



Food and Agriculture Organization  
of the United Nations



# ASSESSMENT OF INNOVATION CAPACITIES

A SCORING TOOL

OCCASIONAL PAPERS ON INNOVATION IN FAMILY FARMING

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# **ASSESSMENT OF INNOVATION CAPACITIES**

A SCORING TOOL

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FOOD AND AGRICULTURE ORGANIZATION OF THE UNITED NATIONS  
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The document is available online in the FAO Document Repository ([LINK](#)) and TAPipedia ([LINK](#)).

# 1. INTRODUCTION

Innovative responses to the complex challenges of eradicating hunger, improving rural livelihoods and protecting the environment are needed, if the SDGs are to be achieved. However, no single actor can come up with the solutions that address the wide array of issues that agriculture is faced with today. Innovation, be it technological, institutional or social, emerges from collective thinking and action. It is a process by which multiple stakeholders put knowledge to use. Networks of research, extension, producer, agribusiness and other actors as well as the policies, attitudes and behaviours affecting them act as catalysts for innovation. They play a critical role in shaping food systems by generating, documenting, blending, sharing and applying local and scientific knowledge and stimulating learning. Innovation presupposes capacities that make a system function at various levels. For diverse actors to connect, collaborate and learn together effectively within a system, a range of soft skills are essential. Innovation capacities must be upgraded to enhance the results of collective efforts (FAO, 2014a).

Assessing innovation capacities and changes therein is not a straightforward exercise. The literature contributing to the understanding of the role of innovation in agriculture is constantly expanding. Research mostly relies on qualitative analysis (e.g. Hall and Clark, 2010; Klerkx *et al.* 2010), avoiding more formal methods. However, more structured approaches to assessing innovation processes and capacities in agriculture have been gaining attention recently (Schut *et al.*, 2015, Sartas *et al.* 2016). Their potential for providing evidence to decision-makers on gaps and opportunities in terms of capacity development and investment is substantial. Such approaches can also be instrumental in meeting increasingly stringent monitoring and evaluation requirements in projects and programmes. A transition towards sustainable growth in the food and agriculture sectors needs evidence on what works and what does not (OECD, 2011). Well-conceived systematic instruments are key to identifying enabling as well as constraining factors for innovation and ultimately rewarding success.

The complexity of determining the capacities required for facilitating innovation poses challenges in terms of methods and data. Social Network or Timeline analysis are promising instruments in this regard. This document attempts to make a contribution to the growing body of systematic methodologies by explaining the capacity scoring approach elaborated and applied in the context of the Capacity Development for Agricultural Innovation Systems (CDAIS) project. CDAIS is financially supported by the European Union from 2015 to 2018 and jointly implemented in

eight countries (Angola, Bangladesh, Burkina Faso, Ethiopia, Guatemala, Honduras, Lao People's Democratic Republic, Rwanda) by national partners, FAO and AGRINATURA, the latter being an alliance of European institutes working on agricultural research for development. The project aims at strengthening innovation partnerships at local level and promoting an agricultural innovation systems perspective at the policy level. It is based on a common approach developed under the Tropical Agriculture Platform (TAP), the so-called Common Framework on Capacity Development for Agricultural Innovation Systems (TAP, 2016). TAP is an initiative of the G20 with a mandate to increase the coherence and effectiveness of capacity development interventions for agricultural innovation in the tropics. It has over 40 partners, with FAO hosting its Secretariat.

CDAIS and TAP Partners recognize the crucial importance of needs-based capacity development interventions. At the core of the strategy of the CDAIS project to strengthen the capacity to innovate in eight countries are participatory assessments of existing capacities as well as capacity development needs. On that basis, concrete capacity development interventions plans are formulated together with national and local stakeholders. The assessments focus on soft skills and rely on a dedicated team of local innovation facilitators, who are trained and mentors. These are drawn from key stakeholder organizations and contribute throughout the duration of the project to assessment, capacity development and reflection activities. Over time they will become the drivers behind these interventions and act as future agents of change in the pilot countries and beyond. The scoring tool presented here was developed by FAO with inputs from local facilitators as well as from experts belonging to various AGRINATURA member organizations.

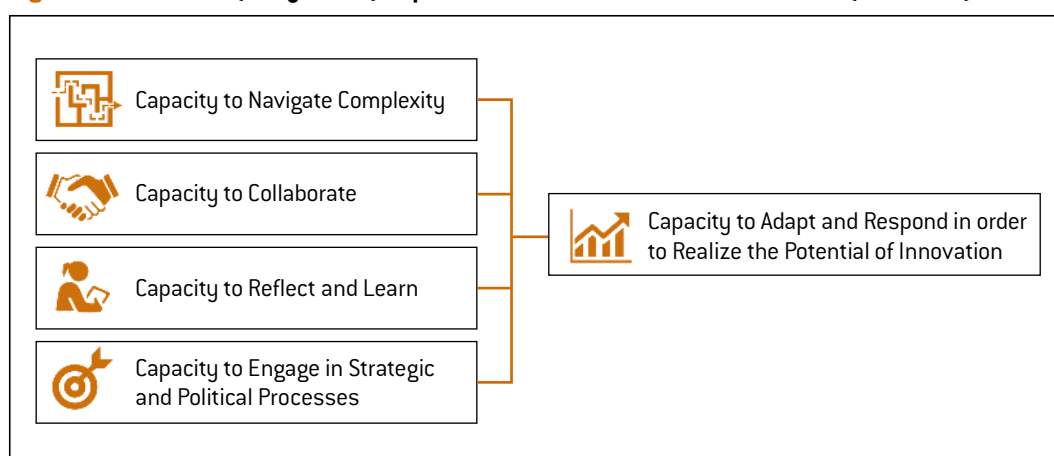
## 2. CONCEPTUAL BACKGROUND

The proposed capacity scoring tool provides a method to assess innovation capacities, identify strengths and weaknesses and ultimately evaluate changes in capacities. It is focused on soft skills required for successfully participating in or leading innovation processes, but also touches upon technical skills and the enabling environment for agricultural innovation. If applied correctly, this methodology can provide important evidence on progress and thus the performance of a capacity development project or programme. It also offers insights into how far innovation capacities are available and put to use. This is important when identifying capacity development needs of innovation partnerships and/or specific organizations. As such the scoring tool can be part of a comprehensive assessment, involving several steps and tools, e.g. Timeline, Problem Tree and Stakeholder Mapping. A toolkit has been developed in the context of the CDAIS project, which embeds the scoring tool in a wider participatory assessment approach.

The scoring tool is firmly rooted in FAO's good capacity development practice (FAO, 2011) and builds on concepts and approaches mainly from the following four resources:

- > TAP Common Framework (TAP, 2016);
- > Monitoring Guidelines of Capacity Development in GEF Operations (GEF, 2010);
- > FAO Capacity Development Learning Module 2 – Revised Edition (FAO, 2015);
- > FAO Food Security Commitment and Capacity Profile (FAO, 2014b).

**Figure 1: Innovation (or systems) capacities in the TAP Common Framework (TAP, 2016)**





In accordance with the concepts set out in the TAP Common Framework, the scoring tool is organised into 6 topics, for which 24 indicators have been specified. The four topics, covering **key innovation or systems capacities**, are:

- > Capacity to navigate complexity (*9 indicators*);
- > Capacity to collaborate (*3 indicators*);
- > Capacity to learn and reflect (*4 indicators*);
- > Capacity to engage in strategic and political processes (*5 indicators*).

**Additional information** is gathered on two topics:

- > Technical skills (*1 indicator*);
- > Enabling environment (*2 indicators*).

The **relevance and use of indicators** depends on the context. The needs assessment and the capacity development interventions can target actors at different levels, such as:

- > Innovation partnerships (groups of stakeholders) at the local level;
- > Key organizations at the national level.

