ASSESSING CAPACITY NEEDS OF EXTENSION AND ADVISORY SERVICES
A Guide for Facilitators

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Assessing Capacity Needs of Extension and Advisory Services
A Guide for Facilitators

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ACKNOWLEDGEMENT

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List of Abbreviations

AESA	Agricultural Extension in South Asia
AI	Appreciative Inquiry
AIS	Agricultural Innovation Systems
CD	Capacity Development
CNA	Capacity Needs Assessment
CRISP	Centre for Research on Innovation and Science Policy
DAC	Department of Agriculture and Co-operation
DFID	Department for International Development, UK
EAS	Extension and Advisory Services
FAO	Food and Agricultural Organization of the United Nations
GFRAS	Global Forum for Rural Advisory Services
IISD	International Institute for Sustainable Development
IPTRID	International Programme for Technology and Research in Irrigation and Drainage
IUCN	International Union for Conservation of Nature
LENCD	Learning Network on Capacity Development
NGO	Non-Governmental Organizations
OECD	Organisation for Economic Co-operation and Development
RAS	Rural Advisory Services
SIDA	Swedish International Development Cooperation Agency
TAP	Tropical Agricultural Platform
UN	United Nations
UNDP	United Nations Development Programme
WAC	World Agroforestry Centre

BACKGROUND

This guide is intended to assist facilitators in conducting a workshop with Extension and Advisory Service (EAS) providers for assessing their capacity needs.

This guide has been compiled by the Centre for Research on Innovation and Science Policy (CRISP) for AESA with the assistance of a research grant from the Global Forum for Rural Advisory Services (GFRAS). The purpose of the research grant was to identify capacity gaps at various levels (individual, organizational, and enabling environment levels) among EAS providers in four South Asian countries and develop a facilitator guide for Capacity Needs Assessment (CNA) based on this methodology. This guide builds on the outputs of the four National Workshops on "Capacity Needs Assessment of Extension and Advisory Service (EAS) Providers" held in India, Sri Lanka, Bangladesh, and Nepal during 2015-2016.

This guide can be used as a standalone document / procedure for assessing the capacity needs of the extension and advisory service providers. However, using this guide for CNA has greater value if the outputs of this exercise are linked to a capacity development process. Moreover, this process also needs to be organised periodically to identify new capacity gaps.

INTRODUCTION

Context

The Global Forum for Rural Advisory Services (GFRAS) has articulated a new vision for Extension and Advisory Services (EAS) within the Agricultural Innovation Systems (AIS). This vision, articulated in its position paper, called The "New Extensionist", argues for an expanded role for EAS (Box 1) within AIS and development of new capacities at different levels. The motive behind the development of The "New Extensionist" comes from the realisation that the existing EAS needs new capacities to respond effectively to the emerging challenges in agricultural development (declining water availability, increasing soil degradation, and changing and uncertain climate and markets). In the past few years, EAS' capacities to perform their traditional roles, such as training and communication of technical information, have eroded. Meanwhile, the extension landscape has become increasingly pluralistic with greater participation of the private sector. All these warrant new knowledge, skills, and expertise among EAS providers. So EAS now needs capacities at different levels to effectively deal with the new and evolving challenges faced by rural communities.
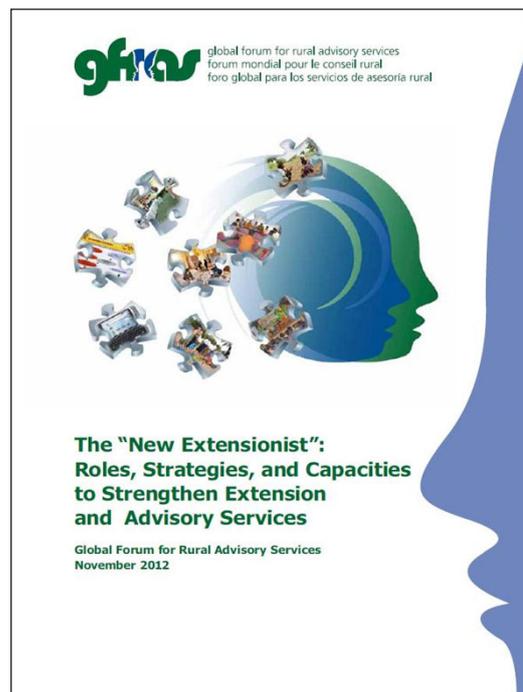
Box 1: Extension and Advisory Services (EAS)

EAS consists of all the different activities that provide the information and services that farmers and other actors in rural settings need and demand. The activities assist the stakeholders in developing their own technical, organizational, and management skills and practices so as to improve their livelihoods and well-being. EAS recognizes three important elements: the diversity of actors in extension and advisory provision (public, private, civil society); much broadened support to rural communities (beyond technology and information sharing), including advice related to farm, organizational, and business management; and facilitation and brokerage in rural development and value chains (GFRAS, 2012).

Undertaking Capacity Needs Assessment (CNA) is critical for organizing appropriate Capacity Development (CD) interventions. Lack of a clearly articulated list of core competencies for EAS adversely affects the recruitment of new staff, professional development of existing staff, as well as the quality of professional education in extension. One of the major priorities identified during the first meeting of the Agricultural Extension in South Asia (AESA) network was capacity development of EAS. The participants agreed that much more needs to be done to strengthen the capacities of EAS to deal with rapidly evolving challenges in agriculture (AESA, 2014).

CNA is a capacity-strengthening process in its own right, and this process is as important as the outcomes. While several approaches and tools on CNA exist, these are yet to be adapted and used in the context of EAS. Moreover, a guide to advise those interested in doing a systematic CNA of EAS is also lacking currently.

Objectives of the Workshop

Identify capacity gaps at various levels — individual, organizational, and enabling environment — among EAS providers.

About this Guide

This Guide has been written to assist facilitators to organise a workshop for identification of capacity needs in EAS. The participants include individuals working at different levels performing different functions (research, teaching, practice and policy related to EAS), representing the public, private and NGO sectors. This Guide provides appropriate methods that could be used in different sessions along with tips for the facilitator.

PRE-WORKSHOP PREPARATION

Pre-workshop preparation is a process that needs to be undertaken to understand the topic and the context, develop an understanding of the stakeholders involved, and develop background materials for distribution prior to hosting the workshop. Figure 1 depicts an ideal pre-preparation plan for the workshop.

E-Discussion

Review of Literature

Interaction with Key Stakeholders

Publication of Review Paper

Workshops

Identification of Capacity Needs

Facilitators' Guide on CNA of EAS

Figure 1: Pre-Preparation Plan

Step 1: Review

A facilitator should understand various paradigms, concepts and dimensions of capacity, capacity development (CD) and capacity needs assessment (CNA) before he/she organizes a workshop on CNA.

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ASSESSING CAPACITY DEVELOPMENT NEEDS OF EXTENSION AND ADVISORY SERVICES (EAS): A REVIEW

