchart paper, masking tape, BLACK, GREEN and RED marker pens ES S7c | 45 mins |
| <p>Wrap-up</p> <ul style="list-style-type: none"> Ensure NIFs have understood the exercise and how it will be conducted in a real innovation niche partnership. Clarify any outstanding questions | Q&A | None | 10 mins |
| <p>PREPARATION REQUIRED FOR THIS SESSION</p> <ul style="list-style-type: none"> Resources as above | | | |



Introduction

The timeline exercise will be used in the first visit to the niche partnership to understand more what is happening there and build up a rapport between niche partnership actors and the NIFs. It is a participatory exercise to be carried out with the whole group present at the first niche partnership visit.

N.B. Since the NIFs are not actors in the same niche partnership, it will be necessary to choose a process that they have some common involvement in, for example the Session 2a.

Equipment required

- Flipchart paper, masking tape, BLACK, GREEN and RED marker pens

Steps

- Spread two to three sheets of flipchart paper horizontally on the wall.
- Draw a line horizontally in the middle of the sheets in BLACK and divide into time periods. The divisions will depend on the time the niche partnership has been in existence, e.g. if it is a new initiative, actors may want to divide it into months, if it has been in existence for some years, it could be divided into quarters
- Mark the breakthroughs or key events in GREEN on top of the line corresponding to the time it happened. Draw a circle around the breakthrough.
- Mark the challenges/setbacks in RED below the line. Draw a circle around the challenge
- Then explain events or opportunities that led to those breakthroughs and write them in GREEN next to the breakthrough
- Do the same for the challenges and write in RED next to the challenge.

See the next page for an example of a timeline.

Resources

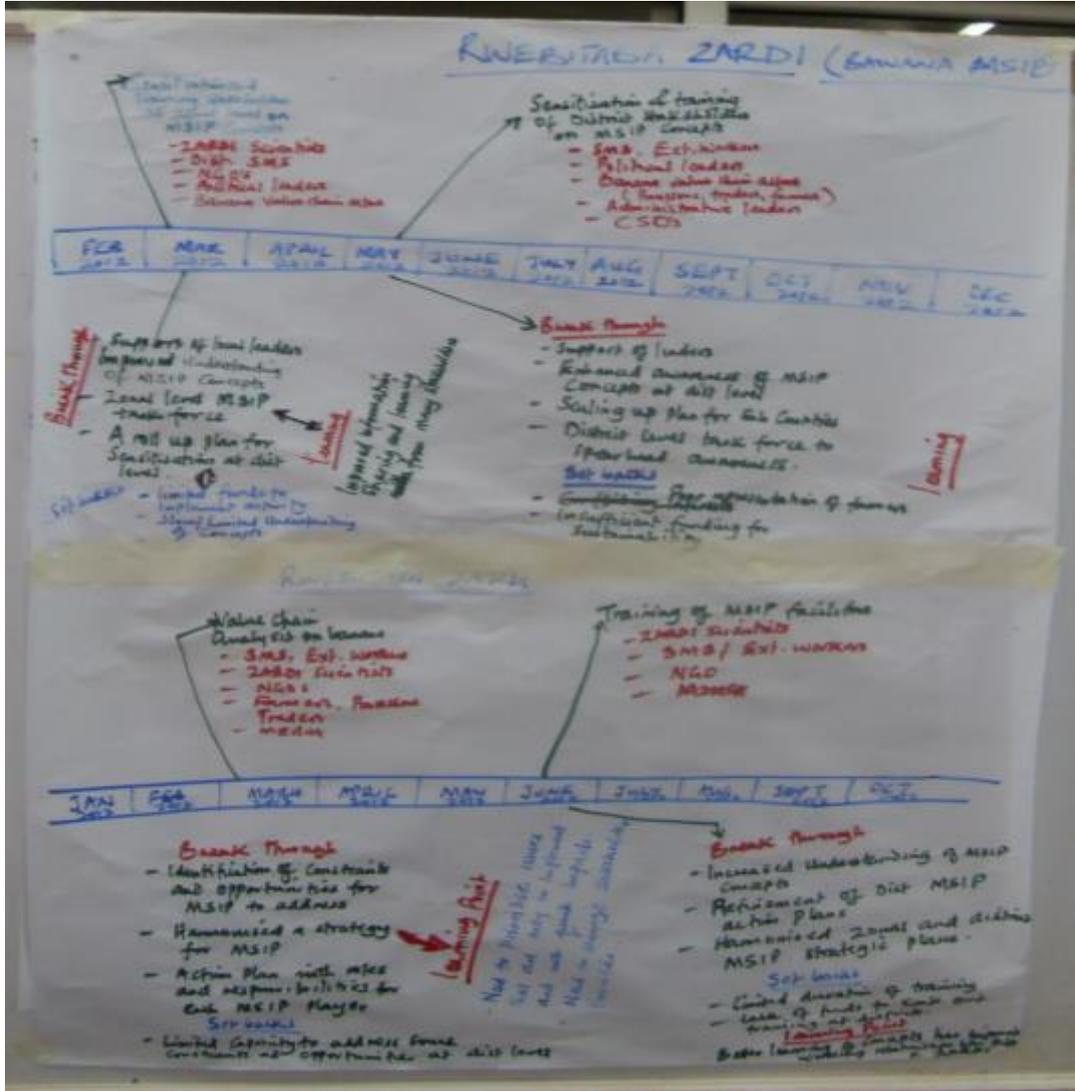
Below are links to two variations on the method explained above

Link Consult Network Tools: Methods.

<http://www.toolsfornetworkers.nl/en/gereedschap/lang-en-methods-lang-lang-nl-methoden-lang>

Mierlo, B. van, Regeer, B, Van Amstel, M. et al. 2010b. Reflexive Monitoring in Action. Guide for Monitoring System Innovation Projects. Boxpress, Boxtel, the Netherlands.

<https://www.wageningenur.nl/en/Publication-details.htm?publicationId=publication-way-333935373332>





S7d. Understanding the Cause and Effect of Challenges (Problem tree/solution tree tool)

Session Plan

SP S7d

| Session Plan (SP S7d) | | Total Duration: ± 80 min | |
|---|--------------------------|---|----------|
| <p>OBJECTIVES NIFs are capable of effectively facilitating the Problem/Solution Tree tool at niche partnership level to identify the causes and effects of problems, as well as the objectives/actions that will address the causes.</p> | | | |
| CONTENT | Method | Resources | Duration |
| <p>Introduction The problem tree is a tool for mind mapping key problems, their causes and their effects. The solution tree progresses this to objectives and actions for addressing the causes. Initially we will include all problems – functional and technical – but will change the focus in the second step to look at causes that relate to functional capacity gaps at the niche partnership level.</p> | Presentation | None | 5 mins |
| <p>Development Use the problem tree tool on the scenario in Session 2a or the Scenario on the Cassava Value Chain – see exercise ES S7d.</p> | Participatory group work | ES S7d; flip chart paper; pens; 3 colours of cards; masking tape; country specific scenario | 60 mins |
| <p>Wrap up</p> <ul style="list-style-type: none"> • What did we learn about the causes/solutions of technical problems? • How can this tool help us in making a Capacity Development plan? • Invite questions on the use/application of the tool and possibly tips from those that have already used this tool in the past. <p>The next session will explore the facilitation skills required to use this sort of tool effectively.</p> | Q&A in plenary | None | 15 mins |
| <p>PREPARATION REQUIRED FOR THIS SESSION</p> <ul style="list-style-type: none"> • Resources as above | | | |



Problem/solution tree

Introduction

This exercise involves using the problem tree/solution tree tool to explore the causes and effects of key problems, and some preliminary thinking about the objectives and potential actions to address the problems.

Equipment required

Copies of this Exercise Sheet; printed copy of a nationally relevant scenario or real example of an innovation niche partnership; flipchart paper and pens; red, green and blue cards; masking tape.

Steps

1. Divide into groups of 3 or 4
2. Each group sticks two pieces of flip chart paper together along their long edge and puts them on the floor or on a table. Draw a tree with trunk right in the middle of the two sheets and branches above and roots below to fill the flip chart paper.
3. Each group reads through the scenario, discusses and identifies the major problems (either functional or technical) constraining the functioning of the innovation niche partnership, and writes each of these major problems on a red card.
 - Discuss and agree on the most important or central problem, and put that card in the middle of the paper on the trunk of the tree. See pitfalls in defining problems.
 - Now write down as many effects of the problem on green cards and arrange these effects (the justification for action) as branches of the tree.
 - Then write down as many causes of the problem as you can think of on blue cards, and arrange the blue cards with major causes below the tree as roots, and the blue cards with the secondary causes below those.
 - NB you might consider giving an example problem: low yield of product X in region Y. Cause: no access to high yielding varieties. Effect: low income of farmers in region Y.
 - N.B. Don't stick any cards down yet as you may want to move them around.
4. Review the problem tree and make any changes/additions as necessary.
5. Now write a new card (yellow) with a positive objective for each of the causes and stick them on top of the cause cards. For example, the cause might be 'no access to high yielding varieties' and the positive objective might be 'farmers have timely access to affordable high yielding varieties'
6. If there is time, discuss interventions that could address these objectives. However, the aim of this exercise is NOT to produce a capacity development plan, but to lay the foundations for doing that later.



Scenario – Cassava value chain in Rwanda

Mr. GANZA lives in MUHANGA district. This year, he harvested 14 tons/ha of cassava. He has 4 children, two of which have to go to university. He has been planting cassava the past 10 years with a steady harvest. In another neighbouring district, Ruhango, Mr. HIRWA is also planting cassava, but he harvested 24 tons of cassava/ha. Mr HIRWA is a member of the KINAZI Cassava Processing Plant with membership of 789 farmers. Being a member of the processing plant, he has free access to the processing equipment, storage facilities and advice of fellow farmers. This year, several of the members observed a special disease that nobody can identify. They've heard that this could be a viral disease that can only be solved by having new planting material. How to access these materials is a challenge.

In the meantime, Mr. GANZA is the lead farmer and is assigned by RAB as an extension agent to support farmers increase productivity in MUHANGA district, and knows the situation in RUHANGO District. In the past, few months he received several visits from different NGOs and development partners. They all offer interesting ideas about cassava. He knows that there has been successful new variety adopted in Eastern Province, developed by RAB. Below is the list of agencies that recently visited Mr. GANZA with different offers:

- IMBARAGA knows techniques on how to build storage facilities, but has not financial resources to build the facilities,
- IITA has techniques on how to multiply resistant varieties, has the funding to multiply by teaching only 15 farmers but not enough resources to distribute to 2000 farmers Ganza works with;
- Micro-finance can provide credit only if farmers guarantee payment after harvest;
- Transporters can buy cassava in bulk with minimum travel of one truck per day;
- Women's group meet every week to pick up cassava and sell to local markets but usually find it challenging to collect enough cassava volume. They are very keen to have additional work for income in between marketing;
- Local government has funds to build infrastructure but has not decided which type of infrastructure;
- Ministry of Agriculture has introduced new strategy of importing cassava cuttings and distribute them within Rwanda, but still needs service providers to take over;
- Ministry of Trade and Industry is also looking at linking the farmers to markets but few farmers are keen to work with cooperatives, because of low price given by the buyers

Do's and Don'ts in formulation of problems

| Don'ts: | Do's: |
|---|--|
| No big balloons or big vague concepts, e.g. no infrastructure | but Be precise, e.g. there is no paved road from Chittoor to Mahabubnagar |
| No absent solutions (danger: you block alternatives), e.g. we have a lack of money and thus children don't go to school | but Instead, the problem is: school fees are not affordable |
| No non-existing problems, e.g. no existence of NGOs (in former dictatorial countries possibly a problem in the past) | but The problem now is that there is no knowledge on how to run an NGO |
| No formulation of interpretations, e.g. the government is lazy | but The government does not issue licenses |
| And further: explain abbreviations and jargon | |



S7e. Understanding the landscape of stakeholders (NetMap analysis)

Session Plan

SP S7e

| Session Plan (SP S7e) | | Total Duration: ± 150 min | |
|---|--------------------------|---------------------------|----------|
| <p>OBJECTIVES</p> <ul style="list-style-type: none"> To understand the landscape of the stakeholders who are involved in the innovation partnership how they work together and they influence each other power relations; To monitor changes in the network and their relationships (the first map will be used as a baseline for the future maps/monitoring) | | | |
| CONTENT | Method | Resources | Duration |
| <p>Introduction</p> <p>NetMap technique is a simple and commonly used tool to understand who the stakeholders are, how do they work and linkages between them, and what is the power structure in the system. The exercise should be done in small groups using participatory and facilitated discussions. The NetMap can be used to understand the general picture of the system or to explore situations around a particular issue or purpose. For the NIF training, they will be focusing on a particular issue that is identified through a problem tree analysis.</p> | Speaking in plenary | None | 10 min |
| <p>Development</p> <p>Select one of the major objectives identified the previous session (Session S7d: problem/solution tree). Use this situation to conduct Exercise S7e on netmap.</p> | Participatory group work | ES S7e | 100 min |
| <p>Wrap up</p> <ul style="list-style-type: none"> Plenary session: Groups by different stakeholders present each other their own map (which indicates only their perspective and view). It enables, for example, how producers see the landscape, who are their point of calls/linkages and which actors they see as influential. In plenary, following each group presentation, the note taker should be asked to highlight any relevant and important discussion of their group that are not included in the map. | Q&A in plenary | None | 40 min |
| <p>PREPARATION REQUIRED FOR THIS SESSION</p> <ul style="list-style-type: none"> Resources as above | | | |

Introduction

This exercise is to deepen the understanding about the stakeholders within the innovation niche partnership namely who is involved, how they work together, influence each other and their power relations.

Set up and Equipment required

Room should be set up to have groups of 3 – 5 people; Markers and colour card, (Suggestion: give one/same colour for one table /stakeholder); Flip chart or big sheet of paper; 4 different colour markers; Dame/checkers pieces (discs), (alternatively, where dame is not available, you may use other stackable tokens of some sort.)

| Step | | Comments/notes | Duration |
|------|---|---|----------|
| 1 | Build consensus on a scenario that will be used for NIF training and build common understanding of the value chain (Recommendation: use the most common existing value chain / innovation partnership in the country). During niche partnership level capacity needs assessment, use the niche partnership itself and focus on one of the key issues identified during the Problem Tree exercise (Session S7d) ! IMPORTANT: The exercise should focus on the situation NOW, not what the stakeholders would wish it to be. | Skip this step if NetMap is building onto a scenario or an issue that is used in the previous exercises | 10 min |
| 2 | Group the participants (NIFs) into small groups (Recommendation: groups should be divided by stakeholder. E.g. Government, NGO, private sector, producers, extension, and research). It is important to group them by stakeholders to understand the difference in the perspective and power relations / levels of influence. | Room should be set up to have groups of 3 – 5 people, each around a table where the Netmap can be laid out. A sheet of flipchart paper is placed on each table. | 5 min |
| 3 | Assign a group facilitator and note taker. Group facilitator ensures everyone's participation in the discussion as well as keeps the time. Note taker ensures that relevant and important comments during the discussion (that are not part of the map such as how to overcome certain issues) are documented. | | 5 min |
| 4 | Introduction of the questions a. Who are the key actors? Who are involved in addressing one of the main issues identified from the problem tree? Based on your experience, write each actor or stakeholder who you think is important on a separate card, and only actors that are very relevant! Then, place them on the flipchart/big sheet with plenty of space in between them. The map can be created from the perspective of the group participants, placing their organization in the middle. | Markers and colour card, (Suggestion: give one/same colour for one table /stakeholder) Flip chart or big sheet of paper | 30 min |

| Step | | Comments/notes | Duration |
|------|--|-------------------------------------|------------------|
| 4 | <p>b. Now, let us identify linkages among them. Who is working with whom? And for what purposes. Focus should be on first degree linkages, with some important second degree relationships also featuring on the map. Discuss in your groups:</p> <ul style="list-style-type: none"> - who is connected with whom, then discuss - why are they connected, what is the purpose of their connection? <p>Since people/organizations are linked to one and another for a reason, please use the following 4 different colour markers to indicate their principle purposes/reason of their linkages:</p> <ul style="list-style-type: none"> - Black for – Knowledge and information (technologies, practices, etc.) - Red for – Financial flows and directives - Blue for – agr. Inputs (seeds, fertilizers, etc.), if applicable - Brown for – Disturbance <p>For example, if a farmer connected to an organization to find out more information on market, please draw a black line between them. Once the purpose/reason for their linkage is identified, please indicate the direction of the linkage, is it both ways, or is it only one way? Draw an arrow to the direction of the communication.</p> | 4 different colour markers | 30 min |
| | <p>c. How influential are they? Last step is to describe the stakeholder's influence in addressing the issue. Some of the stakeholders play important roles and they are more influential in addressing the identified issue than others. (It is important at this stage to reach a consensus on what 'influence' means). Based on your discussion in the group, stack the discs or tokens next to the stakeholder's name. The influence tower can be max. 5 pieces high indicating a high level of influence.</p> | Dice/checkers pieces or poker chips | 15min |
| | <p>d. Plenary session: Groups by different stakeholders present each other their own map (which indicates only their perspective and view). This allows everyone to understand, for example, how producers see the landscape, who are their point of calls/linkages and which actors they see as influential. In plenary, following each group presentation, the note taker should be asked to highlight any relevant and important discussions/observations of their group that are not included in the map.</p> | Group presentations in plenary | 10 min per group |
| | <p>e. Repeat the exercise, but this time ask the stakeholders to construct a NetMap of how they feel an IDEAL system should look and discuss which what would need to be done and which capacities would need to be strengthened to help the niche partnership move from NOW to the IDEAL state.</p> | | |



Important elements to consider for the Facilitators:

- Ensure group discussions are focused on the main issue that is identified from the previous problem tree exercise.