Many indicators fit both levels and can be used to assess national organizations as well as particular innovation partnerships. Some indicators are specific to one or the other category. Their use might also depend on the nature of the partnership that is assessing its capacities. Therefore the capacity scoring questionnaire, as presented in Annex 1, needs to be tailored to the conditions of the target group at hand. This can involve tweaking individual questions, but also complementing the existing set of indicators, especially with aspects relating to the enabling environment (governance, policies, collaboration among research and extension, etc.).

It should be noted that the indicators in Table 1 not only reflect different types of capacity, but also the three different **capacity development dimensions** (→ individual, organizational and enabling environment). At the individual level, capacity development relates to imparting knowledge and developing skills for example through training, learning-by-doing or participation. It aims at increasing performance, defining responsibilities or creating motivation through changes in attitudes and behaviours. At the organizational level capacity development interventions put emphasis on mandates, tools, guidelines, or management systems that facilitate organizational change and improve implementation. At the level of the enabling environment, formal and informal institutions play an important role, thus the focus of capacity development is on policy

and regulatory frameworks as well as relationships and political processes. The integration of the various dimensions of capacity development is increasingly required in the context of many projects or programmes and the scoring tool is designed to be used accordingly.

**Table 1: Overview of indicators used in the capacity scoring questionnaire**

<p><b>TOPIC 1: CAPACITY TO NAVIGATE COMPLEXITY</b></p> <p>Indicator 1.1 – Availability of skills to understand and solve problems (seeing the bigger picture; understanding interdependencies/interactions, etc.);</p> <p>Indicator 1.2 – Availability of management skills;</p> <p>Indicator 1.3 – Access to and mobilization of resources by group/partnership;</p> <p>Indicator 1.4 – Access to and sharing of information by stakeholders within the group/partnership;</p> <p>Indicator 1.5 – Access to and sharing of information by group/partnership with outside actors (officials, businesses, etc.);</p> <p>Indicator 1.6 – Extent to which value of local knowledge is recognized in decision-making;</p> <p>Indicator 1.7 – Extent of informed decision-making in the group/partnership;</p> <p>Indicator 1.8 – Development and identification of a vision where the group/partnership wants to be in the future (dream of what it should be like);</p> <p>Indicator 1.9 – Development and identification of strategy (plan of action designed to achieve the vision for the future).</p>
<p><b>TOPIC 2: CAPACITY TO COLLABORATE</b></p> <p>Indicator 2.1 – Existence of cooperation among actors in the group/partnership;</p> <p>Indicator 2.2 – Extent of representation of stakeholders in coordination;</p> <p>Indicator 2.3 – Existence of incentives for networking, partnering, multi stakeholder interaction.</p>
<p><b>TOPIC 3: CAPACITY TO REFLECT AND LEARN</b></p> <p>Indicator 3.1 – Existence of environment that encourages joint learning and experimentation;</p> <p>Indicator 3.2 – Participation in training programmes that cover multi-stakeholder innovation processes (facilitation, networking, etc.);</p> <p>Indicator 3.3 – Understanding of knowledge flows (understanding origin and transfer);</p> <p>Indicator 3.4 – Documentation and monitoring processes.</p>
<p><b>TOPIC 4: CAPACITY TO ENGAGE IN STRATEGIC AND POLITICAL PROCESSES</b></p> <p>Indicator 4.1 – Role and responsibilities of leadership;</p> <p>Indicator 4.2 – Degree of awareness of agricultural development issues among stakeholders;</p> <p>Indicator 4.3 – Degree of awareness of opportunities for policy change;</p> <p>Indicator 4.4 – Extent to which decision-making processes are influenced by stakeholders;</p> <p>Indicator 4.5 – Effectiveness of communication channels.</p>
<p><b>TOPIC 5: TECHNICAL SKILLS</b></p> <p>Indicator 5.1 – Availability of required technical skills.</p>
<p><b>TOPIC 6: ENABLING ENVIRONMENT</b></p> <p>Indicator 6.1 – Favourable socio-economic circumstances for linking producers to markets;</p> <p>Indicator 6.2 – Efficiency of registration/certification processes in agriculture.</p>

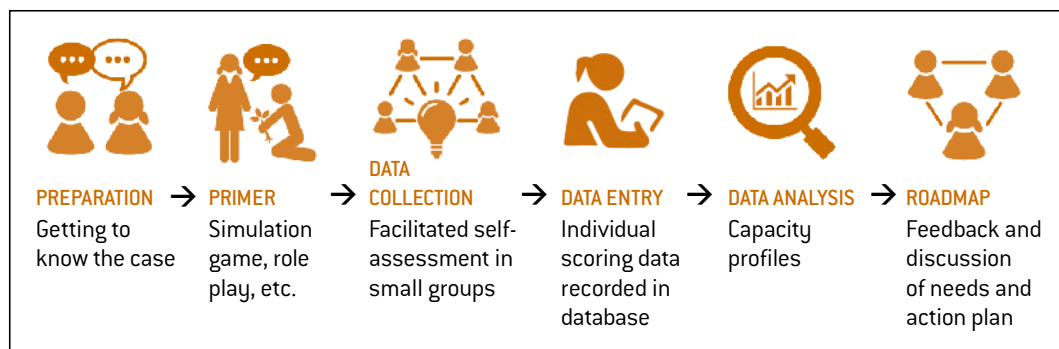
## 3. USING THE TOOL

### 3.1. APPROACH

For data collection purposes, a capacity scoring questionnaire has been designed (see Annex 1). It follows a scorecard logic, so that questions under each indicator are designed in a hierarchical manner. The first question addresses basic issues (skills available, experience considered important, etc.). The subsequent question(s) build(s) on this by addressing more complex issues (skills applied, experience used, etc.). Compound questions are avoided. When processing the recorded scoring data, individual scores from the different questions are averaged by indicator. Weights can be applied, if justified.

A prerequisite for applying the capacity scoring questionnaire with a stakeholder group is that participants are able to understand the context and questions. When used as a standalone tool, this can be difficult, since many of the concepts covered by the questions are abstract and require explanations and examples. To make best use of the questionnaire, while making the assessment more interesting and stimulating learning among the participants, an integrated methodology is proposed. A crucial element of this methodology consists in a participatory exercise/game, which is used to create an intuitive understanding of innovation capacities and the role of the enabling environment and which helps participants to learn about the significance of these capacities. More or less complex games can be used (e.g. D'Aquino, 2015). Games or role plays can fulfil multiple objectives, among them serving as a primer for the scoring exercise, which can be carried out as a facilitated self-assessment. In this setup, facilitators guide small groups of participants in completing the questionnaire using concrete examples from the game in order to illustrate situations to which the questions can refer. This

**Figure 2: Proposed steps in the assessment process**



approach can maximise understanding and the accuracy of responses. Getting individuals to respond rather than obtaining data from group discussions also reduces bias. Eventually, the results need to be fed back to the group as a whole and validated. This can be done by in an interactive manner using simple visualisations of the results. If appropriate, the scoring can also be carried out through key informant or expert interviews.

The scoring for each indicator can be complemented by a narrative that provides some context for the particular organization/partnership and that can serve to justify the score attributed to the indicator. Indicators can eventually be used when creating visual capacity profiles for innovation partnerships or organizations. This is particularly useful when having to communicate assessment results quickly without being able to go into much detail.

## 3.2. STEP-BY-STEP GUIDELINES

The following section provides practical guidance on how to implement the scoring tool, outlining the most important aspects to consider for each of the steps shown in Figure 2. The guidelines are based on experiences made in the CDAIS project and might need to be adjusted for other contexts.

### A. Preparation – Getting to know the partnership

- > Clear definition of the boundary of the partnership is required.
- > Thorough preparation of assessment involves getting to know the actors and issues in the partnership, developing a simulation game/role play, tweaking questions in the questionnaire, ensuring meaningful translation, etc.
- > The team of trained facilitators needs to be provided with background information, trained in the approach and closely involved in the preparation.
- > The number of facilitators needs to be adequate to the number of participants and planned self-assessment groups [ca. one facilitator per 5 participants].

