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Food and Agriculture Organization of the United Nations

CAPACITY NEEDS ASSESSMENTS

A trainers' manual

CDAIS

Publications in this series

CDAIS manuals and guidelines

- *Capacity Needs Assessments – A trainers' manual (2nd edition)*
- *Innovation Niche Partnerships – A guide to the coaching process*
- *Organisational Strengthening – A guide to the coaching process*
- *Organising a Marketplace – A practical guide*
- *Organising a Policy Dialogue – A practical guide*
- *Monitoring, Evaluation and Learning – Concepts, principles and tools*

CDAIS stories and conversations

- *Building Competence and Confidence in Agricultural Innovation – Stories of Change*
- *Catalysing Innovation in Agriculture – Conversations of Change*

The manuals are intended as working documents. The project supported the development of the Common Framework on Capacity Development for Agricultural Innovation Systems of the Tropical Agriculture Platform, and tested it in eight pilot countries. One key finding was that the framework requires adaptation in each country situation, and as such the manuals are intended as general guides only.

https://cdais.net
www.tapipedia.org

CAPACITY NEEDS ASSESSMENTS

A trainers' manual

second edition

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CONTENTS

Introduction **4**
Equipment and facilities required for the course 5
Suggested programme for a 4 day course 6

Session 1: Introduction **8**
S1a. Introduction of the trainees 8
S1b. Introduction to the training course 9

Session 2: Understanding agricultural innovation systems **10**
S2a. Scenarios in AIS – innovation niche partnership level and system level 10
S2b. Understanding agricultural innovation systems 12

Session 3: Capacity development for agricultural innovation systems **13**
S3a. What is ‘capacity’ and what is ‘capacity development’? 13
S3b. Capacities for agricultural innovation systems 14

Session 4: Overview of the CDAIS project **15**
S4a. About the CDAIS project 15

Session 5: Introduction to the functional capacity needs assessment **16**
S5a. What is a functional capacity needs assessment, and why do it? 16
S5b. The roles of the National Innovation Facilitators 17
S5c. The skills required by NIFs for capacity needs assessment 18

Session 6: Facilitating multi-stakeholder involvement **19**
S6a. Involving everyone 19
S6b. Asking the right questions 23
S6c. Facilitation – listening skills 25
S6d. Identifying interests and negotiation for mutual gain 27
S6e. Understanding group dynamics and diversity (‘The Black Horse’ murder mystery) 33

Session 7: Understanding the capacity needs assessment process **37**
S7a. The CNA process for CDAIS 37
S7b. Overview of tools for capacity needs assessment 41
S7c. Understanding the situation in the innovation niche partnership (timeline tool) 42
S7d. Understanding the cause and effect of challenges (problem tree/solution tree tool) 44
S7e. Understanding the landscape of stakeholders (NetMap analysis) 46
S7f. Developing a shared vision for the innovation niche partnership 50

Session 8: Action planning, monitoring and evaluation **53**
S8a. Monitoring and evaluation (M&E) 53
S8b. Gathering the baseline (capacity assessment questionnaire) 54
S8c. Action planning for CNA 58

Session 9: Training evaluation **60**
S9a. Reflexive monitoring and evaluation 60

Annex 1. Key sources **63**

Acknowledgements **66**

INTRODUCTION

This manual was produced as a resource to train National Innovation Facilitators (NIFs) across all eight pilot countries to carry out capacity needs assessments (CNA) in agricultural innovation niche partnerships. The training was delivered by the CDAIS project personnel - Agrinatura Focal Persons (AFPs) and Country Project Managers (CPMs) - who themselves had undergone a training-of-trainers process to familiarise them with this manual, the interactive and participatory approach required, and the use of the various facilitation tools that are contained within it. The objective of this manual is to strengthen facilitators' facilitation skills and their ability to support farmers and other stakeholders to analyse key problems they face, create a vision of where they want to be, and build ownership of this long-term process. The manual is suitable for use by NGOs, government departments and universities, to develop the capacities of personnel to plan and deliver interventions that meet the needs of the intended participants.

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

This manual was produced as a resource for the training of National Innovation Facilitators (NIFs) across all eight pilot countries. The objective of this manual 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 this manual, the interactive and participatory approach required, and the use of the various facilitation tools that are contained within it.

The materials for the first edition were prepared in English by a CDAIS working group comprising staff of the various CDAIS implementing partners from Agrinatura and FAO. The manual was piloted in one English-speaking country (with valuable input from the CDAIS country team), then made available to the other seven countries. It is not a blueprint to be used 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 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 first edition was published in June 2017, and was 114 pages long, including all annexes. This second edition is a concise version, with most of the annexes removed and some restructuring – aimed at provided a rapid overview of the concepts and practices required. Besides these changes, most of the text remains unchanged from the first edition. The manual has the following elements.

1. Session Plans provide a framework and key content for the sessions, in addition to signposts to the various resource materials required. Each session plan contains three main sections for each topic: (i) introduction; (ii) development of the concept/approach; and (iii) wrap-up/conclusion/summary. An indication of the expected duration is also given for each session, though actual duration will depend on the facilitation required and capacities of the trainees.

2. Exercise sheets (ESs) provide step-by-step guidance on specific participatory activities and facilitation tools.

3. PowerPoint presentations (PPTs) contain information for plenary presentation to NIFs during the training. Slides are provided in the electronic/online version of this manual – Edition 1, see https://cdais.net.

4. For resource materials including forms and templates for use during the training, background information and more detail on elements in the manual, also see https://cdais.net.

Various training support equipment and facilities are required to accompany this manual in the training of NIFs, as described on the following page. A suggested programme for delivery as a four-day course is also provided.

Equipment and facilities required for the course

1. A well-lit training room with sufficient space for the number of trainees, tables and chairs. Generally, tables of around 1 m × 1 m are big enough for groups of four or five trainees, but larger rectangular tables are easier to do group work on and for larger groups. Breakout rooms are also useful for separate group discussions/work.

2. Surfaces in the training room – either walls or pin boards – for attaching and displaying flipchart paper 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 (21 cm x 7-10 cm) and can be made by cutting A4 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' findings 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 categorisations of information.

4. Marker pens are used for writing on the cards, and these should be chisel tipped with tips at least 5 mm 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. Flipchart easels and flipchart paper. These can be used in the normal way to capture key points from interactive discussions. But the flipchart paper can also be used horizontally on table tops (either single sheets or two of 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 take place. As the views of the group crystallise, 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.

9. Other equipment items include:
   - **a.** Participant name cards for tables
   - **b.** Notebooks and pens
   - **c.** Guillotine for cutting up facilitation cards
   - **d.** Access to printer and photocopier
   - **e.** Poker chips or other counters for NetMapping.