Post workshop tasks for NIFs (main facilitators):

- Analysis of the maps by stakeholders
- If necessary merge the maps into one
- Baseline analysis for the existing social network (optional: using available software)

Resources

<https://netmap.wordpress.com/about/>

www.mspguide.org/tool/netmapping



S7f. Identifying a shared vision for the innovation niche partnership

Session Plan

SP S7f

| Session Plan (SP S7f) | | Total Duration: ± 45 min | |
|--|--------------------------|--------------------------|----------|
| <p>OBJECTIVES NIFs can facilitate and engage the actors in the innovation niche partnership to formulate their shared vision.</p> | | | |
| CONTENT | Method | Resources | Duration |
| <p>Introduction There are two tools that could be used for this session. One is the rich picture and the other is the future backwards. These tools can help stakeholders reflect on and capture their vision of what a 'perfect future' might look like if their innovation partnership was working really well. The tools should illustrate what their world would be like if all the problems (identified in the Problem Tree exercise) were solved, the relationships (identified in the Net Map exercise) were functioning well, and the capacity gaps (identified in the Capacity Questionnaires) were addressed.</p> | Speaking in plenary | none | 5 mins |
| <p>Development: Select the tool to use, for</p> <ul style="list-style-type: none"> the Rich Picture exercise, use ES S7fa. The future backwards exercise use ES S7fb. | Participatory group work | Flip chart paper; pens; | 30 mins |
| <p>Wrap up</p> <ul style="list-style-type: none"> In plenary ask whether there were any elements in other groups' pictures that on reflection they would like to include Ask whether there were any conflicts between the 'perfect worlds' illustrated by different stakeholders. | Q&A in plenary | None | 10 mins |
| <p>PREPARATION REQUIRED FOR THIS SESSION</p> <ul style="list-style-type: none"> Resources as above. | | | |



Introduction

This session consolidates the information gathered from use of the Timeline, Problem Tree and NetMap tools. It is important that the facilitator can analyse the issues and gaps from the previous exercises to be able to guide the discussions with more focus. The vision formulated should be owned by most the actors in the partnership. Each partnership should understand why they are engaging in the process.

Equipment required

Flipchart papers, flipcharts, pencils, marker pens (4 colours)

Steps

1. Split to groups of 4 or 5
2. Each group imagines they a stakeholder in an innovation partnership e.g. a farmer, trader, researcher or any other stakeholder. Think about a 'perfect' future picture of how your world would be if the partnership worked really well, perhaps in 10 years' time
3. Each group decides who will be the artist
4. Lay out a sheet of flip chart paper on a table or stick it to the wall
5. With contributions from the group, the artist draws a picture illustrating the perfect world in 10 years' time.

In plenary each group presents their Rich Picture and explains the elements in it.



Introduction

This session consolidates the information gathered from use of the Timeline, Problem Tree and NetMap tools. It is important that the facilitator is able to analyse the issues and gaps from the previous exercises to be able to guide the discussions with more focus. The vision formulated should be owned by the majority of the partnership. Each partnership should understand why they are engaging in the process.

Equipment required

Flipchart papers, facilitation cards (ideally cut in hexagonal shapes), flipcharts, marker pens (4 colours)

Steps

1. Share the ground rule (you can write this on a flipchart)
 - a. There is no right or wrong answer
 - b. be as creative, imaginative and extreme as you can in imagining potential futures (don't let the conditions of the present constrain your perspective of the future)
 - c. Consider all dimensions (behaviours, processes, characteristics, events, newspaper headlines, pictures, video – anything that helps describe the future state)
 - d. Don't channel all discussions/postings through one person – everyone contributes
 - e. Discuss items and perspectives and experiences whilst posting – no silence!
 - f. Please do not look at what the other groups are doing.
 - g. DO NOT set any restriction on the time period, contrasts will be interesting
2. Provide the instructions below one at a time.
 - a. Describe the **current state** (CS).
Derive the description from the NetMap exercise. Write on one card one current state.
 - b. Identify the **most significant event in the immediate past** which shaped the current state (reference to timeline results).
Write each event on a single card to be placed to the left of the Current State cluster. Some of these events may be more significant than others. Repeat the process for the most significant event that preceded the one that they have just identified and continue creating events ONE AT A TIME going as far back into the past as they consider appropriate.
Make it very clear that this is a single track backwards from the CS cluster, not from each CS item.
 - c. Describe **Extreme Heaven**
Each group is then asked to imagine an IMPOSSIBLY good future (Heaven) and describe the conditions/experience of Heaven with cards discussed and agreed by the group. The results are then placed in the upper right hand corner of the work area. Ritual dissent (if there are multiple groups) can be used to challenge heavens and hells, but if this is the case the historical strand should be covered so other groups do not see the material before they have finished.
 - d. Describe **Extreme Hell**
The group is then asked to repeat the process for an IMPOSSIBLY bad future state with the results placed in the bottom right hand area of the work area.



e. **Connect Heaven to a past event** with fictional events

Each group is asked to make heaven happen. They are asked to do this the same way that they worked this history of the CS. Starting with the immediate preceding significant event to heaven and then working backwards, event by event to one of the significant events that track back from the CS.

f. **Connect Hell to a past event** with fictional events

The process is repeated for hell. The path may lead to a different event than the heaven path. The group may be asked to produce 2 indicators that illustrate they are on a path to heaven and 2 indicators that illustrate they are on a path to hell.

g. Summarize and conclude

Review the results, identify the key actions needed to achieve heaven and the key actions to avoid hell. Write each action on one card that leads to the future.

The results feed into the action plan for capacity development of the innovation niche partnership.



Session 8. Action-Planning, Monitoring and Evaluation

S8a. Monitoring and Evaluation (M&E)

Session Plan

SP S8a

| Session Plan (SP S8a) | | Total Duration: ± 70 min | |
|---|--|--------------------------|----------|
| <p>OBJECTIVES NIFs need to understand the objectives and structure of the M&E system foreseen for the project. On that basis they can together with the trainers work out the requirements for good M&E practice in the context of CDAIS in their country.</p> | | | |
| CONTENT | Method | Resources | Duration |
| <p>Introduction Explanation of context and purpose of M&E.</p> | Verbal introduction | | 5 mins |
| <p>Development</p> <ul style="list-style-type: none"> • Clarification of the objectives, key components and issues related to M&E of CDAIS interventions. • Discussion with participants on the requirements for and the practical implementation of the CDAIS M&E system in the context of their country. | Presentation | PPT S8a | 15 mins |
| | Facilitated discussion and documentation | Cards | 30 mins |
| <p>Wrap-up: Summary of discussion points and requirements.</p> | Verbal conclusion with short Q&A | | 10 mins |
| <p>PREPARATION REQUIRED FOR THIS SESSION</p> <ul style="list-style-type: none"> • Resources as above. | | | |



S8b. Gathering the baseline (Capacity Questionnaire)

Session Plan: Capacity Questionnaire Part 1. Individual

SP S8ba

| Session Plan (SP S8ba) | | Total Duration: ± 135 min | |
|---|--|---|--|
| <p>OBJECTIVES The capacity questionnaire has 2 parts, an individual scoring part (PART 1) and a focus group discussion part (PART 2). NIFs need to understand the structured part of the capacity assessment questionnaire (PART 1) and be able to facilitate individual scoring in groups of up to 5 respondents each. At the stage of the needs analysis, the structured capacity assessment questionnaire is used to obtain a baseline of existing capacities, to identify capacity gaps and to identify necessary actions. In the process of the project it will also be used to assess project performance at the immediate outcome level (changes in capacities due to specific interventions). Baseline and outcomes are measured using 25 Indicators that pertain to 6 topics (capacity to navigate complexity, capacity to collaborate, capacity to reflect and learn, capacity to engage in strategic processes, technical skills, enabling environment for innovation).</p> | | | |
| CONTENT | Method | Resources | Duration |
| <p>Introduction Explanation of the assessment process, the purpose of the questionnaire as well as the topics and indicators.</p> | Presentation of assessment requirements and process | PPT S8ba (slides 1-10) | 15 mins |
| <p>Development</p> <ul style="list-style-type: none"> • Example of how capacity scoring has been carried out • Facilitation requirements • Data collection (individual scoring in groups of up to 5 respondents with 1 moderator) • Data entry and analysis (should be done on screen for training participants to follow)* | <p>Presentation of assessment pilot as carried out in Laos</p> <p>Q&A</p> <p>Exercise with 2-3 groups</p> <p>Explanation of database and data entry and visualization of capacity profiles</p> | <p>PPT S8ba (slides 11-23)</p> <p>-</p> <p>ES S8ba. Questionnaires</p> <p>Excel Spreadsheet</p> | <p>15 mins</p> <p>5 mins</p> <p>60 mins</p> <p>25 mins</p> |
| <p>Wrap-up Emphasis that the capacity assessment questionnaire offers a systematic and structured means to obtain a baseline of existing capacities, to identify capacity gaps and to assess project performance.</p> | Ask question to check learning | - | 15 mins |
| <p>PREPARATION REQUIRED FOR THIS SESSION</p> <ul style="list-style-type: none"> • Preparation of resources above. <p><i>N.B. Preparation of the actual assessment requires that all questions are discussed with facilitators and tweaked to the local context, removing any ambiguities and clarifying doubts.</i></p> <p><i>* The actual data entry and a quick analysis can be done by the trainer together with the country project manager and selected innovation facilitators in the evening of day 3. The capacity profile can then be shown the next morning.</i></p> | | | |



Session Plan: Capacity Questionnaire Part 2. Focus Group

SP S8bb

| Session Plan (SP S8bb) | | Total Duration: ± 90 min | |
|--|--|--------------------------|----------|
| <p>OBJECTIVES The capacity assessment questionnaire has 2 parts, an individual scoring part (PART 1) and a focus group discussion part (PART 2). Building on the PART 1 training to understand the structured part of the capacity assessment questionnaire, PART 2 zooms in on the focus group discussion component in order to identify actionable recommendations on how to improve the capacities across the 6 topics (capacity to navigate complexity, capacity to collaborate, capacity to reflect and learn, capacity to engage in strategic processes, technical skills, enabling environment for innovation). In addition, the NIFs need to understand how the 2 part come together operationally including the sequence.</p> | | | |
| CONTENT | Method | Resources | Duration |
| <p>Introduction Recap key messages from the capacity assessment questionnaire PART1 training. Explanation of purpose of PART 2 questionnaire recapping the topics, indicators and questions.</p> | Verbal introduction | | 15 mins |
| <p>Development</p> <ul style="list-style-type: none"> • Exercise for data collection through facilitated group work. Each NIF will get to “practice” to solicit answers and capture the results on flipcharts. • Practical Lessons Learned from group discussions • Overview of operational steps and sequence of PART 1 and PART 2 of the capacity assessment questionnaire | Exercise with 2-3 groups. Groups identify a note taker and group facilitator. Participants will assume stakeholder roles (e.g. producer organization, etc.). | ES S8bb Questionnaire | 60 mins |
| <p>Wrap-up Plenary discussion facilitated by the trainer on how it went, what can be improved. Emphasize that the capacity assessment questionnaire offers a systematic and structured means to obtain a baseline of existing capacities, to identify capacity gaps and to assess project performance. It has 2 Parts to allow for identification of actionable recommendations to improve capacities as part of the CDAIS project and TAP activities (e.g. marketplace).</p> | Ask question to check learning | | 15 mins |
| <p>PREPARATION REQUIRED FOR THIS SESSION</p> <ul style="list-style-type: none"> • Preparation of resources above. • N.B. Preparation of the actual assessment requires that all questions are discussed with facilitators and tweaked to the local context, removing any ambiguities and clarifying doubts. | | | |



Introduction

The questionnaire is based on a scorecard with 25 indicators that measure functional capacities, technical skills and the enabling environment for agricultural innovation. While the first part of the questionnaire is designed for a structured scoring exercise, the second part of the questionnaire serves for planning purposes and is focused on more on open-ended questions related to actionable recommendations. The questionnaire allows for obtaining baseline data, for evaluating changes and for benchmarking.

Note

The following steps are instructions that can be used during the NIF training as well as during the assessment:

- Training (mock assessment): AFP and CPM will have the role of facilitator and guide the mock assessment. NIFs (ca. 10) will be respondents. The training should include the points highlighted in red. A scenario needs to be available to provide the background for the mock assessment.
- Assessment: NIFs will prepare and facilitate assessment as well as enter and analyse data using all of the instructions below. CPM and AFP will provide support and quality assurance.

Resources required

- Questionnaire, Excel database

Steps

1. Preparation – Getting to know the innovation niche partnership
 - a. Define the boundary of the innovation niche partnership;
 - b. Get to know the actors and issues in the innovation niche partnership;
 - c. Customize/create a simulation game/role play that fits the innovation niche partnership;
 - d. Tweak questions in questionnaire to fit the niche partnership, but do not change meaning;
 - e. Translate questionnaire, if needed;
 - f. Ensure a number of facilitators that is adequate to the number of respondents.
2. Primer – Simulation game, role play, etc.
 - a. Set up and carry out simulation game or role play with decision-making situations;
 - b. Make sure that participants in the group develop an intuitive understanding of challenges and required capacities;
 - c. Observe and record examples about functional capacities related to the questions in the questionnaire that emerge through the game (e.g. problem solving skills, collaboration, information sharing, and engagement).
3. Data collection – Facilitated interviews in small groups
 - a. Conduct sufficient number of self-assessments (obtain enough observations) in a timely manner;
 - b. Facilitate individual scoring in groups of 3 to 5 respondents with 1 facilitator for each group rather than in 1-to-1 interviews;
 - c. Make sure that sample size is adequate to support external validity (obtaining representative results and generalizing back to the population);
 - d. Determined sample size with a sample size calculator based on population size (overall number of individuals involved in the partnership): <https://www.surveymonkey.com/mp/sample-size-calculator/>;
 - e. Make sure that the confidence level is not lower than 90% (better 95%) and the margin error is not lower than 10% (better 5%);
 - f. Familiarise with local context and ensure ability to fine-tune questions and illustrate them with examples (obtained through game/role play/...);
 - g. Assure complete and realistic responses during interviews.



4. Data entry – Individual scoring data recorded in database
 - a. Explain workbook structure and illustrate data entry to participants.
 - b. In the evening, together with the Country Project Manager and, as appropriate a few selected innovation facilitators, who will do data management and analysis during the assessment, the following steps are required:
 - c. Enter scoring data in the pre-configured Excel database;
 - d. Make sure that data are entry is as complete as possible in order to get meaningful results;
 - e. Aggregate data by indicator and by topic: scores are averaged over the questions and over the observations;
 - f. Provide quality assurance for entered data.

5. Data analysis – Capacity profiles
 - a. Use capacity profiles to visualize capacity levels (weak vs strong) by indicator and to identify gaps;
 - b. Analyse not only average values, but also spread of data (look in particular at outliers);
 - c. Carry out aggregate and disaggregate analysis:
 - d. Overall average by indicators and by topics;
 - e. Average by indicators over gender or stakeholder groups;
 - f. Use bar charts to display the information for enabling environment indicators;
 - g. Complement scoring information by qualitative information for each indicator.

6. Roadmap – Feedback and discussion of needs and action plan
 - a. After data entry and preliminary analysis the previous evening, the capacity profile from the data collected during the mock assessment.
 - b. Provide feedback to group on results using the capacity profile;
 - c. Ask more open-ended and forward-looking questions with greater level of detail in focus group setting (part 2 of the questionnaire can be used here);
 - d. Discuss and agree next steps and actions.



S8c. Action Planning for CNA

Session Plan

SP S8c

| Session Plan (SP S8c) | | Total Duration: ± 100 min | |
|---|--|--|--------------------------------|
| <p>OBJECTIVES: NIFs develop detailed, time-bound and budgeted plans for their CNA activities and have the action planning skills to develop detailed, time-bound and budgeted plans for functional capacity development interventions</p> | | | |
| CONTENT | Method | Resources | Duration |
| <p>Introduction Action planning is a process that will help you to focus your ideas on how to achieve particular goals. For the NIF training, the implementation of the Capacity Needs Assessment (CNA) can be the 'project' to practice the Action Planning skills on. Towards the end of the CNA, the NIFs can use the same Action Planning techniques to plan the Capacity Development interventions.</p> | <p>Speaking in plenary Presentation</p> | <p>PPT S8c</p> | <p>5 mins 10 mins</p> |
| <p>Development</p> <ul style="list-style-type: none"> • Complete the exercise outlined in ES S8c Action Planning • Each group sticks their flip chart table on the wall. • In plenary a representative of each group presents one or two activities and explains their thinking | <p>Group exercise</p> | <p>Flipchart paper, masking tape or Sticky tak, cards, two colours of marker pen ES S8c</p> | <p>75 mins</p> |
| <p>Conclusion</p> <ul style="list-style-type: none"> • Are the Action Plans from all the groups the same? If not why not? • Invite questions • The next session will look at how we can monitor and evaluate progress. | <p>Q&A</p> | <p>None</p> | <p>10 mins</p> |
| <p>PREPARATION REQUIRED FOR THIS SESSION</p> <ul style="list-style-type: none"> • Resources as above | | | |



Introduction

Action planning is a process that will help you to focus your ideas on how to achieve particular goals. For the NIF training, the implementation of the Capacity Needs Assessment (CNA) can be the ‘project’ to practice the Action Planning skills on. Towards the end of the CNA, the NIFs can use the same Action Planning techniques to plan the Capacity Development interventions (Action Plan).

Equipment required

- Flipchart paper, masking tape, cards, two colours of marker pen

Steps

1. Form groups of 2 or 3
2. Discuss and clarify the goal
 - Visualize the expected outcome and write it down in a few words
 - How do you know if you have reached it?
 - What constraints/risks can you think of at this early stage?
3. Brainstorm the actions required to get there and write each of them on a card
 - They do not have to be in any particular order
 - Include alternative options
 - Do not judge or analyse at this stage
4. Analyse and prioritise the actions
 - Which are absolutely necessary?
 - Which can be dropped without affecting the goal?
 - Remove the cards with the unnecessary actions
5. Organise the actions
 - Put the cards in a sequence according to when they have to be done
 - Arrange them as key actions and sub actions (distinguish between field and desk actions)
 - Mark the cards to show dependency on actions before and actions after
6. Develop the action plan
 - Make a table on a piece of flip chart paper like the one below
 - Enter each action in column 1 and then discuss and complete the other columns
 - Who will be the lead (just one person)
 - Who else should be involved
 - Deadline for completion
 - Indicator of completion – how do you know when the action is complete?
 - Resources required (time inputs, funding, equipment)

| Expected outcome | | | | | Resources required | | |
|------------------|------------------|----------------------|----------|-------------------------|---------------------------|-----------|---------|
| Actions | Who is the lead? | With which partners? | By when? | Indicator of completion | Time inputs (person days) | Equipment | Funding |
| | | | | | | | |



Session 9. Training Evaluation

S9a. Reflexive Monitoring and Evaluation

Session Plan

SP S9a

| Session Plan (SP S9a) | | Total Duration: ± 45 min | |
|--|----------------------------------|--|----------|
| OBJECTIVES NIFs provide feedback on practicalities and content to help project learning and future improvements in the framework. | | | |
| CONTENT | Method | Resources | Duration |
| Introduction The purpose of this exercise is to expose NIFs to qualitative forms of M&E to augment the quantitative methods. It also allows for practicing a mini time line. | Speaking in plenary | none | 5 mins |
| Development <ul style="list-style-type: none"> The trainer(s) give(s) out the ES S9a on Reflexive Monitoring and Evaluation and asks participants to read it, then explain it to ensure understanding Trainers leave the room for the facilitators to complete the exercise. The trainers are brought back into the room and discuss the evaluation by the group | Plenary but without the trainers | ES Reflexive M&E Flip chart paper/pen, masking tape or Sticky tak | 30 min |
| Wrap up <ul style="list-style-type: none"> Ask whether facilitators felt more able to comment freely without trainers in the room Commit to addressing the areas that need improvement Invite final comments/questions | Q&A | None | 10 mins |
| PREPARATION REQUIRED FOR THIS SESSION <ul style="list-style-type: none"> Resources as above | | | |



Introduction

The purpose of this exercise is to expose CPMs and AFPs during the ToT and later during the NIFs training to qualitative forms of M&E to augment the quantitative methods. It also allows for practicing a mini time line.

