Sub-Saharan Africa Challenge Programme
Monitoring and Evaluation Strategy

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1. Introduction

1.1 Participatory Monitoring and Evaluation

The monitoring and evaluation within the SSA CP has been designed with project teams and partners to allow the program to analyse and document the proof of concepts for integrated agricultural research for development (IAR4D). It further allows the programme and its partners to document and use information regarding the processes, the activities implemented by SSA CP, and their impacts at individual partner, organisation, community, market and household levels. The monitoring, evaluation and reporting system aims at efficient use of this information to further the understanding of what SSA CP is doing, what it is accomplishing, and what impact the activities have. It also disseminates information regarding the costs of these activities, along with suggesting what needs to be adapted or scaled out. In line with this, the PM&E system aligns itself to the SSA CP impact pathway, research questions and hypothesis as outlined in the MTP and the research framework.

In developing the SSA CP PM&E system, we have taken into consideration the general definitions of the concepts of monitoring and evaluation.

Box 1: Monitoring and Evaluation; Key definitions

Monitoring is a continuous systematic and critical review conducted with the aim of checking progress on the six outputs. If there are any discrepancies between planned and actual results and contextual changes, corrective action can be taken. This implies that monitoring is a more frequent form of reflection. Monitoring is an essential part of good management practice, which is already taking place in BAPPA without the framework.

Evaluation is a time-bound exercise that attempts to assess the relevance, performance, and success of ongoing processes and completed events. Evaluation involves comprehensive analysis with the aim of adapting strategy, planning, and influencing future policies and programmes. This implies that evaluation is a more complete, cumulative, and thorough process and a less frequent form of reflection. It usually takes place at specific points in time – e.g. mid-term and summative evaluations – and leads to decisions of a more fundamental nature. It should assign a value to the outcomes and impact of the process or programme.

Participatory monitoring and evaluation (PM&E) refers to the involvement of multiple stakeholders in the design and implementation of observing, systematizing and interpreting processes as a basis for joint decisions about improving their joint activities. PM&E is not an end in itself but rather a management tool, whether for managing natural resources, social relations within a given area or relations between local people and outside agencies (e.g. government services and intervention projects).

The PM&E system is intrinsic to the project's design and implementation. Monitoring and evaluation in SSA CP serves several functions including: (i) tracking progress; (ii) learning and change; (iii) collecting data for testing hypotheses; and (iv) project management. As a result of this, PM&E is both built into the research design of the SSA CP and integrated in the action research process, including in the innovation platforms.

1.2 Sub-Saharan Challenge Program (SSA CP)

The Sub-Saharan Africa Challenge Programme (SSA CP) is an African-led research initiative that seeks to increase the developmental benefits from agricultural research and development (ARD). While agricultural research in Africa has produced numerous excellent research outputs, it has not generated the expected developmental benefits across the continent. SSA CP aims to achieve this objective by proposing, testing and evaluating a more effective alternative to the conventional ARD approaches. IAR4D is an action research approach for investigating and facilitating the organisation of groups of stakeholders to *innovate more effectively* in response to changing complex agricultural and natural resources management contexts, and to achieve developmental outcomes. SSA CP has been testing the concept of IAR4D with the intention of scaling it out. The testing is carried out in three carefully delineated Pilot Learning Sites (PLSs) – one each in East Africa, West Africa and Southern Africa.

The 18-month inception phase of the SSA CP ended in 2006 and was largely successful in establishing governance and management structures; drawing up a strategy, developing a research plan, and, through a competitive process, identifying the teams that would implement the plan. The subsequent three year research phase would focus on proof of the IAR4D concept in a "scientific, statistically based manner". The CGIAR Science council (SC) outlined three research questions the program would seek to answer in establishing proof of the IAR4D concept. These were:

- Does the IAR4D concept work and can it generate deliverable international and regional public goods for end users?
- Does the IAR4D framework deliver more benefits to end users than conventional approaches (assuming the conventional research, development and extension approaches have access to the same resources)?
- How sustainable and usable is the IAR4D approach outside the test environment?