Suggested programme for a 4 day course

DAY 1

SESSION 1 Introduction

- **a.** Welcome and Introduction of the trainees
- **b.** Introduction to the training course

SESSION 2 Understanding agricultural innovation systems

- **a.** Scenarios in AIS
- **b.** Understanding AIS

SESSION 3 Capacity development for AIS

- **a.** What is 'capacity' and what is 'capacity development'?
- **b.** Capacities for AIS (including the five functional capacities for AIS)

SESSION 4 Overview of CDAIS project

- **a.** About the CDAIS project (objectives, approach, partners and structure)

DAY 2

SESSION 5 Introduction to the functional capacity needs assessment

- **a.** What is a functional CNA, and why do it?
- **b.** The roles of the National Innovation facilitator
- **c.** The skills required by NIFs for CNA

SESSION 6 Facilitating multi-stakeholder involvement

- **a.** Involving everyone
- **b.** Asking the right questions
- **c.** Facilitation – listening skills
- **d.** Identifying interests and negotiation for mutual gain
- **e.** Understanding group dynamics and diversity ('The Black Horse' murder mystery)

SESSION 7 Understanding the functional CNA process

- **a.** The CNA process for CDAIS
- **b.** Overview of tools for CNA
- **c.** Understanding the situation in the innovation niche partnership (timeline tool)

Recap of Day 2

DAY 3

SESSION 7 Understanding the functional CNA process (part 2)

- **d.** Understanding the cause and effect of challenges (problem tree/solution tree analysis)
- **e.** Understanding the landscape of stakeholders (NetMap analysis)
- **f.** Developing a shared vision for the innovation niche partnership (visioning: rich picture and future backwards)

Recap of Day 3

DAY 4

SESSION 8 Action planning, monitoring and evaluation

- **a.** Monitoring and evaluation (M&E) (what and how do we monitor and evaluate?)
- **b.** Gathering the baseline (capacity assessment questionnaire)
- **c.** Action planning for CNA

Any other business and discussions including relevance/application to own organisations

SESSION 9 Training evaluation

- **a.** Reflexive M&E

End of training

SESSION 1 Introduction

S1a. Introduction of the trainees

Session Plan **SP S1a**

↺ *Total duration: about 60 mins*

Objectives

National Innovation Facilitators (NIFs), Country Project Managers (CPMs) and Agrinatura Focal Person (AFP) know a little about each other and interact more freely afterwards

CONTENT	METHOD	RESOURCES	DURATION
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 training we are going to be using our artistic skills	Speaking in plenary		5 mins
Development 1. Pair up with somebody you don't know (including trainers) 2. 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 3. 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): 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/or family? e. What are your interests outside work? f. Are you a good artist? ☺ 4. When everyone is finished, display all the portraits on a wall or display board 5. 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 in plenary as icebreaker	• Sheets of A4 paper • Pen or pencil per person	50 mins
Wrap-up • Comment on the diversity of the group and the wide range of experience in the room • Invite questions for clarification (but 'park' any issue that will be dealt with later) • Inform the trainees that the next session will give them a bit more information about the objectives, structure and methodology of the training	Speaking in plenary Q&A	• Flipchart to note issues and clarifications	5 mins

S1b. Introduction to the training course

Session Plan **SP S1b**

↺ *Total duration: about 35 mins*

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

CONTENT	METHOD	RESOURCES	DURATION
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	Speaking in plenary	None	10 mins
Development 1. Give an outline of the course and the three key areas using PPT S1a 2. Concepts of the project 3. Tools and methodologies for CNA 4. Facilitation skills (ask for suggestions on what this means)	Presentation Q&A	• PPT S1a	15 mins
Wrap-up • 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 participants' expectations • Explain that the next session will introduce some important concepts and terminology relating to agricultural innovation systems	Q&A	None	10 mins

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

Session Plan **SP S2a**

Total duration: about 60 mins

Objectives

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 (e.g. 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

CONTENT	METHOD	RESOURCES	DURATION
Introduction 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	Presentation or panel discussion consisting of actors of value chain	None	5 mins
Development See Exercise Sheet (ES) S2a with scenarios and questions Provide copies of the ES to each group and ask them to complete the exercise	Group work	• ES S2a • Flipcharts • Pens	45 mins
Wrap-up • Describe the innovation niche partnership levels • Ask questions on concepts and terminology to check learning/understanding of AIS • Invite questions but defer answers if they will be dealt with later • In the next session, we will explore further the characteristics of an agricultural innovation system	Q&A	None	10 mins

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

Exercise Sheet **ES S2a**

Introduction

This exercise is a way of exploring AIS concepts, AIS terminology and the different perspectives of innovation niche partnerships and systems levels.

Materials/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 (right).
3. Discuss in groups and answer these questions (record answers on flipchart paper for later presentation)
   a. What are the constraints to be overcome?
   b. Which stakeholders need to be involved or not involved?
   c. What information will they need to make decisions and prioritise actions?
   d. Where will they get this information?
   e. How will they communicate with each other and who will initiate this communication?
   f. How do they benefit from the skills or knowledge from different parties?
   g. Who might be the champion or leader or point of contact for this (potential or actual) innovation niche partnership?
   h. What do you envisage will be the potential challenges to be overcome in the future?
4. In plenary, a member of each group presents their group's 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 t/ha of cassava. He has four children, two of which have to go to university. He has been planting cassava for 10 years with a steady harvest. In the neighbouring district, Ruhango, Mr Hirwa is also planting cassava, but he harvested 24 t/ha. Mr Hirwa is a member of the KINAZI Cassava Processing Plant, which has a membership of 789 farmers. Being a member means he has free access to the processing equipment, storage facilities and advice of fellow farmers. This year, several of the members observed a new disease that nobody can identify. They've heard that it might be a viral disease that can only be dealt with by having new planting material. However, accessing these materials is a challenge. In the meantime, Mr Ganza is a lead farmer and is assigned by Rwanda Agriculture Board (RAB) as an extension agent to support farmers to increase productivity in Muhanga district, and knows the situation in Ruhango district. In the past few months, he has received several visits from different NGOs and development partners who offer interesting ideas about cassava. He knows that a new variety developed by RAB has been successfully adopted in Eastern Province.

Below are agencies that recently visited Mr Ganza with different offers:

- IMBARAGA understands how to build storage facilities, but has no financial resources to build them;
- IITA has techniques on how to multiply resistant varieties, has the funding to multiply by teaching 15 farmers, but not enough resources to distribute to the 2000 farmers Mr Ganza works with;
- Microfinance can provide credit only if farmers guarantee payment after harvest;
- Transporters can buy cassava in bulk with minimum travel of one truck per day;
- A women's group meets every week to pick up cassava and sell to local markets, but finds it challenging to collect enough 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;
- The Ministry of Agriculture has introduced a new strategy of importing cassava cuttings and distributing them within Rwanda, but still needs service providers to take over;
- The Ministry of Trade and Industry is also looking at linking farmers to markets, but few farmers are keen to work with cooperatives, because of low price paid by the buyers.

S2b. Understanding agricultural innovation systems

Session Plan	**SP S2b**

Total duration: about 60 mins

Objectives

Develop a common understanding of the concept of AIS by NIFs

CONTENT	METHOD	RESOURCES	DURATION
Introduction Explain that from the scenario exercise (ES S2a) this session illustrates the complexity of AIS. Ensure there is shared understanding of the concept and terminology, to facilitate communication among country team members	Speaking in plenary	None	5 mins
Development 1. Show the presentation 'What is an agricultural innovation system?' (PPT S2b) at https://cdais.net 2. Set up a group discussion a. Divide participants into groups of 3 b. From the presentation and each individual experience, ask what they think key characteristics of AIS are c. Write these characteristics on yellow cards (one characteristic per card) d. Display cards on wall and group similar ideas/ characteristics	 Group work	• PPT S2b • Yellow cards • Marker pens • Pins	20 mins 20 mins
Wrap-up • Present AIS as described in the Framework, i.e. "network of actors or organisations, supporting institutions and policies, facilitation and collaborative learning" • Refer back to the written cards to see if they capture all of this – add cards if necessary • Explain paradigm shifts in agricultural research and development (R&D) and evolution to AIS (PPT slide)	Q&A	• PPT S2b (highlight slide 7)	15 mins

S3a. What is 'capacity' and what is 'capacity development'?

