



RESEARCH  
PROGRAM ON  
Livestock

*More meat, milk and eggs by and for the poor*

## Capacity needs assessment (CNA)

CNA framework and tools for the partners of the CGIAR  
Research Program on Livestock CRP

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International Livestock Research Institute



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CGIAR is a global partnership that unites organizations engaged in research for a food-secure future. The CGIAR Research Program on Livestock provides research-based solutions to help smallholder farmers, pastoralists and agro-pastoralists transition to sustainable, resilient livelihoods and to productive enterprises that will help feed future generations. It aims to increase the productivity and profitability of livestock agri-food systems in sustainable ways, making meat, milk and eggs more available and affordable across the developing world. The Program brings together five core partners: the International Livestock Research Institute (ILRI) with a mandate on livestock; the International Center for Tropical Agriculture (CIAT), which works on forages; the International Center for Research in the Dry Areas (ICARDA), which works on small ruminants and dryland systems; the Swedish University of Agricultural Sciences (SLU) with expertise particularly in animal health and genetics and the Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) which connects research into development and innovation and scaling processes.

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# About the capacity needs assessment

## Why this guide?

This document is intended to serve as a resource for assessing capacity needs in a project or programme.

## What is a CNA?

A capacity needs assessment (CNA) is a process for identifying a project's perceptions (through staff, partners and stakeholders) on various capacity areas that impact the work they do. The process helps identify challenges and opportunities for enhancing key skills thereby enhancing the project's ability to achieve its objectives. The overall goal of a CNA is to determine the gap between required and existing capacities.

## Framework and methodology

The CNA framework has three dimensions:

- 1) Points of entry; refers to the three levels under which capacity exists – systemic, organizational and individual and all of which are potential points of entry to assess capacity.
- 2) Core issues; refers to the most encountered capacity issues and they include knowledge and skills, institutional arrangements and leadership.
- 3) Functional and technical capacities; refers to hard and soft capacities and is useful in distinguishing technical, tangible and visible capacities from social, relational, intangible and invisibles capacities.

## Steps of a CNA

A CNA follows a three-step process:

- 1) Mobilize and design
- 2) Conduct the CNA
- 3) Interpret results and write report

These steps are changeable and have been selected for ease of defining the process and are likely to be different in other capacity assessment approaches in use.

### **1) Mobilize and design**

The first activity is to compose a team that shall undertake the CNA and define the various roles needed. At a minimum, the team will usually include project staff who are domain experts, a facilitator or consultant, the client or goal owner who is usually the CNA manager and is the liaison between the facilitator and stakeholders. *The output from this activity is a CNA team.*

The second activity is to define the overall objective of the assessment with the primary client. This activity answers the question of why a capacity assessment is needed and clarifies the expectations from the process. During this dialogue, the facilitator draws insights from project documents in a literature review format. *The main output is a paragraph on the goal of the CNA.*

The third activity is to define project stakeholders. The CNA process will involve a range of stakeholders who are relevant to the project in various ways – regulation oversight, local community, government departments etc. These stakeholders will be engaged in all stages of the process and this activity helps determine which stakeholders to involve and at what levels. To do this, a stakeholder mapping and analysis activity is done where the team determines which stakeholders to involve and what influence these stakeholders wield. The team will then engage the listed stakeholders to identify the project problems, their effects and root causes. These help in focusing on the various capacities that shall be under inquiry. *The output for this activities is a list of stakeholders mapped to a power influence grid.*

## 2) Conducting the CNA

It is at this step that the team gets to determine the existing capacities and compare that to the desired levels of these capacities. The step starts with a start-up meeting where the team prepares an interview schedule that will be followed to engage the various audiences. Following the interview guide, the facilitator administers the scoring tools through a focused group discussion. These tools assess all capacities and are a mix of open ended and measured options. *The output for this step is recorded data on existing capacities.*

## 3) Interpretation of results and report writing

This step involves tabulating and conducting disaggregated analysis of the results of the data collected to provide insights. The team also designs and facilitates a review workshop with the project leaders to review and validate the preliminary capacity assessment results and make any necessary adjustments. The assessment team then writes a report presenting the findings of the CNA. The report will focus on what the findings mean for the program and not just presenting the data. The team will adopt several presentation formats – full report, snapshot report, PowerPoint, article - for the different stakeholders interested in the findings. *The output of this step is a data analysis report and a final CNA report.*

## Where can I find the guidance and tools?

The CNA process is explained in further detail in the CNA overview document and CNA tools guide.

Figure CNA visualization provides a visual summary of the CNA process; the process is usually iterative and is often altered to fit different contexts.

All the tools used in this process are briefly highlighted in the tools summary document and explained in detail in the CNA tools guide.

### Before the tools

#### Document analysis

The initial review of the documents aims to provide the analysis with an overview of key elements of the analysis. Key areas that must be included are the stakeholder groups, scope and objectives, impact pathways and any work breakdown structure information. By the end of this analysis there should be a high-level overview of who are the stakeholders, what is the scope and how will they go about achieving their objectives. For an overview of the evaluation please see the document

## Starting and scheduling

The preliminary step to conducting the analysis using the tools is to meet with the project leaders and develop a schedule for using the tools, the templates below should provide some guidance.

### Start-up meeting

An initial meeting is held with the programme directorship, this might be project sponsors, managers and key partners. The purpose is to agree on access, communication and reporting. This meeting will be an unstructured discussion and will additionally serve to build engagement between the CNA team and the project and/ or programme team.

Following the initial start-up meeting, and depending on access, the CNA team will schedule meeting for the interviews. These will either be key informant interviews or focus group discussion. In some cases, the CNA team may have less control over the schedule and may need to follow the recommendations of the project team. The items included are examples of what might be important but projects will differ.

### Interview schedule

The start-up meeting will produce a schedule for the focus group discussions and the key informant interviews, these should be recorded on the interview schedule template. Information should be recorded about the name of the person or group, their job title, which tool is being used and the date. After the activity has been concluded the facilitator can check that last column to indicate that it has been done.

# Overview of tools

All the tools include key information about:

- What the tool is designed to achieve
- How the tool should be used (set up, reporting and development areas)
- How much time the tool takes to implement

In some cases, it may be that not all the parts of the tool can be implemented every time. In order to ensure that the facilitation of the tools is the most effective in can be in these situations, guidelines are included to direct facilitators as to what must be included and what should be included.

Some tools will be applied in all CNAs, such as the stakeholder analysis tool, problem tree analysis tool are relevant to all projects. Additional tools which look at more specific areas relevant to certain projects will be used based on the objectives of the projects

## Key informant interviews

- Stakeholder analysis and power interest
- Problem tree analysis
- Individual scoring
- Organizational assessment
- Infrastructure readiness

## Focus group discussion

All the above tools can be carried out as focus group discussions except the organizational assessment.

# Tools

## Stakeholder analysis and power interest matrix

Overview for use of the stakeholder analysis and power interest matrix with key informant interviews

The stakeholder analysis is the initial step that identifies who are the stakeholders in the project. We will identify the roles in the project from the list.