Equipment required

Flipchart/pens/masking tape (alternatively, participants may want to use a laptop and present the results of their deliberations on the screen)

Steps

1. The trainer explains the exercise and then (together with other trainers leaves the room.
2. The group decides on a group facilitator from among themselves, who will also report back to the workshop facilitators when they return
3. In the middle of a horizontally placed flipchart (most likely two or even three flipchart papers will be needed) participants write the individual workshop sessions on cards (one session per card) and place them next to each other in a continuous line. Mark five equal sections above the line and number them 0 to 3 (3 is best).
4. Using the template on the next page, each participant scores each session for each of the 4 factors listed below:
 - Content and ease of comprehension
 - Facilitation
 - Materials provided
 - Usefulness for future workDiscuss in plenary and agree on an overall group score for each session, however the group leader/facilitator notes outliers (i.e. if there were individual high or low scores, lack of consensus among the group)
5. The scores are then mapped against the individual sessions putting a dot in the appropriate row above the session titles.
6. The dots are then connected with a continuous line with a marker pen providing an overall visual of how participants rate the workshop.
7. The trainers are brought back into the room to review the evaluation by the group. The leader of the evaluation exercise points out the consensus points where most were agreed. He/she also points out any sessions where there were extremes in the individual scoring (e.g. some participants were extremely positive, some extremely negative), meaning that the consensus score may not be a true representation of the groups' opinion.
8. Discuss reasons for the scoring patterns.



Reflexive Monitoring Score Sheet

(score 0-3)

| Title | Content | Facilitation | Materials | Usefulness | Overall |
|---|---------|--------------|-----------|------------|---------|
| Introduction of participants | | | | | |
| Introduction to the training programme | | | | | |
| Understanding Agricultural Innovation Systems (AIS) | | | | | |
| Understanding AIS (continued) | | | | | |
| Agricultural Innovation System explained | | | | | |
| What is Capacity? | | | | | |
| Capacities for AIS | | | | | |
| The five functional capacities for AIS | | | | | |
| Objectives, approach and structure of the CDAIS project | | | | | |
| Presentation of selected country innovation niche partnerships | | | | | |
| What is a Capacity Needs Assessment? Why do we do it? | | | | | |
| What is the role of a National Innovation Facilitator? | | | | | |
| What skills and capability do NIFs need? | | | | | |
| Overview of Tools for CNA | | | | | |
| Exercise creating "a time line" | | | | | |
| Facilitation and Negotiation in multi-stakeholder Processes (1) Listening skills and ensuring all are involved | | | | | |
| Systems Mapping/NetMap | | | | | |
| Problem/Solution Tree Analysis (capacity focused) | | | | | |
| Facilitation and Negotiation in multi-stakeholder Processes (2). Virtual gains and reaching consensus | | | | | |
| Capacity Assessment Questionnaire | | | | | |
| M&E: Why, what and how do we monitor and evaluate? | | | | | |
| NIF country level CNA Action Planning | | | | | |
| AOB and discussions on taking skills to the workplace | | | | | |
| Workshop evaluation using reflexive monitoring tools | | | | | |



Annexes



Annex 1. Equipment and facilities required to deliver the course

1. Well-lit training room with sufficient space for the number of trainees, tables and chairs. Generally tables of around 1m x 1m are big enough for groups of 4 or 5 trainees, but larger rectangular tables are easier to do group work on and for larger groups.
2. Surfaces in the training room – either walls or pin boards – for attaching and displaying papers and cards that are generated during the participatory exercises. It is easy to underestimate the amount of wall or pin board space required to display all of the information generated during the NIF training.
3. Facilitation cards of the Metaplan type. The basic cards are approximately 21 cm wide and 7-10 cm tall and can be made by cutting A4 sized pieces of card into 3 or 4 smaller cards using a guillotine. It is useful to have cards of different colours to distinguish between different groups' finding or to codify the information – for example green cards for positive enabling points, and pink card for constraints, doubts, problems. Different shaped cards can also be useful if available, again to codify information e.g. oval cards for headings or specific categorizations of information.
4. Marker pens are used for writing on the cards, and these should be chisel tipped with tips at least 5mm wide. Pointed marker pens produce writing that is too narrow to be seen at a distance
5. It must be possible to attach the cards to the wall or pin board in a way that it is easy to remove and rearrange them. On a pin board this can be done using map pins. On wall surfaces they can be attached using small loops of masking tape or small balls of sticky tack. These loops of tape and balls of sticky tack are prepared beforehand to avoid delays in the real-time displaying of views and information from group or plenary work.
6. Flip chart easels and flip chart paper. These can be used in the normal way to capture key points from interactive discussions. But the flip chart paper can also be used horizontally on table tops (either single sheets or two or more sheets stuck together with masking tape) to attach cards that will later be transferred to vertical surfaces such as pin boards or training room walls for display and review. The advantage of working initially on a horizontal surface is that the cards can be moved around freely, and modified, removed or added to, as discussions and moderation takes place. As the views of the group crystallize the cards can be stuck down on the paper in the final agreed configuration for display on a wall or board.
7. A laptop, projector, electricity supply, connecting and/or extension leads, white wall or screen and window coverings to darken the room if necessary are required for the Powerpoint presentations. A laser pointer or long stick is also useful for directing attention at specific parts of the slides.
8. USB memory sticks can be used to provide electronic versions of all training and resource material to each trainee for later reference and use. The files can also be made available in a shared folder in cloud-based storage for those with good internet access.

A check list of equipment and facilities is shown in Annex 2.



Annex 2. Checklist of equipment and facilities to deliver the course

| ITEM | NUMBER | CHECK |
|--|---------------------|-------|
| Facilities | | |
| • Training room (possibly with break-out rooms/areas) | 1 | |
| • Wall surfaces or pin boards | 4 | |
| • Tables (1.5m x 2mm) | 4 | |
| • Chairs | 20 | |
| • Breakout room (s) if room is not big enough for separate group discussions | 1 | |
| • Catering and refreshments | For 4 days | |
| | | |
| Stationery | | |
| • Flip charts | 4 | |
| • Flip chart easel | 4 | |
| • Flipchart pens with chisel tip (not round tip) – different colours | 4 sets of 4 colours | |
| • Masking tape | 4 rolls | |
| • Sticky tack | 4 packs | |
| • Name cards to stand up on tables | 16 | |
| • A4 notebooks | 16 | |
| • Ballpoint pens | 16 | |
| • Facilitation cards | 400 with 4 colours | |
| | | |
| Equipment | | |
| • Guillotine for cutting up facilitation cards | 1 | |
| • Projector screen | 1 | |
| • Data projector | 1 | |
| • Laptop to project presentations from | 1 | |
| • Laser pointer | 1 | |
| • Access to printer and photocopier | 1 | |
| • Electrical extension lead | 1 | |
| • Poker chips or other counters for net mapping | 100 | |
| • USB flash drivers | 16 | |



Annex 3. Suggested programme for a 4 day course

| | Time | Subject |
|--------|---|---|
| Day 1. | Session 1: Introduction | |
| | 08.30 | Welcome and Introduction of the trainees |
| | 09.20 | Introduction to the training programme |
| | 10:00 | <i>Coffee Break</i> |
| | Session 2: Understanding Agricultural Innovation Systems (AIS) | |
| | 10:15 | Scenarios in AIS |
| | 11:15 | Understanding AIS |
| | Session 3: CD for AIS | |
| | 11:30 | What is Capacity? |
| | 12:00 | Capacities for AIS including the five functional capacities for AIS |
| | 13:00 | <i>Lunch</i> |
| | Session 4: Overview of CDAIS Project | |
| | 14:00 | Objectives, approach and structure of the CDAIS project |
| | 15:00 | Presentation of selected country innovation niche partnerships |

| | Time | Subject |
|-------|---|--|
| Day 2 | Session 5. Introduction to the Capacity Needs Assessment (CNA) | |
| | 08:00 | What is a Capacity Needs Assessment? Why do we do it? |
| | 08:30 | What is the role of a National Innovation Facilitator? |
| | 09:05 | What skills and capability do NIFs need? |
| | 10:00 | <i>Coffee Break</i> |
| | Session 6: Facilitating Multi-stakeholder involvement | |
| | 10:15 | Involving everyone |
| | | Asking the right questions |
| | | Listening skills |
| | | Identifying interests and negotiation for mutual gain |
| | | Understanding group dynamics and diversity (Black horse murder mystery) |
| | 12:00 | <i>Lunch</i> |
| | Session 7: Understanding the CNA Process | |
| | 13:00 | The CNA process for CDAIS |
| | | An overview of tools for CNA |
| | 13:30 | Understanding the situation in the innovation niche partnership (timeline) |
| | 16:00 | Recap of Day 2 |



| | Time | Subject |
|-------|--|---|
| Day 3 | Session 7 (part 2): Understanding the CNA Process | |
| | 08:00 | Understanding the cause and effect of challenges (Problem/Solution Tree Analysis) |
| | 10:00 | <i>Coffee Break</i> |
| | 10:15 | Understanding the landscape of stakeholders (netmap analysis) |
| | 12:00 | <i>Lunch</i> |
| | 13:00 | Developing a shared vision in the partnership (Rich picture tool or visioning*) |
| | 16:00 | Recap of Day 3 |

| | Time | Subject |
|-------|--|---|
| Day 4 | Session 8: Action-planning, monitoring, evaluation and learning | |
| | 08:00 | M&E: what and how do we monitor and evaluate? |
| | 08:15 | Gathering the baseline on functional capacities (Capacity Questionnaires) |
| | 10:00 | <i>Coffee Break</i> |
| | 10:20 | NIF country level CNA Action Planning |
| | 12:00 | <i>Lunch</i> |
| | 13:00 | AOB and discussions including relevance/application to own organizations |
| | Session 9: Training evaluation | |
| | 13:30 | Evaluation using reflexive monitoring tools |
| | 14:00 | <i>End of Training</i> |

* The Rich Picture tool is simple to carry out, but the visioning exercise will provide more detail on factors that influence the success of the innovation partnership.

Note: Timings are indicative and may not always match the duration on the Session Plans, but different groups take different times to complete sessions so Trainers need to be flexible and spend more or less time as necessary. If times are consistently over-running then some sessions may have to be dropped.



Annex 4. Key sources

- Wageningen University's Multi-Stakeholder Guide and Multi-stakeholder tool guide
<http://www.mspguide.org/msp-guide>
- Link Consult Network Tools: Methods
<http://www.toolsfornetworkers.nl/en/gereedschap/lang-en-methods-lang-lang-nl-methoden-lang>
- Netmap toolbox; Influence mapping of social networks.
<https://netmap.wordpress.com/about/>
- Wageningen University's Multi-Stakeholder Partnerships: Netmapping.
www.mspguide.org/tool/netmapping
- Mierlo, B. van, Regeer, B, Van Amstel, M. et al. 2010b. Reflexive Monitoring in Action. Guide for Monitoring System Innovation Projects. Boxpress, Boxtel, the Netherlands.
<https://www.wageningenur.nl/en/Publication-details.htm?publicationId=publication-way-333935373332>
- FAO Tropical Agriculture Platform (TAP) Common Framework
<http://www.fao.org/in-action/tropical-agriculture-platform/commonframework/en/>
- FAO Capacity Development Learning Modules
<http://www.fao.org/capacity-development/resources/fao-learning-material/learning-modules/en/>
- The Grove Facilitation Model
http://www.grove.com/methodology_groveFacilitationModel.php
- Drexler/Sibbet Team Performance™ Model
http://www.grove.com/methodology_drexlerSibbetTeamPerformanceModel.php
- Metaplan Basic Techniques
http://users.ugent.be/~mvalcke/CV/Metaplan_Basiswissen_English.pdf
- DFID: Tools for Development. A handbook for those engaged in development activity.
<https://www.k4health.org/sites/default/files/toolsfordevelopment%5B1%5D.pdf>
- DFID promoting Institutional and Organizational Development.
<http://webarchive.nationalarchives.gov.uk/+/http://www.dfid.gov.uk/pubs/files/prominstdevsourcebook.pdf>
- Permaculture Facilitator's Resource book for Training and Assessment: Tools for Creative Workshops and Project Follow-up
http://library.uniteddiversity.coop/Permaculture/Permaculture_Facilitators_Resource_Book-Training_Assessment.pdf

Annex 5. Powerpoint slides

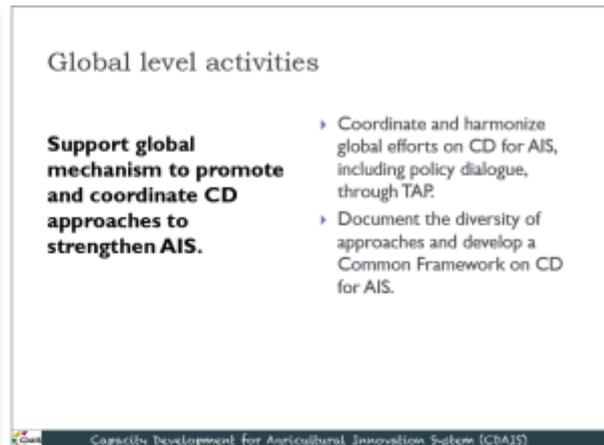


A Global Partnership on Developing Innovation Capacities in Agriculture

Funded by the EC, partnership between Agrinatura and FAO

On behalf of the Agrinatura Task Team, FAO, Country Project Managers and National Coordinators,

Agriculture members in this global partnership



Global level activities

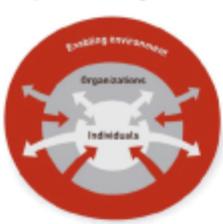
Support global mechanism to promote and coordinate CD approaches to strengthen AIS.

- Coordinate and harmonize global efforts on CD for AIS, including policy dialogue, through TAP.
- Document the diversity of approaches and develop a Common Framework on CD for AIS.

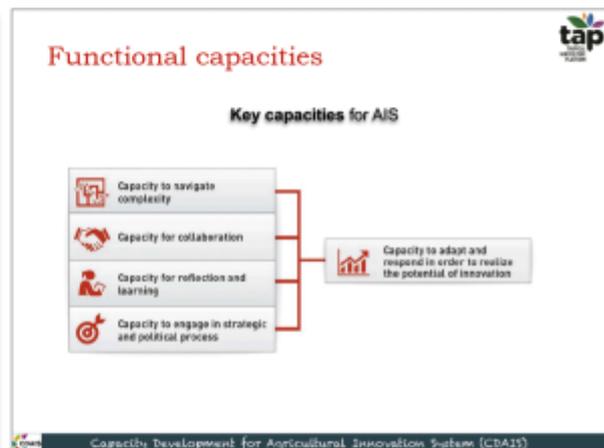


Framework on Capacity Development for Agricultural Innovation Systems (CD for AIS)

3 CD DIMENSIONS
(individuals, organizations, enabling environment)



The CD dimensions are interdependent and must be addressed together. The Framework pays special attention to the **enabling environment**.

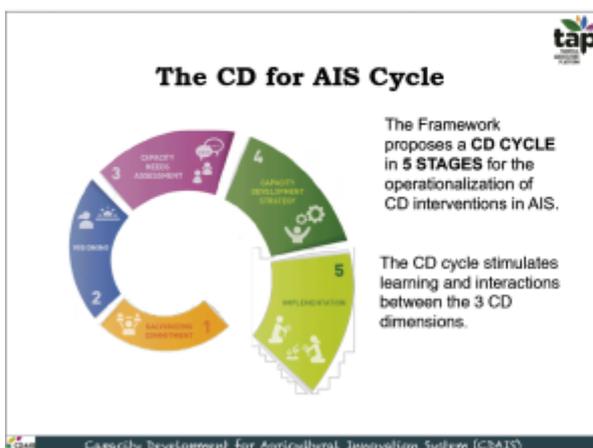


Functional capacities

Key capacities for AIS

- Capacity to navigate complexity
- Capacity for collaboration
- Capacity for reflection and learning
- Capacity to engage in strategic and political process

Capacity to adapt and respond in order to realize the potential of innovation

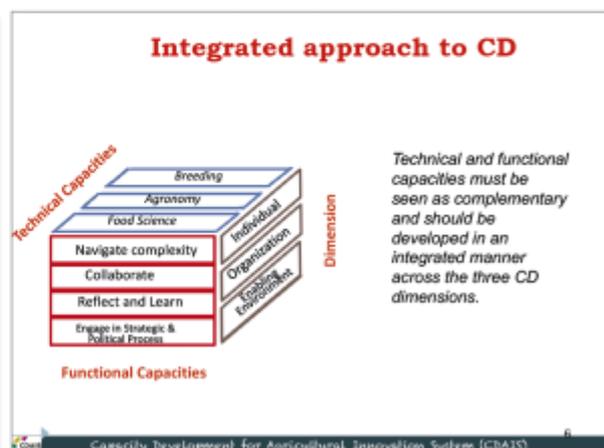


The CD for AIS Cycle

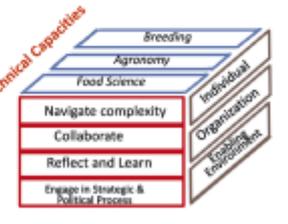


The Framework proposes a **CD CYCLE** in **5 STAGES** for the operationalization of CD interventions in AIS.

The CD cycle stimulates learning and interactions between the 3 CD dimensions.