Session Plan | **SP S3a**

Total duration: about 35 mins

Objectives

NIFs will be familiar with and have an initial understanding of the systemic concept of capacity development, the distinction between the three functional capacity-development dimensions, the difference between functional and technical capacities, and different 'modalities' to enhance functional capacities

CONTENT	METHOD	RESOURCES	DURATION
Introduction Check the knowledge and understanding of 'functional capacity development' of the trainees	Q&A	• Flipchart	10 mins
Development **1.** Ask the trainees what they think 'capacity development' is. Capture ideas on a flipchart **2.** Present theory and graphical overview of the elements of capacity development as well as the distinction between functional and technical capacities	Plenary discussion 'Teaching' moment	• PPT S3a	20 mins
Wrap-up Open for discussion to check relevance and understanding. Make link to next session, 'Capacities for AIS', explaining that these 'functional capacities' have been identified as critical for a functioning AIS and the effective implementation of the CDAIS project	Discussion	None	5 mins

Background resources

Common Framework: Conceptual background

S3b. Capacities for agricultural innovation systems

Session Plan | **SP S3b**

↺ *Total duration: about 60 mins*

Objectives

Understand different functional capacities and their distinction from technical capacities

CONTENT	METHOD	RESOURCES	DURATION
Introduction Explanation of the process and the scenario for the exercise (same scenario as before)	Speaking in plenary		5 mins
Development 1. Groups discuss and note what they think are the capacities needed for agricultural innovation according to the selected scenario 2. Cards are displayed on the wall identifying similarities and differences between functional capacities and technical skills 3. 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 mins 20 mins
Wrap-up Presentation of the definition of functional capacities and capacity-development concepts of the CDAIS project and discussion	Presentation and Q&A	• PPT S3b	10 mins

Background resources

Common Framework: Conceptual background

S4a. About the CDAIS project

Session Plan	**SP S4a**

Total duration: about 50 mins

Objectives

NIFs understand the CDAIS project and the context of their work so that they can explain it to stakeholders during innovation niche partnership visits

CONTENT	METHOD	RESOURCES	DURATION
Introduction Explain that now that we've been given an introduction to the key concepts in AIS, we will learn more about the CDAIS project – the objectives, approach, partners and structure of the project	Speaking in plenary	None	5 mins
Development Present the project	Presentation	• PPT S4a	30 mins
Wrap-up 1. Invite questions/comments 2. Emphasise the focus on functional capacities in multi-stakeholder partnerships	Q&A	None	15 mins

Background resources

- https://cdais.net
- www.fao.org/in-action/tropical-agriculture-platform/cdais-project/en/

S5a. What is a functional capacity needs assessment, and why do it?

Session Plan **SP S5a**

↺ *Total duration: about 30 mins*

Objectives

NIFs will be familiar with the general principles of the functional 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

CONTENT	METHOD	RESOURCES	DURATION
Introduction Make link to previous sessions, specifically to the 'What is "capacity" and what is "capacity development"?' session (S3b), open up for discussion and reflection	Recap of key messages from Session S3	• Flipchart	10 mins
Development Present theory and graphical overview of the functional capacity assessment principles, link to baseline to monitor progress, expected products, and general approaches and tools used	'Teaching' moment	• PPT S5a	15 mins
Wrap-up Open up for discussion to check relevance and understanding. Make link to next session regarding the role and responsibilities of an NIF within the capacity assessment process	Discussion	None	5 mins

Background resources

- Common Framework: Conceptual background. www.cabi.org/Uploads/CABI/about-us/4.8.5-other-business-policies-and-strategies/tap-conceptual-background.pdf
- FAO Learning Module 2 describing the steps within a capacity assessment process. www.fao.org/3/a-i2531e.pdf
- CDAIS Factsheet on Overview of Stage 3: Capacity Needs Assessment. https://tapipedia.org/sites/default/files/overview_stage3_1.pdf

S5b. The roles of the National Innovation Facilitators

Session Plan	**SP S5b**

↺ *Total duration: about 45 mins*

Objectives

NIFs understand their immediate role in the capacity needs assessment at innovation niche partnership level as well as the bigger picture of their future roles in the capacity needs assessment at system level and facilitating capacity development at both levels

CONTENT	METHOD	RESOURCES	DURATION
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	Q&A	• Flipchart • Pens	10 mins
Development NIFs will be the key people in the implementation of the CDAIS project and beyond. Their main roles will be to: 1. 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 2. Interact with agricultural innovation system stakeholders at system/organisational level to reach an agreed list of functional capacity needs, and an agreed plan to address those needs 3. With the help of specific capacity-development specialists, facilitate capacity development at innovation niche partnership and system levels through a series of learning cycles 4. 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 and in their organisations *Note:* the first role, and the role that this training course will support, is the capacity needs assessment at the level of the innovation niche partnerships that the CDAIS project is involved with. Further training will be provided later to support the NIFs in their other roles	Presentation	• PPT S5b	15 mins
Wrap-up • 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

S5c. The skills required by NIFs for capacity needs assessment

Session Plan **SP S5c**

↺ *Total duration: about 60 mins*

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

CONTENT	METHOD	RESOURCES	DURATION
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	Speaking in plenary	None	5 mins
Development 1. Ask each NIF to write down the skills they think they need to facilitate the CNA – one skill per card 2. Collect and cluster the cards in plenary – perhaps under soft skills, technical skills, and other specific categories that emerge 3. Ask for explanation if a skill is not clear 4. Prompt for any additional skills from the list[1] and add them if they agree 5. Ask whether there were skills listed that they personally had not thought of 6. Ask them to write their 3 strongest and 3 weakest skills from the list on two cards, then display and discuss	Card exercise – individual, then plenary review and discussion	• Cards (two colours) • Flipchart • Pens • Masking tape or sticky tack • Wall or pin board	45 mins
Wrap-up 1. Ask if everybody has all the necessary skills and, if not, discuss ways to cope with this 2. Invite questions for clarification 3. The next session will introduce some of the 'tools' that will be used in the CNA and enhance the skills on how to use these tools	Q&A	None	10 mins

S6a. Involving everyone

Session Plan **SP S6a**

↺ *Total duration: about 75 mins*

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: • 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) • manage outspoken stakeholders and ensure that they do not dominate the discussion • 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	None	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 and why; what did not go well and why (e.g. not easy to facilitate discussions with different stakeholders); what interpersonal skills are required for effective facilitation Conclusion: Sometimes there are circumstances where not everyone responds. To encourage everybody's participation consider: • hierarchy solution: discuss in pairs first • culture (go round with a simpler question first so that everybody speaks)	Speaking in plenary	None	10 mins

S6a. Involving everyone

Exercise Sheet **ES S6a**

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.

Materials/equipment required

- Flipchart paper
- Pens

Steps

1. Divide participants/trainees into groups of 4.
2. Distribute the roles for each trainee as shown in Box 1.
   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:
         - Gather the participants and ask them to share what they think are the key issues/challenges
         - Discuss how to solve the major challenge identified
         - Emphasise 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 John, Margaret and Tom (out of hearing from the trainee who is assigned to act as facilitator). 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.
3. Let the facilitator gather their group members and give them 10 minutes to discuss with the group.
4. After 10 minutes, stop the facilitators and gather all groups into plenary. Discuss with the participants:
   a. Was the goal of getting active participation from everyone in the first few minutes achieved?
   b. Did everybody participate? What worked well and what didn't?
   c. Ask how the facilitator could improve the responses.
5. In the plenary, go through the facilitation tips (see Checklist 1).
6. Let one or two people try to facilitate the same thing again with feedback from participants afterwards.
7. Debriefing: what was different? What was the effect? Was the goal achieved?

S6a. Involving everyone

Exercise Sheet **ES S6a**

Box 1.
Roles in the group

The text below can be printed and distributed to each participant to give them their roles for the exercise.
Print a set of cards for each group.

Group ....

You are the facilitator

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

Group ....

You are Margaret, the silent participant

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

Group ....

You are John, the talker participant

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

Group ....

You are Tom, the confirming participant

You don't say much, just repeat what John says, confirming what he says

S6a. Involving everyone

Exercise Sheet **ES S6a**

Checklist 1. Facilitation tips

1. Look at everybody in the group, make eye contact with as many people as possible

- **a.** Ask your question (question you have prepared in advance and is consistent with purpose of meeting)
- **b.** Be silent after the question, this allows people to think about their reply
- **c.** Give non-verbal encouragement
- **d.** If necessary, sit down (when standing attention remains on you)
- **e.** 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.