### B. Primer – Simulation game or role play with decision-making situations

- > The participants can develop an intuitive understanding of challenges they are facing and the capacities required to address these as well as the underlying contextual issues.
- > Examples of innovation capacities related to the questions in the questionnaire can be elicited through the game or role play [e.g. problem solving skills, collaboration, information sharing, and engagement].
- > Behaviour of participants can be observed to complement scoring data.

### C. Data collection – Facilitated self-assessment in small groups - individual responses (scoring)

- > Respondents need to be instructed to assess the partnership as a whole and not their individual capacity.
- > A sufficient number of responses need to be collected in a timely manner.
- > Sample size needs to be adequate to support external validity [obtaining representative results and generalizing back to the population].

- > Based on population size (overall number of individuals involved in the partnership), sample size can be determined with a sample size calculator, e.g. <https://www.surveymonkey.com/mp/sample-size-calculator/>.
- > When determining the sample size, the confidence level should not be lower than 90 percent (better 95) and the margin error should not be lower than 10 percent (better 5).
- > To obtain most observations with limited time, individual scoring can be carried out in groups of three to five respondents with one facilitator rather than in one-to-one interviews.
- > Facilitators need to be familiar with the local context and be able to fine-tune questions;
- > Questions need to be concise, clear and free of jargon.
- > Questions should be illustrated with examples, obtained through game/role play and the assessment should follow the game or role play without much delay.
- > Facilitators need to provide some quality control, assuring complete and realistic responses.

#### **D. Data entry – Scores recorded in database**

- > The data is entered in a pre-configured spreadsheet, which can quickly generate summary statistics and basic graphs.
- > Results are aggregated by indicator and by topic: scores are averaged over the questions and over the observations.
- > The dataset needs to be as complete as possible in order to interpret the results meaningfully, 'No Opinion' and 'Don't Know' answers need to be recorded and analysed as one means of gauging the validity of the results obtained for each indicator.
- > Quality assurance is required to minimise data entry errors.

#### **E. Data analysis – Capacity profiles**

- > Not only average values are of interest, but also the spread of data (standard deviation).
- > Analysis is best done at the level of indicators, but data can be further aggregated (by topic).
- > Capacity profiles (CoxComb or Radar Plots) can be used to visualise capacities by indicator (strengths and weaknesses) and to identify gaps.
- > Bar charts can display the information for the enabling environment indicators.
- > Scoring information can be complemented by qualitative information for each indicator.

#### **F. Roadmap – Feedback and discussion of needs and actions**

- > It is important to provide quick feedback to stakeholder groups on the findings in order to validate them and jointly discuss the implications.
- > Open-ended forward-looking questions related to the capacity scoring questionnaire can be asked in focus group settings for action planning.
- > Next steps and actions should be agreed before the end of the assessment.

### **3.3. EXAMPLES FROM THE FIELD**

In the context of the CDAIS project, the approach outlined in the previous section had been initially piloted and was, after refinements, applied during the needs and baseline assessments in the 8 pilot countries of the project in 2016. The version of the questionnaire as presented

in Annex 1 was used in Guatemala, Lao People's Democratic Republic and Rwanda. It was customized for other pilot countries, i.e. some questions were added, while others were removed or modified. The different versions of the questionnaire are available on the TAPipedia website :

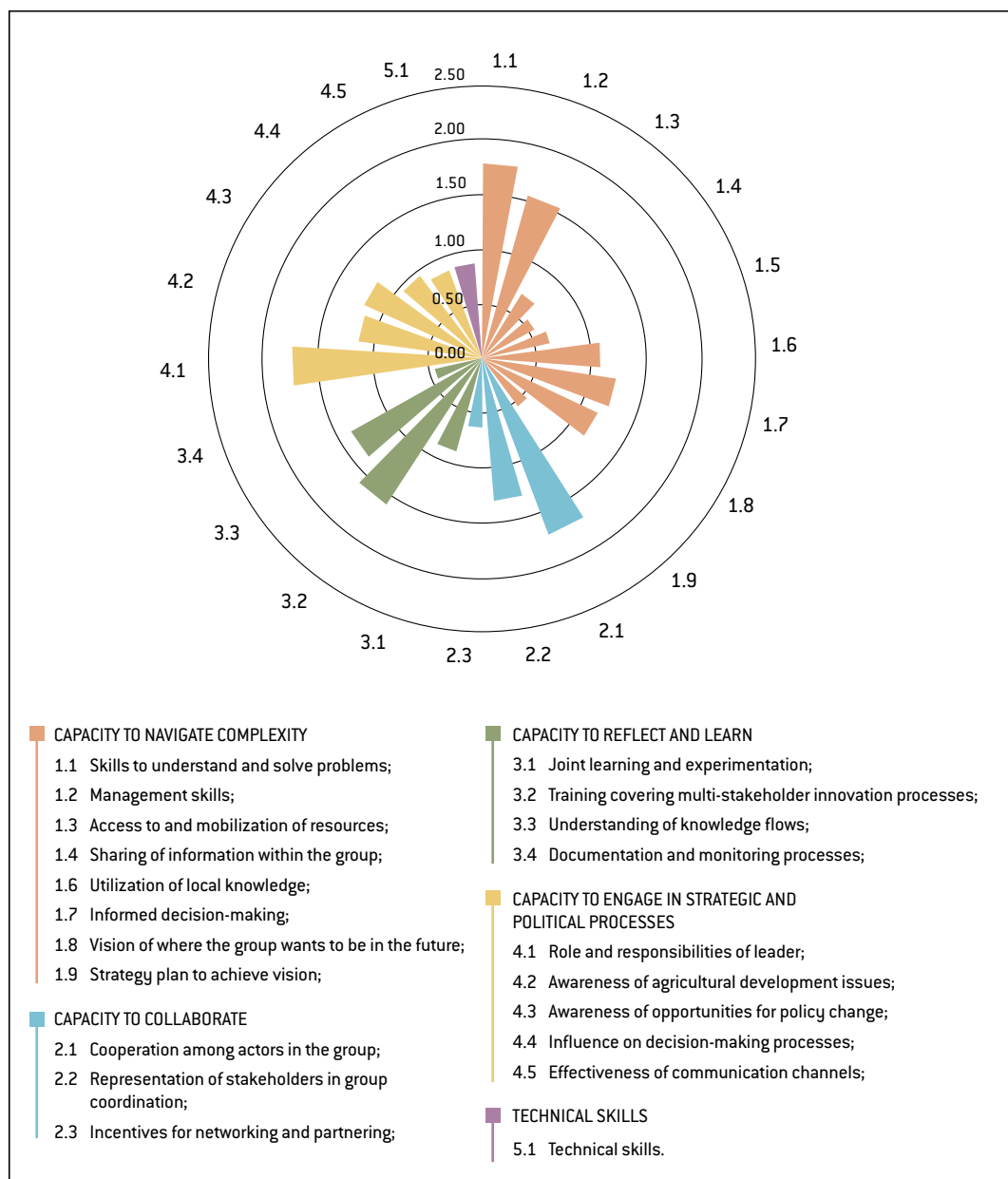
- > <http://www.tapipedia.org/content/capacity-scoring-questionnaire-version-1> (used here)
- > <http://www.tapipedia.org/content/capacity-scoring-questionnaire-version-2> (modified)

Some of the practical considerations in terms of activities and requirements are outlined in Annex 2. Depending on whether a simulation game/role play is used or not, requirements vary. Also the previous experience of the facilitators needs to be taken into account when planning the assessment. Those with more experience and skills can support the training and take on specific responsibilities.