WORKING PAPER 2015-001

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September 2015

To some, the terms 'capacity' and 'capacity development' are synonymous with workshops and trainings. For senior managers, it might mean organizational development. Non-Governmental organizations (NGOs) associate the terms with empowering individuals and grassroots organizations. In the case of international agencies and donors, capacity and CD is more about national institutions, governance, and economic management (Horton, 2002). Another related issue is the lack of systematic efforts to identify the capacity needs of EAS providers, which should be the starting point for organizing CD. Though a range of tools and approaches exist for assessing capacity at different levels, the tools are not used in designing CD interventions in EAS.
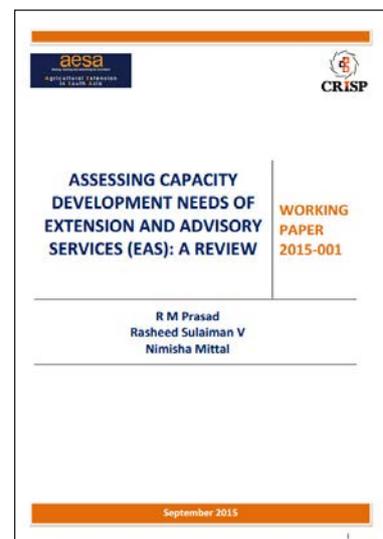
Undertaking a literature review on the topic of capacity, CD, CNA, and CD for EAS could help the facilitators to understand the latest developments in these areas and also guide workshop participants on the use of key concepts.
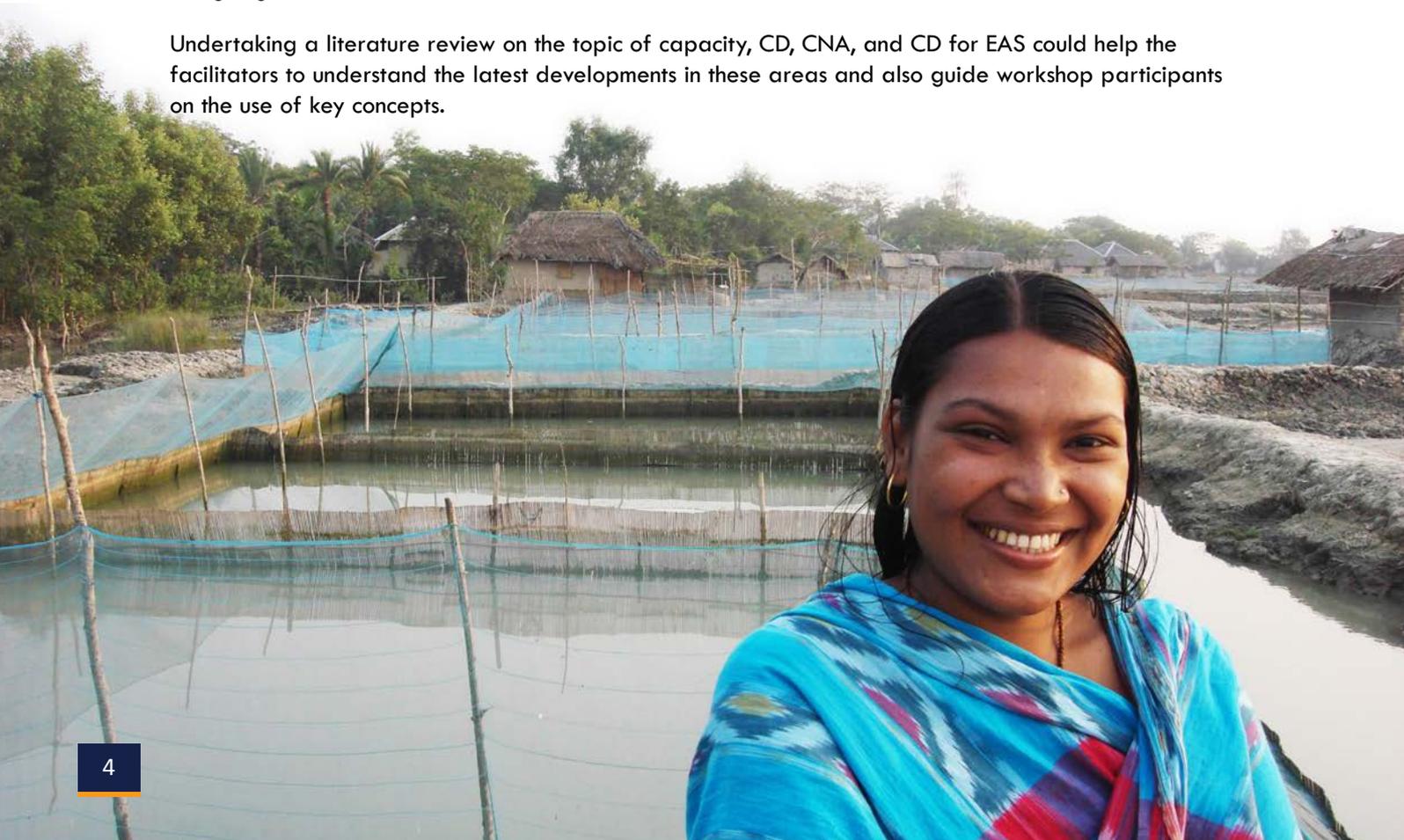
Step 2: E-discussion (to understand capacity gaps in EAS)

A facilitator should have a fair understanding of the capacity gaps among different EAS providers prior to the workshop. While some of this could be understood through a review of literature (depending on how much on this area is researched and published in the country and how much of this could be accessed through a web/database search), most of it has to come through interactions with various people. An e-discussion is an effective mechanism for gathering different perspectives across different actors in a short span of time.

Organising an e-discussion on the theme of capacity needs in EAS prior to the workshop has several advantages:

- it helps the facilitator to understand some of the major capacity gaps in EAS (Box 2);

- it helps in selecting a few participants who are genuinely interested in this topic and can potentially contribute (based on their contribution in the e-discussion); and

- it can present a summary of the e-discussion in the workshop, which would help in achieving a consensus on the need for CD very early in the workshop.

Box 2: E-Discussion on Capacity Need Assessment in South Asia

From 4-26 June 2015, AESA organized an e-discussion on Capacity Development for Extension and Advisory Service (EAS) providers in South Asia. Even though 60 people registered for the e-discussion, only 24 people actually participated in the discussion.

The following questions were posed in the e-discussion:

1. Do you think EAS providers need new capacities? The New Extensionist Position Paper (http://www.g-fras.org/en/knowledge/gfras-publications/file/126-the-new-extensionist-position-paper.html) lists several areas where capacity needs to be developed at the individual, organizational, and the enabling environment levels. What are the other areas where you think capacities need to be developed? What methods and approaches are to be followed in developing these capacities among EAS providers?

2. As you are aware, CD is not confined to training, though many consider training as the main strategy for CD. Quite often, the topics for training are decided by the training organizations. Do you think this type of supply-driven approach to training is helping CD among EAS providers to improve their performance? What is your experience in this regard?

3. CNA is considered as the first step in organizing effective CD programmes. What are your experiences (methodologies/approaches) with CNA in your organization/sector?

4. EAS providers need new capacities at the organizational level too (http://www.gfras.org/en/knowledge/gfras-publications/file/126-the-new-extensionist-position-paper.html). These include capacities related to: (a) strategic management functions; (b) operational capacity (relationships, processes, systems, procedures, sanctions, incentives and values); (c) human and financial resources (policies, deployment and performance); (d) knowledge and information resources; and (e) infrastructure. How can we develop these capacities? What is your experience in this regard? Where to start?

5. How do you assess capacity gaps in your organization? What are your experiences (methodologies /approaches) with CNA (both at the individual and the organizational level) in your organization/sector? Should there be a National Policy Framework for the CD of EAS providers? If so, how to implement it?

6. How do you assess the impact of CD programmes at the functional level? Or in other words, how do you assess the contribution of CD to individual and organizational performance? (Source: AESA, 2015)

Step 3: Interactions with organizations engaged in capacity development of EAS

Interactions with the key agencies involved in the CD of EAS would help in understanding the methods used to assess training needs and other CD gaps; approaches used for capacity development, their strengths and limitations, etc., (Box 3).

Such insights will be useful for designing the relevant sessions for the workshop.

Box 3: Insights from interactions with organizations involved in capacity development of EAS in India

Our interactions with organizations engaged in CD revealed the following:
- CD is mostly perceived and implemented as training of individuals;
- Lack of systematic efforts in identifying capacity gaps;
- Lack of a framework or policy for CD;
- Lack of convergence and coordination among different training organizations;
- Absence of induction training for EAS providers, especially in the public sector;
- No effective mechanisms for monitoring the effectiveness of CD programmes.

Step 4: Stakeholder mapping and participant selection

Selection of the right participants is one of the main factors that determine the success of a workshop. Several stakeholders representing the public, private and NGO sector are involved in EAS provision and they should all be represented in the workshop (Table 1).

Public Universities	Agriculture and Forestry University (AFU) Tribhuvan University (Institute of Agriculture and Animal Science) HICAST- Himalaya College of Agriculture Science and Technology
Public Extension Organizations	District Agriculture Development Office Directorate of Agriculture Extension Department of Agriculture Agriculture and Food Security Project Central Vegetable Seed Production Center Regional Agriculture Training Center
Public Research Organizations	Nepal Agriculture Research Council
Private Companies	Agro-Enterprise Centre (Federation of Nepal Chamber of Commerce and Industry Private Sector
International Non-Governmental Organizations	Local Initiative for Biodiversity Research and Development (LI-BIRD) IDE Nepal HELVETAS

Table 1: Types of participants in the CNA workshop at Nepal

Stakeholder mapping involves categorising stakeholders into primary, secondary, and external stakeholders (Box 4).

It is critical to identify the capacity gaps of different stakeholders in the context of EAS. Stakeholder mapping in EAS at the national levels was organised in each country by commissioning background/ status papers on EAS provision at the national level.

Box 4: Types of stakeholders to consider

Primary stakeholders are direct beneficiaries of EAS. These might be representatives of farmers and their organizations, and other actors engaged in the agricultural value chain who benefit from the EAS provision.

Secondary stakeholders are comprised of government agencies, NGOs, producer organizations, research institutions, and private sector engaged in EAS, etc., who also have a stake or interest in EAS, mostly directly through direct provision of EAS.

External or other stakeholders are people, groups or institutions not directly involved in the provision of EAS, but whose activities can impact the effectiveness of EAS, and these include organizations engaged in the CD of EAS, as well as donors and investors (including the government) who support EAS, etc.

Step 5: Self-assessment

If time and resources permit, self-assessment using semi-structured questionnaires among individuals working at lower, middle, and higher level positions in EAS in different sectors could be organized prior to the workshop. The results of this assessment could be shared with the participants before or during the workshop. The workshop could then build on some of the findings of this assessment. One good example comes from Ohio State University, which has developed a core competency self-assessment questionnaire for their extension staff (http://extensionhr.osu.edu/compmodel/howimprovecorecomp.pdf). This exercise can be conducted along with or as an alternative to stakeholder mapping.

A lot of information can be collected on existing capacities and capacity gaps by asking questions, which are pertinent and focussed. The questions have to ensure that the data collected are useful and meaningful. A good question should contain only one request or idea to be responded to. Instead of a structured questionnaire, a semi-structured questionnaire is considered more appropriate.

Semi-structured questionnaires are a mix of closed and open questions. It is appropriate to use this tool as it can gather a mix of qualitative and quantitative information related to existing capacities and capacity gaps. For instance, if we want to identify the capacities of EAS providers with regard to adapting to climate change, it is important to collect information about their understanding of the concept of climate change, the levels and type of their knowledge on adaptation and mitigation, climate resilient farming practices, etc.