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2. Collect more reactions

- **a.** Always acknowledge each contribution
- **b.** Sometimes rephrase/seek clarification about a contribution to ensure that you as facilitator and the other participants understood well
- **c.** Say “Who else?”
- **d.** After two or three responses, summarise in concise way and check with group
- **e.** Invite others by asking:
  - “Who has another experience / idea / interest / opinion?”
  - “In what other way can we look at this?”

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3. Always

- **a.** Keep the contributions/reactions focused, centred on the question
- **b.** Shift quickly from one person to another, look around, probe for details only if a response is not clear
- **c.** Look encouragingly at silent people.

S6b. Asking the right questions

Session Plan	**SP S6b**

Total duration: about 35 mins

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

CONTENT	METHOD	RESOURCES	DURATION
Introduction Explain that we have a 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	Speaking in plenary	None	5 mins
Development Conduct exercise ES S6b	Role play in plenary. Chairs arranged in a circle	• ES S6b • A hat for the farmer	20 mins
Wrap-up Communication theory of 1st and 2nd position. We often think and act from our own (1st) position; we usually find it difficult to leave our thoughts and ideas aside and really listen to the other and metaphorically get into the other's (2nd) position	Plenary	None	10 mins

Background resources

- Wielinga, H.E. and Geerling-Eiff, F.G.E. (2009) Networks with free actors. In: Poppe, K.J., Termeer, C. and Slingerland, M. Transitions Towards Sustainable Agriculture and Food Chains in Peri-Urban Areas. www.linkconsult.nl/en/publicaties/boeken/59-networks-with-free-actors-2
- The Grove facilitation model
- Drexlen/Sibbest team performance model

S6b. Asking the right questions

Exercise Sheet **ES S6b**

Introduction

This is a role-playing exercise. Each trainee can practise their skills of talking to people of various levels from farmer to 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.

Materials/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 they are the farmer.

Steps

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

S6c. Facilitation – listening skills

Session Plan **SP S6c**

↺ *Total duration: about 25 mins*

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 summarising)

CONTENT	METHOD	RESOURCES	DURATION
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 built (who are you? what is your interest?). Commitment will come once the activities are commonly defined and these answer common interests	Speaking in plenary	None	5 mins
Development Conduct Exercise ES S6c	Role play in pairs	• ES S6c • Checklist 2: Active listening	10 mins
Wrap-up • What is the effect on yourself when you match body language and when you summarise? And the effect on the others? • By matching body language and summarising, the other is feeling heard, understood, and trust is built • How can these skills help us in a setting of negotiation (see Checklist 2)?	Plenary	None	10 mins

Background resources

- Wielinga, H.E. and Geerling-Eiff, F.G.E. (2009) Networks with free actors. In: Poppe, K.J., Termeer, C. and Slingerland, M. Transitions Towards Sustainable Agriculture and Food Chains in Peri-Urban Areas.
- www.linkconsult.nl/en/publicaties/boeken/59-networks-with-free-actors-2
- Grove facilitation model
- Drexlen/Subbest team performance model

S6c. Facilitation – listening skills

Exercise Sheet **ES S6c**

Introduction

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

Materials/equipment required

Chairs are arranged in a circle for plenary discussions. Another set of chairs are arranged for discussions in pairs.

Steps

1. Ask participants to arrange themselves into two lines, and take as a partner the person opposite them.
2. Ask one of the lines to come with you (e.g. in the corridor, out of the hearing of the other group).
3. Explain to the group the 3 stages they will go through (as shown below). Stages change with the clap of your hands. Each pair arranges chairs to face each other.
   a. Stage 1. Let your partner talk, but you don't look into their eyes. Look around the room. Act as if you are not interested.
   b. Stage 2. Your partner continues talking. Now try to imitate how they move their arms, hands, legs, i.e. their posture. Try to get eye contact.
   c. Stage 3. Your partner continues talking. This time, after a few sentences, try to summarise what they say. Wait for their confirmation. And encourage them to continue.
4. 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, don't match your body language, or don't summarise?
   b. How does it feel as a speaker when the listener does make eye contact, matches your body language and summarises? Did you notice the difference in attitude of the listener?
   c. What was the effect of these changes to the way you were talking? Did it encourage or discourage you?
5. Conclusion
   By matching body language and summarising, the other is feeling heard, understood, and trust is built.

Checklist 2. For active listening

1. Listen to the other

- Empty your head of any other thoughts
- Be genuinely curious
- Copy the speaker's posture and/or other non-verbal gestures
- Listen carefully
- Make eye contact and support with nodding/making encouraging sounds "aha… I see…" etc.

2. Summarise

- Summarise 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.

3. Continue conversation

... or if summary is not correct, let the other person repeat themselves.

S6d. Identifying interests and negotiation for mutual gain

Session Plan **SP S6d**

Total duration: about 65 mins

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: • Drawing the interest of the actors on the table • identifying options for mutual gain	Speaking in plenary	None	10 mins
Development 1. Together with the trainees, discuss Checklist 3: Identifying interests 2. Conduct Exercise S6d: Identifying options for mutual gains	Role play in pairs	• Checklist 3: Identifying interests • ES S6d	45 mins
Wrap-up Discuss: • Advantages and disadvantages 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): a. Options are identified that meet the interests of most stakeholders b. Otherwise, selection of options using objective criteria agreed generally (this is sometimes necessary to get a feeling of fairness), i.e. - Jointly decide on: fair procedure, fair standards - Make matrix, apply criteria, check final choice	Plenary	None	10 mins

S6d. Identifying interests and negotiation for mutual gain

Exercise Sheet **ES S6d**

Checklist 3.
Identifying interests

1. 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.

2. 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.

3. Shared interests

- Summarise all interests, write them on a flipchart.
- If many, prioritise the interests of each person.
- Find common interests.
- Check if others recognise and agree with common interest(s).

S6d. Identifying interests and negotiation for mutual gain

Exercise Sheet **ES S6d**

Preparation

1. Assign a facilitator from among the trainees.
2. Select a case from the options given in Box 2. Assign trainees to specific roles based on the case selected. Make sure you have at least two stakeholder groups of which you know their interests. Instruct your group members on their roles.
3. Arrange seating for trainees to sit next to each other (side by side), all facing the flipchart
4. Have the list of interests visible (without names) on the wall.

Steps

Give to the assigned facilitator the following instructions:

1. Introduction
    a. As a facilitator, agree with the group that you will brainstorm and not decide yet
    b. Clarify basic rules for brainstorm
        - no criticism, every idea is accepted
        - 'dream', out of the box
        - put time limit.
2. Start brainstorm
    a. Start by asking for ideas that meet the interest of the others (not own interest)
    b. Write down all ideas
    c. Encourage with gestures, attitude, say… "what else?", "great", "you can do better"
    d. Ask for ideas that are in everyone's interest.
3. Improving options
    a. Ask participants to pick (star) the most promising options given the identified interests
    b. Try to improve the most promising ideas. Ask "What will help to realise this option?"
4. Plan decision (if needed)
    a. Set a time deadline to evaluate ideas (on basis of objective criteria) and decide.

S6d. Identifying interests and negotiation for mutual gain

Exercise Sheet **ES S6d**

Box 2.
Case studies – Identifying options for mutual gain

1. You are the facilitator of a workshop involving policy makers, researchers, farmers' organisations and representatives of product organisations (private sector). They are invited to choose the value chain the government should invest extra money in. Everyone wants their own value chain to be chosen. The farmers' organisations want it to be the soya value chain as many farmers produce soya. The policy makers prefer cashew nuts because the product can be exported and will provide foreign currency. The discussion seems to revolve 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 will enable them to steer the university towards competency-based learning. The research staff want 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 investment, 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 agriculture department want to have a bus for transporting their students 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 farmland 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.