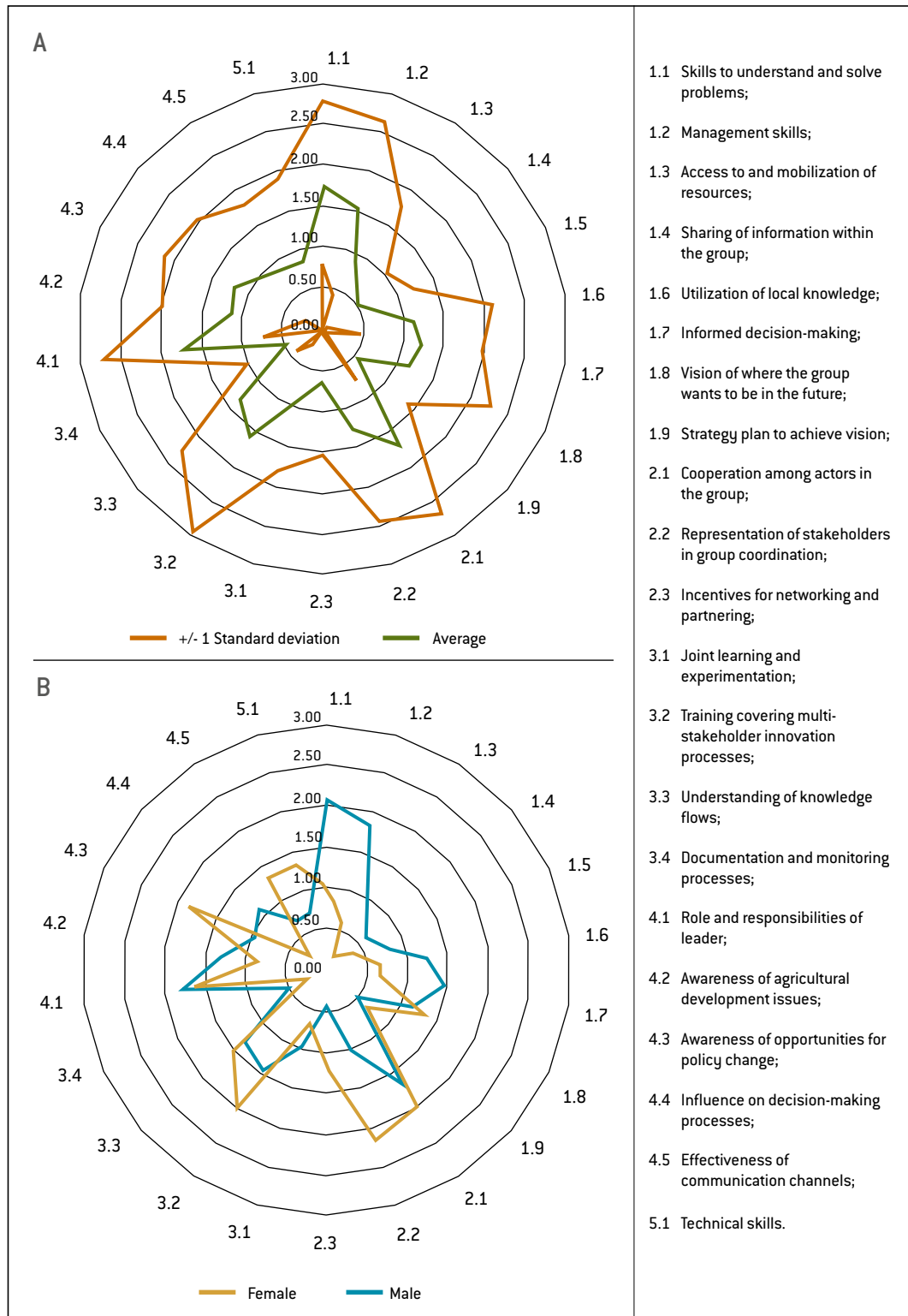
For the results shown in Figures 3 to 6 data was collected during an assessment workshop with 13 participants, which was held in Rwanda in November 2016. The workshop participants represented different actors of a local innovation partnership, which was formed around the issue of improving the cassava value chain. The stakeholders in the local partnership are diverse and include researchers, extension services, traders as well as producer organization and producer representatives. The self-assessment was facilitated by four facilitators and participants took ca. 50 minutes to score the capacities of the partnership. Other elements of the assessment workshop consisted of establishing a Timeline of events affecting the partnership, analysing key issues for the partnership with the help of a Problem Tree, carrying out a stakeholder mapping exercise with an adjusted NetMap tool and identifying actionable recommendations on how to improve capacities (related to the capacity scoring questionnaire in Annex 1). The scoring data from the questionnaires were entered into a preconfigured spreadsheet (shown in Annex 3) at the end of the first day of the workshop. This spreadsheet aggregates data by indicator and produces some basic summary statistics as well as graphs. For the capacity profile in Figure 3 a CoxComb plot was used, which succinctly illustrates the scores for the 22 capacity indicators (the two enabling environment indicators are presented separately), with each colour representing one of the topics (see Table 1). The radar plots in Figure 4 illustrate the spread of data in graph A and the disaggregation of the data by gender in graph B. Figure 5 is a simple bar chart of the scores for the two indicators relating to the enabling environment, which are not part of the capacity profiles. As can be seen from the questionnaire in Annex 1, respondents have the option to answer Don't Know (DK) or No Opinion (NO). Figure 6 shows the percentage of such responses by indicator and can thus provide clues on lack of understanding or on the importance of specific items in the questionnaire.

The results displayed in the CoxComb and radar plots, with scores for each indicator ranging from 0 (low capacity) to 3 (high capacity), need to be interpreted with care. Rather than using the values in absolute terms and taking them as exact capacity levels, the relative differences between indicators reveal weaknesses and strengths. Along these lines also distinct cases can be compared, while the criteria of what constitutes weak capacity (below 1.5 for example) or strong capacity (above 2 for example) need to be judged on a case by case basis.

**Figure 3: Capacity profile (using a CoxComb Plot) of Cassava Innovation Partnership in Rwanda.**

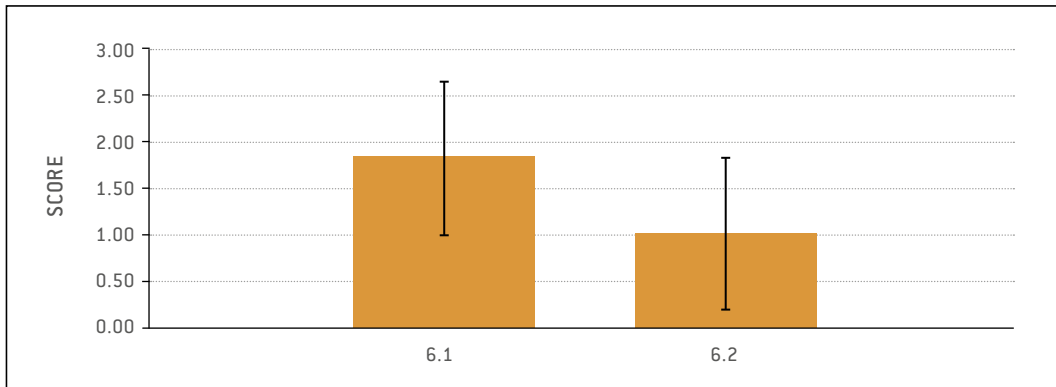


**Figure 4: Capacity profiles (using radar plots) of Cassava Innovation Partnership in Rwanda showing spread of data (A) and disaggregation by gender (B)**