Tips for Facilitators

- Questions should be simple and clear;
- Questions should be free from bias;
- Ask exactly what you need to know;
- Do not use leading questions where the response is anticipated;
- Never pre-empt a response;
- The questions must be developed clearly and to the point where they make sense and help in eliciting the right answers;
- The question usually needs to be broken down into two or three parts to make it relevant from the respondent's points of view.

WORKSHOP

A workshop must be carefully planned and designed in order to achieve the desired objectives. The sequence of the sessions in the workshop should be carefully and logically constructed keeping in mind the objectives, the intended outcomes, and the kind of audience/ stakeholders involved. Smooth transition from one session to another should engage the participants as well as retain their interest throughout. Innovative/interesting/ untried techniques should also be tried to evoke interest even in inactive participants. Retaining a key thread throughout the process of the workshop is of the utmost importance. This would be only possible if the facilitator is able to summarize, recap, and innovate wherever the need arises. Presentations interspersed with experience sharing, self-reflection, role play and card/group exercises are essential to break the monotony, retain the interest of participants, and attain the intended results.

Figure 2: Workshop Design

We used the above workshop design (Figure 2) for developing and testing the facilitators' guide. The workshop design has been illustrated in detail in this guide. The entire workshop process has been broken down into sessions (Session 1 to Session 10) and each session comprises several steps for ease of understanding. Options of various tools in different sessions/steps have been provided wherever possible.

Tips for Facilitators - Guiding principles for conducting an effective workshop

- Identification and selection of the key participants: Correct selection of participants for a workshop is vital to the success of any workshop.
- Clarity in communicating all aspects of the workshop to the participants prior to reaching the venue is critical. This could begin with the introductory invitation letter explaining the purpose of the workshop and highlighting the importance of attending it. In case, the workshop is demand driven, it would be prudent to communicate this aspect at the beginning and clearly emphasize the importance of the candidates' attendance and involvement/contribution.
- Once the participants affirm their availability to attend the workshop, it is important to continuously engage their interest by sending them relevant materials, such as the background paper, summary of e-discussion, self-assessment questionnaire, programme schedule, and workshop brochure from time to time.
- The logistics should be undertaken by the workshop organizers so that the participants are not hassled by any of the minor details and have no deterrents with regard to attending/ not attending.

Proposed workshop agenda/programme

The programme schedule is outlined below, showing a logical sequence of sessions and recommended time slots for each one of them along with a snapshot of resources required for conducting each session. The workshop organizers should develop a similar outline during pre-workshop preparation. However, the proposed workshop agenda helps to guide the organizers through the workshop process without forgetting any minute detail.

Time	Sessions	Resources
Day 1		
0900-0915	Registration	• Name tags (participants and organizers) • Pens, folders • Workshop agenda (participants and organizers) • Relevant reading materials • Note on logistics
0915-1020	Workshop Introduction	• Laptop and Projector • Mike
1020-1045	*Group Photo and Tea Break*	
1045-1230	Vision Mapping • Functional Assessment I • Introduction to new challenges in EAS • Functional Assessment II • Plenary	• Card Sheets-A5 size (half of A4):25 pink and 75 blue • Markers/Pens • Soft boards to display the cards • Soft board pins/thumb pins • Flip charts • Flip chart boards • Mike • Laptop and Projector • Digital sound recorder to capture the Q&A part of the plenary session
1230-1330	*Lunch Break*	
1330-1420	• Introduction to the New Extensionist • Introduction to Capacity Development and Capacity Needs Assessment	• Copies of the New Extensionist • Copies of The New Extensionist: Core Competencies for Individuals • Laptop and Projector • Mike
1420-1500	Capacity Needs Assessment at Individual Level • Asset Mapping I-Card Exercise to identify existing capacities at the individual level (field, middle and senior level)	• Card Sheets-A5 size (half of A4):25 pink, 25 blue, and 25 yellow • Markers/Pens • Soft boards to display the cards • Soft board pins/thumb pins
1500-1515	*Tea Break*	
1515-1605	Capacity Needs Assessment at Individual Level • Asset Mapping II-Group Exercise to assess new capacities at individual level • Plenary	• Laptop and Projector • Mike • Flip charts • Markers/Pens • Flip chart boards

Time	Sessions	Resources
1605-1730	Experience Sharing Government/NGOs/Private sector	• Laptop and Projector • Mike
Day 2		
0930-1000	Recap and Feedback	• Laptop and Projector • Mike
1000-1130	Capacity Needs Assessment at Organizational Level • Introduction to Organizational Capacities • Appreciative Inquiry • Group Exercise for identification of desired organizational capacities • Plenary	• Laptop and Projector • Mike • Card Sheets-A5 size (half of A4):25 • Markers/Pens • Soft boards to display the cards • Soft board pins/thumb pins • Flip charts • Flip chart boards
1130-1145	*Tea Break*	
1145-1230	Capacity Needs Assessment at enabling environment level • Introduction to capacities needed at enabling environment • Force Field Analysis • Plenary	• Laptop and Projector • Mike • Flip charts • Markers/Pens • Flip chart boards
1230-1330	*Lunch Break*	
1330-1400	Prioritizing Capacity Development Needs • Introduction to the concept • Group exercise	• Laptop and Projector • Mike • 5 Charts displaying the CD with needs identified by the participants • Dot stickers (75 for each chart) • Soft boards
1400-1545	Road Map for addressing identified capacity development needs • World Café • Plenary	• Laptop and Projector • Mike • Flip charts • Markers/Pens • Flip chart boards
1545-1600	*Tea Break*	
1600-1615	Feedback on the Workshop process	• Card Sheets-A5 size (half of A4):25 each, yellow and pink • Markers/Pens
1615-1630	Closing Session • Final Remarks • Distribution of certificates, photos	• Copies of Certificates of Participation • Copies of group photos • Copies of participants' list

Session 1: Introduction (Time: 60 Minutes)

This session involves registration, brief welcome address, quick round of introduction of all the participants and facilitators, a brief presentation on the rationale and purpose of the workshop and review of the logistics of the workshop, including boarding and lodging arrangements.

Step 1: Registration of the participants (Time: 10 minutes)

Participants register as they enter the workshop venue/room. They are provided with their name tags, folders and workshop agenda at the start of the day. If required, provide the relevant reading materials and note on logistics. The participants are seated at round tables in a cluster arrangement facing the LCD screens. It is important not to have lecture room/formal seating as it hinders interaction among the participants. Seating can be pre-arranged to prevent participants from sitting with known people/faces.

Step 2: Welcome note by the organizers (Time: 10 minutes)

The participants are welcomed by the facilitator or the representative of the organization hosting the workshop.

Step 3: Self introduction by participants (Time: 20 minutes)

Apart from the name and organization the participant belongs to, he/she may be requested to mention the role they play in EAS in this one minute self introduction. This is essentially an ice-breaking session and it helps in informing everyone effectively of each other, each ones' roles and helps in establishing ease among the participants, which is often critical for the success of a participatory workshop.

Step 4: Introduction to the workshop (Time: 20 minutes)

The facilitator apprises the participants on the rationale behind organizing this workshop, its objectives, why new capacities are important for EAS, from where the demand for CNA arises, and how the workshop is designed to achieve its objectives.

Tips for Facilitators

- The facilitator sets the tone/ground for the two-day workshop by way of introduction to the objectives of the workshop and emphasizes the need for effective CNA amidst challenging times. He/she can either use a presentation method to visually take the participants through the journey undertaken to reach the workshop or provide them with reading material (or both) to have everyone assembled in the room on the same page and enable higher/keener involvement.
- The facilitator should guide the participants in a participatory exercise to establish a few do's and don'ts (for instance, keeping mobile phones on silent mode) for the duration of the workshop so as to ensure optimum utilization of time and resources.

Session 2: Vision Mapping (Time: 100 minutes)

Visioning is defined as a mental process in which images of the desired future (goals, objectives, outcomes) are made intensely real and compelling enough to act as motivators for immediate action (WAC, 2013). The objective of the vision mapping exercise in the context of CNA is to help participants develop a vision that can assist them in identifying capacity gaps.

All participants of the workshop representing different sectors and stakeholders are one way or the other engaged with EAS at various levels (lower/middle/higher). It is important to reflect upon the larger vision (why?) behind the performance of different functions (what?) and assess how these functions are performed (how?).