Integrated approach to CD



Technical Capacities: Breeding, Agronomy, Food Science

Functional Capacities: Navigate complexity, Collaborate, Reflect and Learn, Engage in Strategic & Political Process

Dimensions: Individual, Organization, Enabling Environment

Technical and functional capacities must be seen as complementary and should be developed in an integrated manner across the three CD dimensions.

the Pilot countries



8 pilot countries:
Africa: Angola, Ethiopia, Burkina Faso, Rwanda
Asia: Bangladesh, Laos
Central America: Guatemala, Honduras

Capacity Development for Agricultural Innovation System (CDAIS)

Country level activities

- Develop a shared vision on CD for AIS (fed by scoping study, supported by policy roundtable)
- Develop CD for AIS action plans (based on country-led capacity needs assessments).
- Establish/strengthen AIS multi-stakeholder mechanisms / platforms (platform meetings, policy roundtable, marketplace)



Capacity Development for Agricultural Innovation System (CDAIS)

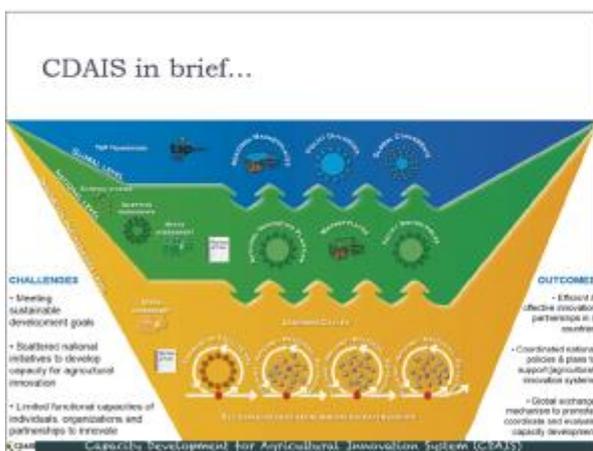
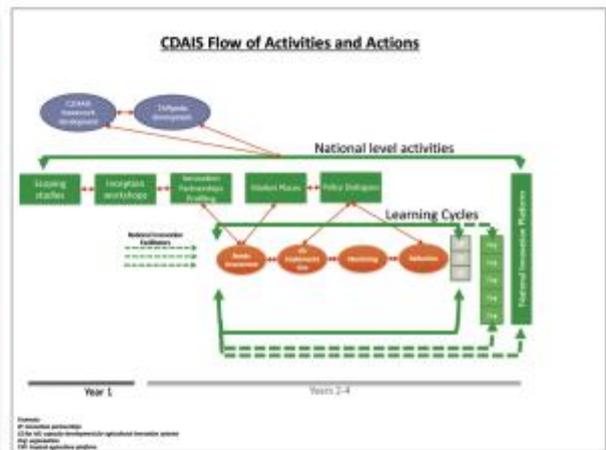
Capacity Development Interventions

Strengthen institutional, organizational and individual capacities for innovative partnerships:

- Improve capacity for strengthening capacity in AIS.
- Improve capacity for joint innovation by local/rational value chain or innovation partnerships including FOs
- Improve the organizational culture, practices and procedures of key stakeholder organisations
- Document, review, synthesise and exchange lessons learned



Capacity Development for Agricultural Innovation System (CDAIS)



Organizations in CDAIS

- University of Lisbon, School of Agriculture (ULISA), Portugal – Angola
- Natural Resources Institute (NRI), University of Greenwich, UK – Bangladesh and Rwanda
- Italian Agency for Development Cooperation (AICS), Italy – Guatemala, Honduras
- Centre for International Cooperation Research and Development in Agriculture (CIRAD), France – Burkina Faso, Laos
- International Centre for Development Oriented Research in Agriculture (ICRA), Netherlands – Ethiopia and Overall coordination.



Capacity Development for Agricultural Innovation System (CDAIS)

Collective Capacities of Agrinatura, FAO and National Partners



Summary

The CDAIS project:

- mobilizes political support at global and country level through FAO/TAR, Agrinatura and national governments.
- receives knowledge support from Agrinatura members, FAO and national partners.
- responds to recognized demands from governments and the needs of AIS stakeholders.
- Synergies and partnerships will lead to impact pathways for the coherence and sustainability of CD for AIS actions.

Capacity Development for Agricultural Innovation System (CDAIS)

In practical terms ...

CDAIS is just a tool that:

- emphasizes on the importance of functional capacities to create change within agricultural innovation systems
- facilitates partnerships among agricultural research and development actors;
 - driven by shared objectives
 - Results achieved through joint responsibilities and actions.

Capacity Development for Agricultural Innovation System (CDAIS)



Capacity Development for Agricultural Innovation Systems

Training Course for National Innovation
Facilitators (NIFs)



Capacity Development for Agricultural Innovation System (CDAIS)

Objective

- ▶ NIFs have the skills and resources to conduct the Capacity Needs Assessment (CNA) at innovation partnership/niche level
 - Shared understanding of concepts/terminology
 - Capacity to use tools/methods
 - Facilitation skills



Capacity Development for Agricultural Innovation System (CDAIS)

NIF training programme

- S1 **Introduction**
Introduction of trainers
Introduction to the training programme
- S2 **Understanding of the Agricultural Innovation Systems (AIS)**
Scenarios in AIS
Understanding Agricultural Innovation Systems (AIS)
- S3 **Capacity Development for Agricultural Innovation Systems (AIS)**
What is Capacity?
Capacities for AIS
The five functional capacities for AIS
- S4 **Overview of CDAIS project**
Objectives, approach and structure of the CDAIS project
Presentation of selected country innovation niches
- S5 **Understanding Capacity Needs Assessment**
What is a Capacity Needs Assessment? Why do we do it?
What is the role of a National Innovation Facilitator?
What skills and capability do NIFs need?
- S6 **Facilitating Multi-stakeholder Process**
Involving everyone, listening, asking the right questions
Identifying interests and negotiation for mutual gain, group dynamics



Capacity Development for Agricultural Innovation System (CDAIS)

NIF training programme

- S7 **Understanding the Capacity Needs Assessment (CNA) Process**
The CNA process and its tools
Understanding
 - the situation in an innovation niche partnership (timeline)
 - the cause and effect of the challenges (problem/solution tree)
 - landscape of stakeholders (Systems Mapping/NetMap)
- S8 **Monitoring, Evaluation, Learning and Action-Planning**
Monitoring, Evaluation and Learning
Gathering the baseline (Capacity Questionnaires)
Action Planning
- D9 **Training Evaluation**
Relevance/application to own organisations
AOB and discussions
Workshop evaluation using reflexive monitoring tools



Capacity Development for Agricultural Innovation System (CDAIS)

Role of NIFs

- ▶ NOW - interact with stakeholders at innovation partnership/niche level to agree a list of functional capacity needs, and a plan to address those needs
- ▶ LATER interact with AIS stakeholders at system/organisation level to agree a list of functional capacity needs, and an agreed plan to address those needs
- ▶ LATER with the help of specific specialists, facilitate capacity development at niche and system level through a series of learning cycles
- ▶ LATER during and after the CDAIS project, the strengthened facilitation skills and increased understanding of multistakeholder partnerships will allow the NIFs to have a beneficial impact on other partnerships for innovation

▶ **NOTE:** the first role, and the role that this training course will support is the capacity needs assessment (CNA) at the level of the innovation partnerships/niches that the CDAIS project is involved with. Further training will be provided later to support the NIFs in their other roles.



Capacity Development for Agricultural Innovation System (CDAIS)



Understanding Agricultural Innovation Systems

Training of National Innovation Facilitators

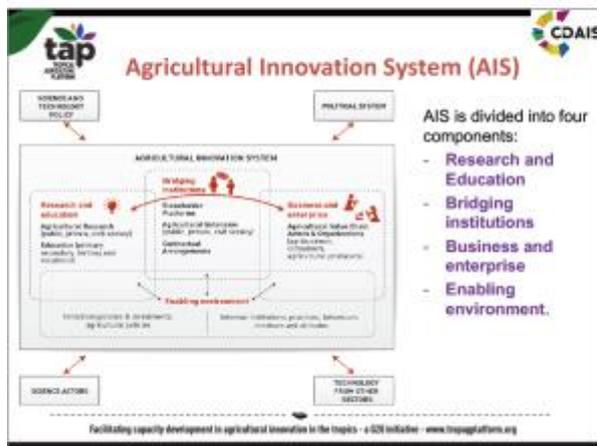
Facilitating capacity development in agricultural innovation in the tropics - a G20 initiative - www.tropagriplatform.org



Agricultural Innovation System (AIS): definition

“A network of actors or organisations, and individuals which together with supporting institutions and policies in the agricultural and related sectors, bring existing or new products, processes and forms of organisation into social and economic use”

Facilitating capacity development in agricultural innovation in the tropics - a G20 initiative - www.tropagriplatform.org

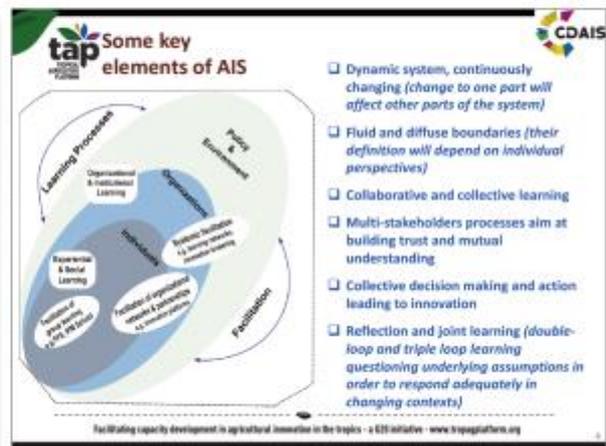


Agricultural Innovation System (AIS)

AIS is divided into four components:

- Research and Education
- Bridging institutions
- Business and enterprise
- Enabling environment.

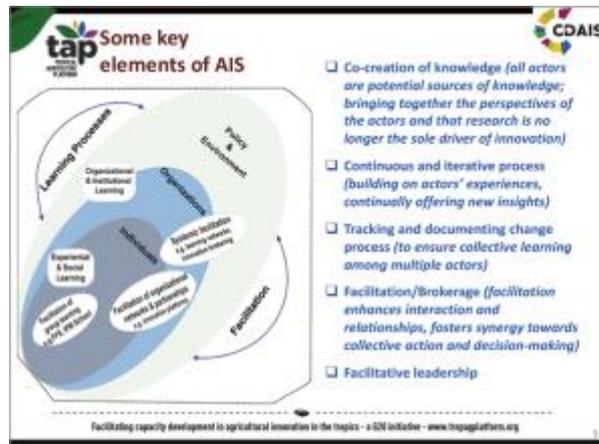
Facilitating capacity development in agricultural innovation in the tropics - a G20 initiative - www.tropagriplatform.org



Some key elements of AIS

- Dynamic system, continuously changing (change to one part will affect other parts of the system)
- Fluid and diffuse boundaries (their definition will depend on individual perspectives)
- Collaborative and collective learning
- Multi-stakeholders processes aim at building trust and mutual understanding
- Collective decision making and action leading to innovation
- Reflection and joint learning (double-loop and triple loop learning questioning underlying assumptions in order to respond adequately in changing contexts)

Facilitating capacity development in agricultural innovation in the tropics - a G20 initiative - www.tropagriplatform.org



| | Transfer of Technology (ToT) | Farming System Research | Agricultural Knowledge & Information Systems (AKIS) | Agricultural Innovation Systems (AIS) |
|--------------------------------------|---|---|--|--|
| Periods/Era | Central Source Theory | Starting in 1970s & 1980s | From 1990s | Since 2000s |
| Purpose | Supply technologies through linear processes | Learn farmers' constraints through surveys | Collaborate in research (participatory research) & extension | Co-develop innovation tracking with actor processes and partnerships |
| Scope | Productivity increases | Efficiency gains (input-output relationships) | Farm gaps (soil/knowledge) | Value chains, institutional change |
| Innovators | Scientists | Scientists and extensionists | Farmers, scientists and extensionists together | Multiple actors |
| Role of Farmers | Adopters or imitators | Source of information | Experimenters | Farmers, entrepreneurs, innovators, creating demands |
| Role of Scientists | Innovators | Experts | Collaborators | Partners, one of the actors, responding to demands |
| Key Changes Sought | Farmers' behaviour change | Removing farmers' constraints | Empowering farmers | Institutional change, innovation capacity |
| Market Integration | No | No | Low | High |
| Capacity Development Outcomes | Technology adoption and uptake through development of technical skills & infrastructure | Technology adoption and uptake through development of technical skills & infrastructure & integration of agro-ecological and farm-economic conditions | Enhancing communication between actors, co-learned technologies better fit to livelihood systems | Capacities to interact, innovate & learn, creating enabling conditions |

| Actors | Roles in AIS |
|---|--|
| Farmers/Farm Family | <ul style="list-style-type: none"> Users of knowledge to create, test and adopt new technologies to find solutions Apply and suggest innovative practices and practices to increase agricultural productivity and market access |
| Farmer Organizations (include existing, create or partner relationships) | <ul style="list-style-type: none"> Represent farmers' interests, needs, opportunities in value chains and the constraints and policy issues Bridge of knowledge and technology between farmers and other actors Facilitating access to agricultural inputs, credit and markets Helping organize value chains Providing specific innovations through collaborative research & organizing technical support |
| Advisory services (public, from governmental and others) | <ul style="list-style-type: none"> Dissemination of knowledge and practices between farmers and other actors Making new knowledge and practices available to farmers and other local actors Providing technical and supporting organization of producers Facilitating access to inputs, inputs and output services Providing agricultural production, especially disadvantaged groups with its, soil, water, credit/inputs |
| Agri-leaders (lead in system and extension) | <ul style="list-style-type: none"> Providing (peer) agricultural inputs and output markets Identifying, piloting and mainstreaming new market opportunities Delivering quality standards of agricultural products Facilitating investment in physical and human resources for process and product development Linking agricultural actors in rest of the system |
| Tertiary education institutions | <ul style="list-style-type: none"> Improving general educational level of all actors Education and training of professionals in the agricultural sector Development of better knowledge and essential skills for farmers and other actors Facilitating investment in human resources for analysis and product development Developing approaches and methods of experiential and multi-actor learning |
| Researchers (public, governmental, private & international) | <ul style="list-style-type: none"> Developing and improving technologies, practices and processes relevant to local agro-ecological contexts Joint testing of locally developed (indigenous) technologies and processes Documenting the ways new practices and technologies are adopted and further improved with the local men and women, good and bad, to feed into other agricultural research efforts and policy decisions Cooperating with researchers of other countries / international organizations |
| Policy makers | <ul style="list-style-type: none"> Providing strategic orientation for the AIS Conceive, implement and enforce strategies, policies and regulations Allocate resources for research and for innovation development Provide incentives to innovators and collaborators Enabling networks and partnerships |
| Consumer organizations | <ul style="list-style-type: none"> Influence research practice and innovation practices Facilitate consumer acceptance Facilitating and tracking information of new products and processes |

Effective Capacity Development
for impactful and sustainable country level
implementation of CDAIS

National Innovation Facilitator's Training Programme

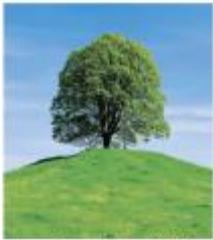
Overview Presentation

- What is **Capacity / Capacity Development**?
- Effective **Capacity Development** for CDAIS



**Strengthen Your and Our understanding for more
effective country level implementation**

Effective Capacity Development?

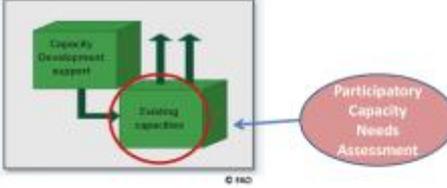


- Country Ownership
- Country Leadership
- Joint-Commitment
- Sustainable Results

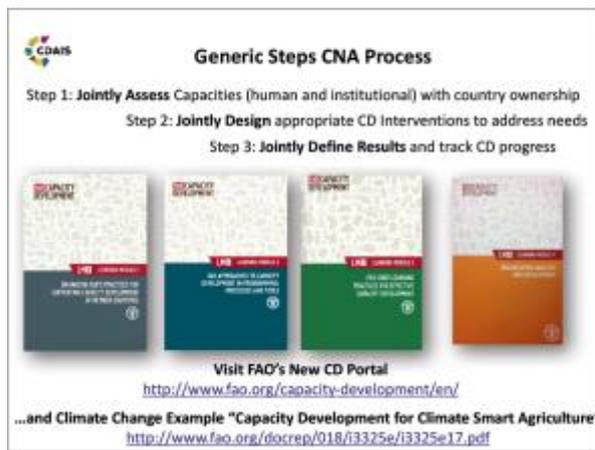
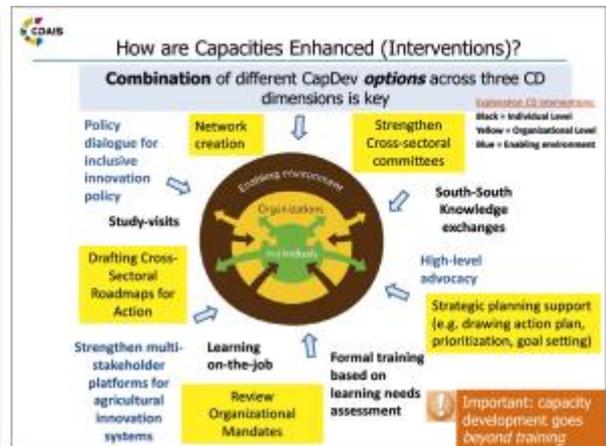
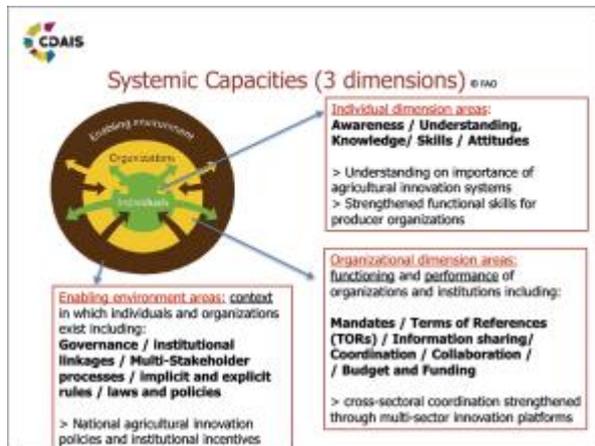
© www.coliparity.cz / IAO Yaka

**"Development is like a tree- it can be nurtured in its growth only
by feeding its roots not by pulling on its branches"** I. Serageldin

What is Capacity Development?