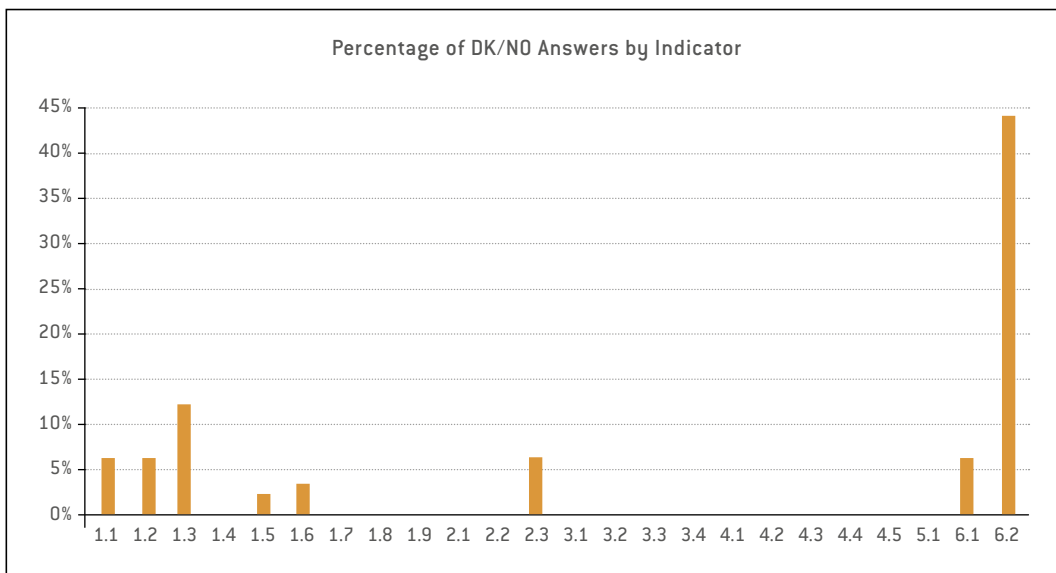




**Figure 5: Enabling environment scores (bar charts) for Cassava Innovation Partnership in Rwanda**



**Figure 6: Don't Know (DK) and No Opinion (NO) answers by respondents in the Cassava Innovation Partnership in Rwanda**



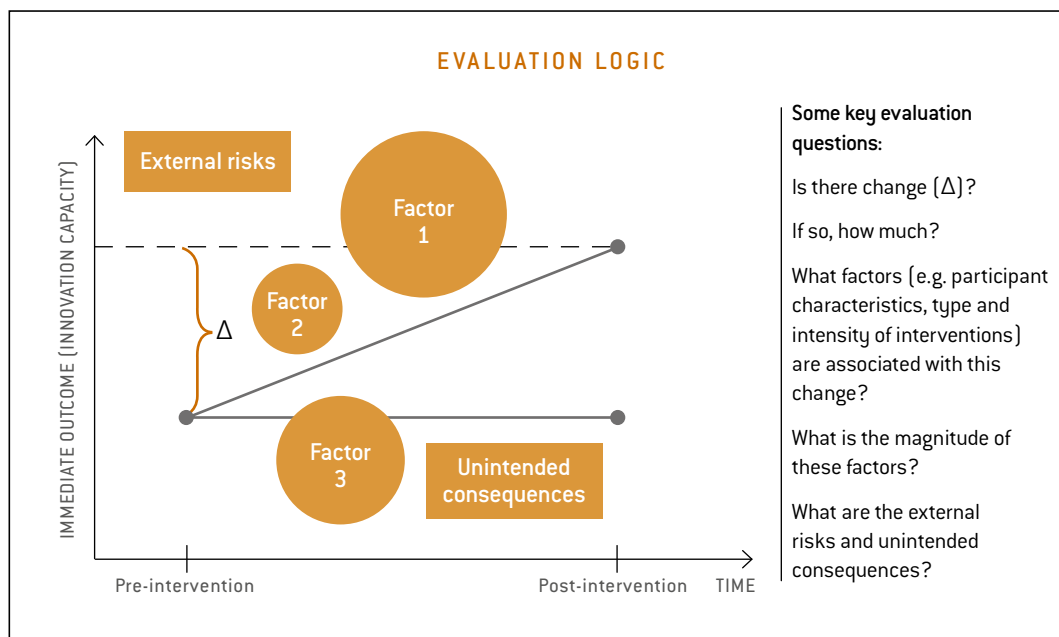
### 3.4. MONITORING AND EVALUATION (M&E)

Evaluating the performance of capacity development interventions is not straightforward. To do a systematic project or programme evaluation, reliable baseline data is needed, i.e. exact information on existing capacities before the start of interventions. Evaluation results obtained at a later stage (mid-term and/or post-intervention) can be judged against such baseline data –

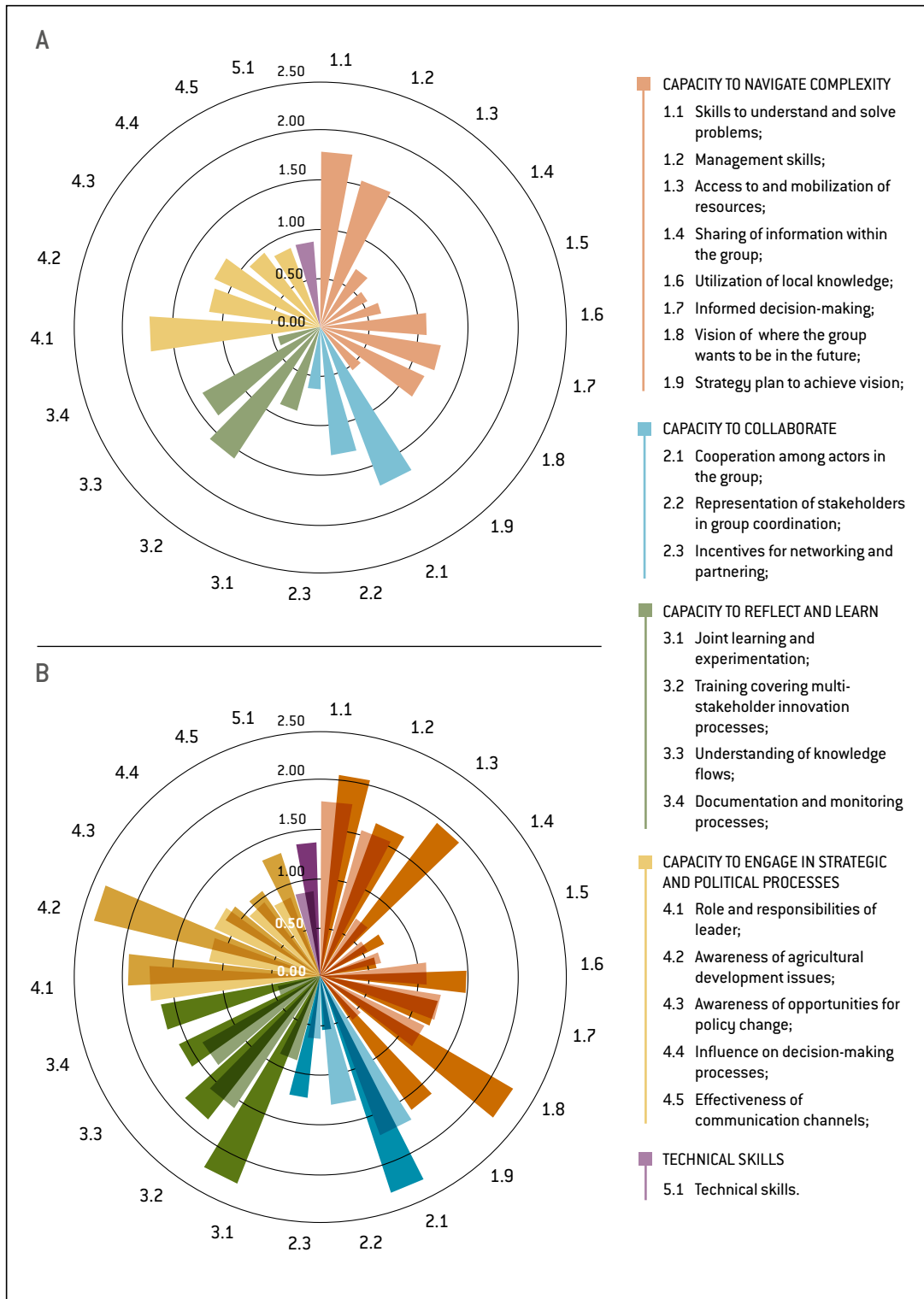
a 'before and after' comparison. To this end, the approach presented above can be a useful M&E instrument. It is based on a set of indicators, for which a scoring from 0 to 3 indicates levels of capacity. These indicators can be assessed at different points in time to determine change. Data can be presented at different aggregation levels, e.g. being aggregated by topic or disaggregated by gender. As shown in Figure 7, besides recognising if there was any change, the methodology allows for gauging the extent of change. Either through quantitative or qualitative analysis, factors associated with this change can be determined, as well as related external risks and possible unintended consequences. While establishing causality is difficult in this regard, correlations between outcome(s) and input(s) can provide important information on how to best configure interventions and where to focus.