### How to conduct the stakeholder analysis

This is in the form of a semi-structured interview with any of the higher level stakeholders of the project. Ideally a member of the communications team would have good oversight of the project stakeholders. This analysis fits with the document level analysis that should provide s general idea based on the broad categories of internal, external, government, non-government, partner, NGO or private sector. Not all these groups will be present in all projects.

## Introduction

Before starting ensure that the interviewee is aware that the data will be anonymous and make sure that they are comfortable with the interview being recorded. Once they have answered that this is acceptable the interview can begin. Ideally there will be one person asking the questions and a second person taking notes.

### **Section A - time 20-30 minutes**

- Can you give me the names of the people in your team?
- Do you work with other ILRI organizations? If yes, then who?
- What government departments are you working with? At what level?
- What non-government entities are you partnering with? At what level?
- Are there any private sector actors that you are partnering with? Who?

The answers will be reported and documented in the document. Notes to be taken on this form.

### **Section B time 15 minutes**

Give them a blank page and ask them to draw how they connect to the different stakeholders with higher level policy and decision makers at the top to the hierarchy and the lower levels below. If they are unsure then use the example at the end of the facilitation guide to provide them with a model.

- Can you diagram how these stakeholders connect to you, including their hierarchy from end beneficiary upwards?

Overview for use of the stakeholder analysis and power interest matrix with focus group discussions

The focus group discussion is conducted differently in that the answers are collected on pre-populated index cards and the participants work in pairs or small groups. The full details of how to conduct the stakeholder analysis is found in [CNA\\_facilitatorGuide\\_stakeholderAnalysis\\_FGD.docx](#)

### **Section one - time 5 minutes**

Overview of the stakeholder mapping activity and permission to record

### **Section two - time 25 minutes**

If the respondent is not able to provide many examples of stakeholders then the questions below can be used as prompts:

- Can you give me the names of the people in your team?
- Do you work with other ILRI organizations? If yes, then who?
- What government departments are you working with? At what level?
- What non-government entities are you partnering with? At what level?
- Are there any private sector actors that you are partnering with? Who?

### **Section B time 25 minutes**

This section will look at the power and interest of each stakeholder and add this information to the stakeholder.

## Problem tree analysis

Overview for use of the problem tree analysis with key informant interviews

The problem tree analysis follows or can be conducted in parallel to the stakeholders' analysis. Where the stakeholder brings clarity to the issue of capacity for who, the problem tree analysis sheds light on the capacity for what.

## How to conduct the problem tree analysis as an interview

This is in the form of a semi-structured interview with any of the higher-level stakeholders of the project. Ideally a member of the project development team who would have good knowledge of the project scope, outputs and objectives. Additionally, the key issues to which the different problem trees link, should connect to the impact pathway outlined in the project document seen in the document review. The key issues can fall into different sets:

- Stakeholder groups: capacity of end beneficiaries, extension workers, government partners or NGO partners
- Project stages: outlined in project proposal document

### Introduction

Before starting, ensure that the interviewee is aware that the data will be anonymous and make sure that they are comfortable with the interview being recorded. Once they have answered that this is acceptable the interview can begin. Ideally there will be one person asking the questions and a second person taking notes.

### Section A      time 5-10 minutes per set

- Can you identify problems that you would consider key in relation to capacity development of extension workers?
- Can you identify problems that you would consider key in relation to capacity development of NGO partners?
- Can you identify problems that you would consider key in relation to capacity development of farmers (or another end beneficiary)?

### Follow up and further detail

- Can you tell me what you think is the most direct cause?
- Can you tell me what you see as the effect of this?

### Overview for use of the Problem Tree Analysis with focus group discussions

#### How to conduct the problem tree analysis as an interview

Welcome everyone to the workshop and determine if they know each other, if this is their first meeting then you can go around the room for a short introduction just giving their name, their job title and what they do. Once they have been introduced continue to explanation of the problem tree analysis. They only need to understand the basics of what is required and the ideas of cause and effect. Highlight that the focus is on capacity building efforts and capacity development. Using index cards direct them to provide the problem on one side of the card and the cause and effect on the reverse side. The full details on facilitating the problem tree analysis is in the guide. Once the participants have completed the activity collect their work and try to make sure that the groups of cards are labelled with their names. Try to keep the cards together for each group to help identify which problems are identified by each group. Finish by thanking the participants for their time and contribution.

## Organizational assessment

### Overview for use of the organizational assessment with key informant interviews

The light capacity overview is the first tool that focuses on the different capacities and less on the general issues and stakeholders. The capacities are in 4 categories; policy, knowledge management, partnering and implementation. These questions have been adapted from the FAO learning module 2 tools. ([http://www.fao.org/fileadmin/user\\_upload/capacity\\_building/FAO\\_CD\\_LM2.pdf](http://www.fao.org/fileadmin/user_upload/capacity_building/FAO_CD_LM2.pdf))

#### How to conduct the organizational assessment

This is in the form of a semi-structured interview with any of the higher level stakeholders of the project. Ideally a member of the project development team who would have good knowledge of the project scope, outputs and objectives. The overview matrix tool will provide quantitative data and expand on the results of this qualitative interview at a later stage. The timing given may not be possible because of unforeseen factors, so questions are marked to indicate whether they must be asked or they should be asked.

## Introduction

Before starting ensure that the interviewee is aware that the data will be anonymous and make sure that they are comfortable with the interview being recorded. Once they have answered that this is acceptable the interview can begin. Ideally there will be one person asking the questions and a second person taking notes. The note taker should also act as a time keeper during the interview.

### **Section A—Opening** **time 5 minutes**

This introduction will set the context for the interviewee and allow them to ask any questions before they begin making sure to highlight the sections and their relevancy. Additionally, the interviewer needs to explain that there are other categories that can be used but these are the focus for this discussion.

### **Section B—Policy** **time 10-15 minutes**

This section aims to gather information about the policy level capacities. The overview looks at organizational and enabling environment level. There are four main questions including follow up questions when appropriate. After completing the four there is a free question to allow the interviewee to freely comment about policy.

### **Section C—Knowledge** **time 10-15 minutes**

This section aims to gather information about the knowledge sharing and management capacities. The overview looks at organizational, enabling environment and individual level. There are six main questions with follow up when appropriate. After completing the four there is a free question to allow the interviewee to freely comment about knowledge sharing and management.

### **Section D—Partnering** **time 10-15 minutes**

This section aims to gather information about the partnering and partnership capacities. The overview looks at organizational and enabling environment level. There are four main questions with follow up when appropriate. After completing the four there is a free question to allow the interviewee to freely comment about partnering and partnership.

### **Section E—Implementation** **time 10-15 minutes**

This section aims to gather information about the implementation capacities. The overview looks at organizational and enabling environment level. There are four main questions with follow up when appropriate. After completing the four there is a free question to allow the interviewee to freely comment about implementation.

## The individual assessment

### Introduction

The individual scoring evaluation is a short 18 question evaluation

These questions have been adapted from the FAO learning module 2 tools.