- **Capacity is:** "the **ability** of people, organizations and society as a whole to manage **their affairs successfully**".
- **Capacity Development is:** "the **process** of unleashing, strengthening and maintaining such capacity".





CAPACITY FOR CHANGE
Capacity Development (CD) for Agricultural Innovation Systems (AIS)

Definitions & basic concepts





Agricultural Innovation

Definition:

“Agricultural innovation is the process whereby individuals or organizations bring existing or new products, processes and forms of organization into social and economic use to increase effectiveness, competitiveness, resilience to shocks or environmental sustainability, thereby contributing to food and nutritional security, economic development and sustainable natural resource management.”

Agricultural Innovation

Innovation ≠ Invention → Innovation implies application

Innovation refers to technologies and practices

- Improved varieties
- Sustainable land management techniques
- Methods to reduce post-harvest losses
- Etc.

BUT it also refers to processes and organizational forms

- Public-private partnerships
- Farmers’ cooperatives
- Performance contracts
- Etc.

Functional capacities

The Common Framework identifies **4 + 1 key capacities** for AIS to perform effectively. These apply to all three dimensions of CD.

 Capacity to navigate complexity

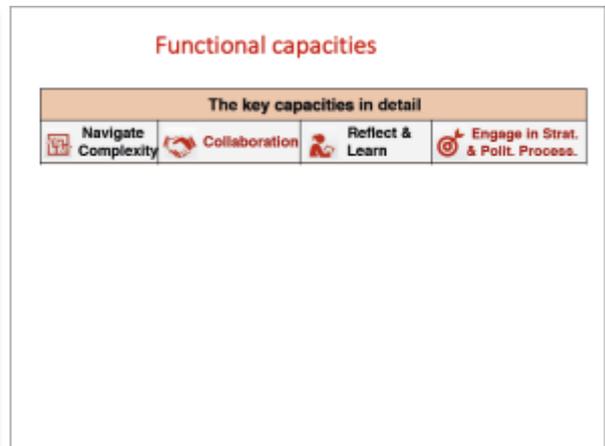
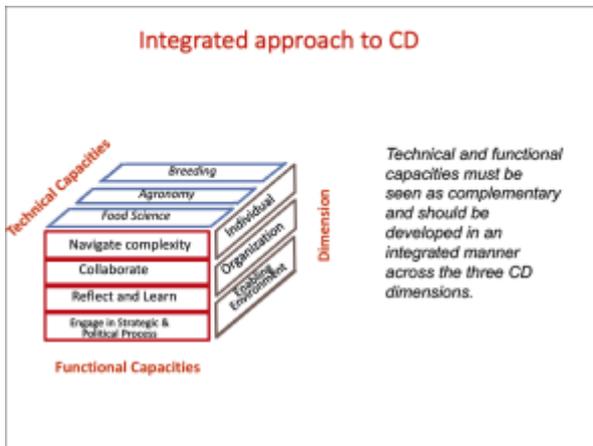
 Capacity for collaboration

 Capacity for reflection and learning

 Capacity to engage in strategic and political process

 Capacity to adapt and respond in order to realize the potential of innovation

The 4 capacities on the left are the core of an overarching capacity to adapt and respond in order to realize the potential of innovation.



Functional capacities

| The key capacities in detail | | | | |
|------------------------------|--|---|---|---|
| | Navigate Complexity | Collaboration | Reflect & Learn | Engage in Strategic & Political Process |
| Individual | System thinking; Multi stakeholder analysis; | Team building; Listening skills; | Understanding processes at organisational level; | Policy analysis & provision of evidence; Networking; |
| Organisational | Facilitative Leadership; Creation of incentives in response of need to innovation. | Create enthusiasm & shared responsibility Ability to catalyse collective leadership in others; Encourage joint decision-making; | Encourage dialogue & voice for all; Encourage honesty & transparency; Document processes & learning on joint actions; | Building relationship with external actors thru linkages; Knowledge sharing; Creation of legitimacy of the organization as expert in its field; |
| Enabling Environment | Ability to navigate between different sector policies & create coherence; Ability to operate within the inherent complexity & unpredictability of social systems; | Creating mechanisms to bring diverse actors together and facilitation of their interaction; Creating incentives for multi-stakeholder interaction & allocation of resources; | Capacity to take long term view/perspective Accountability; M&E systems that capture lessons learnt. | Capacity for inclusive and transparent political engagement; Consideration of historical & political perspectives (e.g. indigeness, tribal, origin cultivation practices); |

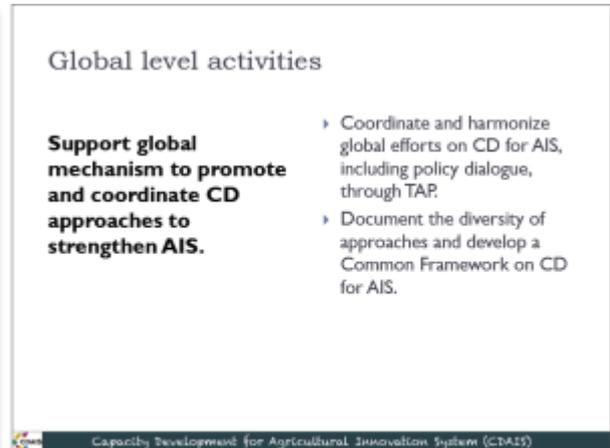


A Global Partnership on Developing Innovation Capacities in Agriculture

Funded by the EC, partnership between Agrinatura and FAO

On behalf of the Agrinatura Task Team, FAO, Country Project Managers and National Coordinators,

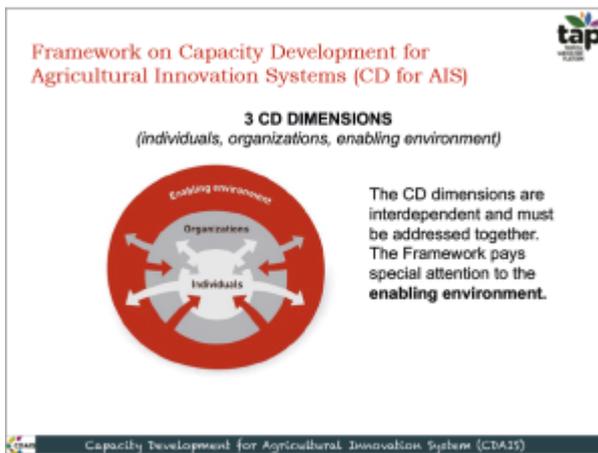
Agrinatura members in this global partnership



Global level activities

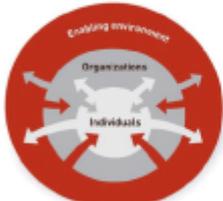
Support global mechanism to promote and coordinate CD approaches to strengthen AIS.

- Coordinate and harmonize global efforts on CD for AIS, including policy dialogue, through TAP.
- Document the diversity of approaches and develop a Common Framework on CD for AIS.

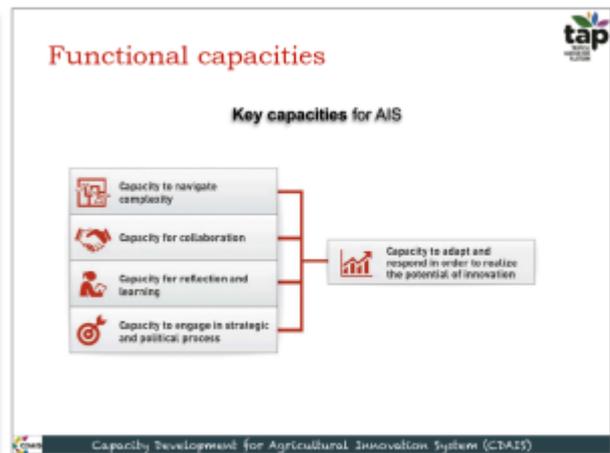


Framework on Capacity Development for Agricultural Innovation Systems (CD for AIS)

3 CD DIMENSIONS
(individuals, organizations, enabling environment)



The CD dimensions are interdependent and must be addressed together. The Framework pays special attention to the **enabling environment**.



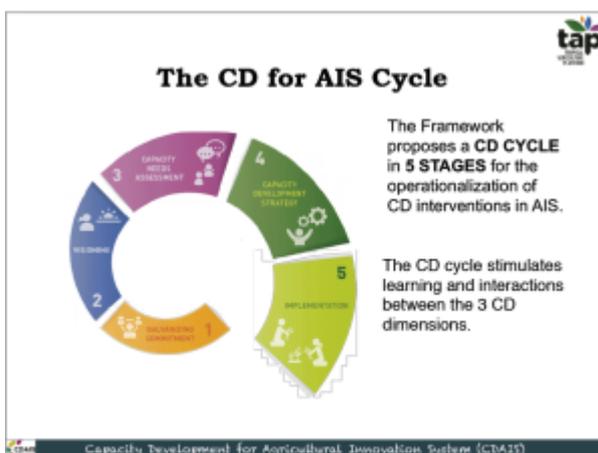
Functional capacities

Key capacities for AIS



- Capacity to navigate complexity
- Capacity for collaboration
- Capacity for reflection and learning
- Capacity to engage in strategic and political process

Capacity to adapt and respond in order to realize the potential of innovation

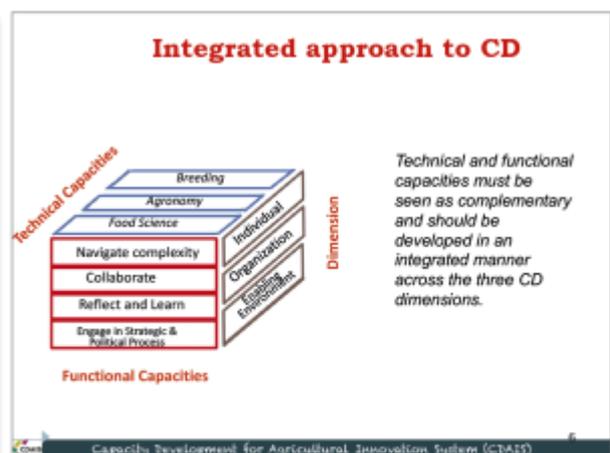


The CD for AIS Cycle

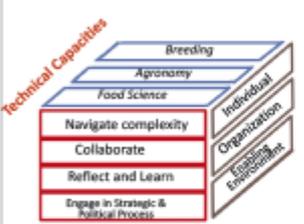


The Framework proposes a **CD CYCLE** in **5 STAGES** for the operationalization of CD interventions in AIS.

The CD cycle stimulates learning and interactions between the 3 CD dimensions.



Integrated approach to CD



Technical Capacities: Breeding, Agronomy, Food Science, Individual, Organization, Enabling Environment

Functional Capacities: Navigate complexity, Collaborate, Reflect and Learn, Engage in Strategic & Political Process

Dimension

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the Pilot countries



8 pilot countries:
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Capacity Development for Agricultural Innovation System (CDAIS)

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Capacity Development for Agricultural Innovation System (CDAIS)

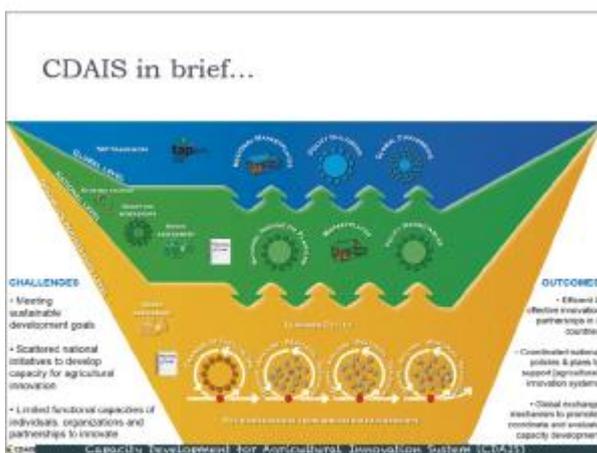
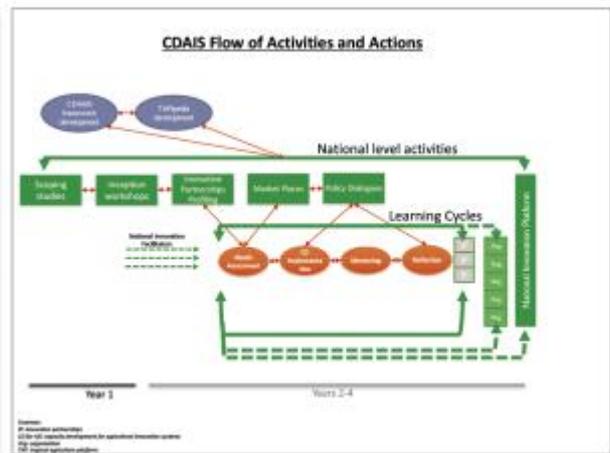
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Capacity Development for Agricultural Innovation System (CDAIS)

Collective Capacities of Agrinatura, FAO and National Partners



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Capacity Development for Agricultural Innovation System (CDAIS)

In practical terms ...

CDAIS is just a tool that:

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- facilitates partnerships among agricultural research and development actors;
 - driven by shared objectives
 - Results achieved through joint responsibilities and actions.

Capacity Development for Agricultural Innovation System (CDAIS)

Effective Capacity Development for impactful and sustainable country level implementation of CDAIS

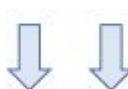
What is a Capacity Assessment Process with expected "Products"
National Innovation Facilitator's Training Programme

Prepared by Patrick A. Kalas

Food and Agriculture Organization of the United Nations (FAO)
Capacity Development Officer
patrick.kalas@fao.org
<http://www.fao.org/capacity-development/en/>

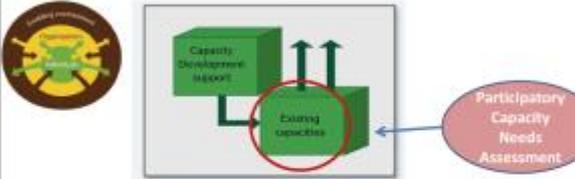
Overview Presentation

- Capacity Needs Assessment Process for CDAIS
- Expected Products from Capacity Needs Assessment Process



Strengthen Your and Our understanding for more effective country level implementation

Recap- What is Capacity Development?



- Capacity is: "the ability of people, organizations and society as a whole to manage their affairs successfully".
- Capacity Development is: "the process of unleashing, strengthening and maintaining of such capacity".

Generic Steps CNA Process

Step 1: **Jointly Assess** Capacities (human and institutional) with country ownership
 Step 2: **Jointly Design** appropriate CD Interventions to address needs
 Step 3: **Jointly Define Results** and track CD progress



Visit FAO's New CD Portal
<http://www.fao.org/capacity-development/en/>
 ...and Climate Change Example "Capacity Development for Climate Smart Agriculture"
<http://www.fao.org/docrep/018/i3325e/i3325e17.pdf>

Relevance to CDAIS ?

Apply capacity development approach to address:

- How to enhance agricultural innovation systems (AIS) in 8 CDAIS countries?
- What niche / partnership and system level capacities (individual, organizational and institutional) are existing, desired and needed?
- Stakeholder prioritization of how these capacities can be strengthened



Participatory Capacity Needs Assessment



Capacity Assessment Process- 3 "Key" Stakeholder Workshops

1. Workshop

Awareness & Common Understanding

Timeline
Simulation Game (?)

2. Workshop

Assess Capacity Needs

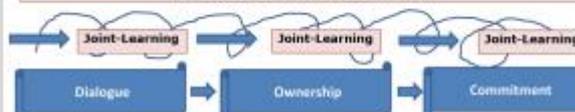
Problem / Solution Tree
Roadmap
Capacity Assessment
Questionnaire (Interviews + focus groups)

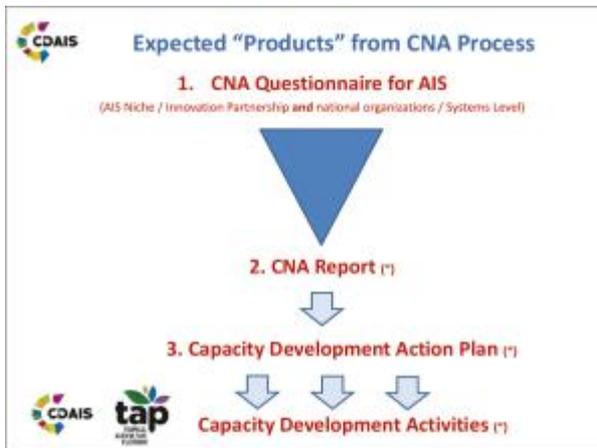
3. Workshop

Visioning, Validation and Action Planning

Participatory Action Planning Tools

Participatory Stakeholder Inclusion





Product 1 (a) AIS-specific Capacity Assessment Questionnaire

Part 1- Individual scoring

TOPIC 1: Capacity to navigate complexity

Indicator 1.1 - Availability of skills in environmental and administrative settings (in short: process understanding, fundamentals and communication among other characteristics, etc.)

| ID | Description | Very weak or none | Weakly | Strongly | Very much or fully | NA | Comments |
|----|--|-------------------|--------|----------|--------------------|----|---|
| 1 | Can the respondent identify, understand and solve problems, including? | | | | | | What are those skills? Please indicate how many skills are used! |
| 2 | Are there skills being applied and kept up to date? | | | | | | |

Notes:

Indicator 1.2 - Availability of management skills

| ID | Description | Very weak or none | Weakly | Strongly | Very much or fully | NA | Comments |
|----|---|-------------------|--------|----------|--------------------|----|---|
| 1 | Are the respondents successful in managing a business/organization/group effectively? | | | | | | What are those skills? Please indicate how many skills are used! |
| 2 | Are there skills being applied and kept up to date? | | | | | | |

Notes:

Product 1 (b) AIS-specific Capacity Assessment Questionnaire

Part 2- Focus Groups

TOPIC 1: Capacity to navigate complexity

Indicator 1.1 - Availability of skills in environmental and administrative settings (in short: process understanding, fundamentals and communication among other characteristics, etc.)

| ID | Description | Very weak or none | Weakly | Strongly | Very much or fully | NA | Comments |
|----|---|-------------------|--------|----------|--------------------|----|---|
| 1 | The required skills to solve the problems available | | | | | | What actions are required to improve the situation? / What can be done differently? Section 2 - 7 actions for improvement, if applicable |
| 2 | Skills being applied and kept up to date | | | | | | |

Indicator 1.2 - Availability of management skills

| ID | Description | Very weak or none | Weakly | Strongly | Very much or fully | NA | Comments |
|----|--|-------------------|--------|----------|--------------------|----|---|
| 1 | Required skills to successfully manage a business/organization/group available | | | | | | What actions are required to improve the situation? / What can be done differently? Section 2 - 7 actions for improvement, if applicable |
| 2 | Skills being applied and kept up to date | | | | | | |

Validated Capacity Assessment Report and Action Plan

- ### Capacity Needs Assessment Report and Action Plan
- Product 2. REPORT** (AIS Innovation Partnership + national organizations level)
- 1. Executive Summary**
 - Major capacity strengths
 - Major capacity gaps
 - Actionable recommendations
 - 2. Objectives of Capacity Needs Assessment**
 - 3. Capacity Approach and Process**
 - 4. Capacity Development and the VGGTs**
 - 5. Capacity Assessment Findings (detailed)**
 - 6. Way Forward and Next Steps**
- Product 3. ACTION PLAN** (AIS Innovation Partnership + national organizations level)
- Who Does What, When with What to implement
- Capacity Development Activities (*)



The slide features the CDAIS logo at the top center. Below it, the title "Capacity Development for Agricultural Innovation Systems" is displayed in bold. A horizontal teal bar separates the title from the main content. A white box with a blue border contains the text "The role of National Innovation Facilitators".