S6d. Identifying interests and negotiation for mutual gain

Exercise Sheet **ES S6d**

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

Introduction

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

Materials/equipment required

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

Step 1: The situation

Read 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. The micro-credit provider wants it in region X and Ministry of Agriculture in region Y and they are trying to convince everybody why their idea is the best. There is deadlock, and it is proposed that the decision is postponed to the next meeting, but some stakeholders indicate they will not turn up.

Step 2: Role play

1. Form two groups. Each group should have a facilitator, banker and ministry official. The rest of the trainees act as farmers or stakeholders.
2. Assign one of the methods below for the facilitator to use to find a solution:
   a. 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
   b. Organise a brainstorm in which every suggestion is taken on board and make a long list of options.
3. Explain to the banker and ministry official (separately) their roles in the situation.
4. Ask the facilitator to facilitate the discussion and find a solution to the deadlock.

Step 3: Plenary discussion among the trainees

Objective: to analyse the facilitation and how the group found solutions.

1. Ask the groups if they were able to come up with an agreement or not. Let them describe the process taken. Ask everybody to identify advantages and disadvantages of the two options.
2. Ask the trainees which is the best approach to avoid such deadlock. Discuss why they think it is the best approach.
3. Facilitate discussion in such a way that participants discuss how to handle a deadlock and what will be the effect of the different approaches. Ask trainees to stand by the approach they prefer. Start with the smallest group and stand next to them. Then move to other groups. Play devil's advocate. Increase differences to encourage discussion.
4. Summarise the points on which most NIFs agree and disagree.
5. Give one's own vision, acknowledging the suggestion on the value of brainstorming.

S6d. Identifying interests and negotiation for mutual gain

Exercise Sheet **ES S6d**

Extra Exercise 2. Dealing with conflict

Introduction

This is an exercise in which NIFs realise 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/equipment 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 they 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 rose, 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 out tips to see what helps to improve things.
5. Acknowledge the improvement and make a bridge to the theory.

Note: This might not be a very easy one to facilitate. If you do not feel comfortable simulating, just try to encourage participants to talk about some experiences they have had 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 bring people together.

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

Session Plan **SP S6e**

↺ *Total duration: about 80 mins*

Objectives

NIFs better appreciate the importance of listening and collaboration, and have an improved understanding of group dynamics and different approaches to problem solving

CONTENT	METHOD	RESOURCES	DURATION
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	Speaking in plenary	None	5 mins
Development Carry out ‘“The Black Horse” murder mystery’ exercise as in ES S6e	Plenary with flipchart	• ES S6e • Flipchart paper • Pens • Clue card print out • Scissors	60 mins
Wrap-up • Ask the observers to report on what they saw for example: did they 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 how to conduct the CNA of CDAIS	Plenary	None	15 mins

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

Exercise Sheet **ES S6e**

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. (*Note:* 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 may 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 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 on its own 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.

Materials/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 should still 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.

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

Clues **ES S6e**

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 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'
Mr Smith attacked Mr Brown at 22:10 in the car park of 'The Black Horse' bar	Mr Brown's body was found in the back alley behind 'The Black Horse'
A man getting off the No. 38 bus outside 'The Black Horse' saw Mr Brown with blood all over his face	The broken bottle had Mr Smith's fingerprints on it
A broken bottle with blood on it was found in 'The Black Horse' car park	Mr Brown had been dead one hour according to the medical expert working with the police
Brown's body was found at 23:15	Mr Johnson had been drinking on his own in 'The Black Horse'
When the man getting off the bus saw Mr Brown, he was sitting on the car park wall holding his head	The manager of the bar found Mr Brown very attractive
A spanner with Mr Brown's blood on it was found in a dustbin near 'The Black Horse'	Mr Brown's bloodstains were found in the car park and back alley
Mr Smith saw Mr Brown in the bar and started threatening him	Mr Smith had told Mr Brown he was going to kill him
Mr Brown was having an affair with Smith's wife	The barman said that Mr Johnson sometimes handed an envelope across the table to Mr Brown
The barman saw Mr Johnson leave the bar at 22:05	Mr Brown and Mr Johnson met together from time to time in 'The Black Horse'
At 22:10, Mr Smith came into the bar and ordered a bottle of 'Charles'	Mr Johnson could not be found by the police after the killing
The spanner had Mr Johnson's fingerprints on it	The No 38 bus stopped outside 'The Black Horse' at 22:12
Mr Smith and Mr Brown left the bar arguing at 22:05	It was obvious that the body had been dragged some distance
The barman said that Mr Brown and Mr Johnson were regular customers in 'The Black Horse'	Mr Smith was not at home when the police called to make enquiries after finding the body

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

Solution **ES S6e**

Murderer
Mr Johnson

Time
22:15

Place
'The 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.

S7a. The CNA process for CDAIS

Session Plan SP S7a

↺ *Total duration: about 45 mins*

Objectives

NIFs will understand the details of the capacity needs assessment process for CDAIS, understand the CNA process and learn how to use the tools suggested

CONTENT	METHOD	RESOURCES	DURATION
Introduction Recap key messages from Session 5: Introduction to the capacity needs assessment and open up for discussion and reflection	Speaking in plenary	• Flipchart	10 mins
Development Present steps (Leiden table) of CDAIS country capacity needs assessment process for innovation niche partnership level and have a discussion	'Teaching' moment	• Printed copy of Leiden table	30 mins
Wrap-up Open discussion to check relevance and understanding	Discussion	None	5 mins

S7a. The CNA process for CDAIS

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.

The following steps should be adapted to different country contexts, and this will affect the sequence and duration of visits.

STEP	TIMING	TITLE	OBJECTIVE	APPROACHES	TOOL OPTIONS	WHO DOES IT?
0	Prior to start of CNA	Profiling of innovation niche partnerships?	CDAIS staff understand the innovation niche partnership sufficiently to plan the CNA detail and brief the NIFs during their training	Desk studies/ previous reports Completion of the innovation niche partnership profile in consultation with innovation niche partnership stakeholders	• Face-to-face discussions with stake-holders, semi-structured around the innovation niche partnership profile headings	CPM
1	Start of CNA	NIF training	Train the NIFs on skills to facilitate and tools to use for the CNA Share the concepts of CDAIS project	4 day participatory training – presentations, group exercises, questionnaires	• NIF Training Resources (session plans, exercise sheets and PowerPoints).	Led by AFP with CPM
2	After the NIF training	NIF action planning	Finalise and agree the NIF work plan to conduct the CNA	1 day meeting among NIF and CPM	• 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 innovation niche partnership and the actors involved (what is going well and what not?) Mutual knowledge of what we can do together (managing expectations)	Open invite to leaders of organisations; face to face with all actors in the innovation niche partnership	• Short presentation of the objectives of CDAIS to gain interest of actors in the innovation niche partnerships • Timeline tool	CPM and NIFs (with AFP initially)

S7a. The CNA process for CDAIS

Leiden Table: CDAIS country capacity needs assessment process (innovation niche partnership level)