([http://www.fao.org/fileadmin/user\\_upload/capacity\\_building/FAO\\_CD\\_LM2.pdf](http://www.fao.org/fileadmin/user_upload/capacity_building/FAO_CD_LM2.pdf))

How to conduct the individual assessment scoring

### **Section A—Background and biodata** **time 2 minutes**

The first section is completed by the participant. The information provides background such as age and education. The participant ID can be unique to the project or a unique ID can be created for the tool using their initials and the last 3 numbers of their phone number.

### **Section B—Introduction and context** **time 5 minutes**

The first lead-in will be a short introduction to the format used. It will also serve to establish the relevancy of the tools and what the overall objectives they will be working towards. The questions include ranking questions, yes / no questions and some open questions. Although there is the choice to reply, “Don’t know”, this should be considered only when really feel that they cannot answer.

**Section C time****time 25 minutes**

Policy and Normative, Knowledge, Partnering and Implementation capacity

**Section G - closing****time 5 minutes**

## Technical capacities

Focus group

### Infrastructure readiness tool

The tool looks at the technology context of environment of the learners. The infrastructure readiness provides information on what technologies can be supported in the project in regard to training, M&E or communications.

### How to use the tool

The tool is a check list evaluation that can be used with stakeholders who have a good overall knowledge of the project. This can be project managers or coordinators, or extension workers.

The checklist is in paper format; respondents provide information on 3 areas of infrastructure to support technology use.

- Hardware
- Fixed internet
- Mobile coverage

The respondents indicate which hardware stakeholders have access to, their access to fixed internet and their access to mobile internet

Results will be recorded and transferred to the infrastructure checklist.xlsx spreadsheet

# Annex

# Appendix 1

## Start-up meeting

activities	startup	outputs
Establish communication		To agree on overall purpose and expectations for CNA
Contact key people (email and Skype)		A set schedule to meet the key stakeholders
Gather general information about projects like <ul style="list-style-type: none"><li>• what projects are currently in progress</li><li>• what point in the lifecycle they are</li></ul>		A list of projects and project leaders contacts
Review documentation from projects		Key core capacities to focus on

## Interview schedule checklist

Tools	Technique	Target	date	done
Problem analysis	FGD or KII	At least four staff	/ /20	<input type="checkbox"/>
Stakeholder map	FGD or KII	At least four staff	/ /20	<input type="checkbox"/>
Stakeholders analysis	FGD	At least four staff	/ /20	<input type="checkbox"/>
Organizational assessment	organizational assessment	Organizational assessment	/ /20	<input type="checkbox"/>
Individual assessment	FGD	All project staff	/ /20	<input type="checkbox"/>
Infrastructure	FGD ( individually completed in a group)	all staff	/ /20	<input type="checkbox"/>
Depth of learning	KII	One key person in project responsible for training	/ /20	<input type="checkbox"/>

Social network analysis (online	online	Internal project staff	/ /20	<input type="checkbox"/>
			/ /20	<input type="checkbox"/>

## Notes

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# Appendix 2



# Stakeholder analysis

Facilitator guide for key informant interviews



## Stakeholder analysis

### What is the purpose of the tool?

The stakeholder analysis is the early step that identifies who are the stakeholders in the project. We will identify the roles in the project from the list.

### How to conduct the stakeholder analysis

This is in the form of a semi-structured interview with any of the higher level stakeholders of the project. Ideally a member of the communications team would have good oversight of the project stakeholders. This analysis fits with the document level analysis that should provide general ideas based on the broad categories of internal, external, government, non-government, partner, NGO or private sector. Not all these groups will be present in all projects.

### Instructions

#### Who are the stakeholders?

Before starting ensure that the interviewee is aware that the data will be anonymous and make sure that they are comfortable with the interview being recorded. Once they have answered that this is acceptable the interview can begin. Ideally there will be one person asking the questions and a second person taking notes.

#### **Section A** - time 20-30 minutes

- Can you give me the names of the people in your team?
- Do you work with other ILRI organizations? If yes, then who?
- What government departments are you working with? At what level?
- What non-government entities are you partnering with? At what level?
- Are there any private sector actors that you are partnering with? Who?

The answers will be reported and documented below in section A. Notes to be taken on this form.

#### **Section B** time 15 minutes

Give them the final page and ask them to draw how they connect to the different stakeholders with higher level policy and decision makers at the top to the hierarchy and the lower levels below.

- Can you diagram how these stakeholders connect to you, including their hierarchy from end beneficiary upwards?

If they are unsure you can use the example to show how they need to add connections and hierarchy to the diagram