Further to the continuation of the second phase of the project, the SC recommended that SSA CP's research should focus on the interfaces of processes driving (a) productivity gains, (b) efficient use of resources and the care of the environment, (c) agricultural policies, and (d) markets as the problem and opportunity spaces within which IAR4D will be implemented and evaluated. In response, the SSA CP developed a research plan articulating the methodology it proposed to follow in answering the above research questions.

1.3 Integrated Agricultural Research for Development (IAR4D)

The point of departure of IAR4D from conventional ARD is that whereas the latter treats research-development-production-consumption as a linear process (Figure 1) in which research is by far the predominant source of knowledge, IAR4D embeds research within an innovation system comprising relevant actors who interact within a network to develop, test and promote technological and institutional innovations along agricultural value chains. The network (systemic) approach facilitates timely feedback to researchers and aims at promoting
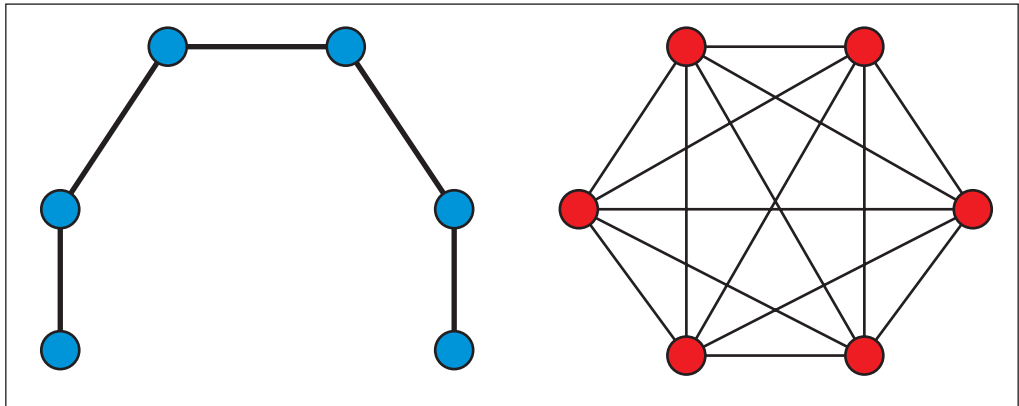
Figure 1: Structure of IAR4D

knowledge sharing and interactions leading to innovations. Innovation refers to the activities and processes associated with putting into use new technical and institutional or organisational knowledge therefore adding value to products of research thus catalyzing the achievement of development impact.

IAR4D is characterised by key process principles that include the following.

1. An innovation Platform (IP) has to be in place before beginning the process of finding the solution to a problem that has been identified

   a. IP is multi-sectoral, multi-institutional coalition of actors in the agricultural value chain system

   b. IP actors are organised in partnerships/teams to bring about change

   c. IP actors have competence, interest, and a stake which enables them to innovate jointly.

   d. The composition of the IP is determined by certain problems, opportunities and entry points

2. A non-linear collective and collaborative interaction among actors (rather than linear researcher-extension-farmer transfer of technology model)

   a. Direct interaction and communication among actors

   b. Knowledge sharing among different stakeholders

   c. Quick and continuous feedback from end users (farmers) at all stages of the research for development

   d. Flexible, adaptable to new knowledge, builds on experiential learning, relies on internal M&E for continual corrective feedback

3. The research addresses key constraints and opportunities agreed by the IP in the context of entire value chains (from input supply through production to consumption) and sustainable livelihood systems.

4. The research process must be multidisciplinary and participatory.

5. The provision of institutional and human capacity building opportunities in which IAR4D actors effectively participate where:

   a. Needs are identified by IP

   b. Training (formal and non-formal) is provided by appropriate partners.