STEP	TIMING	TITLE	OBJECTIVE	APPROACHES	TOOL OPTIONS	WHO DOES IT?
4	Field visit 2 Day 1 (stake-holder workshop, morning)	Understanding the innovation niche partnership (1)	Shared understanding of key problems (technical and functional), effects, causes and initial thoughts on solutions	Group work and plenary feedback	• Problem tree/ solution tree (functional capacity-focused but recognising technical problems too)	CPM and NIFs (with AFP initially)
5	Field visit 2 Day 1. (stake-holder workshop, afternoon)	Understanding the innovation niche partnership (2):	Shared understanding of who is involved; linkages and influences; structure / governance; boundaries	Group work and plenary	• NetMap tool (making reference to the findings of the problem / solution tree)	CPM and NIFs (with AFP initially)
		Facilitated self-assessment of capacities of actors within the innovation niche partnerships	Understanding the existing capacities in the innovation niche partnerships to work together	Individual exercise	• Capacity assessment questionnaire	CPM and NIFs (with AFP initially)
6	In between field visits 2 and 3	Analysis of capacity needs to be addressed by CDAIS	Processing/ reflection/collation and analysis of findings/data from visits 1 and 2	Off site, plus consultations and data analysis of information gathered from timeline, problem tree, NetMap and questionnaire	• 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

S7a. The CNA process for CDAIS

Leiden Table: CDAIS country capacity needs assessment process (innovation niche partnership level)

STEP	TIMING	TITLE	OBJECTIVE	APPROACHES	TOOL OPTIONS	WHO DOES IT?
7	Field visit 3 (stake-holder 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	Participatory presentation of results Group discussions Joint decision making on shared vision	• 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 and NIFs (with AFP initially)
		Consensus on capacity-development needs	Agreement on capacities required to achieve the shared vision of innovation niche partnership	Plenary proposal / dialogue / refinement / validation	• Capacity assessment report using template, presentation	CPM and NIFs (with AFP initially)
		Capacity development action planning	Agree on who, how, when, cost of capacity development interventions	Some plenary, some smaller groups	• Action planning tools/formats	CPM and NIFs (with AFP initially)
8	After Field visit 3	Write-up of CNA report	To consolidate data and information on CNA	Data consolidation Consultation with relevant actors	• CNA report template	CPM, AFP

S7b. Overview of tools for capacity needs assessment

Session Plan **SP S7b**

Total duration: about 40 mins

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 CNA. 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 innovation niche partnership and identify functional capacity needs	Speaking in plenary	None	5 mins
Development Present PPT S7b	Presentation	• PPT S7b	15 mins
Wrap-up • 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

S7c. Understanding the situation in the innovation niche partnership (timeline tool)

Session Plan **SP S7c**

Total duration: about 60 mins

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

CONTENT	METHOD	RESOURCES	DURATION
Introduction Explain that the timeline exercise will be used in the first visit to the innovation 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 innovation niche partnership visit	Speaking in plenary	None	5 mins
Development *Note:* Since the NIFs are not actors in the same innovation 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
Wrap-up • 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

S7c. Understanding the situation in the innovation niche partnership (timeline tool)

Exercise Sheet **ES S7c**

Introduction

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

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

Materials/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 innovation 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.
- Write and mark each breakthroughs or key event in green on top of the line corresponding to the time it happened. Draw a circle around the breakthrough.
- Write and mark the challenges/setbacks in red below the line. Draw a circle around each challenge.
- Then explain events or opportunities that led to the breakthrough and write them in green next to the breakthrough.
- Do the same for the challenges and write in red next to the challenge.

Resources

Below are links to two variations on the method explained above.

- Link Consult Network Tools: Methods: www.linkconsult.nl/en/gereedschap/lang-en-methods-lang-lang-nl-methoden-lang
- Reflexive Monitoring in Action. Guide for Monitoring System Innovation Projects: www.wur.nl/en/Publication-details.htm?publicationId=publication-way-333935373332
- Factsheet on Timeline: www.tapipedia.org/sites/default/files/tool_timeline.pdf

S7d. Understanding the cause and effect of challenges (problem tree/solution tree tool)

Session Plan **SP S7d**

Total duration: about 80 mins

Objectives

NIFs are capable of effectively facilitating the problem/solution tree tool at innovation niche partnership level to identify the causes and effects of problems, and the objectives/actions that will address the causes

CONTENT	METHOD	RESOURCES	DURATION
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 innovation niche partnership level	Presentation	None	5 mins
Development Use the problem tree tool on the scenario in Session 2a or the scenario on the cassava value chain (exercise ES S7d)	Participatory group work	• ES S7d • Flipchart paper • Pens • 3 colours of cards • Masking tape • Country-specific scenario	60 mins
Wrap-up • What did we learn about the causes of and solutions to 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 who have already used this tool in the past • The next session will explore the facilitation skills required to use this sort of tool effectively	Q&A in plenary	None	15 mins

S7d. Understanding the cause and effect of challenges (problem tree/solution tree tool)

Exercise Sheet **ES S7d**

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.

Materials/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 flipchart 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 flipchart paper.
3. From Session S7c: Understanding the situation of innovation niche partnership, select a problem or a challenge (either functional or technical) that constrains the effective functioning of the innovation niche partnership, and write each of these major problems on a red card.
4. 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 do's and don'ts in formulation of problems.)
5. Write down as many effects of the problem on green cards and arrange these effects (the justification for action) as branches of the tree.
6. 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 under the major causes.
   - *Note:* 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.
   - *Note:* Don't stick any cards down yet as you may want to move them around.
7. Review the problem tree and make any changes/ additions as necessary.
8. Write on a new (yellow) card a positive objective to respond to or eliminate 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'.
9. 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.

Resource

Capacity-focused Problem Tree:
www.tapipedia.org/sites/default/files/tool_problem_tree.pdf

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**	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 licences

And further: explain all abbreviations and jargon

S7e. Understanding the landscape of stakeholders (NetMap analysis)

Session Plan	**SP S7e**

↺ *Total duration: about 150 mins*

Objectives

- To understand the landscape of the stakeholders who are involved in the innovation niche partnership, i.e. how they work together and influence each other (power relations)
- Create a baseline of the network and to trace the relationships among actors of the innovation niche partnerships

CONTENT	METHOD	RESOURCES	DURATION
Introduction NetMap technique is a simple and commonly used tool to understand who the stakeholders are, how they work, and to determine linkages between them and the power structure in the system. The exercise is conducted in small groups using participatory and facilitated discussions. NetMap can be used to understand the general picture of the system or to explore situations around a particular issue or purpose, in this case the innovation niche partnership. For the NIF training, we will be focusing on a particular issue that is identified through a problem tree analysis	Speaking in plenary	None	10 mins
Development Select one of the major objectives identified in the previous session (Session S7d: Problem/solution tree). Use this situation to conduct Exercise S7e on NetMap	Participatory group work	• ES S7e	100 mins
Wrap-up • Plenary session: Each stakeholder group presents its own map (which indicates only their perspective and view). This enables, for example, all to understand how producers see the landscape, who are their points of call/linkages and which actors they see as influential • In plenary, following each group presentation, the notetaker should be asked to highlight any relevant and important discussion of their group that is not included in the map	Q&A in plenary	None	40 mins

S7e. Understanding the landscape of stakeholders (NetMap analysis)

Exercise Sheet **ES S7e**

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 coloured card (suggestion: use one colour per table or stakeholder type); flipchart or big sheet of paper; 4 different colour markers; checkers pieces or other stackable tokens (discs).