An example of how the pre- and post-intervention assessment results can be visualised is given in Figure 8. The pre-intervention assessment results shown in the top graph (A) are complemented by the post-intervention assessment results in the bottom graph (B), where the lighter bars reflect initial capacity levels and darker bars reflect capacity levels at the end of the project. This is one way to illustrate the assessed change and communicate the results. The scoring data should be accompanied by qualitative information on the process and the context. Building a theory of change with the target partnership or organization will be of use when validating evaluation results.

**Figure 7: Systematic evaluation of innovation capacity**



**Figure 8:** Example of how the CoxComb plot can be used to illustrate capacity changes: Pre-intervention assessment results (A) and post-intervention assessment results (B) with lighter bars reflecting initial capacity levels and darker bars reflecting capacity levels at the end of the project.



## 3.5. CHALLENGES

Several challenges are inherent to the proposed scoring tool, since individuals need to understand sometimes abstract questions and attribute numeric values to qualitative properties at different periods in time. Some of the implementation and methodological issues are mentioned below. In some instances measures to address these challenges are suggested.

### Implementation challenges:

- > Good facilitation is essential to ensure understanding among participants and to be able to collect data through self-assessments;
- > Facilitators need to understand the approach and be able to use examples, having the same facilitators involved in pre- and post-intervention assessments can avoid variation in approach;
- > Preparation (training, translation of questionnaire, planning, etc.) requires time and resources;
- > Feedback on assessment results for stakeholder validation is essential and needs to be provided in a format that is easily understandable and engages participants. They need to understand the purpose and outcome of the assessment in order to be in a position to co-design the capacity development interventions with the project or programme implementers.

### Methodological challenges:

- > Data depends on perception and understanding of participants. Facilitators need to explain each questions and provide examples to create a common understanding. Assessed changes can be due to altered perception and understanding of participants and not necessarily reflect real capacity improvements. Results need to be thoroughly validated through follow-up discussions with participants and cross checked with other data gathered as part of a comprehensive M&E system, thus validating trends and assessed changes and discussing the rationale behind them;
- > Individuals participating in the pre- and post-intervention or mid-term assessments might not be the same, which threatens the validity of comparing results across time. There needs to be a substantial overlap of participants between assessments in order to meaningfully evaluate change. It is necessary to keep track of who joins in the course of the intervention and possible include these individuals in the baseline by carrying out a separate scoring with them. Before the initial assessment it should be clarified with the local counterparts that those individuals participating in the initial assessment should have an interest in being part of the subsequent intervention(s) and assessment(s). Lastly, if all else fails, some observations can always be dropped in the final analysis.
- > Without a more rigorous design, involving a control group or randomisation for example, it is not possible to attribute differences in the capacity levels to the intervention(s). It is however possible to use additional information and build a robust story about the factors likely to be contributing to the change determined through the scoring tool.

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## ANNEX 1

## CAPACITY SCORING QUESTIONNAIRE

Capacity Development for Agricultural Innovation Systems (CDAIS)

## CAPACITY ASSESSMENT QUESTIONNAIRE – INDIVIDUAL SCORING

<b>Background</b> (to be filled by project manager / facilitator)				
Name of partnership with which the participant is affiliated?		Level at which the participant is generally working?	<input type="checkbox"/> NATIONAL <input type="checkbox"/> LOCAL	
Participant ID		Data recorded by		
Date		Reviewed by		
<b>Participant information</b> (to be filled by participant directly or in an interview conducted by project manager / facilitator)				
Name?		Highest education level?	NO FORMAL EDUCATION <input type="checkbox"/> (1)	
Gender?	<input type="checkbox"/> FEMALE <input type="checkbox"/> MALE		PRIMARY SCHOOL <input type="checkbox"/> (2)	
			SECONDARY SCHOOL <input type="checkbox"/> (3)	
			TECHNICAL COLLEGE <input type="checkbox"/> (4)	
			UNIVERSITY <input type="checkbox"/> (5)	
Profession?		Expertise related to the topic of the partnership?		
Years of experience related to the topic of the partnership?	LESS THAN 3 YEARS <input type="checkbox"/> (1)	Age?	LESS THAN 25 YEARS <input type="checkbox"/> (1)	
	3 TO 6 YEARS <input type="checkbox"/> (2)		40 TO 55 YEARS <input type="checkbox"/> (2)	
	7 TO 10 YEARS <input type="checkbox"/> (3)		25 TO 39 YEARS <input type="checkbox"/> (3)	
	ABOVE 10 YEARS <input type="checkbox"/> (4)		ABOVE 55 YEARS <input type="checkbox"/> (4)	
Role in partnership?	EDUCATION & RESEARCH <input type="checkbox"/> (1)	Sector?	PRIVATE <input type="checkbox"/> (1)	
	EXTENSION & ADVISORY S. <input type="checkbox"/> (2)		PUBLIC <input type="checkbox"/> (2)	
	FINANCIAL SERVICES <input type="checkbox"/> (3)		CIVIL SOCIETY <input type="checkbox"/> (3)	
	POLICY MAKER <input type="checkbox"/> (4)		INT. ORG. / DONOR <input type="checkbox"/> (4)	
	PROCESSOR <input type="checkbox"/> (5)		OTHER _____ <input type="checkbox"/> (5)	
	PRODUCER <input type="checkbox"/> (6)	Interested in project?	<input type="checkbox"/> YES <input type="checkbox"/> NO	
	PRODUCER ORG. <input type="checkbox"/> (7)		Interested to participate in capacity development activities?	<input type="checkbox"/> YES <input type="checkbox"/> NO
	SUPPLIER/TRADER <input type="checkbox"/> (8)			
	OTHER _____ <input type="checkbox"/> (9)			

**Important Notes:**

- > Format: Facilitated self-assessment in small groups, individual scoring by participants (no group consensus needed);
- > Introduction: Facilitators to explain purpose and format of the assessment and clarify that answers will be kept confidential and are not for commercial use;
- > Besides the actual scores, facilitators need to capture any possible discussions that might emerge around contextual issues and scoring choices.
- > Respondents need to be instructed to assess the partnership as a whole and not their individual capacity;
- > Indicators marked with an asterisk [\*] are compulsory (need to be used in all assessments), other indicators can be considered optional, if resources are very limited (for comprehensive assessments it is recommended to use all indicators);
- > DK/NO (Don't Know / No Opinion) option should only be ticked by respondents if strictly necessary (after facilitators have sufficiently explained the question).