1.4 SSA CP Impact Pathway

The point of departure of the IAR4D approach from the conventional R&D and extension approach is that instead of exogenously bringing innovations into the system, an institutional innovation – the Innovation Platform – is set up and this, in turn, endogenously generates technological, market, institutional and policy innovations. The SSA CP impact pathway begins with the establishment of innovation platforms that bring different actors together. In these innovation platforms the priorities that would determine the objectives of the research are agreed upon, a concept and plan of action developed and the roles of each actor or groups of actors on the platform clearly defined. The research process then involves the use of **inputs** which include information, research staff, research collaborators and financial resources to generate innovations and outputs.

Figure 2 summarises the research-to-impact pathway used to hypothesise the causal relationships between research inputs, research outputs (the IP institutional innovation), IP outcomes (knowledge and behavioural outcomes and innovations at the interfaces of processes driving productivity, environment, policies and markets and efficiency of innovation development and dissemination); and knowledge and behavioural outcomes at the household/community/market levels and impact outcomes.

Figure 2: SSA CP impact pathway
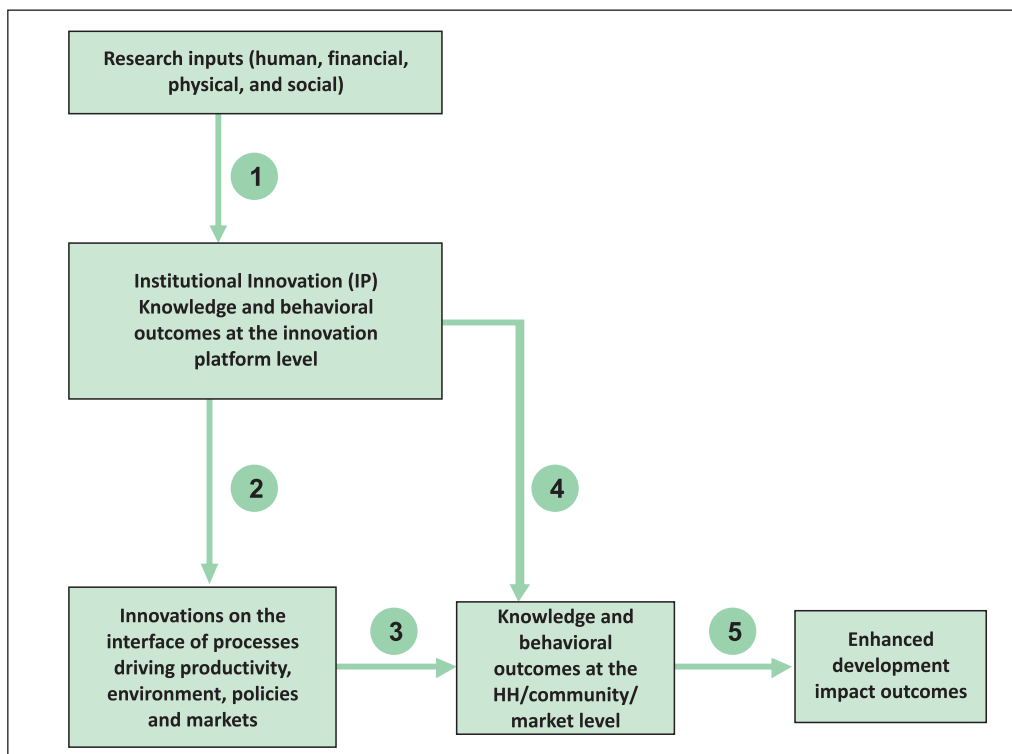
Outscaling using agricultural development processes leads to improved food security, income, livelihood assets as well as strengthens the natural resource base and its resilience to shocks – i.e. **impact.**

The realisation of the impact pathway is based on the premise that the nine TF projects implement IAR4D. The monitoring and evaluation, therefore, considers the extent to which these nine projects adhere to the principles of IAR4D.

1.5 SSA CP Outputs, Outcomes and Impacts

SSA CP is divided into four projects. M&E is implemented in each of these. Every PLS forms the grounds of a project, in addition to which there is a larger meta-analysis project. A summary of the project outputs, outcomes and impacts is given in Table 1.