### Power interest

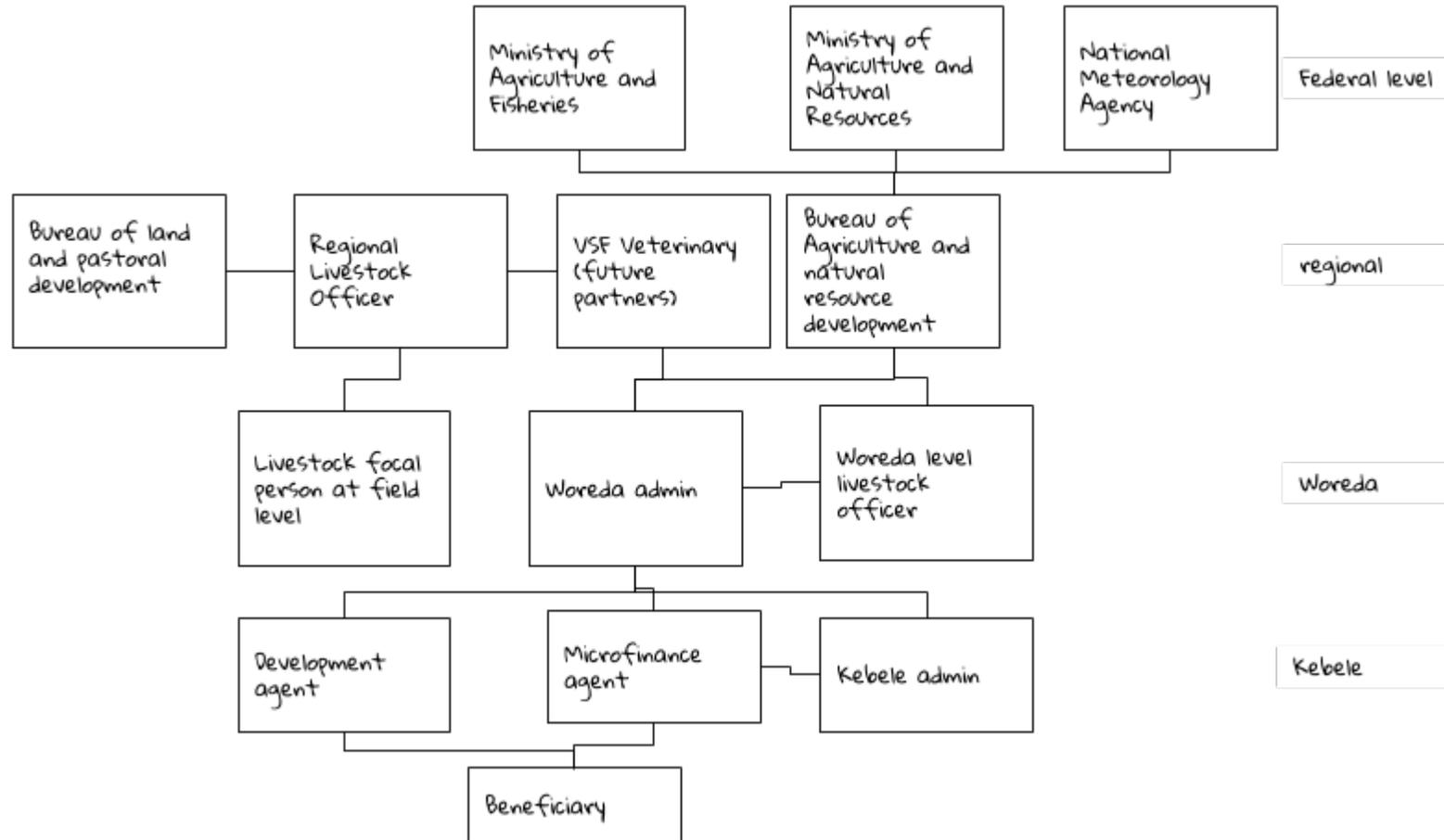
#### **Section C** time 15 minutes

Once they have identified the stakeholders and mapped them the last phase is to rate their power/ interest in the project. Give them a brief overview of the 4 rating quadrants from low to high with the explanation of terms and show them the matrix. Once you are satisfied they understand ask them to write the appropriate rating number next to their stakeholders

- Can you give me the names of the people in your team?
- Do you work with other ILRI organizations? If yes, then who?
- What government departments are you working with? At what level?
- What non-government entities are you partnering with? At what level?
- Are there any private sector actors that you are partnering with? Who?

# Example

## Stakeholder map



# Explanation of terms

1: Low power / Low interest- this group are those that are not interested in the project and have no real power within the project

2: Low power / High interest- this group are those that are interested in the project but have no real power within the project

3: High power / Low interest- this group are those that are not interested in the project and have power within the project

4: High power / High interest- this group are those that are interested in the project and have power within the project

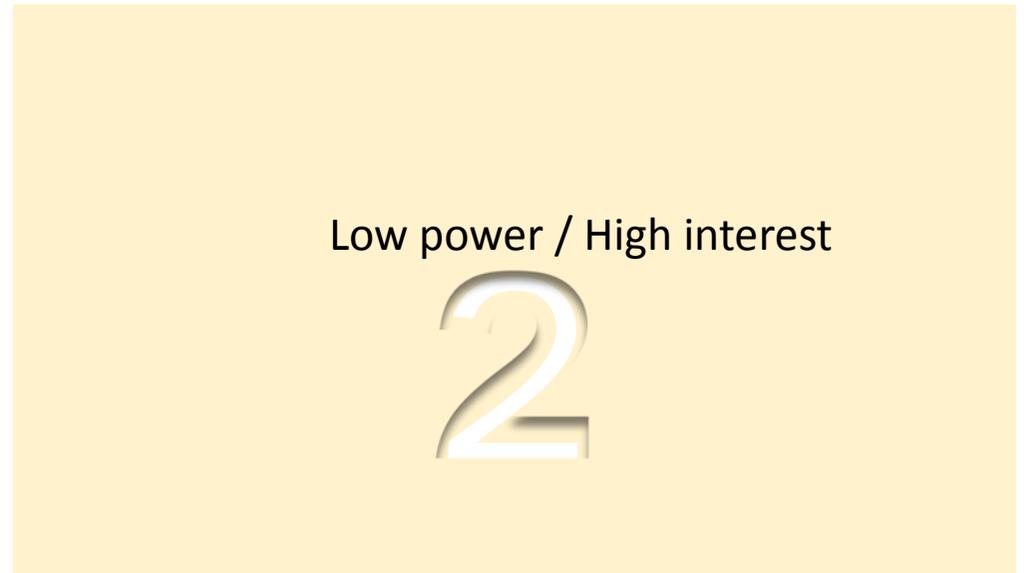
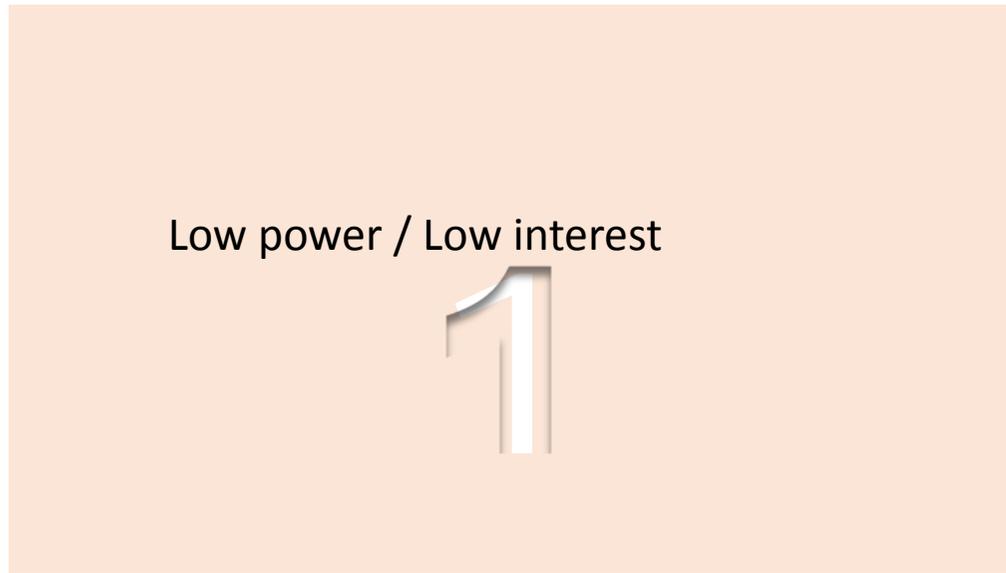
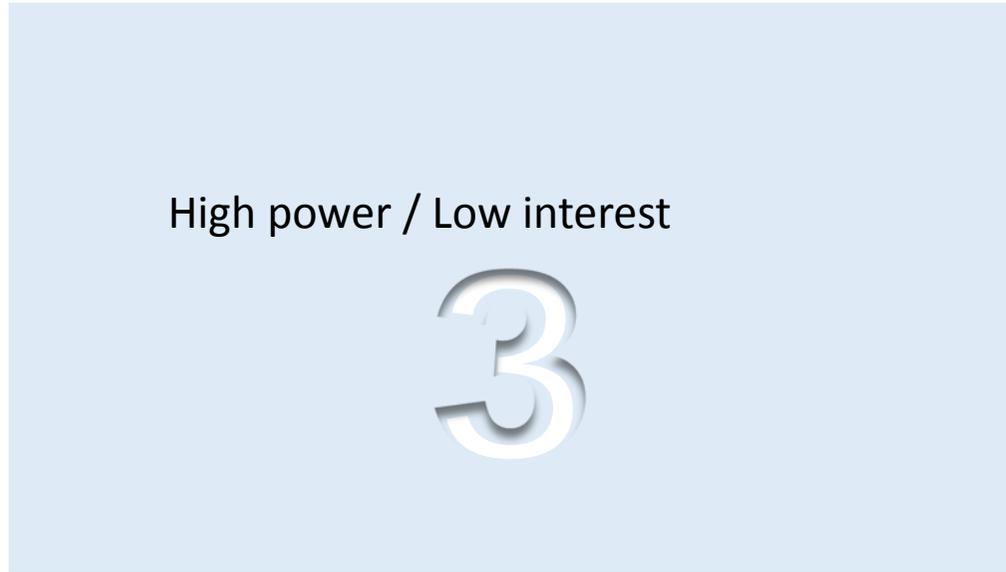
High