The slide contains the text "What is a facilitator?" centered at the top. At the bottom, there is a small CDAIS logo and the text "Capacity Development for Agricultural Innovation System (CDAIS)".

The slide is titled "The role of NIFs in CDAIS". It lists three main points:

1. Interact and jointly identify Capacity Development (CD) needs at niche level
2. Facilitate CD at niche level
3. Take multistakeholder facilitation skills to other initiatives, projects, organisations.

A red arrow points to the text: "This current week of training will equip NIFs to fulfil role 1 only".

At the bottom, there is a small CDAIS logo and the text "Capacity Development for Agricultural Innovation System (CDAIS)".



Capacity Development for Agricultural Innovation Systems

Toolkit for Capacity Needs Assessment (CNA) at innovation niche partnership level

Key tools for use in CNA at niche level

- ▶ Timeline
- ▶ NetMap
- ▶ Problem tree/solution tree
- ▶ Capacity assessment questionnaire
- ▶ Action Planning

Capacity Development for Agricultural Innovation System (CDAIS)

Timeline

- ▶ **Definition:** A timeline (or trend line) is a graphic method used to show perceived changes or events taking place over time
- ▶ **What is it used for?**
 - ❑ Establishing and representing sequences of major events or changes that have occurred in or affected a community over an extended period of time
 - ❑ Learning about community perceptions of change in specific areas or sectors (such as natural resources, climate and weather events, political events, and conflict or cultural changes).
 - ❑ Understanding and analysing a current problem by looking for its causes in the past, and predicting future events or changes on the basis of past experience.
 - ❑ A basis for creating a 'vision for the future', exploring how people envisage things will be or should be in the future

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Timeline - rationale

- ▶ As the first interactive exercise with stakeholders on CNA Visit 1, it encourages dialogue and participation
- ▶ Promotes stakeholder reflection on the niche
- ▶ Develops a common understanding of niche history
- ▶ Initiates thinking about the issues/events that can help or hinder the functioning of the niche

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Timeline

- ▶ **Suggested steps:**
 - ❑ Explain the timeline exercise to participants
 - ❑ Agree with participants the period which the timeline will consider
 - ❑ Ask individually (ensuring that particular individuals do not dominate the activity to the exclusion of others) participants to think/reflect and write down on cards/post-it all the important events or changes that have occurred relating to the niche
 - ❑ Ask one participant to draw a long line on flip chart paper; then, as a group, to arrange all the cards in chronological order (when the niche developed and extending to today) along the line.
 - ❑ Above the line put the cards highlighting the events/issues that helped the niche developed
 - ❑ Below the line put the cards highlighting the events/issues that hindered or constrained the niche
 - ❑ Discuss and analyse the timeline
 - ❑ Ask participants to reflect on lessons from using the timeline as well as the skills required

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Questions/Answers

Capacity Development for Agricultural Innovation System (CDAIS)

Netmap summary

- › Niche actors are identified on cards
- › Arrange cards on flipchart paper with linkage lines of different colours for types of linkage e.g. knowledge/info, money, input supply etc
- › Assign an 'influence' level to each stakeholder
- › Present and discuss

Capacity Development for Agricultural Innovation System (CDAIS)

Netmap rationale

- › Common understanding of:
 - the range of stakeholders
 - How they work together
 - Their influence in the network
 - The issues/challenges (feeds into Problem Tree)
- › Monitor change (by carrying out the exercise again after CD interventions)

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Problem Tree/Solution Tree

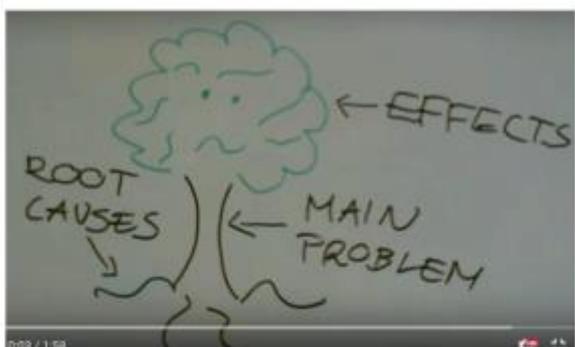
- › **Definition:** A problem tree provides an overview of all the known causes and effect to an identified problem
- › **What is it used for?**
 - ❑ Conducting a problem tree/solution tree analysis provides a means to review the existing understanding of the causes to a specific problem and how it can be overcome.
 - ❑ Establishing and representing sequences of major events or changes that have occurred in or affected a community over an extended period of time
 - ❑ Provides a guide as to the complexity of a problem by identifying the multiple causes
 - ❑ Identifies particular lines of intervention and other factors that may need to be tackled with complementary projects
 - ❑ Provides an outline of the project plan, including the activities that need to be undertaken, the goal and the outcomes of the project

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Problem tree/solution tree - rationale

- › Achieves a common understanding of the main problems (focused on capacity)
- › Stimulates thinking on multiple causes and effects
- › Starts the process of capacity needs assessment and planning the capacity development interventions to address the causes of the problems

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Problem tree/solution tree

- › **Suggested steps:**
 - ❑ Explain the problem tree exercise to participants
 - ❑ Identify the key problem(s) in the innovation partnership/niche as the trunk of the tree (it may be worth debating what the core problem is with niche partners)
 - ❑ Ask a participant to write the core problem identified and agreed as the trunk of the tree
 - ❑ Ask participants to write down on cards/post it the major (immediate) causes of the problem, and ask a participant to write them as the roots of the tree
 - ❑ Ask participants to write down on cards/post it the major (immediate) effects (consequences) of the problem, and ask a participant to write them as the branches of the tree
 - ❑ For the solution tree, replace the causes with positive objectives and develop appropriate interventions
 - ❑ Ask participants to reflect on lessons from using the problem tree as well as the skills required

Capacity Development for Agricultural Innovation System (CDAIS)

Questions/Answers

Capacity Development for Agricultural Innovation System (CDAIS)

Capacity assessment questionnaire - summary

- ▶ NIFs facilitate the completion of a capacity questionnaire by stakeholders
- ▶ Responses are recorded on a data template
- ▶ Current capacities and capacity needs are assessed from the data

Capacity Development for Agricultural Innovation System (CDAIS)

Capacity assessment questionnaire - rationale

- ▶ Functional and technical capacity needs are identified
- ▶ Types of capacity need are revealed (5 functional capacities + technical)
- ▶ Change can be measured by repeating the exercise and comparing with baseline

Capacity Development for Agricultural Innovation System (CDAIS)

Action planning - summary

- ▶ Desired outcomes are agreed
- ▶ Actions to address capacity needs are discussed and identified
- ▶ Responsibilities and partners for action are agreed
- ▶ Deadlines for action are set
- ▶ Resources (money/people/equipment) required for actions can also be worked out

Capacity Development for Agricultural Innovation System (CDAIS)

Action planning - rationale

- ▶ Focusses actors' vision of desired outcomes
- ▶ A clear plan is agreed with responsibilities, necessary collaborations, timing and costs

Capacity Development for Agricultural Innovation System (CDAIS)

Capacity Development for Agricultural Innovation Systems



Assessment of Capacities and Capacity Development Needs
Capacity Assessment Questionnaire



Measurement → 6 Topics, 24 Indicators, Scale from 0 (low) to 3 (high)

| Topic 1: Capacity to integrate complexity | Topic 2: Capacity to access and share information | Topic 3: Capacity to establish and sustain networks | Topic 4: Capacity to access and share information | Topic 5: Capacity to access and share information | Topic 6: Capacity to access and share information |
|---|---|--|--|---|---|
| Indicator 1.1 – Ability of actors to understand and solve problems posing the trigger + picture, understanding interdependencies, interactors, etc. 1 | Indicator 2.1 – Access to and utilization of information by group/partnership | Indicator 3.1 – Extent of environment that encourages joint learning and experimentation | Indicator 4.1 – Extent of environment that encourages joint learning and experimentation | Indicator 5.1 – Access to and sharing of information by group/partnership with outside actors (officials, business, etc.) | Indicator 6.1 – Access to and sharing of information by group/partnership with outside actors (officials, business, etc.) |
| Indicator 1.2 – Availability of management skills | Indicator 2.2 – Extent of information sharing within the group/partnership | Indicator 3.2 – Participation in training programmes that cover multi-stakeholder innovation processes (collaboration, networking, learning, etc.) | Indicator 4.2 – Degree of awareness of agricultural development issues among stakeholders | Indicator 5.2 – Extent to which value of local knowledge is recognized in decision-making | Indicator 6.2 – Extent to which value of local knowledge is recognized in decision-making |
| Indicator 1.3 – Access to and sharing of information by stakeholders within the group/partnership | Indicator 2.3 – Development and identification of strategies for what to do (or be) | Indicator 3.3 – Degree of awareness of agricultural development issues among stakeholders | Indicator 4.3 – Degree of awareness of agricultural development issues among stakeholders | Indicator 5.3 – Extent to which value of local knowledge is recognized in decision-making | Indicator 6.3 – Extent to which value of local knowledge is recognized in decision-making |
| Indicator 1.4 – Access to and sharing of information by stakeholders within the group/partnership | Indicator 2.4 – Extent of information sharing within the group/partnership | Indicator 3.4 – Degree of awareness of agricultural development issues among stakeholders | Indicator 4.4 – Degree of awareness of agricultural development issues among stakeholders | Indicator 5.4 – Extent to which value of local knowledge is recognized in decision-making | Indicator 6.4 – Extent to which value of local knowledge is recognized in decision-making |
| Indicator 1.5 – Access to and sharing of information by stakeholders within the group/partnership | Indicator 2.5 – Extent of information sharing within the group/partnership | Indicator 3.5 – Degree of awareness of agricultural development issues among stakeholders | Indicator 4.5 – Degree of awareness of agricultural development issues among stakeholders | Indicator 5.5 – Extent to which value of local knowledge is recognized in decision-making | Indicator 6.5 – Extent to which value of local knowledge is recognized in decision-making |
| Indicator 1.6 – Access to and sharing of information by stakeholders within the group/partnership | Indicator 2.6 – Extent of information sharing within the group/partnership | Indicator 3.6 – Degree of awareness of agricultural development issues among stakeholders | Indicator 4.6 – Degree of awareness of agricultural development issues among stakeholders | Indicator 5.6 – Extent to which value of local knowledge is recognized in decision-making | Indicator 6.6 – Extent to which value of local knowledge is recognized in decision-making |
| Indicator 1.7 – Extent of information sharing within the group/partnership | Indicator 2.7 – Extent of information sharing within the group/partnership | Indicator 3.7 – Degree of awareness of agricultural development issues among stakeholders | Indicator 4.7 – Degree of awareness of agricultural development issues among stakeholders | Indicator 5.7 – Extent to which value of local knowledge is recognized in decision-making | Indicator 6.7 – Extent to which value of local knowledge is recognized in decision-making |
| Indicator 1.8 – Development and identification of strategies for what to do (or be) | Indicator 2.8 – Extent of information sharing within the group/partnership | Indicator 3.8 – Degree of awareness of agricultural development issues among stakeholders | Indicator 4.8 – Degree of awareness of agricultural development issues among stakeholders | Indicator 5.8 – Extent to which value of local knowledge is recognized in decision-making | Indicator 6.8 – Extent to which value of local knowledge is recognized in decision-making |
| Indicator 1.9 – Development and identification of strategies for what to do (or be) | Indicator 2.9 – Extent of information sharing within the group/partnership | Indicator 3.9 – Degree of awareness of agricultural development issues among stakeholders | Indicator 4.9 – Degree of awareness of agricultural development issues among stakeholders | Indicator 5.9 – Extent to which value of local knowledge is recognized in decision-making | Indicator 6.9 – Extent to which value of local knowledge is recognized in decision-making |
| Indicator 1.10 – Development and identification of strategies for what to do (or be) | Indicator 2.10 – Extent of information sharing within the group/partnership | Indicator 3.10 – Degree of awareness of agricultural development issues among stakeholders | Indicator 4.10 – Degree of awareness of agricultural development issues among stakeholders | Indicator 5.10 – Extent to which value of local knowledge is recognized in decision-making | Indicator 6.10 – Extent to which value of local knowledge is recognized in decision-making |

Questionnaire → 50 Questions with Scoring (0, 1, 2, 3) & Comments

Table 1: Capacity to integrate complexity

| Question | Yes/often | Maybe/sometimes | No/never | Not applicable | Comments |
|---|-----------|-----------------|----------|----------------|----------|
| 1.1. Availability of actors to understand and solve problems posing the trigger + picture, understanding interdependencies, interactors, etc. 1 | | | | | |
| 1.2. Availability of management skills | | | | | |
| 1.3. Access to and sharing of information by stakeholders within the group/partnership | | | | | |
| 1.4. Access to and sharing of information by stakeholders within the group/partnership | | | | | |
| 1.5. Access to and sharing of information by stakeholders within the group/partnership | | | | | |
| 1.6. Access to and sharing of information by stakeholders within the group/partnership | | | | | |
| 1.7. Extent of information sharing within the group/partnership | | | | | |
| 1.8. Development and identification of strategies for what to do (or be) | | | | | |
| 1.9. Development and identification of strategies for what to do (or be) | | | | | |
| 1.10. Development and identification of strategies for what to do (or be) | | | | | |

Table 2: Capacity to access and share information

| Question | Yes/often | Maybe/sometimes | No/never | Not applicable | Comments |
|--|-----------|-----------------|----------|----------------|----------|
| 2.1. Access to and utilization of information by group/partnership | | | | | |
| 2.2. Extent of information sharing within the group/partnership | | | | | |
| 2.3. Development and identification of strategies for what to do (or be) | | | | | |
| 2.4. Extent of information sharing within the group/partnership | | | | | |
| 2.5. Extent of information sharing within the group/partnership | | | | | |
| 2.6. Extent of information sharing within the group/partnership | | | | | |
| 2.7. Extent of information sharing within the group/partnership | | | | | |
| 2.8. Extent of information sharing within the group/partnership | | | | | |
| 2.9. Extent of information sharing within the group/partnership | | | | | |
| 2.10. Extent of information sharing within the group/partnership | | | | | |

Structured Capacity Assessment – Step 1

Preparation – Getting to know the case



Considerations

- Clear definition of the boundary of the case is required;
- Thorough preparation of assessment involves getting to know the actors and issues in the niche, customizing/creating a simulation game/role play, tweaking questions in questionnaire, translation, etc.;
- Number of facilitators needs to be adequate to the number of participants and planned interviews.



Structured Capacity Assessment – Step 2

Primer – Simulation game, role play, etc.



Considerations

- Simulation game or role play with decision-making situations;
- Participants in group can develop intuitive understanding of challenges and required capacities;
- Examples about functional capacities related to the questions in the questionnaire can be found through the game (e.g. problem solving skills, collaboration, information sharing, engagement);
- Behaviour of participants can be observed to complement data from the questionnaire.



Structured Capacity Assessment – Step 3

Data collection – Facilitated self-assessment in small groups
Individual responses (scoring)!



Considerations

- Sufficient number of responses need to be collected in a timely manner;
- Sample size needs to be adequate to support external validity (obtaining representative results and generalizing back to the population)
- Based on population size (overall number of individuals involved in the partnership), sample size can be determined with a sample size calculator: <https://www.samplemonkey.com/np/sample-size-calculator/>
- The confidence level should not be lower than 90% (better 95%) and the margin error should not be lower than 10% (better 5%).
- To obtain most observations in a limited amount of time, individual scoring can be done in groups of 3 to 5 respondents with 1 facilitator rather than in 1-to-1 interviews;
- Facilitators need to be familiar with local context and be able to fine-tune questions;
- Questions should be illustrated with examples, obtained through game/role play/...
→ Interviews should follow game without much delay;
- Questions need to be free of jargon, concise and clear;
- Facilitators need to assure complete and realistic responses during interviews.

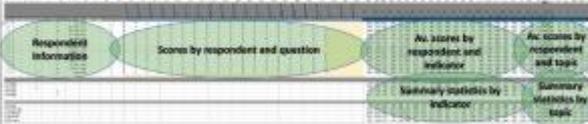
Structured Capacity Assessment – Step 4

Data entry – Individual scoring data recorded in database



Considerations

- Data are entered in a pre-configured Excel database;
- Data needs to be as complete as possible in order to get meaningful results;
- Results are aggregated by indicator and by topic; scores are averaged over the questions and over the observations;
- Quality assurance is required;



Structured Capacity Assessment – Step 5

Data analysis – Capacity profiles



Considerations

- Not only average values are of interest, but also spread of data;
- Aggregate and disaggregate analysis can be carried out (see right);
- Capacity profiles are used to visualize capacity levels (weak or strong) by indicator and to identify gaps;
- Bar charts can display the information for the enabling environment indicators;
- Scoring information can be complemented by qualitative information for each indicator;

→ **Aggregation levels 1**
Topics
Indicators

→ **Aggregation levels 2**
All observations
Actor groups
Gender
–

Structured Capacity Assessment – Step 6

Roadmap – Feedback and discussion of needs and actions



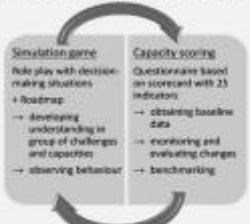
Considerations

- Provide feedback to group on results;
- Ask more open-ended and forward-looking questions with greater level of detail in focus group setting;
- Discuss and agree next steps and actions.