STEP		COMMENTS	DURATION
1	**Define the objective** For the NIF training, use the objective identified in the previous exercise (S7d). During innovation niche partnership-level capacity needs assessment, use the innovation niche partnership itself and focus on one of the objectives identified during the problem tree exercise (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 mins
2	**Group the participants (NIFs) into small groups** Groups should be divided by stakeholder type (e.g. government, NGO, private sector, producers, extension, research). It is important to group them by stakeholder type to understand the differences in the perspectives and power relations / levels of influence	Room set up to have groups of 3-5 people around a table where the NetMap can be laid out A sheet of flipchart paper is placed on each table	5 mins
3	**Assign a group facilitator and notetaker** Group facilitator ensures everyone's participation in the discussion and keeps the time. Notetaker 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 mins

S7e. Understanding the landscape of stakeholders (NetMap analysis)

Exercise Sheet **ES S7e**

STEP		COMMENTS	DURATION
4	**Create a NetMap of the current situation** **a.** *Who are the key actors?* Who is involved in addressing the objectives identified from the problem tree? Based on your experience, write each actor or stakeholder who you think is important on a separate card (only actors that are highly relevant!). Then, place them on the flipchart/paper with plenty of space in between them. The map can be created from the perspective of the group participants, placing their organisation in the middle	Markers and colour card (suggestion: use one colour per table or stakeholder type) Flipchart or big sheet of paper	30 mins
	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: - who is connected with whom, then discuss - why are they connected, what is the purpose of their connection? Since people/organisations are linked to one another for a reason, use the following 4 different colour markers to indicate the principle purposes/reason of their linkages: - *Black* for knowledge and information (technologies, practices, etc.) - *Red* for financial flows and directives - *Blue* for agricultural inputs (seeds, fertilizers, etc.), if applicable - *Brown* for disturbance. For example, if a farmer is connected to an organisation to obtain more information about the market, draw a black line between them. Once the purpose/reason for the linkage is identified, indicate the direction of the linkage, is it both ways, or is it only one way? Draw an arrow in the direction of the communication	4 different colour markers	30 min
	c. *How influential are they?* The 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 maximum 5 pieces high indicating a high level of influence	Checkers pieces, poker chips or similar	15 mins
5	**Plenary session** • Stakeholder groups present their map (which indicates only their perspective and view). This allows everyone to understand, for example, how producers see the landscape, who are their points of call/linkages and which actors they see as influential. • In plenary, following each group presentation, the notetaker should be asked to highlight any relevant and important discussions/observations of their group that are not included in the map	Group presentations in plenary	10 mins per group
6	**How can the situation be improved?** Repeat the exercise, but this time ask the stakeholders to construct a NetMap of how they feel an *ideal* system should look and discuss what would need to be done and which capacities would need to be strengthened to help the innovation niche partnership move from now to the ideal state		

S7e. Understanding the landscape of stakeholders (NetMap analysis)

Exercise Sheet **ES S7e**

Important elements to consider for the facilitators

Ensure group discussions are focused on the main issue 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

- How NetMap works: https://netmap.wordpress.com/about/
- www.mspguide.org/tool/netmapping
- Social Network Analysis: www.tapipedia.org/sites/default/files/tool_social_network.pdf
- Software for Social Network Analysis: Graphcommons

S7f. Developing a shared vision for the innovation niche partnership

Session Plan **SP S7f**

↺ *Total duration: about 45 mins*

Objectives

NIFs can facilitate and engage the actors in the innovation niche partnership to formulate their shared vision

CONTENT	METHOD	RESOURCES	DURATION
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 niche 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 NetMap exercise) were functioning well, and the capacity gaps (identified in the capacity questionnaires) were addressed	Speaking in plenary	None	5 mins
Development Select the tool to use, for • *The rich picture exercise,* use ES S7fa • *The future backwards exercise,* use ES S7fb	Participatory group work	• Flipchart paper • Pens	30 mins
Wrap-up • 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

S7f. Developing a shared vision for the innovation niche partnership

Exercise Sheet **ES S7fa**

Visioning: Rich picture

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 member of the partnership should understand why they are engaging in the process.

Materials/equipment required

- Flipchart paper
- Pencils
- Marker pens (4 colours)

Steps

1. Split to groups of 4 or 5.
2. Each group imagines they a stakeholder in an innovation niche partnership, e.g. farmer, trader, researcher or 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 do the drawing.
4. Lay a sheet of flipchart 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.
6. In plenary each group presents its rich picture and explains the elements in it.

Resources

Factsheet on Rich Picture: www.tapipedia.org/sites/default/files/tool_rich-picture.pdf

S7f. Developing a shared vision for the innovation niche partnership

Exercise Sheet **ES S7fb**

Visioning: Future backwards

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 member of the partnership should understand why they are engaging in the process.

Materials/equipment required

- Flipchart paper
- Facilitation cards (ideally cut into hexagonal shapes)
- Marker pens (4 colours)

Steps

1. Share the ground rules (you can write these on a piece of flipchart paper):
   - **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 while posting – allow 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 one current state per card.
   - **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 CS 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 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 section 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 the history of the CS. Starting with the immediately 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 two indicators that illustrate they are on a path to heaven and two indicators that illustrate they are on a path to hell.
   - **g.** Summarise 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.

S8a. Monitoring and evaluation (M&E)

Session Plan **SP S8a**

Total duration: about 70 mins

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.

CONTENT	METHOD	RESOURCES	DURATION
Introduction Explanation of context and purpose of M&E	Speaking in plenary	None	5 mins
Development **1.** Clarification of the objectives, key components and issues related to M&E of CDAIS interventions **2.** Discussion with participants on the requirements for and the practical implementation of the CDAIS M&E system in the context of their country	Presentation Facilitated discussion and documentation	• PPT S8a • Cards	15 mins 30 mins
Wrap-up Summary of discussion points and requirements	Verbal conclusion with short Q&A	None	10 mins

S8b. Gathering the baseline (capacity assessment questionnaire)

Session Plan – Part 1. Individual **SP S8ba**

↺ *Total duration: about 135 mins*

Objectives

The capacity questionnaire has two 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 five 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)

CONTENT	METHOD	RESOURCES	DURATION
Introduction Explanation of the assessment process, the purpose of the questionnaire as well as the topics and indicators	Presentation of assessment requirements and process	• PPT S8ba (slides 1-10)	15 mins
Development Example of how capacity scoring has been carried out	Presentation of assessment pilot as carried out in Laos	• PPT S8ba (slides 11-23)	15 mins
Facilitation requirements	Q&A	None	5 mins
Data collection (individual scoring in groups of up to 5 respondents with 1 moderator)	Exercise with 2-3 groups	• ES S8ba • Questionnaires	60 mins
Data entry and analysis (should be done on screen for training participants to follow)[1]	Explanation of database; data entry and visualisation of capacity profiles	• Excel spreadsheet	25 mins
Wrap-up Emphasise 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	Ask questions to check learning	None	15 mins

Preparation required for this session

Preparation of resources listed above

Note: 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

[1] The actual data entry and a quick analysis can be done by the trainer together with the country project manager and selected innovation facilitators during the evening of day 3. The capacity profile can then be shown the next morning

S8b. Gathering the baseline (capacity assessment questionnaire)

Session Plan – Part 2. Focus group **SP S8bb**

Total duration: about 90 mins

Objectives

The capacity assessment questionnaire has two 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 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 two parts come together operationally, including the sequence

CONTENT	METHOD	RESOURCES	DURATION
Introduction Recap key messages from the capacity assessment questionnaire part 1 training. Explanation of purpose of part 2 questionnaire covering the topics, indicators and questions	Verbal introduction	None	15 mins
Development 1. Exercise for data collection through facilitated group work: each NIF will get to 'practise' soliciting answers and capturing the results on flipcharts 2. Practical lessons learnt from group discussions 3. 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 notetaker and group facilitator. Participants will assume stakeholder roles e.g. (producer organisation, etc.)	• ES S8bb • Questionnaire	60 mins
Wrap-up • Plenary discussion facilitated by the trainer on how it went, what can be improved • Emphasise 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 two parts to allow for identification of actionable recommendations to improve capacities as part of the CDAIS project and Tropical Agriculture Platform (TAP) activities (e.g. marketplace)	Ask questions to check learning	None	15 mins

Preparation required for this session

Preparation of resources listed above

Note: 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

S8b. Gathering the baseline (capacity assessment questionnaire)