Table 1: Pilot Learning Site and Meta-analysis project outputs, outcomes and impact

PLS projects		
Output	**Outcome**	**Impact**
1. Innovation platforms (IPs) introduced and functional 2. Potential technological, market, policy and institutional innovations identified, developed and mechanisms for putting them into use analyzed 3. Lessons learned from the innovation platforms evaluated and documented	1. Knowledge and information flows among IP members. Communication between IP members and community improved 2. Awareness among IP members and between IP members and communities about potential technological and institutional innovations increased 3. Awareness about sustainable NRM and markets among members and farmers increased 4. Adoption of technological and institutional innovations / inputs by farmers, agribusiness and other players in the value chains increased 5. Efficiency along the targeted value chains increased	Improved food and nutrition security, increased household incomes, reduced poverty, and sustainable natural resource management.
Meta-Analysis Project		
1. Empirical evidence of whether IAR4D works, the extra benefits it delivers compared to those delivered by traditional approaches given the same resources, and whether it is replicable beyond the test sites 2. Guidelines/principles for implementing IAR4D 3. A database of process and impact indicator variables for 36 innovation platforms and their associated research communities and households 4. Methods and tools for designing, implementing and analyzing social experiments in sub-Saharan Africa	1. Increased adoption and reliance on IAR4D (increased Involvement of non-traditional actors in ARD) 2. Increased investment towards supporting IAR4D processes 3. Increased human and institutional capacity for innovation among ARD actors	Improved returns from agricultural research and development, contributing to improved food security, increased household incomes, reduced poverty, and sustainable natural resource management.

1.6 SSA CP Research Questions

The SSA CP has three key research questions that are aimed at the proof of concept of IAR4D. The research questions and the corresponding research hypothesis are shown in Table 2.

Table 2: Key Research Questions and Hypothesis

Research Questions	Corresponding Hypothesis
Does the IAR4D concept work and can it generate international public goods (IPGs) and regional public goods (RPGs) for end users?	H1: If an innovation platform is created and is functional with the five components characterizing IAR4D, then it will lead to increased interactions and better outcomes among partners in the IP in comparison to situations where there is no IP. The same success will be seen in households in communities where IAR4D is in operation compared to those where IAR4D is not in operation.
Does the IAR4D framework deliver more benefits to end users than conventional approaches (assuming conventional research, development and extension approaches have access to the same resources)?	H2: IAR4D delivers more benefits to end users compared to conventional approaches (if the conventional ARD approaches have access to the same resources).
How sustainable and usable is the IAR4D approach outside its test environment, that is, concerning its scaling out for broader impact?	H3: If the design and estimation show that IAR4D works in different contexts then it can be extrapolated outside the test environments.

To test the three hypotheses in a statistically robust fashion and empirically determine whether IAR4D works and whether it delivers more benefits than conventional approaches, the SSA CP uses a multiple treatment experimental design that compares household and community level outcomes under: (i) IAR4D; (ii) the conventional; and (iii) no intervention approaches. Only one of these three possible states gets realised in any given site.

The effectiveness and impact of IAR4D is assessed throughout the impact pathway from the IP to the community and to the farmer. The hypothesis about whether IAR4D delivers more benefits than the conventional approach is tested by comparing the values of relevant knowledge, behavioral, efficiency, welfare, equity and environmental outcomes the conventional and the IAR4D states is similarly assessed. The sustainability and utility of the IAR4D approach outside of the test environment is tested through an analysis of performance of IAR4D under the different baseline conditions (institutional, biophysical, social, policy and household).