Pilot of participatory methodology for assessing capacities and capacity development needs

Integrating simulation game and capacity scoring in Laos



Context

- Group of ca. 50 farmers raising pigs in Xanakhom district, Laos
- 1 out of 5 Innovation partnerships supported by the Capacity Development for Agricultural Innovation Systems (CDAIS) project in Laos
- Baseline and needs assessment for CDAIS project
- Documentation of methodology
- Application of methodology in other pilot countries of the CDAIS project

Simulation game Laos

Role play of farming activities and experiences

→ **Steps**

1. Borrow money
2. Buy piglets (in Thailand)
3. Buy pig feed / grow fodder
4. Build pigsty
5. Buy medicine
6. Sell pigs

→ **Actors**

1. Farmers
2. Bankers
3. Traders
4. Veterinarian

→ **Events**

1. Border closed
2. Disease
3. Drop in prices





Capacity assessment Laos – Data collection

Questionnaire to obtain scores for capacities and enabling factors using facilitated self-assessment



Roadmap Laos

Participatory planning exercise

→ Questions

1. What is the problem and what do we know?
2. Which stakeholders do we need to involve/meet?
3. What actions are required for that?
4. What means are required for these actions?



Capacity assessment Laos – Data analysis and results

Visualizing and evaluating data at different levels

→ Aggregation levels

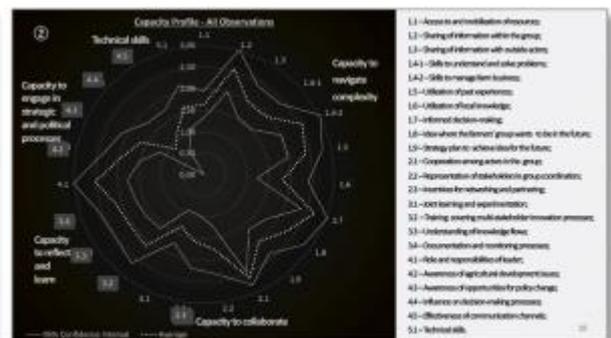
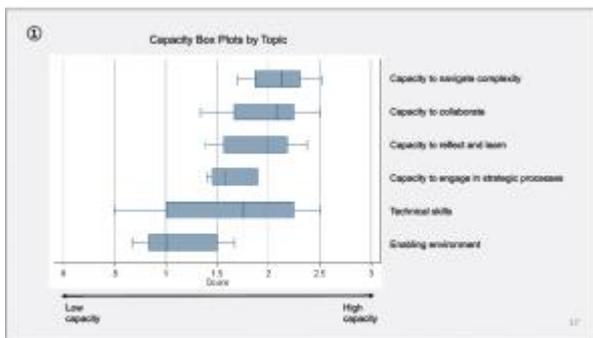
- Topics
- Indicators

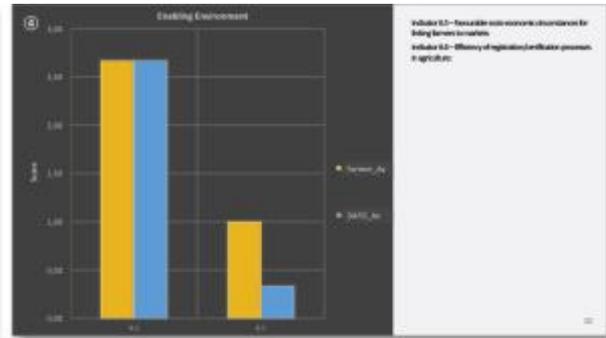
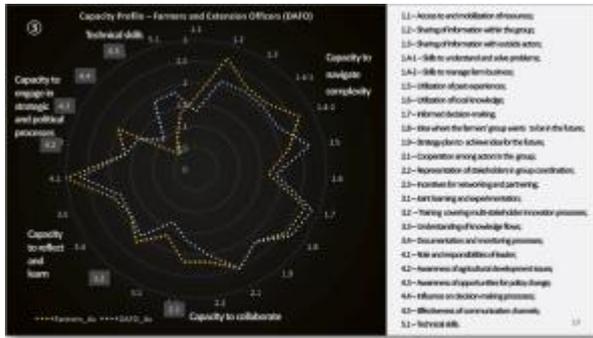
→ Analysis levels

- All observation
- Stakeholders
 - Farmers
 - Extension officers from District Agriculture and Forestry Office (DAFO)

Illustrations of assessment results:

- ① Box plots for all topics using all observations.
- ② Overall niche capacity profile by indicators showing average assessment with confidence intervals.
- ③ Capacity profile by indicators showing average assessment for different stakeholders.
- ④ Enabling environment indicators showing average assessment for different stakeholders.





Qualitative data to complement scoring results

| TOPICS | KEY MESSAGES |
|---|---|
| Capacity to navigate complexity | Bank as main source of loans, information sharing by word of mouth, local knowledge and past experiences used with relation to pig diseases, treatments and how to keep the pigs (pigpens), evidence on fencing and medicine is used; the dream of the group is to have better market access, higher productivity and more negotiating power. |
| Capacity to collaborate | Farmers cooperate mostly by exchanging information with each other. Coordination is generally considered limited and farmers do not always feel represented by their leader; incentives for networking and partnering do generally not exist. |
| Capacity to reflect and learn | Some training from Department of Livestock, advice on administering medicine and feeding pigs mainly from the traders; monitoring of pigs is done regularly, but little monitoring of business environment and group activities. |
| Capacity to engage in strategic processes | Some awareness of rural development issues such as weather variability, market access and price volatility; role and responsibilities of leader need to be agreed by all group members; contact with officials at DAFO and district market, but not with customs; no relative working in official positions; desire to produce communication material to raise awareness. |
| Technical skills | Disease prevention, vaccination, building pigpens, pig reproduction, fodder mixes, water intake |
| Enabling environment | Better road infrastructure and establishment of market needed |

Conclusions
Identification of intervention areas

Strengths:

- Information sharing, informed decision-making and cooperation within the group
- Farm business skills

Potential capacity development needs:

- Information sharing with stakeholders outside the group
- Strategy development to achieve dreams
- Problem solving skills and technical pig raising skills
- Incentives for partnering and networking
- Joint learning and experimentation
- Awareness of agricultural development issues and opportunities for change
- Influence on decision-making processes
- Use of material and channels to communicate concerns and ideas to stakeholders

Practical matters

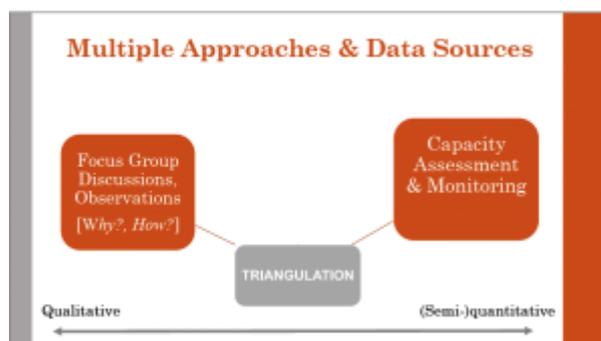
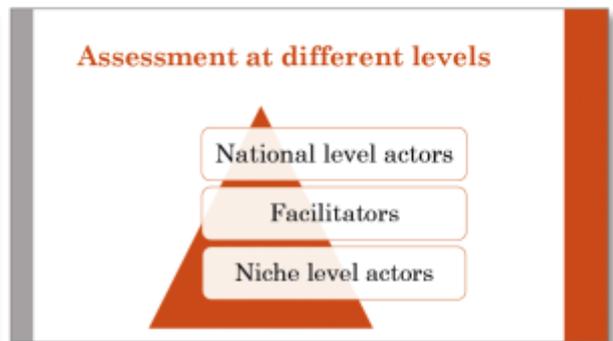
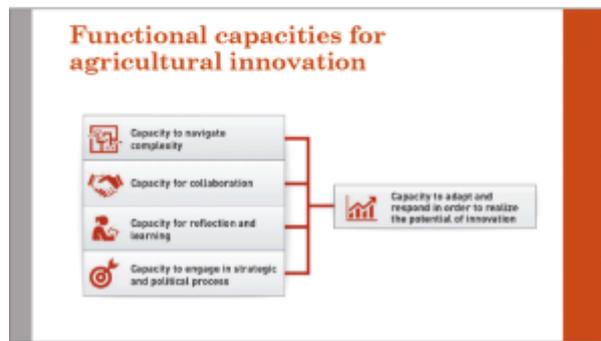
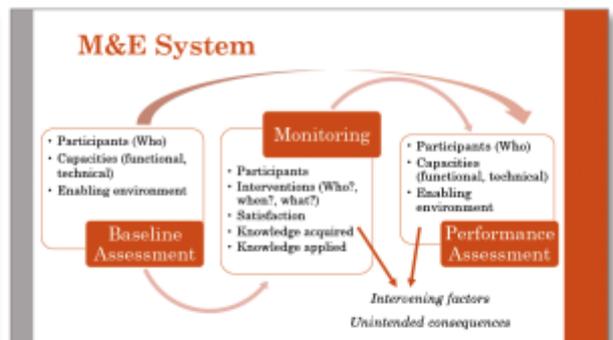
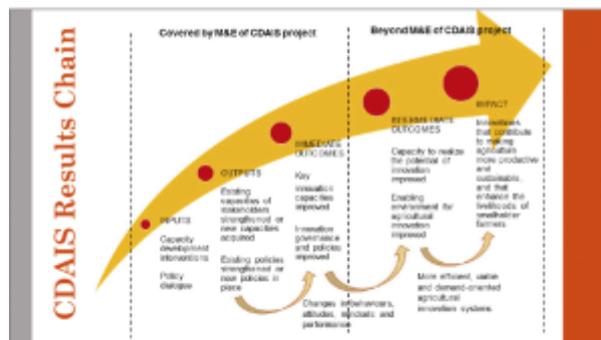
| MAIN STEPS | ACTIVITIES | REQUIREMENTS |
|--------------|--|---|
| Preparations | Briefing of facilitators on game (ca. 6 day); Briefing of facilitators on interviews (ca. 2h); Agreement on timing, roles and responsibilities (ca. 1h); Review of questionnaire with local team (ca. 1h day); Adjustment of questionnaire and translation (1 day); Preparations on site (ca. 2h). | Game conceived; Generic questionnaire available; Facilitators recruited (for group of 35 participants, ideally 4-5 facilitators). |
| Assessment | Simulation game (1x to 1 day depending on level of detail); Planning exercise and agreement on next steps with actors in the group (1 day); Guided assessment by observers (1 - 1.5h), can potentially be done during the planning exercise already; Individual interviews (1 - 1.5h), some interviews can potentially be conducted during the planning exercise already. | Suitable venue; Material for game ready; Large sheets of paper for planning; Adjusted questionnaires printed for interviews; |
| Wrap-up | Data entry (1 day using preformatted sheets); Data analysis (1 day using preformatted graphs); Discussion of lessons learned and way forward; Briefing of colleagues involved in project oversight/implementation. | Filled out questionnaires; Excel workbook with predefined analysis routine and visualisations. |



CDAIS
M&E System
National Innovation Facilitator Training

Why monitoring and evaluation?

- Accountability to the donor and project partners
- Measure AIS success
- Allowing for possible adjustments at mid-term;
- Stimulating learning by drawing lessons from experiences
- Performing a cross-country analysis that enables learning across 8 pilot countries and beyond.



Evaluation design: before & after

- Measuring change (immediate outcome: behaviours and capacities)
- Compare key variables before and after the intervention
- There is no separate comparison group, the "before" and "after" groups are the same
- Change alone does not prove causality
- Minimize threats to validity.

The CDAIS logo is positioned at the top center of the slide.

**Capacity Development for
Agricultural Innovation Systems**

Action Planning for Capacity Needs Assessment

Steps

- ▶ Discuss and clarify the goal
 - ▶ Visualize the expected outcome and write it down in a few words
 - ▶ How do you know if you have reached it?
 - ▶ What constraints/risks can you think of at this early stage?

Capacity Development for Agricultural Innovation System (CDAIS)

Steps

- ▶ Brainstorm the actions required to get there and write each of them on a card
 - ▶ They do not have to be in any particular order
 - ▶ Include alternative options
 - ▶ Do not judge or analyse at this stage

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Steps

- ▶ Analyze and prioritise the actions
 - ▶ Which are absolutely necessary?
 - ▶ Which can be dropped without affecting the goal?
 - ▶ Remove the cards with the unnecessary actions

Capacity Development for Agricultural Innovation System (CDAIS)

Steps

- ▶ Organise the actions
 - ▶ Put the cards in a sequence according to when they have to be done
 - ▶ Arrange them as key actions and sub actions
 - ▶ Mark the cards to show dependency on actions before and actions after

Capacity Development for Agricultural Innovation System (CDAIS)

Steps

- ▶ Develop the action plan
 - ▶ Make a table on a piece of flip chart paper like the one below
 - ▶ Enter each action in column 1 and then discuss and complete the other columns
 - ▶ Who will be the lead (just one person)
 - ▶ Who else should be involved
 - ▶ Deadline for completion
 - ▶ Indicator of completion – how do you know when the action is complete?
 - ▶ Resources required (time inputs, funding, equipment)

Capacity Development for Agricultural Innovation System (CDAIS)

Steps

| Expected outcome | | | | | Resources required | | |
|------------------|------------------|----------------------|----------|-------------------------|---------------------------|-----------|---------|
| Actions | Who is the lead? | With which partners? | By when? | Indicator of completion | Time inputs (person days) | Equipment | Funding |
| | | | | | | | |

Capacity Development for Agricultural Innovation System (CDAIS)



Annex 6. Capacity assessment – Questionnaire part 1

Individual interview

CDAIS PROJECT/ MES-RSI, CIRAD, FAO

Reviewed and validated 07/17

to be filled by project manager / facilitator

| PARTNERSHIP DETAILS | | | |
|---------------------|--|-------------------|--|
| Partnership name | | Partnership visit | |
| INTERVIEW DETAILS | | | |
| Questionnaire no. | | Facilitated by | |
| Date | | Reviewed by | |
| Starting time | | End time | |
| Name of respondent | | Age of respondent | Under 25 years __ (1) 25-39 years __ (2) 40-55 years __ (3) Above 55 years __ (4) |

Important Notes:

- Introduction: Facilitators to explain purpose and format of the assessment and clarify that answers will be kept confidential and are not for commercial use, if deemed necessary;
- Further information on each respondent needs to be collected through the Participant Profile Questionnaire;
- Respondents need to be instructed to assess the partnership as a whole and not their individual capacity.



TOPIC 1: Capacity to navigate complexity

| | | Very little or none | Partially | Mainly | Very much or fully | N/A |
|--|--|---------------------|-----------|--------|--------------------|-----------------------|
| Indicator 1.1 <i>Access to and mobilization of skills to understand and solve problems (seeing the bigger picture; understanding relationships and interactions among partnerships, value chain actors, etc.)</i> | | | | | | |
| 1 | Are the required skills to understand and solve problems available? | 0 | 1 | 2 | 3 | <input type="radio"/> |
| 2 | Are these skills being applied and regularly strengthened (participation to training programme)? | 0 | 1 | 2 | 3 | <input type="radio"/> |
| Indicator 1.2 <i>Access to and mobilization of skills to lead collective work</i> | | | | | | |
| 3 | Are the required skills to successfully lead the collective work at the niche level available? | 0 | 1 | 2 | 3 | <input type="radio"/> |
| 4 | Are these skills being applied and regularly strengthened (participation to training programme on facilitation, networking, team building, etc)? | 0 | 1 | 2 | 3 | <input type="radio"/> |
| Indicator 1.3 <i>Access to and mobilization of financial resources by partnership</i> | | | | | | |
| 5 | Has the partnership identified potential sources for funding? | 0 | 1 | 2 | 3 | <input type="radio"/> |
| 6 | Did the group manage to mobilize sufficient resources? (Ability to formulate proposals, etc.) | 0 | 1 | 2 | 3 | <input type="radio"/> |
| Indicator 1.4a <i>Access to and sharing of information by stakeholders within the partnership</i> | | | | | | |
| 7 | Do the actors in the partnership know what information is needed / relevant to advance their cause? | 0 | 1 | 2 | 3 | <input type="radio"/> |
| 8 | Is relevant information shared among the actors in the partnership? | 0 | 1 | 2 | 3 | <input type="radio"/> |
| 9 | Is this information used by the actors in the partnership? | 0 | 1 | 2 | 3 | <input type="radio"/> |
| Indicator 1.4b <i>Access to and sharing of information by partnership with outside actors (officials, businesses, etc.)</i> | | | | | | |
| 10 | Do the actors in the group/partnership know what information is needed by actors outside the partnership? | 0 | 1 | 2 | 3 | <input type="radio"/> |
| 11 | Is relevant information shared with actors outside the partnership? | 0 | 1 | 2 | 3 | <input type="radio"/> |

| | | Very little or none | Partially | Mainly | Very much or fully | N/A |
|--|--|---------------------|-----------|--------|--------------------|-----------------------|
| Indicator 1.5 <i>Extent of decision-making based on past experiences in the partnership</i> | | | | | | |
| 12 | Are there opportunities to share lessons from past experience and/or other evidence on practices that have worked/not worked? | 0 | 1 | 2 | 3 | <input type="radio"/> |
| 13 | Are those opportunities efficiently organized in order to monitor progress in the partnership? (information is produced in a timely, regular, participatory and accurate manner) | 0 | 1 | 2 | 3 | <input type="radio"/> |
| 14 | Are they used to inform decision-making processes? | 0 | 1 | 2 | 3 | <input type="radio"/> |
| Indicator 1.6 <i>Development and identification of a <u>collective</u> strategy to achieve the innovation</i> | | | | | | |
| 15 | Has a collective strategy to achieve the innovation been developed? | 0 | 1 | 2 | 3 | <input type="radio"/> |
| 16 | Has the strategy been widely shared among the actors in the partnership and is it used for action? | 0 | 1 | 2 | 3 | <input type="radio"/> |