Power

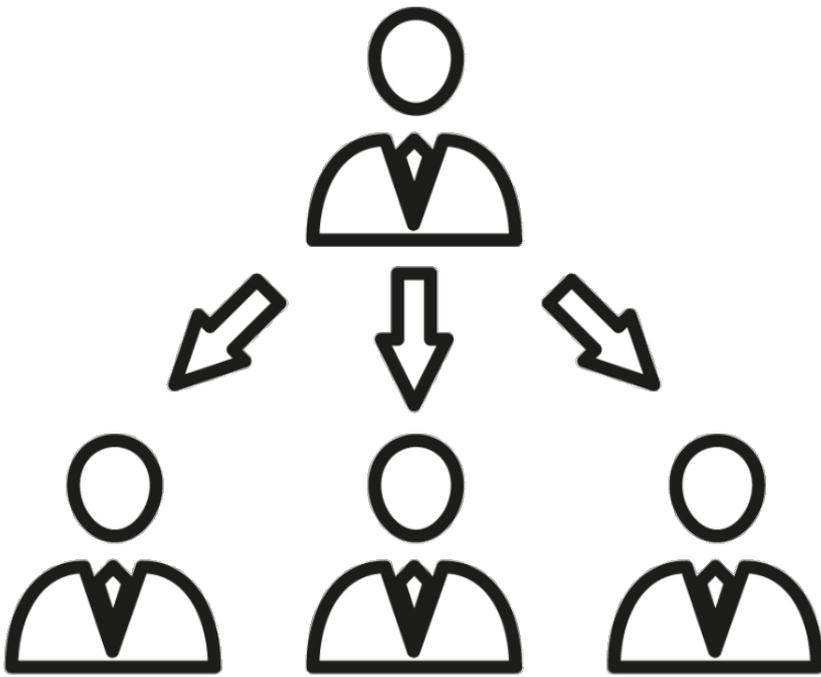


Low



Interest

High



# Stakeholder analysis focus group

Facilitator guide for focus groups





## Facilitator notes

Duration: 1 hour

**Workshop:** Stakeholder analysis.

**Notes:** This exercise is designed to conduct a simple stakeholder mapping exercise that will help identify, analyse and prioritise stakeholders in a project or programme.

**Objectives:**

By the end of the interview you will have identified stakeholders within the project and classified and grouped them.

**Resources:**

- Facilitators notes
- Postit notes or index cards
- Camera or camera phone
- PowerPoint presentation

**Attendees Require:**

- Pen
- Paper

## Facilitator notes sections at a glance

Activity	Actual time	Time (mins)	PowerPoint slide
<b>Section one</b>			
Overview and explanation of the Stakeholder mapping process		5	1-2
<b>Section two</b>			
Gather stakeholder information and order into hierarchy		25	3-5
<b>Section three</b>			
Rate the stakeholders according to the power and interest they have in the project		25	6-8
Closing the interview		5	
<b>Total time</b>		<b>60</b>	

## Section one



Time

5 minutes



Lead-in

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Slides

1-2

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Explain briefly that the purpose of this group discussion is to see who is involved with the project and how they relate to one another.

As a way to get them thinking about the topic and more engaged, below is a question you might want to ask:

- How would you define the term stakeholder?

Try and frame answers to what they should consider to be a stakeholder within the context of their project.

## Section two



Time

25 minutes



brainstorm

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Slides

3-5

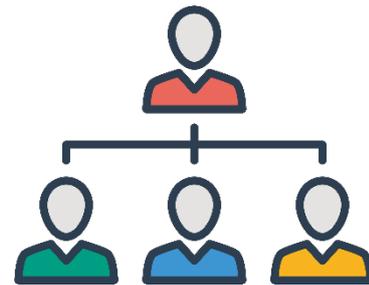
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If needed you can ask them to identify the partners in their project focusing on the domains below. Do each group separately.

- beneficiaries
- internal partners
- government partners
- private partners
- NGO partners
- any other partners

Now that there is a list of stakeholder groups the next step is to put them into clusters so that the national or international stakeholders are at the top of the hierarchy and the lower level and more community based stakeholders are below.

You can give them the example of the National Ministry for Agriculture as a higher or even top level and the lower level being the development agents and below them the farmers. An illustration is given on slide 4 of the supporting presentation.



### Section three



Time

5 minutes



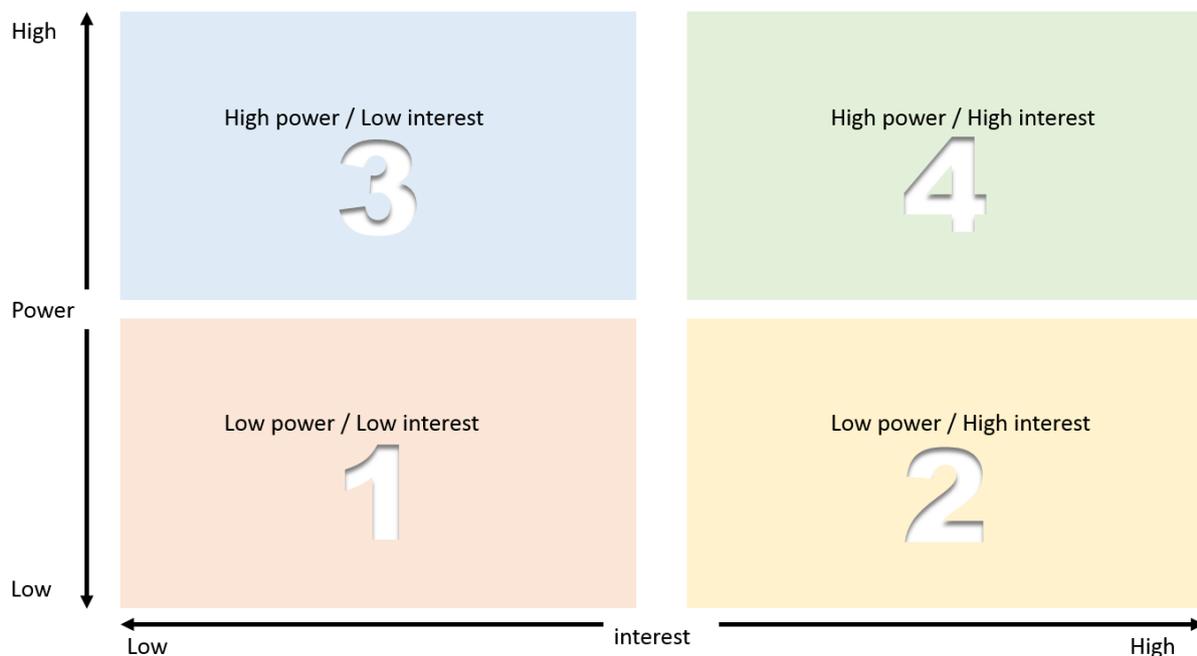
Lead-in



Slides

6-8

The final step is to map the power and interest the stakeholders. Explain that they will need to categorize their stakeholders as the last activity. Show them the category list on slides 6 and 7 of the presentation In pairs ask them to identify two examples; an example of one stakeholder who they would consider a high power/ high interest candidate and one candidate they would high power / low interest. When you are satisfied that they understand from the example then move on.