1.7 Design Framework

The SSA CP research design has allocated research sites (districts/communes/local government areas) to IAR4D and non IAR4D through stratified random sampling (Figure 3). The strata within which the randomisation is to be carried out consist of four development domains delineating the combination of market access potential and agro-climatic potential. Each IAR4D treatment site (district/commune/ local government area) is associated with a corresponding counterfactual site also randomly selected from the same stratum as the IAR4D site. Task forces have spread IAR4D treatment sites across various strata in order to investigate the performance of the approach across a wide range of conditions. The SSA CP has employed a multistage stratified random sampling within the selected districts / sites (IAR4D and counterfactual) to select the villages where IAR4D will be introduced to study village communities where conventional

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                        ┌─────────────────────┐
                        │  Pilot Learning site │
                        └─────────────────────┘

                         Stratified random selection

   ┌──────────────┐  ┌──────────────────┐        ┌──────────────────┐  ┌──────────────────────┐
   │  IAR4D site  │  │   Other IAR4D     │        │  Counterfactual   │  │ Other Counterfactual │
   │  (District)  │  │ sites (Districts) │        │ site (District)   │  │  sites (Districts)   │
   └──────────────┘  └──────────────────┘        └──────────────────┘  └──────────────────────┘

  Stratified random selection                     Stratified random selection
   among "clean" villages

         ( 5 IAR4D                                  ( 5 "clean"    )  ( 5 conventional )
           villages )                                 villages         ARD villages

    Random selection                                         Random selection

   ┌──────────────┐                              ┌──────────────────┐  ┌──────────────────┐
   │ 10 households│                              │ 10 households per │  │ 10 households per │
   │  per selected │                             │  selected "clean" │  │   conventional    │
   │ IAR4D village │                             │     village       │  │   ARD village     │
   │[50 households]│                             │  [50 households]  │  │  [50 households]  │
   └──────────────┘                              └──────────────────┘  └──────────────────┘
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Figure 3: SSA CP Research Design

approaches are in operation as well as study villages where no agricultural interventions have been conducted over the last 2-5 years. Each task force will establish four separate IPs.

The sites however differ in sise and geographical definition across the 3 pilot learning sites. While ZMM uses districts, Lake Kivu uses sub-county, groupment and sector as its operational site. The characterisation and baseline studies are based on the research design. Characterisation has been done at three levels; (i) the site (district or sub county characterisation); (ii) village (iii) households.

2. Developing the M&E system

The development of the M&E system follows the key steps shown in Figure 4.

Figure 4: Key Steps in the Development of the M&E System
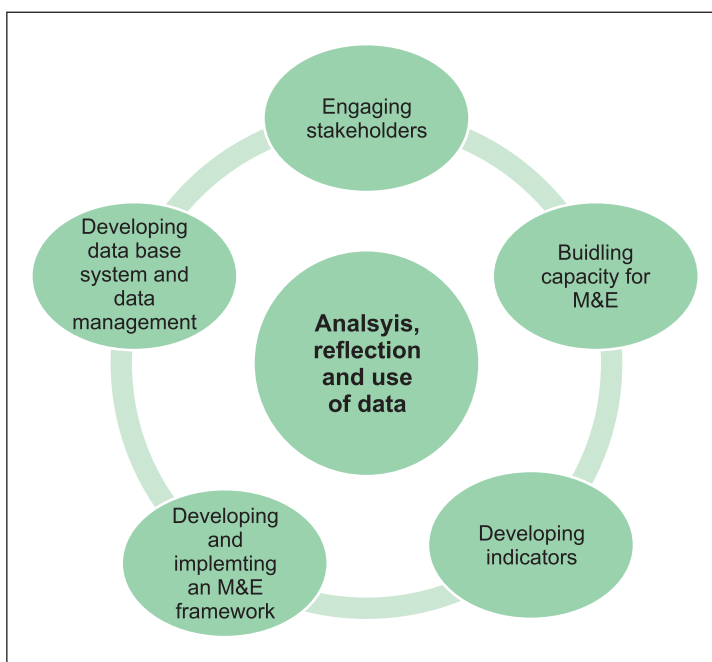
2.1 Engaging stakeholders

Stakeholders will be engaged at Task Force and IP level meetings to;

- Get a common understanding of IAR4D, its outputs and impacts
- Develop and implement the PM&E system
- Use M&E data and information to improve implementation

M&E meetings were held in each PLS facilitated by lead institute coordinators and the CRST members responsible for M&E and data management.