The following version of the questionnaire as well a modified version are available on the TAPiPedia website:

- > <http://www.tapipedia.org/content/capacity-scoring-questionnaire-version-1> (presented here)
- > <http://www.tapipedia.org/content/capacity-scoring-questionnaire-version-2> (modified)

**TOPIC 1: CAPACITY TO NAVIGATE COMPLEXITY**

<b>Indicator 1.1* Availability of skills to understand and solve problems (seeing the bigger picture; understanding relationships and interactions among value chain actors, etc.)</b>						
ID	Questions	Very little or none	Partially	Mainly	Very much or fully	DK/NO
1	Are the required skills to understand and solve problems available?	①	①	②	③	○
2	Are these skills being applied and kept up to date?	①	①	②	③	○
<b>Indicator 1.2 Availability of management skills</b>						
ID	Questions	Very little or none	Partially	Mainly	Very much or fully	DK/NO
3	Are the required skills to successfully manage a business/organization/group available?	①	①	②	③	○
4	Are these skills being applied and kept up to date?	①	①	②	③	○

<b>Indicator 1.3 Access to and mobilization of resources by partnership</b>						
ID	Questions	Very little or none	Partially	Mainly	Very much or fully	DK/ NO
5	Has the partnership identified potential sources for funding?	①	①	②	③	○
6	Can it mobilize sufficient resources? [Ability to formulate proposals, etc.]	①	①	②	③	○
<b>Indicator 1.4* Access to and sharing of information by stakeholders</b>						
ID	Questions	Very little or none	Partially	Mainly	Very much or fully	DK/ NO
7	Do the actors in the partnership know what information is needed/relevant to advance their cause?	①	①	②	③	○
8	Is relevant information shared?	①	①	②	③	○
9	Is this information used?	①	①	②	③	○
<b>Indicator 1.5 Access to and sharing of information by stakeholders with outside actors (officials, businesses, etc.)</b>						
ID	Questions	Very little or none	Partially	Mainly	Very much or fully	DK/ NO
10	Do the actors in the group/partnership know what information is needed by actors outside the partnership?	①	①	②	③	○
11	Is relevant information shared with actors outside the partnership?	①	①	②	③	○
12	Is this information used by actors outside the partnership?	①	①	②	③	○
<b>Indicator 1.6 Extent to which value of local knowledge is recognized in decision-making</b>						
ID	Questions	Very little or none	Partially	Mainly	Very much or fully	DK/ NO
13	Is local knowledge considered important and collected?	①	①	②	③	○
14	Is local knowledge taken into account for decision-making processes?	①	①	②	③	○
<b>Indicator 1.7* Extent of informed decision-making in the partnership</b>						
ID	Questions	Very little or none	Partially	Mainly	Very much or fully	DK/ NO
15	Is past experience and/or other evidence considered important for decision-making and collected?	①	①	②	③	○
16	Does past experience and/or other evidence actually inform decision-making processes?	①	①	②	③	○



<b>Indicator 1.8 Development and identification of a vision where the partnership wants to be in the future (vision/dream of what it should be like)</b>						
ID	Questions	Very little or none	Partially	Mainly	Very much or fully	DK/NO
17	Is a vision where the partnership wants to be in the future considered important?	①	②	③	④	○
18	Has such a vision been developed?	①	②	③	④	○
19	Has the vision been widely shared and is it followed?	①	②	③	④	○

<b>Indicator 1.9 Development and identification of strategy (plan of action designed to achieve the vision for the future)</b>						
ID	Questions	Very little or none	Partially	Mainly	Very much or fully	DK/NO
20	Has a strategy to achieve the vision been developed?	①	②	③	④	○
21	Has the strategy been widely shared and is it used for action?	①	②	③	④	○

## TOPIC 2: CAPACITY TO COLLABORATE

<b>Indicator 2.1* Existence of cooperation among actors in the partnership</b>						
ID	Questions	Very little or none	Partially	Mainly	Very much or fully	DK/NO
22	Do actors in the partnership work together?	①	②	③	④	○
23	Does the cooperation lead to better results than working on your own?	①	②	③	④	○

<b>Indicator 2.2* Extent of representation of different actors in group/partnership coordination</b>						
ID	Questions	Very little or none	Partially	Mainly	Very much or fully	DK/NO
24	Does a coordination mechanism (i.e. process) for the partnership exist?	①	②	③	④	○
25	Does the coordination mechanism represent all stakeholders?	①	②	③	④	○

<b>Indicator 2.3* Existence of incentives for networking, partnering, multi-stakeholder interaction</b>						
ID	Questions	Very little or none	Partially	Mainly	Very much or fully	DK/NO
26	Are there incentives (financial, access to information, visibility, etc.) for networking/partnering/interaction in place?	①	②	③	④	○
27	Have formal incentive schemes for this been established?	①	②	③	④	○

### TOPIC 3: CAPACITY TO REFLECT AND LEARN

<b>Indicator 3.1* Existence of environment that encourages reflection, joint learning and experimentation</b>						
ID	Questions	Very little or none	Partially	Mainly	Very much or fully	DK/NO
28	Are partnership members encouraged to learn jointly and try out new things together?	①	①	②	③	○
29	Are there opportunities (meetings, etc.) for joint learning and reflection?	①	①	②	③	○
<b>Indicator 3.2 Participation in training programmes that cover multi-stakeholder innovation processes (facilitation, networking, team building, etc)</b>						
ID	Questions	Very little or none	Partially	Mainly	Very much or fully	DK/NO
30	Do the actors in the partnership participate in training programmes?	①	①	②	③	○
31	Do these programmes cover topics related to multi-stakeholder innovation processes (e.g. facilitation, networking, team building)?	①	①	②	③	○
<b>Indicator 3.3* Understanding of knowledge flows (understanding origin and transfer of knowledge)</b>						
ID	Questions	Very little or none	Partially	Mainly	Very much or fully	DK/NO
32	Do the actors in the partnership have an understanding of where knowledge comes from?	①	①	②	③	○
33	Do they know how knowledge is transferred from one actor to another?	①	①	②	③	○
<b>Indicator 3.4* Documentation and monitoring processes</b>						
ID	Questions	Very little or none	Partially	Mainly	Very much or fully	DK/NO
34	Is an effective system in place to monitor changes in the partnership? (information produced in a timely, regular, participatory, accurate manner)	①	①	②	③	○
35	Are monitoring results used to learn and make adjustments?	①	①	②	③	○

## TOPIC 4: CAPACITY TO ENGAGE IN STRATEGIC AND POLITICAL PROCESSES

<b>Indicator 4.1 Role and responsibilities of group/partnership leadership</b>						
ID	Questions	Very little or none	Partially	Mainly	Very much or fully	DK/NO
36	Are organizational responsibilities for the leadership of the partnership clearly defined?	①	②	③	④	○
37	Is the authority of the leadership recognized by stakeholders?	①	②	③	④	○
<b>Indicator 4.2 Degree of awareness of agricultural development issues among stakeholders</b>						
ID	Questions	Very little or none	Partially	Mainly	Very much or fully	DK/NO
38	Are the actors in the partnership aware of crucial agricultural development issues and trends (climate change, sustainable land use, land tenure, market access, etc.)?	①	②	③	④	○
39	Are they working to find and implement solutions that relate to these issues and trends?	①	②	③	④	○
<b>Indicator 4.3* Degree of awareness of opportunities for policy change</b>						
ID	Questions	Very little or none	Partially	Mainly	Very much or fully	DK/NO
40	Are the actors in the partnership aware of opportunities to influence decision-making?	①	②	③	④	○
41	Are they able to seize these opportunities and influence decision-making?	①	②	③	④	○
<b>Indicator 4.4* Extent to which decision/policy-making processes are influenced by stakeholders</b>						
ID	Questions	Very little or none	Partially	Mainly	Very much or fully	DK/NO
42	Are the actors in the partnership linked to decision-makers?	①	②	③	④	○
43	Do they know the agenda/goals of the decision-makers in order to influence them?	①	②	③	④	○
<b>Indicator 4.5* Effectiveness of communication channels</b>						
ID	Questions	Very little or none	Partially	Mainly	Very much or fully	DK/NO
44	Do actors in the partnership understand which channels to use to communicate messages/goals/effectively?	①	②	③	④	○
45	Do they have the ability and time to communicate messages effectively, including preparing good material?	①	②	③	④	○