Time

15 minutes



Brainstorm

Lastly ask them to look at the stakeholders they have identified and right in the corner or on the back of each one their rating of the stakeholders' power interest in the project.

4 ILRI  
International  
Livestock  
Research  
Institute

3  
Ministry of  
Agriculture

3  
Regional  
Bureau of  
Agriculture



Time

5 minutes



Closing

Thank them for their time and cooperation.



Key point

5 minutes

At the end of the session take a photograph of the work done by the participants. Make sure that you collect them in a way that will allow you to recreate the map later, for example use a blank note in between the levels of the hierarchy when grouping up the notes.

## Symbols

Icon	Meaning
	"Key point" indicates what is important to the learning activity.
	"Time" indicates the time required for specific activities.
	"Handout" refers to the information sheets accompanying each module.
	"PowerPoint slide" cues the facilitator to display a slide.
	"Brainstorm" indicates that the facilitator will lead a large group discussion.
	"Lead-In" or "Closing" is the statement the facilitator makes to introduce a new section or activity, or to end one.

# Checklist

## Equipment and materials

- Laptop
- Manual
- Reporting sheet
- Postit notes or index cards
- Camera or camera phone
- Projector (if none available then a copy of the presentation for each group)

# Appendix 3



# Problem tree analysis interview

Facilitator guide for key informant interviews





## TOOL

### Who:

Capacity assessments –  
Problem tree

## Instructions

### What it is

This tool identifies a capacity issue as a core problem, as well as its effects and root causes. This method helps identify main problems as well as their cause and effect. It is an interesting tool that helps clarify the precise capacity-development objectives that the intervention aims to achieve

### How to use it

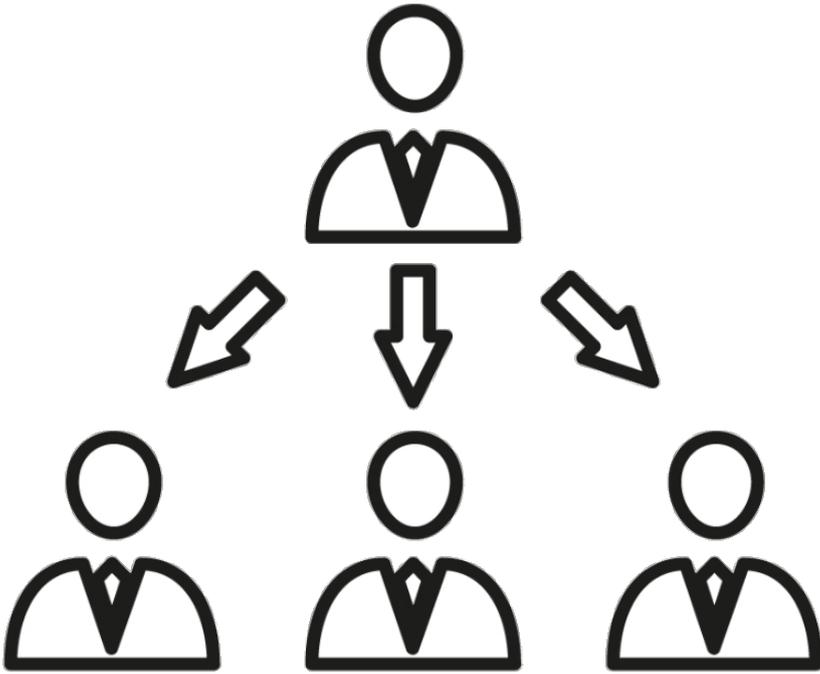
You should have two people in the interview, one person will facilitate the interview while the second person should report, and the reporting sheet below can be used although not required.

Introduce the aims of the problem tree and guide the respondent to look at the issues related specifically to the capacity development areas of their project. This can be needs analysis of knowledge and skills, training and awareness raising, knowledge and skills transfer to their work, or similar. Below are some areas that can be used to prompt respondents for more information.

- Awareness raising
- Skills levels
- Training facilitation
- Partnering
- Training transfer to their work

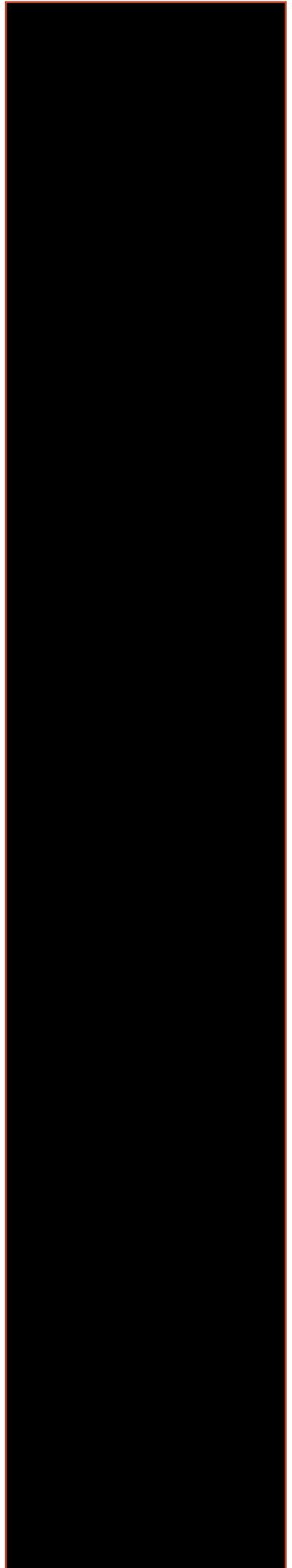
You can record the problem in the centre in the horizontal box marked “Key Capacity Problem: “ you can record the causes identified on the left hand side of the page and the effects on the right. The facilitator should note respondent may not always identify the cause before the effect. Additionally some follow up questions may be required if the respondent only identifies the cause without the effect or visa-versa.





# Problem tree analysis focus group

Facilitator guide for focus group discussions







## Facilitator notes

Duration: 1 hour

**Workshop:** Problem tree analysis.

**Notes:** This activity is designed to gather information on the high level capacity needs problems, their cause and effect.

**Objectives:**

By the end of the workshop you will have a set of problems related to capacity needs as well as their perceived cause and effect.

**Resources:**

- Facilitators notes
- Index cards (pre-prepared with text)
- Camera or camera phone
- PowerPoint presentation

**Attendees Require:**

- Pen
- Paper

## Facilitator notes sections at a glance

Activity	Actual time	Time (mins)	Handouts	PowerPoint slide
Section one				
Welcome everyone to the workshop		3		
Explain the problem tree analysis and		5		1-2
Carry out the problem tree analysis		20	Index cards	3-4
closing		2		
<b>Time</b>		30		

## Section one



Key point

---

Before conducting this discussion you need to take some index cards, at least two for each group, and write the prompts. On one side you will write “problem” and on the opposite side you will write “cause” at the top and “effect” half way down the cards should look like the illustration below.