Option 1: Functional Assessment

Step 1: Functional Assessment Part 1 (Time: 20 minutes)

The rationale behind this exercise is that prior to exploring new functions and new capacities, the current functions being performed by different organizations/different individuals engaged in EAS provision should be assessed. Functional assessment aims to understand the specific functions different organizations perform to achieve the purpose behind their existence. This session starts with a card
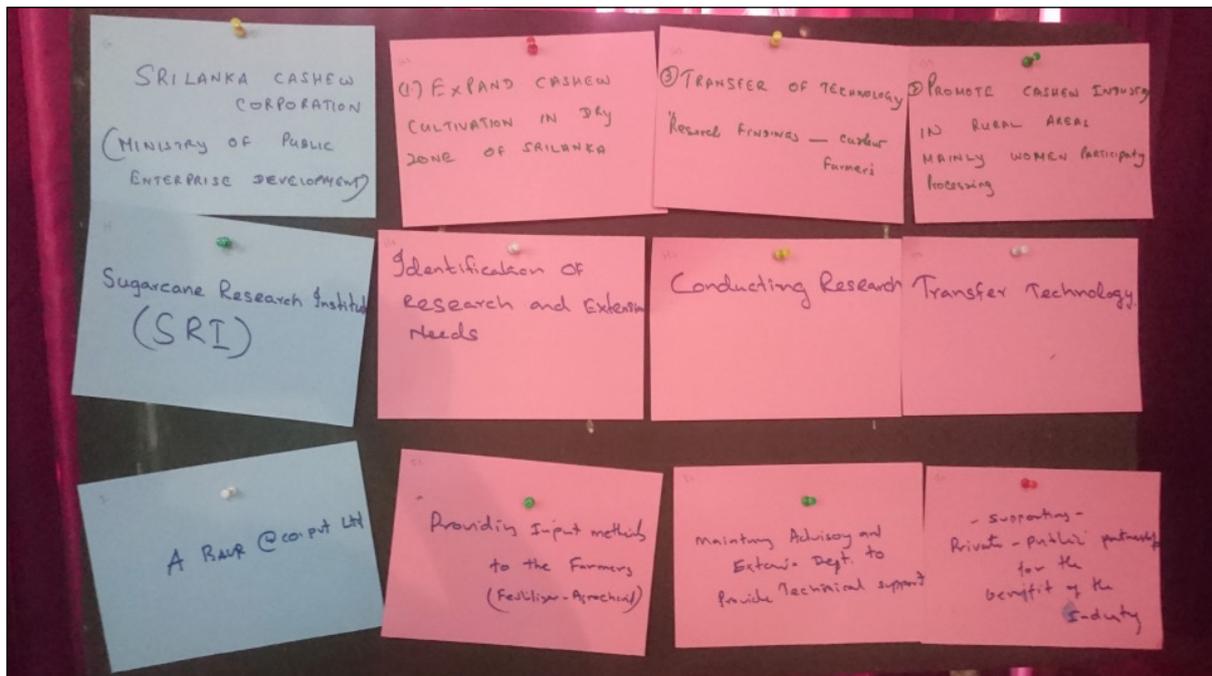
exercise. Each participant is given four cards (one card of one color, for example 1 **BLUE** card and three cards of another color, for example 3 **PINK** cards) and a pen. He/she puts the name of his/her organization on a blue card and on the three pink cards list three main functions performed by his/her organization in EAS delivery (one function per card).

The facilitator organizes the cards and displays the cards on the board(s) on one side of the room. He/she asks the participants to go around and have a look at different functions performed by different organizations. If the participants are from the same organization/department, the card exercise can be used to understand what each one perceives differently as the functions performed by their organization.

Instead of the option 1 individual card exercise, if time permits/if need be, the facilitator can opt for a group exercise to undertake functional assessment, instead of card exercise. He/she divides the

participants into groups of 5-6 persons each. Each group elects a facilitator and a presenter from among themselves. Each group is given a chart, a board, and few pens. Each participant has to answer some the following questions within the group (Table 2):

- What is the role of your organization? (WHY)
- What specific functions do you do to achieve the above purpose? (WHAT).

Table 2: Functional Assessment I

Actor /Organization	Purpose/Role	Function

The facilitator within the group must put everything on a chart/board and present it in the plenary session. The facilitator intervenes and asks whether these functions are adequate. If not, what else needs to be done to strengthen existing functions and also to initiate new functions?

However, this exercise could be more effective in a homogeneous group. In a diverse group, it might go haywire due to a variety of responses. It is up to the workshop facilitator to decide which method/ module would be practical in a particular situation.

Step 2: Introduction to the New Challenges in EAS (Time: 20 minutes)

Once the participants start thinking about the functions that they are performing in EAS provision, the facilitator should provide an introduction to the new challenges before EAS and the new functions (Figure 3) to be performed to address these challenges. The facilitator gives a PowerPoint presentation of 10 minutes to illustrate the new challenges before EAS, quoting global and country experiences.

Experience sharing by senior professionals representing the national agricultural or policy making body would be advantageous here as this will set the context for developing new capacities.

Figure 3: New Challenges and Tasks

Step 3: Functional Assessment Part II (Time: 30 minutes)

In light of the new challenges before EAS and the need for developing new capacities to perform new functions, it is important to discuss the following questions:

- Are the current functions performed by EAS adequate?
- What other functions have to be performed?

- Why are these new functions not being performed?

A group exercise could be used to brainstorm on these questions.

The facilitator divides all the participants into 3-4 groups. The number of persons in a group should not exceed six, which is an ideal number for a round table group exercise. Each group selects a facilitator from within the group to steer the discussion, and a presenter to record and present the report of the discussion. Participants reflect on the presentation and the previous card exercise for 20 minutes and come up with answers to the above questions. Each group records the answers on charts/boards. The findings from the Bangladesh workshop, AESA, organized in March 2016 are given below (Table 3).

Table 3: Results from the functional assessment exercise (Bangladesh, March 2016)

Group	Are the current functions performed by EAS adequate?	What other functions have to be performed?	Why are these new functions not being performed or not performed effectively?
Group 1	Inadequate	1. Provide more and easier micro-credit facilities in the public sector 2. Ensure stable and profitable prices for agricultural products 3. Ensure a farmer-friendly agricultural market system 4. Ensure eco-friendly agricultural products 5. Strengthening communication between GOs and NGOs 6. Enhancing one-stop service to the client 7. Client need-based policies	1. Due to systemic complication 2. Middle men, transportation and storage problem 3. Underdeveloped market system 4. Top-down policies 5. Lack of awareness about agricultural products
Group 2	Inadequate	1. Entire value chain management 2. Supply chain management 3. Market linkage 4. Knowledge management & networking 5. Group mobilization 6. Digital technology transfer 7. More effective field interaction	1. Confining mandate in supply chain & market linkage 2. Gap in capacity, skill, and knowledge 3. Inadequate capacity development 4. Inadequate need assessment
Group 3	Inadequate	1. Creating farmers' crop zoning, farmers' producer groups and marketing groups 2. Creating active farmers' cooperative societies 3. Ensuring market price for the farmers' products 4. Strengthening the collection of technology feedback from the farmers to develop sustainable technology 5. Ensuring easy access to credit system for the farmers	1. Lack of extension providers at the field level 2. Theoretical (not practical) capacity building program 3. Weaker monitoring system 4. Poor marketing system policy
Group 4	Inadequate	1. Well and effective market linkage 2. Adaptation of e-agricultural practices 3. Region-based media campaigning 4. Introduction of effective mechanization	1. Lack of proper planning & policy 2. Inadequate facilities and education 3. Insufficient policy 4. Lack of credit and capital

Step 4: Plenary (Time: 30 minutes)

One person from each group presents the findings of the group exercise. This is followed by a brief Question and Answer (Q&A) session where participants can seek clarifications and raise new questions. Each group gets five minutes to present and finally 10 minutes is allocated for other suggestions and comments on the findings of the session.

Option 2: Organizational Visioning (Time: 60 Minutes)

Organizational visioning is considered as an interactive process for engaging with the members of the organization to identify opportunities and facilitate the preparation of an action plan for the organization. It is a tool for creating awareness, and learning about change that will enable members to develop their visions of desirable future conditions, and for developing specific action plans (WAC, 2013).

The participants may be divided into groups. Each group is given three flip charts and different coloured markers. Each group draws three separate maps representing their organization in the past, present and the future (10 years from now). The maps should cover the capacities on which the organization operated in the past, the capacity gaps in the present, and the capacity needs of the future (WAC, 2013). The groups have to present their vision maps in the plenary. The present capacity gaps and future capacity needs can be brought out very well.

Another alternative to visioning could be the Problem Tree Diagnosis Method. In the case of CNA of EAS, this could be a good starting exercise to bring everyone to the same level of understanding on the problem (lack of capacities affecting delivery of relevant EAS support) and the need for undertaking CNA.

Tips for Facilitators

- The vision statement should be properly explained to the participants along with local examples.
- When the groups are preparing their different time period maps, the facilitator should properly explain that the past should include capacities that existed to do activities in the past, the present is what they are currently doing, and the future should include capacities that they may need for achieving their vision of the future.

Problem Tree Analysis (40-60 minutes)

Problem tree analysis helps to illustrate the linkages between a set of complex issues or relationships by fitting them into a hierarchy of related factors. The major assumption underlying the problem tree is the hierarchical relationship between cause and effect (DFID, 2003).

It can be an effective tool for building up a consensus for undertaking the CNA among the stakeholders too, or for bringing everyone on to the same page with regard to the need for undertaking CNA. The process involved in applying this tool in a workshop setting can be illustrated as follows:

The facilitator helps the organization/stakeholders arrive at the need for undertaking CNA using this tool. The participants are divided into groups. The stakeholder involved in EAS delivery can start by identifying the major existing problems/issues based on available information (Figure 4). They brainstorm within the group to identify problems.