Exercise Sheet **ES S8b**

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 more on open-ended questions related to actionable recommendations.
The questionnaire enables collection of baseline data, evaluating changes and 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 (about 10) will be respondents. 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. Customise/create a simulation game/role play that fits the innovation niche partnership
   d. Tweak questions in the questionnaire to fit the innovation niche partnership, but do not change the meaning
   e. Translate questionnaire, if needed
   f. Ensure there are sufficient facilitators for 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 of functional capacities related to the questions in the questionnaire that emerge through the game, e.g. problem solving skills, collaboration, information sharing, engagement.
3. Data collection – Facilitated interviews in small groups
   a. Conduct sufficient self-assessments (to obtain enough observations) in a timely manner
   b. Facilitate individual scoring in groups of 3-5 respondents with one facilitator for each group rather than in one-to-one interviews
   c. Make sure that the sample size is adequate to support external validity (obtaining representative results and generalising back to the population)
   d. Determine sample size with a sample size calculator based on population size (overall number of individuals involved in the partnership): 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 more 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 or similar)
   g. Ensure 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, 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:
      i) Enter scoring data in the preconfigured Excel database
      ii) Make sure that data entry is as complete as possible in order to get meaningful results
      iii) Aggregate data by indicator and by topic: scores are averaged over the questions and over the observations
      iv) Provide quality assurance for entered data.

S8b. Gathering the baseline (capacity assessment questionnaire)

Exercise Sheet (continued) **ES S8b**

5. Data analysis – Capacity profiles
  a. Use capacity profiles to visualise 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:
    i) Overall average by indicators and by topics
    ii) Average by indicators over gender or stakeholder groups
    iii) Use bar charts to display the information for enabling environment indicators
    iv) Complement scoring information with 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, assess the capacity profile from data collected during the mock assessment
    i) Provide feedback to group on results using the capacity profile
    ii) 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)
    iii) Discuss and agree next steps and actions.

Resources

- Scoring tool paper: www.fao.org/3/a-i7014e.pdf
- Factsheet Scoring Innovation Capacities: www.tapipedia.org/sites/default/files/tool_scoring_0.pdf
- Capacity Scoring Questionnaire: www.tapipedia.org/sites/default/files/capacityscoringquestionnaire_final_2017-03-17.pdf
- Capacity Scoring Analysis Excel Workbook: www.tapipedia.org/content/capacity-scoring-analysis-excel-workbook

S8c. Action planning for CNA

Session Plan **SP S8c**

↺ *Total duration: about 100 mins*

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

CONTENT	METHOD	RESOURCES	DURATION
Introduction Action planning is a process that helps to focus ideas on achieving particular goals. It formalizes commitments and plots a route to implementation, determining who does what and when, and is therefore essential to ensuring that things get done, and that the goals and visions set out in the capacity development strategy are achieved. For NIF training, implementation of the capacity needs assessment can be the 'project' to practise the action planning skills. Towards the end of the CNA, NIFs can use the same action planning techniques to plan capacity development interventions	Speaking in plenary Presentation	• PPT S8c	5 mins 10 mins
Development 1. Complete the exercise outlined in ES S8c Action planning 2. Each group sticks their flipchart table on the wall 3. In plenary a representative of each group presents one or two activities and explains their thinking	Group exercise	• Flipchart paper • Masking tape or sticky tack • Cards • Two colours of marker pen • ES S8c	75 mins
Wrap-up • 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	Q&A	None	10 mins

Preparation required for this session

Resources as above

S8c. Action planning for CNA

Exercise Sheet **ES S8c**

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 practise 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).

Materials/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:
   a. Visualise the expected outcome and write it down in a few words
   b. How will you know if you have reached it?
   c. What constraints and/or 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:
   a. They do not have to be in any particular order
   b. Include alternative options
   c. Do not judge or analyse at this stage.
4. Analyse and prioritise the actions:
   a. Which are absolutely necessary?
   b. Which can be dropped without affecting the goal?
   c. Remove the cards with the unnecessary actions.
5. Organise the actions:
   a. Put the cards in a sequence according to when they have to be done
   b. Arrange them as key actions and sub-actions (distinguish between field and desk actions)
   c. Mark the cards to show dependency on actions before and actions after.
6. Develop the action plan:
   a. Make a table like the one below on a piece of flipchart paper
   b. Enter each action in a new row in the first column 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).

Resources

Factsheet tool Action Planning:
www.tapipedia.org/sites/default/files/tool_action_plan.pdf

EXPECTED OUTCOME					RESOURCES REQUIRED		
Action	Who is the lead?	With which partners?	By when?	Indicator of completion	Time inputs (person days)	Equipment	Funding

S9a. Reflexive monitoring and evaluation

Session Plan **SP S9a**

Total duration: about 45 mins

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 complement the quantitative methods. It also allows for practising a mini-timeline	Speaking in plenary	None	5 mins
Development 1. The participants are given Exercise Sheet ES S9a on Reflexive monitoring and evaluation and asked to read it, it is then explained to them to ensure understanding 2. Trainers leave the room for the facilitators to complete the exercise 3. The trainers are brought back into the room and discuss the evaluation by the group	Plenary but without the trainers	• ES S9a • Flipchart paper • Pen • Masking tape or sticky tack	30 mins
Wrap-up • 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

S9a. Reflexive monitoring and evaluation

Exercise Sheet **ES S9a**

Introduction

The purpose is to expose CPMs and AFPs during the training of trainers and later during the NIFs training to qualitative forms of M&E to complement the quantitative methods. It also allows for practising a mini-timeline.

Materials/equipment required

- Flipchart
- Pens
- Masking tape (or use a laptop and present results of their deliberations on the screen)
- Reflexive score sheet

Steps

1. The trainer explains the exercise and then (together with other trainers) leaves the room.
2. The group decides on a facilitator from themselves who will report back to workshop facilitators when they return. On a flipchart, participants write individual workshop sessions (one per card) and place them in a continuous line. Mark four equal sections above the line and number them 0 to 3 (best). Using the score sheet (next page), each participant scores each session for the following 4 factors (i) content and ease of comprehension, (ii) facilitation, (iii) materials provided, and (iv) usefulness for future work, before discussing in plenary and agreeing on an overall group score for each session; the group leader/facilitator noting outliers (i.e. if there were individual high or low scores,
   lack of consensus among the group).
3. Scores are then mapped against individual sessions, putting a dot in appropriate rows above session titles, with dots connected with a continuous line with a pen, giving a visual of how participants rate the workshop.
4. Trainers then review the group evaluation. The leader points out consensus points and 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 group opinion.
5. Discuss reasons for the scoring patterns.

S9a. Reflexive monitoring and evaluation

Exercise Sheet **ES S9a**

Reflexive monitoring score sheet

(score 0-3)

TITLE	CONTENT	FACILITATION	MATERIALS	USEFULNESS	OVERALL
Introduction of the trainees					
Introduction to the training course					
Scenarios in agricultural innovation systems (AIS)					
What is ‘capacity’ and what is ‘capacity development’?					
Capacities for AIS					
About the CDAIS project					
What is a functional capacity needs assessment, and why do it?					
The roles of the National Innovation Facilitators?					
The skills required by NIFs for CNA					
Involving everyone					
Asking the right questions					
Facilitation – listening skills					
Identifying interests and negotiation for mutual gain					
Understanding group dynamics and diversity (‘The Black Horse’ murder mystery)					
The CNA process for CDAIS					
Overview of tools for CNA					
Understanding the situation in the innovation niche partnership (timeline tool)					
Understanding the cause and effect of challenges (problem tree/solution tree tool)					
Understanding the landscape of stakeholders (NetMap analysis)					
Developing a shared vision for the innovation niche partnership					
Monitoring and evaluation					
Gathering the baseline (capacity assessment questionnaire)					
Action planning for CNA					
AOB and discussions on taking skills to the workplace					
Reflexive M&E					

ANNEX 1

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Notes

Notes

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