The first section will be to explain the purpose of the activity and to go through a worked example before asking them to continue on their own. If the participants are not known to each other you



Time

3 minutes

---



Lead-in

---

can start with a round of introductions.



Time

5 minutes

---



Slides

1-2

---

After the introductions you can turn to the presentation, the first step is to explain what you mean by the terms “problem”, “Cause” and “Effect”. The example looks at the statement “the training was in English and they did not understand well”. Elicit the cause “the training was in English” and then the effect “they did not understand well”.

If this is not enough for them to understand the ideas then you can use a second example.



Time

20 minutes



Brainstorm

---



Slides

3-4

---

Explain that they will identify the issues that they perceive in the capacity development areas of the project. They will need to write down the issues on one side related to capacity development and on the back the cause and effect in the same way as the illustration in slide 3 of the presentation. Areas where they might focus can be seen on slide 4.

Group the participants into small groups of 2-5 and hand out the pre-prepared cards to each group. Also give them an additional 5 blank cards that they will fill themselves. Ask them to list as many of the problems, causes and effects they can in the 25 minutes.



Time

2 minutes

---



Closing

---

Thank them for their cooperation finish the activity



Key point

---

When collecting the cards it might be advisable to add the name of the group on the cards this may help understand which opinions belong to which groups later.

## Symbols

Icon	Meaning
	"Materials or Equipment" indicates what is required to conduct the learning activity.
	"Time" indicates the time required for specific activities.
	"PowerPoint slide" cues the facilitator to display a slide.
	"Discussion" indicates that the facilitator will lead a large group discussion.
	"Key point" indicates what is important to the learning activity.
	"Lead-In" or "Closing" is the statement the facilitator makes to introduce a new section or activity, or to end one.

## Training Checklist

### Equipment and materials

- Laptop
- Card (2 pre-populated and 5-10 blank per participant)
- Projector (if none available then a printed copy of the presentation for each group)

### Digital

- PowerPoint presentation

# Appendix 4



## TOOL

Who:

Capacity assessments –  
Organizational assessment

The following questions build on the ultra-light capacity assessment checklist and allow deepening of the discussion on the capacity assets and needs in relation to the functional capacities, which are necessary for countries to lead their change processes.

These are high level question statements and can be used verbatim or as guide questions.

\*These questions have been adapted from the FAO learning module 2 tools.  
([http://www.fao.org/fileadmin/user\\_upload/capacity\\_building/FAO\\_CD\\_LM2.pdf](http://www.fao.org/fileadmin/user_upload/capacity_building/FAO_CD_LM2.pdf))

### Policy

#### Questions

1. Can you tell us a bit about the policies that affect your program?
  - a. Follow up: How can they be improved?
  - b. Follow up: Where do you see the weaknesses? These could be
  - c. awareness of policy
  - d. coordination challenges
  - e. enforcement of policy mandates
  - f. conflicts with other policies
  - g. resources (human, capital, time)
2. Which ministries and departments are already involved in the development and administration of legislations relevant to .... (the programme)
  - a. Follow up: Do you feel they have clear mandates?
3. To what extent are partners both at national, regional and local levels (CBOs and CSOs) involved in planning and developing these mandates?

#### Knowledge

4. Do policies and regulations at a national level enable adequate knowledge sharing? What are the challenges in this regard?
5. Is access to research, education and training by staff regulated by policy? Which policy regulations and how is it implemented and monitored?
6. Do agencies (central, regional, local) adequately access, manage and exchange information and knowledge in the relevant sector? If no, what are the constraints to effective organizational knowledge management processes and practices?

7. Are there institutional processes for knowledge sharing and management? How effective are these processes?
8. Are there any training opportunities for national staff, project management and coordinators team?
9. In knowledge-sharing techniques and tools? What knowledge sharing techniques and tools are in use? Has any training been carried out in this regard?

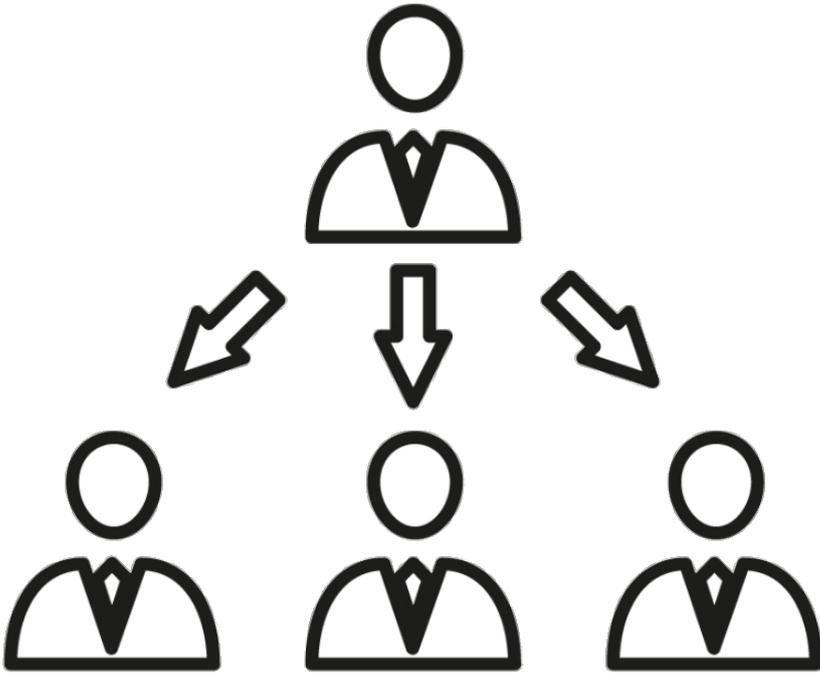
#### Partnering capacity

10. Is the project part of or becoming part of a national or sub national partnership network?
  - i. Follow up: (if yes) what are those networks?
11. Do national agencies have the capacity to support access to information belonging to other organizations and partners?
12. To what extent do staff have the necessary skills to engage in dialogue with other stakeholders and in strategic partnerships?
13. Are there learning opportunities to strengthen non-technical skills- e.g. communication, networking, facilitation, planning?

#### Implementation

14. Are central and decentralized authorities committed to programme implementation and how is this commitment reflected in accountability mechanisms?
15. To what extent partners involved in programme implementation and evaluation?
16. Is knowledge in financial management, human resources management, accounting, planning, budgeting and M&E at a sufficient level for implementation?
17. How is programme monitoring and evaluation implemented?

# Appendix 5



# Individual scoring focus group

Facilitator guide for focus group discussions



## Guide

### Who:

Capacity Assessments –

Individual checklist: These questions have been adapted from the FAO learning module 2 tools.