Each group selects a focal problem for ineffective delivery of EAS. Either the facilitator can start with lack of capacity as a focal problem, or if time permits, the group can arrive at this as the root cause of the focal problem. Select one focal problem for the analysis, e.g. poor convergence.
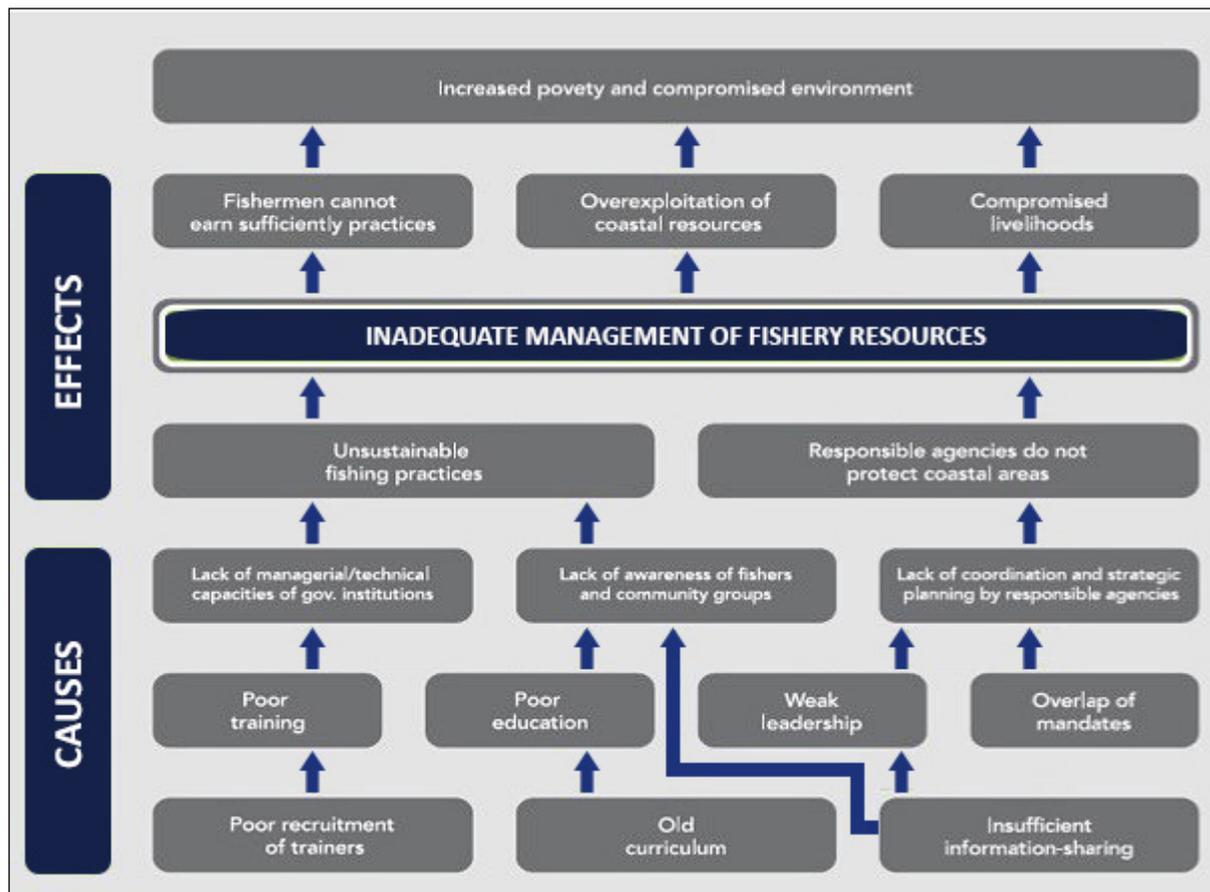
Figure 4 – Problem Tree Analysis (Source: FAO, 2012)

Each group develops the problem tree beginning with the substantial and direct causes of the focal problem, for example, lack of skills in personnel for effective convergence. Thereafter, the group comes up with the direct effects of the focal problem.

The groups discuss the findings in the plenary for further discussions.

Session 3: Introduction to Capacity Development & Capacity Needs Assessment (Time: 50 minutes)

Step 1: Introduction to the New Extensionist (Time: 10 minutes)

In this session, the three levels of capacities that are articulated in the New Extensionist (Box 5) are introduced to the participants.

Box 5: The New Extensionist

1. Today's agriculture confronts major challenges – food security, climate change, environmental sustainability, and uncertain markets – that require rural advisory services (RAS) to provide a wider range of services than ever before. At the same time, extension has increasingly been taken up by actors from the private sector, civil society, and farmer associations. Traditionally seen as production facilitators, extensionists are now called upon to support systems that foster interactions among agricultural actors and the institutions and policies that influence them.

2. In its position paper, the "New Extensionist", the GFRAS calls for the reinvention of RAS within this new rural context. It recognises that the wide range of skills needed for agricultural innovation and the growing number of actors involved necessitates building new capacities at the individual, organisational, and system levels. At the individual level, extension staff needs technical knowledge and the functional skills to manage social processes.

3. At the organizational level, extension services need the capacities and systems to manage human and financial resources; the mechanisms to facilitate partnerships and learning; and the procedures to deal with institutional, legal, and regulatory issues. At the system level, capacities are needed for collaboration, learning, and adaption. All three levels require the means to ensure equal access to services by women, young people, and other vulnerable groups and the opportunities to apply information and communications technologies to enhance the performance of RAS. The New Extensionist position paper can be downloaded from the GFRAS website at http://www.g-fras.org/en/157-the-new-extensionist

Step 2: Introduction to Capacity Development (Time: 20 minutes)

In this session, the facilitator introduces the concept of CD. The purpose of this session is to achieve clarity in understanding concepts such as competence, capability, capacity, and what we currently mean by capacity development. For instance, how CD differs from training? Is CD only about enhancing capacities of individuals?

The facilitator provides a quick introduction to the relevant terms (Box 6) interspersed with some anecdotal experiences from the visioning exercise of the previous session, which is fresh in the participants' mind.

To add flavour to the process, an expert from among the participants can be invited to deliberate upon how they/their organization look upon capacity and CD. For instance, he/she could reflect on the factors, driving forces or values that guide the process of CD.

Box 6: Capacity Development

Over the last two decades, the United Nations (UN) organizations have come up with various concepts and definitions on CD. The most important among these are as follows:

OECD/DAC (2006) had defined CD as the process whereby individuals, organizations and society as a whole unleash, strengthen, create, adapt, and maintain that capacity over time.

FAO (Food and Agricultural Organization of the UN) upholds the above definition and works towards implementing it in the context of its own mandate (FAO/ IPTRID, 2005). It describes CD as "the sum of efforts needed to nurture, enhance and utilize the skills and capabilities of people and institutions at all levels - locally, nationally and regionally and internationally."

UNDP (2009a) views CD as the process through which individuals, organizations and societies obtain, strengthen, and maintain the capabilities to set and achieve their own development objectives over time. An essential ingredient in the UNDP CD approach is transformation. Transformation goes beyond performing tasks, and it is more of changing mindsets and attitudes.

CD is much more than training and includes the following:

a. Human Resource Development: The process of equipping individuals with the understanding, skills and access to information, knowledge and training that enables them to perform effectively;

b. Organizational Development: The elaboration of functional concepts, structures, processes and procedures, not only within organizations, but also the relationships between different factors, approaches and sectors (public, private, community);

c. Institutional, Legal and Policy Framework: Making legal and regulatory changes, strategies and enabling organizations, institutions, agencies and the people at all levels and in all sectors to enhance their capabilities (UNDP, 2009b).

CD is fundamentally about change and transformation at individual, organisational, sectoral, and societal levels with long-term investments. Experience shows that CD cannot be confined to training although this has often been the case in the past. It is also important to look at the need for organisational change and review the legal and other institutional framework (SIDA 2000).

Step 3: Introduction to Capacity Needs Assessment (Time: 20 minutes)

The concept related to CNA (Box 7) and different frameworks used in CD (for example, FAO and UNDP) are introduced in this session. It is important that these sessions are as interactive as possible where the facilitator draws out from experiences in EAS or related sector and builds on the experiences and examples shared by the participants in the previous session.

Box 7: Capacity Needs Assessment

A CNA is not only about recognising gaps, but also about identifying existing capacity and latent capacity (current capacity that is neither used nor recognised) and ensuring that both are enhanced and clearly linked with the outcomes to achieve a desired result.

UNDP (2009b) makes the case for capacity assessment as a structured and analytical process, whereby the various dimensions of capacity are assessed within the broader socio-economic environment as well as evaluated for specific organisations and individuals.

The approach to assessing capacity can start with choosing one of two basic questions – 'What capacity is already in place?' or, 'How should it be and what is missing?', and the choice determines how the assessment is conducted. 'What capacity is already in place?' starts the incremental approach of identifying existing capacity and using that as the foundation for moving forward. 'How should it be and what is missing?' starts the gap analysis approach, which works from how things 'should be', then looks at how they are now, and define the difference between the two as what is missing 'the gap' (LENCD, 2011).

Session 4: Capacity Needs Assessment at the Individual Level (Time: 90 minutes)

Step 1: Asset Mapping I (Time: 40 minutes)

This is an individual card exercise that enables the participants to identify existing capacities that individuals have at different levels in their organizations (Table 4).

Table 4: Asset Mapping I

Level	Existing Capacities
Field level	
Middle management level	
Senior management level	

These assets need to be identified since they can be used as a foundation for organizational and individual improvement. Identifying assets also helps in internal mobilization of resources when external resources are not available.