## TOPIC 5: TECHNICAL SKILLS

Indicator 5.1* Availability of required technical skills						
ID	Questions	Very little or none	Partially	Mainly	Very much or fully	DK/NO
46	Are the required technical skills available?	①	①	②	③	○
47	Are these skills being applied and kept up to date?	①	①	②	③	○

What are these technical skills? (List most important technical skills here)

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## TOPIC 6: ENABLING ENVIRONMENT

Indicator 6.5 Favourable socio-economic circumstances for linking producers to markets						
ID	Questions	Very little or none	Partially	Mainly	Very much or fully	DK/NO
48	Does rural development provide for chances to increase access to markets and incomes?	①	①	②	③	○

Indicator 6.6 Efficiency of registration/certification processes in agriculture						
ID	Questions	Very little or none	Partially	Mainly	Very much or fully	DK/NO
49	Are certification/registration processes straightforward and take short time?	①	①	②	③	○
50	Are the costs of the certification/registration processes reasonable?	①	①	②	③	○

## ANNEX 2

## PRACTICAL IMPLEMENTATION GUIDANCE

MAIN STEPS	ACTIVITIES	REQUIREMENTS
PREPARATIONS	<p>Briefing of facilitators on game or role play (ca. ½ day);</p> <p>Briefing of facilitators on scoring exercise (ca. 2h);</p> <p>Agreement on timing, roles and responsibilities (ca. 1h);</p> <p>Review of questionnaire and adjustment with local team (ca. ½ day);</p> <p>Translation of questionnaire with local team (½ day);</p> <p>Preparations on site (ca. 2h);</p>	<p>Knowledge of local context;</p> <p>Game / role play conceived;</p> <p>Generic questionnaire available;</p> <p>Skilled local facilitators identified and recruited (for group of 35 participants, ideally 4-5 facilitators);</p>
ASSESSMENT	<p>Simulation game (½ to 1 day depending on level of detail);</p> <p>Planning exercise and agreement on next steps with actors in the group (½ day);</p> <p>Guided assessment by observers (1 - 1½ h), can potentially be done during the planning exercise already;</p> <p>Scoring exercise (1 - 1½ h);</p>	<p>Suitable venue for interactive workshop;</p> <p>Material for game ready;</p> <p>Large sheets of paper for planning;</p> <p>Adjusted questionnaires printed for interviews;</p>
ANALYSIS AND WRAP-UP	<p>Data entry (¼ day using preformatted sheets);</p> <p>Data analysis (¼ day using preformatted graphs);</p> <p>Discussion of lessons learned and way forward;</p> <p>Briefing of colleagues involved in project oversight/implementation.</p>	<p>Filled out questionnaires;</p> <p>Excel workbook with predefined analysis routine and visualizations.</p>

# ANNEX 3

## DATA ANALYSIS SPREADSHEET

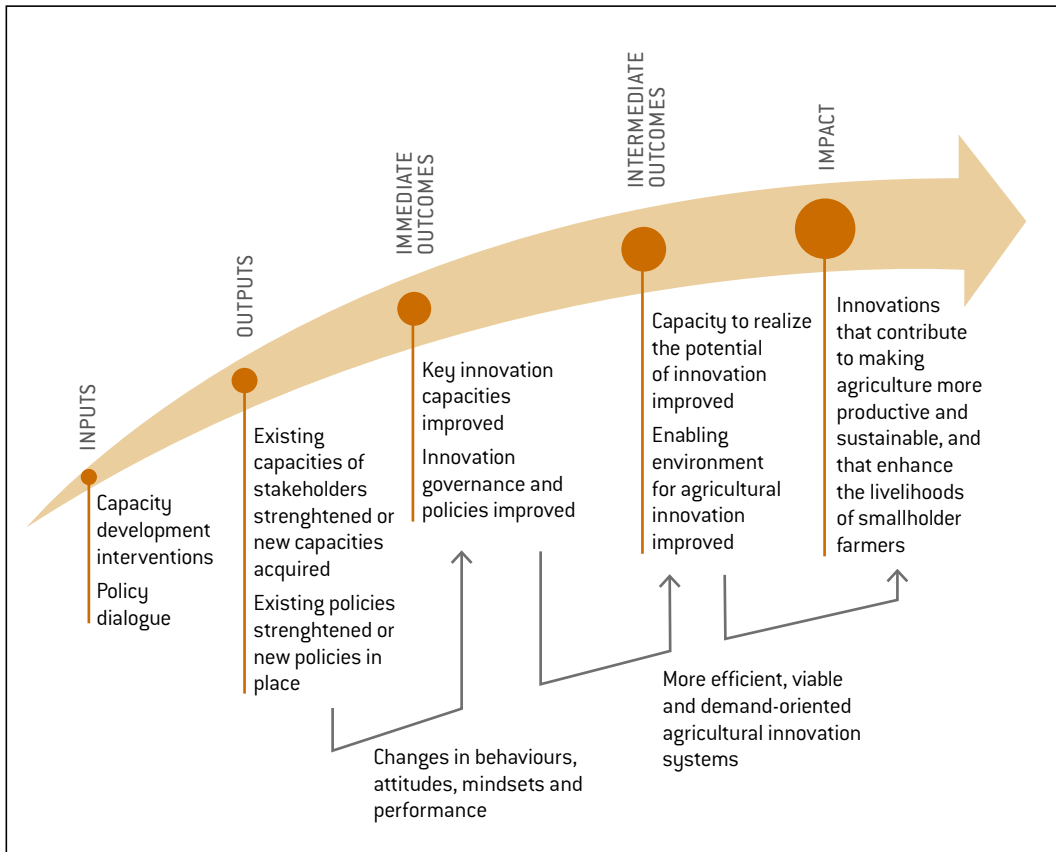
The spreadsheet is organized into several main sections:

- RESPONDENT INFORMATION:** Columns 1-10, containing personal details like name, gender, age, education, and residence.
- SCORES BY RESPONDENT AND QUESTION:** Columns 11-15, showing individual scores for five different questions.
- AVERAGE SCORES BY RESPONDENT AND INDICATOR:** Columns 16-20, providing average scores for various indicators.
- AVERAGE SCORES BY RESPONDENT AND TOPIC:** Columns 21-25, showing average scores grouped by topic.
- SUMMARY STATISTICS BY INDICATOR:** Columns 26-30, summarizing data for each indicator.
- SUMMARY STATISTICS BY TOPIC:** Columns 31-35, summarizing data for each topic.

From the following link you can download the Excel workbook containing some preconfigured spreadsheets that can be used for entering data collected through the capacity scoring questionnaire and to perform some basic analysis as well as visualize the data:  
<http://www.tapipedia.org/content/capacity-scoring-analysis-excel-workbook>.

## ANNEX 4

# CD FOR AIS IMPACT PATHWAY



# OCCASIONAL PAPERS ON INNOVATION IN FAMILY FARMING





Capacity development interventions in support of agricultural innovation are more effective when based on systematic and participatory assessments of existing skills and capacity needs. Recognizing that, an instrument has been developed in the context of the Capacity Development for Agricultural Innovation Systems (CDAIS) project. It consists of a capacity scoring tool that allows assessing innovation capacities, identifying strengths and weaknesses and monitoring capacity changes over time. This paper describes the scoring tool and provides guidelines on how to apply it successfully. The scoring tool focuses on the soft capacities needed to collaborate, reflect, learn and think strategically. These skills are captured by 21 indicators and build on the key innovation capacities identified in the Common Framework of the Tropical Agriculture Platform, a G20 initiative led by FAO. The scoring tool also addresses technical skills and the enabling environment for agricultural innovation.

**FOOD AND AGRICULTURE  
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