([http://www.fao.org/fileadmin/user\\_upload/capacity\\_building/FAO\\_CD\\_LM2.pdf](http://www.fao.org/fileadmin/user_upload/capacity_building/FAO_CD_LM2.pdf))

## Facilitator notes

Duration: 1 hour

**Workshop:** individual checklist.

**Notes:** This activity is designed to gather information on the high-level capacity needs problems, their cause and effect specifically focused on are of the individual capacity development.

### Objectives:

By the end of the workshop you will have a set of data from the individual checklist survey.

### Resources:

- Facilitators notes

### Attendees Require:

- Pen
- Paper

## Facilitator notes sections at a glance

Activity	Actual time	Time (mins)	Handouts
Section one			
background and biodata		2	
Introduction and context		5	
Policy and normative, knowledge, partnering and implementation capacity		25	
closing		2	
<b>Time</b>		30	

## INTRODUCTION



Key point

---

The individual scoring evaluation is a short 18 question evaluation



Time

7

### Background and biodata

The first section is completed by the participant. The



Lead-in

---

information provides background such as age and education.

### Introduction and context

The first lead-in will be a short introduction to the format used. It will also serve to establish the relevancy of the tools and what the overall objectives they will be working towards. The question include ranking questions, yes / no questions and some open questions. Although there is the choice to reply "Don't know", this should be considered only when really feel that they cannot answer.



Time

25 minutes

---

Ask them to complete all sections individually. Policy and Normative, Knowledge, Partnering and Implementation capacity



Closing



Time

2 minutes

---

Thank them for their cooperation finish the activity

# Symbols

Icon	Meaning
	"Materials or Equipment" indicates what is required to conduct the learning activity.
	"Time" indicates the time required for specific activities.
	"PowerPoint slide" cues the facilitator to display a slide.
	"Discussion" indicates that the facilitator will lead a large group discussion.
	"Key point" indicates what is important to the learning activity.
	"Lead-In" or "Closing" is the statement the facilitator makes to introduce a new section or activity, or to end one.

## Training Checklist

### Equipment and materials

- Laptop
- CNA\_facilitatorsGuide\_individualscoring.docx



## TOOL

Who:

Capacity assessments –  
In-depth checklist

(Adapted from the FAO learning module 2 tools [http://www.fao.org/fileadmin/user\\_upload/capacity\\_building/FAO\\_CD\\_LM2.pdf](http://www.fao.org/fileadmin/user_upload/capacity_building/FAO_CD_LM2.pdf))

ID	
1	What learning opportunities have you received have you received to develop technical and non-technical skills and knowledge?
	<hr/> <hr/> <hr/>
2	What additional learning opportunities are needed to develop technical and non-technical skills and knowledge?
	<hr/> <hr/> <hr/>

ID		Very little or none	Partially	Mainly	Very Much or Fully	Don't Know
3	Is there clear descriptions for your role in the project?	①	①	②	③	○

4	Do staff have the required technical and managerial skills to do their work/	①	②	③	④	
5	Are the training methods and delivery defined based on relevant goals and profiles?	①	②	③	④	
6	Are there appropriate tools available to support knowledge management in the project?	①	②	③	④	
7	Can you describe tools used to support knowledge management?	<hr/> <hr/> <hr/>				
ID		Very little or none	Partially	Mainly	Very Much or Fully	Don't Know
8	Are the relevant skills in place to support partnership-building?	①	②	③	④	⑤
9	What skills level currently exists in:					
10	Planning?	①	②	③	④	⑤
11	Negotiating?	①	②	③	④	⑤
12	Financial and project management?	①	②	③	④	⑤
13	Coordination?	①	②	③	④	⑤
14	Monitoring and communication?	①	②	③	④	⑤
15	To what extent do the training events prepare individuals to respond to project/programme needs?	①	②	③	④	⑤
16	Are there training/learning opportunities for project/programme implementers or managers? (move to organizational assessment)	①	②	③	④	⑤

17	Can you tell us about any policies that affect your work either, positively or negatively?	①	②	③	④	○
18	Are there adequate resources dedicated to partnership building?	①	②	③	④	○

# Appendix 6



Infrastructure evaluation

Hardware

Role of individual	desktop computer		laptop computer		mobile smartphone		mobile feature phone		printer scanner		digital camera	
	work	home	work	home	work	home	work	home	work	home	work	home

Role of individual	Dial up		ISDN		Satellite dish		Cable		DSL		Fibre optic	
	work	home	work	home	work	home	work	home	work	home	work	home
Fixed internet												

## Mobile coverage

Role of individual	none	2G	3G	4G
reliability (1 very poor - 10 excellent) Cost per mb considering their income (1 expensive - 10 very cheap)				
reliability (1 very poor - 10 excellent) Cost per mb considering their income (1 expensive - 10 very cheap)				
reliability (1 very poor - 10 excellent) Cost per mb considering their income (1 expensive - 10 very cheap)				
reliability (1 very poor - 10 excellent) Cost per mb considering their income (1 expensive - 10 very cheap)				
reliability (1 very poor - 10 excellent) Cost per mb considering their income (1 expensive - 10 very cheap)				
reliability (1 very poor - 10 excellent) Cost per mb considering their income (1 expensive - 10 very cheap)				
reliability (1 very poor - 10 excellent) Cost per mb considering their income (1 expensive - 10 very cheap)				
reliability (1 very poor - 10 excellent) Cost per mb considering their income (1 expensive - 10 very cheap)				

# Appendix 7



# Capacity assessments–Summary of tools

## General documents

**The general documents are not tools but are supporting documents for the capacity needs assessment**

### The CNA guide

The CNA guide is a comprehensive document of all the tools that are part of the CNA. These are the core tools but other more specific tools might be added depending on the project. The document includes a brief description of each tool as well as a short guide on how to use the tool effectively.

### The overview document

The overview document is a short description of the processes and tools used in a CNA. This describes the core processes the capacity development unit and the partners will undertake.

### Interview schedule

This is a template for documenting the schedule for the CNA

### Start-up meeting template

This is a template for the start-up meeting, it is guidance on what can be included and not meant to be followed without adaptation

## Tools documents

**The tools are supported by guides to implementation. The tools are supported by facilitator guides and presentations, although not every tool has both.**

### Stakeholder analysis

Much the same as the problem tree analysis the stakeholder has a facilitator guide for the implementation with focus groups as well as an accompanying presentation. The stakeholder analysis includes a power/ interest rating activity which is outlined in both the facilitator's guide and the presentation

### Problem tree analysis

The facilitation guide provides a manual for implementing the problem tree in focus group setting. There is an accompanying presentation to the workshop.

### Organizational assessment

The light assessment is a series of interview questions to use with key stakeholders of the project. The tool should take around 1 hour to conduct.

### Individual assessment

The facilitation guide provides support for implementing the survey. The individual scoring sheet is the short capacity survey to gather data about the individuals' capacity, the questionnaire is 18 questions which are mostly rating. This tool should only take around 20 to 30 minutes to complete with individuals or small groups.

## Technical capacities

### Infrastructure

The tool is a short assessment of digital resources accessible to the project. The tool is a checklist that asks about hardware, mobile and internet availability for different participants in the project. The tool should take around 20 to 25 minutes to carry out.

# CNA visualization

## Capacity Needs Assessment