Three cards of different colours could be provided to each participant (one for each level) and they should use the different colour cards to list out existing capacities of extension staff in their organizations at three levels:

- Field level
- Middle management level
- Senior management level
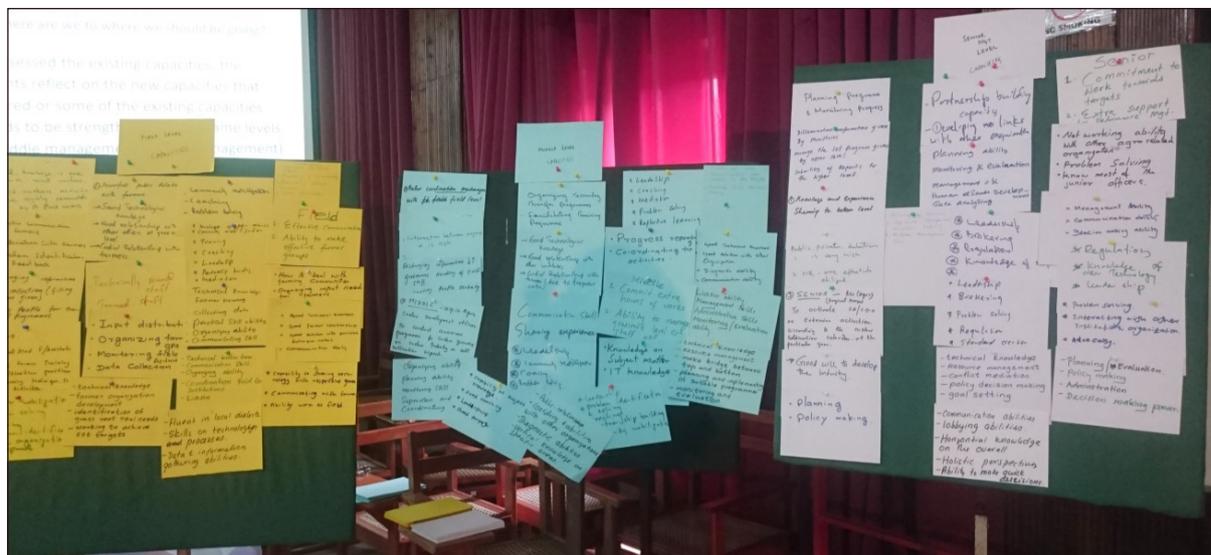
Tips for Facilitators

- The colour of the cards is only indicative and can be changed by the facilitator based on availability. But there should be cards of three different colours.
- These existing capacities can be organized on three boards separately by the facilitator for showcasing different capacities required at the field level, middle management level, and senior management level for effective EAS delivery.

Step 2: Asset Mapping II (Time: 30 minutes)

This is a group exercise involving Assessment of New Capacities at the Individual level – 'From where we are to where we should go (UNDP, 1998)'

In this exercise (Table 5), the participants are divided into four groups (each group not having more than 6 members) and each group discusses the areas where new capacities are required. The groups also discuss some of the existing capacities that need to be strengthened at the same levels (field, middle management and senior management) in EAS (irrespective of organizational affiliation). Each group selects a facilitator and a presenter from within the group to record the main observations/findings.

Table 5: Asset Mapping II

Level	Existing Capacities	New Capacities
Field level		
Middle management level		
Senior management level		

Step 3: Plenary (Time: 20 minutes)

The identified capacities are recorded on the charts and presented by each group in the plenary. This is followed by a discussion to list out the capacity gaps at the individual level in EAS.

Session 5: Experience Sharing (Time: 90 minutes)

This session is meant to capitalize on the diverse experience present in the room. There can be several short presentations from different organizations belonging to the public, private and NGO sectors. The presentations should focus on how different stakeholders are looking at capacity development and capacity needs assessment within their own organizations/ departments/units. The focus of this session is on cross learning and airing the challenges faced by different stakeholders in addressing capacity development.

Tips for Facilitators

- The facilitator, based on the self-introduction of the participants on Day 1 (Session1) should be able to invite different participants for an enriching experience-sharing session.
- She/he should give the option to the participants to present their experiences using the method they are comfortable with, whether it is extempore or using a PowerPoint presentation or showcasing a video.
- The facilitator should make sure there are equipment/tools appropriate to support experience sharing.

Session 6: Capacity Needs Assessment at the Organizational Level (Time: 70 minutes)

Step 1: Organizational Capacities: A Short Introduction (Time: 10 minutes)

This session introduces the types of new organizational capacities that are needed at the different levels. Some of these as articulated by GFRAS in the "New Extensionist" (GFRAS, 2012) can be summarized as follows:

- Institutions that enable sharing, interacting, learning;
- Strategic management functions;
- Structures and relationships;
- Processes, systems and procedures;
- Values, incentives/rewards;
- Human and financial resource;
- Infrastructure.

Tips for Facilitators

- The facilitator should also introduce the national priorities in agriculture during these sessions to enable a comprehensive understanding by the participants.
- Experts from national level organisations can be invited to share their experiences of addressing organisational capacities.
- Outcomes from the pre-workshop activities (CNA e-discussion/self-assessment at the organizational level) can be shared by the facilitator to help participants appreciate the major organisational challenges.

Step 2: Capacity Needs Assessment at the Organizational Level (Time: 60 minutes)

Option 1: Appreciative Inquiry

Appreciative Inquiry (AI) is a strategy for purposeful change that identifies the best of 'what is', so as to pursue dreams and possibilities of 'what could be' (IISD, 2015). It focuses on an organization's achievements rather than its problems, and seeks to foster inspiration in the individuals. Four stages in AI are illustrated (Box 8) below:

Box 8: Four Stages in Appreciative Inquiry

Discovery: Individuals of the organization identify significant past achievements and periods of excellence within the organization. Individuals are encouraged to reflect on periods when the organization was functioning at its best. The participants then seek to understand the specific conditions that made the achievement possible, such as good trainings, exposure visits, etc. They deliberately choose not to analyse deficits, but to learn from the successes.

Dream: Participants discuss how they could build on the possible and unique capacities to create an efficient organization. How can organizations serve farmers in a better way? What role can the participants play in empowering farmers? In this stage the participants become inspired and begin to understand the need for common action.

Design: This stage is intended to be provocative and aims to develop, through consensus, short and long term goals that will contribute to the overall vision of the organization. How can the training for extension service providers be strengthened by providing quality inputs and innovative ideas and practices?

Delivery: In this stage, the participants turn their image into a meaningful enterprise by establishing a road map for capacity building of the staff and monitoring of their activities.

Step 1: Appreciative Inquiry (AI) Part I (Time: 30 minutes)

In this session, the discovery part of AI is undertaken through a paired card exercise. Participants are paired and each individual reflects on significant past achievements in their organizations to identify factors that led to the success. Each individual interviews the other to enquire on the organizational elements (shared values, management style, systems and procedures, funding, etc.) that contributed to the success and records this in the cards. The interviewee reflects on periods when the organization was functioning at its best. The interviewer then seeks to understand the specific conditions that made the achievement possible, such as good trainings, exposure visits, etc. Success factors identified through the cards need to be organized on the display boards by the participants.

Tips for Facilitators

- Successfully applying AI requires creative and innovative facilitation.
- The facilitator should be both confident and competent at involving the participants.
- Pairing should not be random, but carefully thought out.
- Pairing exercise needs to be closely supervised and monitored by the facilitators.
- AI takes time. If it is attempted as a short exercise, energy and enthusiasm may not rise initially.
- Any conflict arising due to group members' disagreements should be effectively resolved.

Step 2: Appreciative Inquiry (AI) Part II: Identification of Organizational Capacities (Time: 30 minutes)

Following discovery (in the previous session), the facilitator guides the participants quickly into a group exercise. The participants are divided into four groups to foray into a reflection session. Each group elects a facilitator and a presenter within the group in a participatory process.

Each group reflects on the card exercise. Each group collectively identifies the desired capacities at organizational level for effective EAS delivery. Each group records and presents the findings before the wider audience for further discussion and refinement.

Option 2: SWOC Analysis

SWOC Analysis helps in matching the capacities of individuals and organisations to the environment they work in, and provide a broad indication of the future goals and plans of the organisation. SWOC is a strategic planning method used to evaluate the strengths, weaknesses, opportunities and challenges in an organization. It involves specifying and identifying the internal and external factors that are favourable and unfavourable to achieve the objective of the organization (WAC, 2013). This tool is effective in a more homogeneous setting.

Step 1: SWOC Analysis (Time: 40 minutes)

In this session, the facilitator explains the meaning of SWOC through examples (Table 6) related to CD. The participants are divided into groups, mostly homogenous, for example, extension personnel working at the field level, those engaged in organising extension training (working in training centres), and NGO functionaries. Each group deliberates on the following aspects:

Table 6: An example of SWOC Analysis applied to Capacity Development in EAS to adapt to climate change issues in India

STRENGTHS	WEAKNESSES
Enabling environment: Included in training policy	**Enabling environment:** Not mandatory, not focused
Organizations: Involved in training related to climate change interventions in agriculture	**Organizations:** Overlapping mandates of agencies involved in climate change
Individuals: Trainers in climate resilient agriculture	**Individuals:** Absence of Master Trainers or expert trainers

OPPORTUNITIES	CHALLENGES
Enabling environment: Programmes such as NICRA, provide training	**Enabling environment:** Risk and uncertainty in suggested interventions
Organizations: Capacity building in climate adaptation done by KVKs	**Organizations:** Lack of convergence of different departments and agencies
Individuals: KVK personnel are trained	**Individuals:** Lack of understanding on climate change and its dimensions

Strengths

- What are the advantages your groups/organizations have in terms of capacities?
- What makes your group/organization different from other groups/organizations with regard to existing capacities?
- What are the unique capacities that your group/organization possesses?

Weaknesses

- What are the capacities that your group/organization thinks can be improved?
- What are the practices that have to be discontinued which affect CD?
- Do you feel that your group/organization has many capacity gaps which need to be addressed? If so, what are they?

Opportunities

- What are the new opportunities available for enhancing the capacity of your group/organization?