TOPIC 2: Capacity to collaborate

| | | Very little or none | Partially | Mainly | Very much or fully | N/A |
|---|---|---------------------|-----------|--------|--------------------|-----------------------|
| Indicator 2.1 <i>Existence of <u>collaboration</u> among actors in the partnership</i> | | | | | | |
| 17 | Do actors in the partnership work together? | 0 | 1 | 2 | 3 | <input type="radio"/> |
| 18 | Does this collaboration lead to better results than working on your own? | 0 | 1 | 2 | 3 | <input type="radio"/> |
| Indicator 2.2. <i>Existence of opportunities to better know each other and improve collaboration</i> | | | | | | |
| 19 | Are there opportunities to gather all the niche's stakeholders and properly share their visions, activities, results? | 0 | 1 | 2 | 3 | <input type="radio"/> |
| 20 | Do those opportunities help to improve collaboration within each stakeholder?" | 0 | 1 | 2 | 3 | <input type="radio"/> |
| Indicator 2.3 <i>Existence of incentives to work in partnership</i> | | | | | | |
| 21 | Are there incentives (financial, access to information, visibility, etc.) for networking/partnering/interaction with <u>the actors involved in the innovation process</u> ? | 0 | 1 | 2 | 3 | <input type="radio"/> |
| 22 | Did the group established a formal arrangement (contracts, convention...) that facilitates collaborative work? | 0 | 1 | 2 | 3 | <input type="radio"/> |

TOPIC 3: Capacity to reflect and learn

| | | Very little or none | Partially | Mainly | Very much or fully | N/A |
|---|--|---------------------|-----------|--------|--------------------|-----------------------|
| Indicator 3.1 <i>Existence of environment that encourages reflection, joint learning and experimentation</i> | | | | | | |
| 23 | Are there established mechanisms (meetings, reports) to document the innovation processes and share results? | 0 | 1 | 2 | 3 | <input type="radio"/> |
| 24 | Are those results used for joint learning and reflection? | 0 | 1 | 2 | 3 | <input type="radio"/> |
| Indicator 3.2 <i>Participation in training programmes that cover the different issues of the innovation processes (technical issues, organizational issues, etc)</i> | | | | | | |
| 25 | Do the actors in the partnership participate in training programmes | 0 | 1 | 2 | 3 | <input type="radio"/> |
| 26 | Do these programmes cover topics related to multi-stakeholder innovation processes? | 0 | 1 | 2 | 3 | <input type="radio"/> |
| Indicator 3.3 <i>Understanding of knowledge flows (understanding origin and transfer of knowledge)</i> | | | | | | |
| 27 | Are there incentives (financial, access to information, visibility, etc.) for networking/partnering/interaction with <u>the actors involved in the innovation process?</u> | 0 | 1 | 2 | 3 | <input type="radio"/> |
| 28 | Did the group established a formal arrangement (contract, convention...) that facilitates collaborative work? | 0 | 1 | 2 | 3 | <input type="radio"/> |
| Indicator 3.4 <i>Extent to which value of local knowledge is used in the innovation process</i> | | | | | | |
| 29 | Is local knowledge considered important and collected? | 0 | 1 | 2 | 3 | <input type="radio"/> |
| 30 | Is local knowledge taken into account for joint learning? | 0 | 1 | 2 | 3 | <input type="radio"/> |

TOPIC 4: Capacity to engage in strategic and political processes

| | | Very little or none | Partially | Mainly | Very much or fully | N/A |
|---|---|---------------------|-----------|--------|--------------------|-----------------------|
| Indicator 4.1 <i>Role and responsibilities of group/partnership leadership</i> | | | | | | |
| 31 | Are organizational responsibilities for the leadership of the partnership clearly defined? | 0 | 1 | 2 | 3 | <input type="radio"/> |
| 32 | Is the authority of the leadership recognized by stakeholders? | 0 | 1 | 2 | 3 | <input type="radio"/> |
| Indicator 4.2a <i>Degree of awareness of <u>agricultural development priorities</u> among stakeholders</i> | | | | | | |
| 33 | Are the actors in the partnership aware of agricultural development priorities at the national level? | 0 | 1 | 2 | 3 | <input type="radio"/> |
| 34 | Are they involved in activities addressing those priorities? | 0 | 1 | 2 | 3 | <input type="radio"/> |

| | | Very little or none | Partially | Mainly | Very much or fully | N/A |
|--|--|---------------------|-----------|--------|--------------------|-----------------------|
| Indicator 4.2b <i>Degree of awareness of <u>innovation priorities</u> and innovation support mechanisms at the national level</i> | | | | | | |
| 35 | Are the actors in the partnership aware of innovation support policies? | 0 | 1 | 2 | 3 | <input type="radio"/> |
| 36 | Are they involved in strategic activities led by the government? | 0 | 1 | 2 | 3 | <input type="radio"/> |
| Indicator 4.3 <i>Degree of awareness of opportunities for policy change</i> | | | | | | |
| 37 | Are the actors in the partnership aware of opportunities to influence policy decision-making? | 0 | 1 | 2 | 3 | <input type="radio"/> |
| 38 | Did they use them and influence decision-making? | 0 | 1 | 2 | 3 | <input type="radio"/> |
| Indicator 4.4 <i>Extent to which decision/policy-making processes are influenced by stakeholders</i> | | | | | | |
| 39 | Are the actors in the partnership linked to policy decision-makers? | 0 | 1 | 2 | 3 | <input type="radio"/> |
| 40 | Do they know the agenda/goals of the policy decision-makers in order to influence them? | 0 | 1 | 2 | 3 | <input type="radio"/> |
| Indicator 4.5 <i>Effectiveness of communication channels</i> | | | | | | |
| 41 | Do actors in the partnership understand which channels to use to communicate messages/goals/effectively? | 0 | 1 | 2 | 3 | <input type="radio"/> |
| 42 | Do they have the ability and time to communicate messages including preparing good communication material? | 0 | 1 | 2 | 3 | <input type="radio"/> |

TOPIC 5: Technical skills

| | | Very little or none | Partially | Mainly | Very much or fully | N/A |
|---|--|---------------------|-----------|--------|--------------------|-----------------------|
| Indicator 5.1: <i>Availability of required technical skills:</i> | | | | | | |
| 43 | Are the required technical skills available? | 0 | 1 | 2 | 3 | <input type="radio"/> |
| 44 | Are these skills being applied and regularly strengthened? | 0 | 1 | 2 | 3 | <input type="radio"/> |

TOPIC 6: Enabling environment

| | | Very little or none | Partially | Mainly | Very much or fully | N/A |
|--|--|---------------------|-----------|--------|--------------------|-----------------------|
| Indicator 6.1 Favourable socio-economic circumstances for linking producers to markets (if suitable regarding niche issues) | | | | | | |
| 45 | Does rural development programs provide for chances to increase access to markets and incomes? | 0 | 1 | 2 | 3 | <input type="radio"/> |
| Indicator 6.2 Favourable political and socio-economic circumstances to develop new value chains | | | | | | |
| 46 | Are there policies that incite to the development of new value chains ? | 0 | 1 | 2 | 3 | <input type="radio"/> |
| 47 | Are they implemented with significant results? | 0 | 1 | 2 | 3 | <input type="radio"/> |
| Indicator 6.3 Existing investments funds for innovation | | | | | | |
| 48 | Are there facilitated investments funds for agricultural innovation at the national level? | 0 | 1 | 2 | 3 | <input type="radio"/> |
| 49 | Are they easy to access? | 0 | 1 | 2 | 3 | <input type="radio"/> |
| Indicator 6.4 Existing mechanisms for registration of patents | | | | | | |
| 50 | Is there mechanism for the registration of patents? | 0 | 1 | 2 | 3 | <input type="radio"/> |
| 51 | Are they easy to access and use (clear procedure, take short time, reasonable costs)? | 0 | 1 | 2 | 3 | <input type="radio"/> |



Annex 7. Capacity assessment – Questionnaire part 2

Focus Group Discussion

CDAIS PROJECT / (*National counterpart*), Agrinatura, UN Food and Agriculture Organization (FAO)

to be filled by project manager / facilitator

| PARTNERSHIP DETAILS | | | |
|--------------------------------|--|-------------------|--|
| Partnership name | | Partnership visit | |
| FOCUS GROUP DISCUSSION DETAILS | | | |
| Questionnaire no. | | Facilitated by | |
| Date | | Reviewed by | |
| Starting time | | End time | |

Objectives (*Internal not to be shared with participants*)

Building on PART 1 of the questionnaire, joint assessment and identification of actionable recommendations for improvement among Innovation partnership (IP) stakeholders across the 4+1 functional capacities and technical capacities within the IP, as well as the linkage to the national organization (systems) level and “big” picture identification

Modus Operandi

- The findings of PART 1 of the questionnaire (radar plot) will be presented to launch the discussion where strengths have been identified, and where there is room for improvement.
- Participants will be divided into groups with a facilitator (National Innovation Facilitator) guiding the discussion and identify 3-5 most important answers per question with the answers to be captured as a consensus;
- Participants are asked to reflect and respond in reference to the IP (the “we”) from their respective organization / group
- The facilitator will capture the findings on a flipchart to facilitate the flow of the discussion.
- For each of the “items” (e.g. Skills to understand and solve problems), the facilitator will provide an example with specific relevance to the IP based on findings from the simulation game / role play exercise and PART 1 of the questionnaire.
- The questionnaire has 6 topics and one “big” picture Capacity Development Priorities for the Innovation Partnership section



TOPIC 1: Capacity to navigate complexity

| Indicator 1.1 <i>Availability of skills to understand and solve problems (seeing the bigger picture; understanding interdependencies and interactions among value chain actors, etc.)</i> | | |
|--|--|---|
| ID | Items | What specific actions are required to improve the situation? / How can be done differently? (Select 2-3 actions for improvement, if applicable) |
| 1 | Skills to understand and solve problems | |
| 2 | Skills being applied and kept up to date | |

| Indicator 1.2 <i>Availability of management skills</i> | | |
|---|--|---|
| ID | Items | What specific actions are required to improve the situation? / How can be done differently? (Select 2-3 actions for improvement, if applicable) |
| 3 | Skills to successfully manage a business/ organization/group | |
| 4 | Skills being applied and kept up to date | |

| Indicator 1.3 <i>Access to and mobilization of resources by group/innovation partnership</i> | | |
|---|--|---|
| ID | Items | What specific actions are required to improve the situation? / How can be done differently? (Select 2-3 actions for improvement, if applicable) |
| 5 | Identification of potential sources of funding | |
| 6 | Mobilizing sufficient resources (Ability to formulate proposals, etc.) | |



| Indicator 1.4 <i>Access to and sharing of information by stakeholders within the group/partnership</i> | | |
|---|---|---|
| ID | Items | What specific actions are required to improve the situation? / How can be done differently? (Select 2-3 actions for improvement, if applicable) |
| 7 | Actors in the group/partnership know what information is needed/relevant to advance their cause | |
| 8 | Relevant information shared among the actors in the group/partnership | |
| 9 | Information applied by the actors in the group/partnership | |

| Indicator 1.5 <i>Access to and sharing of information by group/partnership with outside actors (officials, businesses, etc.)</i> | | |
|---|---|--|
| ID | Items | What specific actions are required to improve the situation? / What can be done differently? (Select 2-3 actions for improvement, if applicable) |
| 10 | Actors in the group/partnership know what information is needed by actors outside the group/partnership | |
| 11 | Relevant information shared with actors outside the group/partnership | |
| 12 | Information applied by actors outside the group/partnership | |



| Indicator 1.6 <i>Extent to which value of local / indigenous knowledge is recognized in decision-making</i> | | |
|--|---|---|
| ID | Items | What specific actions are required to improve the situation? / How can be done differently? (Select 2-3 actions for improvement, if applicable) |
| 13 | Local / indigenous knowledge considered important and collected | |
| 14 | Local / indigenous knowledge taken into account for decision-making processes | |

| Indicator 1.7 <i>Extent of informed decision-making in the group/partnership</i> | | |
|---|--|---|
| ID | Items | What specific actions are required to improve the situation? / How can be done differently? (Select 2-3 actions for improvement, if applicable) |
| 15 | Past experience and/or other evidence considered important for decision-making and collected | |
| 16 | Past experience and/or other evidence actually inform decision-making processes | |

| Indicator 1.8 <i>Development and identification of a vision where the group/partnership wants to be in the future (vision/dream of what it should be like)</i> | | |
|---|---|---|
| ID | Items | What specific actions are required to improve the situation? / How can be done differently? (Select 2-3 actions for improvement, if applicable) |
| 17 | Vision where the group/partnership wants to be in the future considered important | |
| 18 | A vision has been developed | |
| 19 | Vision is widely shared | |



| Indicator 1.9 <i>Development and identification of strategy (plan of action designed to achieve the vision for the future)</i> | | |
|---|--|---|
| ID | Items | What specific actions are required to improve the situation? / How can be done differently? (Select 2-3 actions for improvement, if applicable) |
| 20 | Strategy to achieve the vision has been developed | |
| 21 | Strategy been widely shared and is used for action | |

TOPIC 2: Capacity to collaborate

| Indicator 2.1 <i>Existence of cooperation among actors in the group/partnership</i> | | |
|--|--|---|
| ID | Items | What specific actions are required to improve the situation? / How can be done differently? (Select 2-3 actions for improvement, if applicable) |
| 22 | Actors in the group/partnership work together | |
| 23 | Cooperation leads to better results than working independently | |

| Indicator 2.2 <i>Extent of representation of different actors in group/partnership coordination</i> | | |
|--|--|---|
| ID | Items | What specific actions are required to improve the situation? / How can be done differently? (Select 2-3 actions for improvement, if applicable) |
| 24 | Coordination mechanism for the group/partnership exist | |
| 25 | Coordination mechanism represents all stakeholders | |



| Indicator 2.3 <i>Existence of incentives for networking, partnering, multi-stakeholder interaction within the innovation partnership / group</i> | | |
|---|---|---|
| ID | Items | What specific actions are required to improve the situation? / How can be done differently? (Select 2-3 actions for improvement, if applicable) |
| 26 | Incentives (financial, access to information, visibility, etc.) for networking/partnering/ interaction in place | |
| 27 | Formal incentive schemes for this established | |

TOPIC 3: Capacity to reflect and learn

| Indicator 3.1 <i>Existence of environment that encourages reflection, joint learning and experimentation</i> | | |
|---|---|---|
| ID | Items | What specific actions are required to improve the situation? / How can be done differently? (Select 2-3 actions for improvement, if applicable) |
| 28 | Group/partnership members encouraged to learn jointly and try out new things together | |
| 29 | Opportunities (meetings, etc.) for joint learning and reflection | |

| Indicator 3.2 <i>Participation in training programmes that cover multi-stakeholder innovation processes (facilitation, networking, team building, etc)</i> | | |
|---|--|---|
| ID | Items | What specific actions are required to improve the situation? / How can be done differently? (Select 2-3 actions for improvement, if applicable) |
| 30 | Actors in the group/ partnership participate in training programmes | |
| 31 | Training opportunities Programmes cover topics related to multi-stakeholder innovation processes | |



| Indicator 3.3 <i>Understanding of knowledge flows (understanding origin and transfer of knowledge)</i> | | |
|---|--|---|
| ID | Items | What specific actions are required to improve the situation? / How can be done differently? (Select 2-3 actions for improvement, if applicable) |
| 32 | Actors in the group/ partnership have an understanding of where knowledge comes from | |
| 33 | They know how knowledge is transferred from one actor to another | |

| Indicator 3.4 <i>Documentation and monitoring processes</i> | | |
|--|---|---|
| ID | Items | What specific actions are required to improve the situation? / How can be done differently? (Select 2-3 actions for improvement, if applicable) |
| 34 | Effective monitoring system in place (information produced in timely, regular, participatory and accurate manner) | |
| 35 | Applying monitoring results to learn and make adjustments | |

TOPIC 4: Capacity to engage in strategic and political processes

| Indicator 4.1 <i>Role and responsibilities of the leadership in the group/partnership</i> | | |
|--|--|---|
| ID | Items | What specific actions are required to improve the situation? / How can be done differently? (Select 2-3 actions for improvement, if applicable) |
| 36 | Organizational responsibilities of the leadership in the group/partnership clearly defined | |
| 37 | Authority of the leadership recognized by stakeholders | |



| Indicator 4.2 <i>Degree of awareness of agricultural development issues among stakeholders</i> | | |
|---|---|---|
| ID | Items | What specific actions are required to improve the situation? / How can be done differently? (Select 2-3 actions for improvement, if applicable) |
| 38 | Actors in the group/ partnership aware of crucial agricultural development issues (climate change, sustainable intensification, land tenure, market access, etc.) | |
| 39 | They are working to find and implement solutions that relate to these issues | |

| Indicator 4.3 <i>Degree of awareness of opportunities for policy change</i> | | |
|--|--|---|
| ID | Items | What specific actions are required to improve the situation? / How can be done differently? (Select 2-3 actions for improvement, if applicable) |
| 40 | Actors in the group/ partnership aware of opportunities to influence decision-making | |
| 41 | They are able to seize these opportunities | |

| Indicator 4.4 <i>Extent to which decision/policy-making processes are influenced by stakeholders</i> | | |
|---|--|---|
| ID | Items | What specific actions are required to improve the situation? / How can be done differently? (Select 2-3 actions for improvement, if applicable) |
| 42 | Linking actors in the group/partnership to decision-makers | |
| 43 | They know the agenda/goals of the decision-makers in order to influence them | |



| Indicator 4.5 Effectiveness of communication channels | | |
|--|--|---|
| ID | Items | What specific actions are required to improve the situation? / How can be done differently? (Select 2-3 actions for improvement, if applicable) |
| 44 | Actors in the group/ partnership understand which material (posters, photos, reports) to use to communicate messages/ goals/ effectively | |
| 45 | They have the ability and time to prepare good communication material | |



Annex 8. Social network analysis – Questionnaire

CDAIS PROJECT / (*National counterpart*), Agrinatura, UN Food and Agriculture Organization (FAO)

Name:

Country:

Age:

Innovation Partnership

[country] – [title of Niche]

e.g.

Rwanda – Horticulture value chain

Rwanda – Dairy value chain development through CPC

Rwanda – Mainstreaming of nutritional plans through Twigire Muhinzi model

Rwanda – Cassava value chain

Questions

1. Affiliation – To which organizations are you affiliated?

Please list them

2. Shared vision – With which actors do you share a vision related to your work?



3. Planning – With which actors do you plan your activities?

4. Implementation – With which actors do you implement your activities?

5. Influence – Which actors influence your work?

6. Information – With which actors are you communicating/exchanging information?

7. Markets – Which actors help you to connect to markets?

8. Finance assistance – Which actors do you ask for financial assistance?

9. Social relations – Which actors make you feel comfortable for collaboration?