- Do new policies exist which could help improve functional capacity of your group/ organization?
- Can your group/organization provide funding for getting yourself trained on topics of your interest?

Challenges

- Is there support from superiors for your proposals for CD?
- Could any of your weaknesses affect your capacity to deliver services to farmers?
- Which are the deficiencies that you feel can be remedied by attending trainings?

Step 2: Plenary (Time: 20 minutes)

Each group presents the findings of the SWOC analysis followed by discussions and a question and answer (Q&A) period to further consolidate this session and figure out the new capacities required at the organizational level.

Tips for Facilitators

- The strengths and weaknesses of the organization are internal in nature.
- Opportunities and challenges are external factors which are beyond the control of the organization. The members have to change their ways of functioning to address these factors.
- The facilitator should guide the members to clearly demarcate the differences between strengths and weaknesses.
- The positive aspects could be considered as strengths, while negative characteristics can be taken as weaknesses.
- The members may be asked to look at their strengths and then to analyse if any of these could open up new opportunities.
- The members can also look at the weaknesses and identify if they could open up new opportunities by eliminating them.

Session 7: Capacity Needs Assessment at the Enabling Environment Level (Time: 60 minutes)

Step 1: Introduction to New Capacities required at Enabling Environment Level (Time: 10 minutes)

In this session, the facilitator introduces the concept of the new capacities required at the enabling environment level. Some of these as articulated by GFRAS in the the "New Extensionist" (GFRAS, 2012) can be summarized as follows:

- Macroeconomic policies, incentives to increase production;
- Political commitment to agricultural development;
- Availability of policy framework;
- Capacity of policymaking bodies to adapt policies based on learning;
- Capacity and willingness of other actors to share resources and engage in joint action;
- Institutions that facilitate collaboration;
- Availability and access to inputs.

Step 2: Assessment of New Capacities required at Enabling Environment Level (Time: 30 minutes)

Option 1: Force Field Analysis (Time: 30 minutes)

In this session, force field analysis is conducted for identifying factors in the enabling environment that help or obstruct positive change (Figure 5). This exercise can be conducted only with the senior level people involved in policy engagement. If there are no such participants in the workshop this tool will not be effective at bringing out the desired outputs. The facilitator divides the participants into four groups of 6-7 people each. Each group selects a facilitator and a presenter from among themselves. Each group reflects on the forces in the external environment and the capacities that are needed at the enabling environment level to make positive changes in EAS. Each group lists all the driving forces on the left side and the restraining forces on the right side of the chart/board.

The facilitator asks them to identify ways in which the driving forces can be promoted, strengthened or maximized, and ways of reducing, weakening or minimizing the restraining forces. Participants work on each important force in turn. If there is no way/mechanism of reducing a restraining force, they write 'No action possible' against it. Participants identify the most important forces and circle all the important forces on their list. If the driving forces clearly outweigh the restraining forces, then the participants check 'Do I really want to achieve this?' If the answer is another 'yes', then they adopt their objective and begin work on the forces. If the answer is 'no' to either question, the participants revisit with further ideas and revise their objectives.

Tips for Facilitators

- The facilitator should be able to guide the participants to be very specific (what, who, where, when, how much, how many, etc.).
- Forces can be inside (individual/organization) as well as outside.
- Indicate how the force will contribute to/restrain (individual/organization) from meeting the objective.
- Make sure the forces are real, not assumed.
- It is often useful to get others' ideas and suggestions to help here.
- The secret of the technique is to address the forces most likely to tip the balance.

Driving forces →	Restraining forces ←
• Inflation down, growth up: encourages investment by forest product producers and a larger private sector • Primary school enrollment up: will eventually increase capacity of workforce, entrepreneurs and managers • Market liberalisation: smallholders' livelihoods boosted (but downside: expanding farms encroaching on forest) • Privatisation and deregulation: opportunities for commercial plantations and smallholder tree production • Land policy reform: registration of communal land will increase security of access and use and encourage long-term investment eg. in tree planting	• Chronic land shortage and food insecurity: puts additional pressure on forests; not conducive to long-term smallholder tree production, or larger forestry investment • Credit use and repayment declining: militates against small and medium enterprise • Roads, law and order, deteriorating: keeps smallholder farm gate prices low; reduces security of forest and tree assets • HIV/AIDS spiralling: high mortality in workforce - rural, urban, forest; the fit have to look after the sick, and orphans; and funerals make financial demands • Chronic shortage of fuelwood: more time looking for fuel means less time on productive work; burning of crop residues reduces soil fertility; fuel shortages mean less food cooked reducing nutrition standards especially for children • Civil service reform and shrinking budgets: collapse in capacity leading to poor management of plantations and natural woodland • Weakly-planned decentralisation: local communities unable to realise opportunities to access resources, assert rights and rise to responsibilities

Figure 5: Force field analysis: Developing a National Policy in Malawi (DFID, 2003)

Option 2: PESTLE Analysis (Time: 30 minutes)

In this session PESTLE Analysis is conducted to assess and analyse the external environment in EAS/of an organization. This is a model for analysing macro-environmental factors affecting the performance of an organization. The basic PEST assesses the Political, Economic, Social, and Technological environment within which an organization operates. There are several variations of the PEST. Some analysts add legal and environmental factors, renaming it into PESTLE or PESTEL; others add ethics and demographic factors (TAP, 2016). In this session the participants reflect and brainstorm on the aspects of the external environment (Table 7) that are beyond the direct influence of the organization, but which should be considered by the organization when undertaking capacity development needs assessment, and planning for future strategies to address these gaps.

Table 7: An example of enabling environment factors in PESTLE analysis (FAO, 2013)

Political	Economic	Social	Technological
Ecological/ Environmental issues	Home economy situation	Lifestyle trends	Competing technology development
Current legislation home market	Home economy trends	Demographics	Research funding
Future legislation	Overseas economies and trends	Consumer attitudes and opinion	Associated/dependent technologies
International legislation	General taxation issues	Media views	Replacement technology/solutions
Regulatory bodies and processes	Taxation specific to product /services	Law changes affecting social factors	Maturity of technology
Government policies	Seasonality/Weather issues	Brand, company, technology image	Manufacturing maturity and capacity
Government term and change	Market and trade cycle	Consumer buying partners	Information and communications
Trading policies	Specific industry factors	Fashion and role models	Consumer buying and mechanism/technology
Funding, grants and initiatives	Market groups and distribution trends	Major events and influences	Technology legislation
Home market lobbying/pressure groups	Customer/end user drivers	Buying access and trends	Innovation potential
International pressure groups	Interest and exchange groups	Ethnic/Religious factors	Technology access, licensing, patents
Wars and conflicts	International trade/ Monetary issues	Advertising and publicity	International property issues
		Ethical issues	Global communications

Step 3: Plenary (Time: 20 minutes)

In this session, the results of each groups' discussion based on the force field analysis/ PESTLE analysis for implications on the new capacities required at the enabling environment level are shared by a presenter from each group. A facilitated discussion follows interspersed with questions and answers.

Session 8: Strengthening Capacities of EAS – Priorities and Ways Forward (Time: 30 minutes)

Dotmocracy -- Priority Setting on Capacity Development Needs

Dotmocracy is a facilitation method used to describe voting with dot stickers. Participants vote on their favourite options using a limited number of stickers. It works well with large groups (e.g., 20-30 participants), in situations when a quick 'read' of group feelings is required and when participants are not able to engage in very rigorous and analytical ranking processes.

Prior to this exercise, the CD needs at individual (field level, middle level and senior level), organizational, and enabling environment levels identified by the participants in the above sessions are summarized by the facilitators on five charts with CD needs at various levels:

- Field level individual;
- Middle level individual; Senior level individual;
- Organizational level;
- Enabling Environment.

Tips for Facilitators

The facilitator should be careful that:
- Summary of the CD needs encompass only the participants' ideas/findings from earlier sessions.
- Charts displaying the CD needs are placed in different corners of the room on boards.
- Each participant uses only one sticker for highlighting one capacity need. She/he is provided with three stickers each for each card only.
- Dot stickers should be placed in small containers next to the board holding the chart.
- All the participants should take part in this exercise.
- The participants must not crowd each other while carrying out this exercise.

In this exercise, each participant is provided with three dots (red stickers) per chart and they are invited to place the dots on the top three priorities in capacity needs in each chart.

Thus each participant places three dots in all the five charts and prioritizes the top three priority CD needs at the individual (field, middle, and senior), organizational, and enabling environment level. The facilitator adds up the rank given to each priority area by adding up the stickers against each point in each category chart. Those areas that get the maximum rank are considered as the immediate priorities for CD.

Session 9: Suggested Interventions: Way Forward for Addressing Identified Capacity Development Needs (Time: 105 minutes)

Step 1: Suggested Interventions (Time: 60 minutes)

This session is based on the top three priorities identified during the Dotmocracy undertaken in the previous session. The facilitator should decide on the appropriate method in order to build upon these outputs and come up with valuable recommendations for the way forward for capacity development (CD).

Option 1: The World Café (Time: 60 minutes)

World Café methodology is a simple, effective, and flexible format for hosting large group dialogue (http://www.theworldcafe.com/key-concepts-resources/world-cafe-method/). This approach could be used to facilitate the discussion on the way forward on how to implement the top three priority areas identified through the Dotmocracy exercise in the previous session.

The participants are divided into five groups. They sit around a table and hold a series of conversational rounds lasting for 10 minutes about the way forward to implement the above three top priority capacity needs at each level (Individual - field, middle, senior/organizational/enabling environment). At the end of each round, the facilitator in charge of each table remains fixed/stationary as the host, while the others move to other tables. The hosts welcome newcomers to their tables and share the crux of that tables' conversation till that point. The newcomers further deepen/widen the ambit of the conversations through their insights as the round progresses. This process continues till each of the tables is visited by each of the participants. In the end, the five hosts from the five tables present the outcome of the discussions on ways to implement the top priority CD needs at each level.

Tips for Facilitators

- The selection of the facilitator for each table is critical to the success of this method/session. Hence the organizers should either select external facilitators for each table or select them from the participants based on their skills in facilitation, synthesis, and reporting as exhibited in the previous sessions.

Option 2: Road Map for Capacity Strengthening (Time: 60 minutes)

In this session, the facilitator divides the participants into four groups and asks them to prepare a road map for capacity strengthening. Each group elects a facilitator and a presenter. The facilitator summarizes a road map (Table 8) for capacity strengthening based on the prioritized CD needs from the previous session. This can be a combination of Sessions 7 and 8 where the participants had alloted ranks using this table and ranking.

Table 8: Road Map for capacity strengthening

Dimen-sions	Capacity areas	Existing situation WHERE ARE WE NOW?	Desired situation WHERE DO WE WANT TO BE?	Capacity Develop-ment needs	Suggested interven-tions	Respon-sible actors	Priorities (1-4) 1 = urgent 2 = medium term 3 = long-term 4 = not a priority
Enabling environ-ment							
Organiza-tional							
Individu-als							

(Source: FAO, 2010)

Step 2: Plenary (Time: 45 minutes)

The discussions held in World Café/Road Map are recorded on the charts and presented by each group in the plenary. A facilitated discussion ensues followed by Q&A.

Tips for Facilitators

- The facilitator should realise that this is the final output of the workshop and of utmost importance. It is critical to draw out a clear cut/articulate strategy for the way forward.
- The facilitator should be able to retain the interest of the participants for this session and should prepare them from the beginning of the day so that their interest and energy does not flag towards the end.
- The facilitator records the output of this session and shares it with the participants once the proceedings are ready.

Session 10: Closing Session (Time: 30 minutes)

Before the closing of the workshop, participants are given one card each to provide feedback on both the positive and negative aspects of the workshop, anonymously. The participants should be asked to provide feedback on the quality of processes, methods, facilitators, etc. The participants should be requested to specify if they found something to be useful or new and at the same time they should also be invited to provide suggestions for further improvement. This can be followed by an open feedback session with the participants about the workshop, if necessary. In the final remarks the organizers can thank everyone for their presence, which made the workshop possible.

At the close of this session the participants are given their participation certificates, a copy of the group photo, and any other workshop outputs. With this the workshop concludes.

Other Options for Identifying Capacity Needs

Work Plan Development

This plan can help in identifying the capacity gaps in a single organization.

Ideally in this session, the groups (staff working within a unit or a programme) identify their objectives, their future plans and how they are planning to achieve these objectives. The work plan focuses on activities that can be implemented by the groups to ensure that they achieve their goals/vision. These are based on their relative strengths and opportunities for improvement, the environment they work, the capabilities of their partners and stakeholder, and the individual wants and needs of each group member. The work plans also give a clear indication of what gaps exist in the group's structure/resources that may be addressed through appropriate capacity building programmes (WAC, 2013).

The facilitator should introduce the session by explaining the work plan development process and explain how the different activities that groups have done can be linked. These contribute towards achieving their vision, which is their desired future state (long term). To achieve their vision, they need objectives, which are specific that can be achieved in the short term (3-5 years).

Ask each group to list out five aspects they hope to achieve in the next three to five years. These are thus their objectives. All participants, within their respective groups, are required to rank the objectives they identified in the order of their importance. The first objective should be the most important and the one that has to be achieved first, before going on to any of the others. Using one or two objectives from one of the groups, ask them what steps they will take to achieve the objective. These are their strategies.

For each of the objectives, groups are expected to identify the gaps to be addressed as well as the needs. These gaps and needs should relate to the strategies highlighted. Groups should identify gaps in technology, knowledge, and skills. Capacity gaps are to be highlighted. Each group may present one objective with their strategies and capacity gaps for that strategy. Capacity gaps are written on the flip chart. The other groups can comment on the presentation.

Tips for Facilitators

- Each group must be encouraged to get as many different ideas from group members as possible.
- Emphasis must be placed on individual wants and needs, and not on those of the group.
- The vision of each group should be clear to the members. The objectives must be made SMART (Specific, Measurable, Attainable, Relevant and Time bound). The facilitator has to explain the importance of SMART objectives.
- The facilitator has to guide the group to arrive at strategies to attain the objectives.
- The group could be helped to identify the gaps in implementing the strategies. The gaps need to be specific (for example, if training is mentioned, the type of training should be specified).

Functional Assessment (Job-Task-KSA Gap Analysis)

This session tries to match the job requirements to the individuals' capacities in terms of what is required apropos knowledge, skills and attitude. It starts with understanding the job in terms of tasks and sub-tasks and goes on to define the KSA needed by an individual to optimally performing the job. Thereafter, the facilitator guides the session to address the gaps in the required and actual capacities (Figure 6). This is an effective tool/framework for capacity strengthening.

Outcome of KSA Gap Analysis			
Learner profile: Forest extension officer			
Job description: Community forestry assessment			
Required action/task 1: Negotiation with community — preparing the management plan			
Current capacity: Limited	Knowledge: Reasonable understanding of CF management plan process	Skills: No facilitation/ negotiation skills	Attitudes: Good relationship with villagers, but tends to work with men and avoids women
Required capacity: High	Knowledge: Improved understanding of CF management plan process	Skills: Facilitation/ negotiation	Attitudes: Gender concerns

Figure 6. KSA Gap Analysis (IUCN, 2009)

Step 1: Before assessing the individual capacities, it is useful to spend some time in analysing what is actually expected from the individual (field, middle, and senior level) and what should be the degree of performance/level of performance of the individual if certain actions/results are to be achieved.

The facilitator can start the exercise by taking the official job description or terms of reference for each individual as the starting point and carry it forward by asking the participants to relate it to their actual work, reflecting on what achievements the participant is proud of, what they enjoy doing, etc.

This analysis (IUCN, 2009) delves into the following aspects:

a. Job analysis

Job analysis involves breaking down the job into specific tasks and carefully examining them in the context in which the job has to be done, why it needs to be done, and what the problems are. (The overall context of the job should also become clear during the organizational analysis.)

b. Task analysis

Task analysis involves breaking down the tasks into smaller sub-tasks. This is particularly important if the individual needs to carry out specific actions required for reform or change. The task listing may be used to determine which of the tasks are perceived to be critical, either because they have to be done often or because the individuals find them difficult. The task listing can also be used to gain an idea of the individuals' perception of individual development needs and the importance of performing that specific task in their jobs.

c. KSA analysis

KSA analysis involves breaking down the sub-tasks into required knowledge, skills, and attitude to perform the identified sub-tasks or actions at the required level.

Step 2: The KSA Gap Analysis

Gap analysis involves analysis of capacity at the individual level for performing key functions or actions to achieve a desired outcome(s) or objective(s) (IUCN, 2009).

During this session, gaps are identified between the result of the required job-task-KSA analysis and the current job-task-KSA assessment. The facilitator helps the participants in developing specific learning objectives and contents related to the actual job, roles, tasks, and responsibilities.

The advantage of this approach is that it helps make the capacity-strengthening process more practical by including attitude and skill development. This tool also helps in determining the scope, appropriate approach, and time needed for any capacity-strengthening intervention; and for assessing the progress of the participants through monitoring and evaluation exercises.

Tips for Facilitators

The facilitator can prod the participant to reflect on the following in light of the earlier defined tasks and responsibilities:

- What makes these tasks and responsibilities easier or harder;
- The driving interests and motivation;
- Dislikes about the job;
- Future perspective, wishes;
- Opportunities, constraints, problems, and ideas on how to resolve these;
- Weaknesses in knowledge or skills;
- Past training experiences, likes and dislikes about these;
- Perspectives on the concerned organizations and communities.

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ASSESSING CAPACITY NEEDS OF EXTENSION AND ADVISORY SERVICES
A Guide for Facilitators

About 80% of South Asia's poor live in rural areas. Most depend on agriculture for their livelihood. A pluralistic and demand driven extension provision, that offers a much broader support to rural producers, is critical for agricultural development and poverty reduction in South Asia. One of the major priorities identified during the first meeting of the AESA (Agricultural Extension in South Asia) network was capacity development of EAS providers. The first step in this direction was to assess the capacity gaps among the EAS through undertaking a capacity needs assessment at the national level in select countries in the region.

This guide has been compiled by the Centre for Research on Innovation and Science Policy (CRISP) for AESA through the assistance of a research grant from the Global Forum for Rural Advisory Services (GFRAS). This guide builds on the outputs of the four National Workshops on "Capacity Needs Assessment of Extension and Advisory Service (EAS) Providers" held in India, Sri Lanka, Bangladesh and Nepal during 2015-2016.

This guide can be used as a standalone document /procedure for assessing the capacity needs of the extension and advisory service providers. However, using this guide for CNA has greater value if the outputs of this exercise are linked to a capacity development process. Moreover, this process also needs to be organised from time to time to identify new capacity gaps.