2.2 Developing indicators and the M&E framework

Meetings to develop key indicators were held with each of the task force team and partners. The teams discussed indicators for the common outcomes and outputs as outlined in the SSA CP impact pathway and MTP, as well as task force indicators specific to the technologies of activities of the particular task force. The key indicators developed to monitor the innovation platforms, the research outputs, outcomes and impacts are shown in Annex 1.

During these meetings, two levels of M&E frameworks were developed. The teams developed both a framework with common outputs, outcomes and indicators, as well as a more particular framework that included task force specific indicators that are not common across all TFs.

2.3 Developing tools for baseline, monitoring and evaluation data collection

A tools development meeting was held with key people including task force leaders, FARA PCU and the CRST. This was to ensure ownership of the tools and their consistent application across all TFs and IPs. Two types of tools were developed: (i) tools for characterizing sites and collecting baseline information at site, community and household level; and (ii) monitoring and evaluation tools for IPs and other field level processes. All the tools for data collection (baseline, monitoring and evaluation and impact assessment tools) are given in Annex 2.

2.4 Building capacity for M&E

The SSA CP views itself as a catalyst and facilitator of innovation. For this it needs to build and support capacity development. The SSA CP is, however, a research program, resulting in the need for the ongoing process of building capacity through training and mentoring to be linked to the insights being delivered by the research process on innovation systems. This is necessary to facilitate the improvement of capacity building approaches during the course of the program. This is done through constructing a number of feedback loops, most notably using *monitoring and evaluation*, between capacity building and the research process. Training in the M&E system both through participation in the design and specific training activities ensures sustainability.

Capacities for M&E of different task forces on the PM&E framework, the method of implementation of the framework, and the project level monitoring and evaluation is crucial. As the task forces, comprised of different partners are the main implementers of the activities that are conducted at the IP level, the need for the capacity building is greatest at this level. A more rigorous approach to capacity building (especially for innovation platform level actors) on both implementation and management of the IPs as well as on monitoring and evaluation are planned.

Two levels of capacity building exist:
- Task force members on implementing project level M&E and supporting M&E at innovation platform level
- Actors at IP level, including farmers, to build capacity in identification of critical areas for research, development of work plans, monitoring of work plans, data collection, analysis and use. The strategy used here is a learning-by-doing approach to hasten the process of learning and ensure independent practice of monitoring and evaluation.

2.5 Developing the data base system

A data base system based on the Q-Fax methods was developed for data entry, management and use across taskforces.

3. Levels of Monitoring and Evaluation in SSA CP

Four levels of M&E have been implemented in the SSA CP: process monitoring and learning, outcome monitoring and evaluation, baseline and evaluation of impacts and the extent to which various projects in the three PLSs are practicing IAR4D ('IAR4Dness').

3.1 Characterisation and baseline of indicators

The characterisation and baseline of indicators is based on the indicators from the impact pathway, expected outputs, outcomes and impacts of the project. It is guided by the different levels at which change is expected such as the IP site, IP stakeholders, village or community level and the household level.

3.1.1 IP site and stakeholder characterisation

Rationale

The village characterisation tool was used to collect information to characterise the various villages for comparison purposes and to establish the baseline conditions at village level on indicators of change at this level as a result of IAR4D.

Process

The implementation takes place in two major steps:

- Step A: Quick characterisation of the biophysical and social profile of the IP site and an inventory of all stakeholders working within the site. This is done for all three sites (IAR4D, conventional and clean sites)
- Step B: This step involves a one day workshop with all identified stakeholders to conduct an analysis and collect information on existing forms of interaction amongst stakeholders as well as information on indicators likely to be influenced by the presence of innovation platforms (e.g. knowledge and practice of IAR4D, forms and strengths of interactions and linkages etc.) Again, this is done for all three types of sites (IAR4D, conventional and clean sites)

Indicators

Some of the outcomes and indicators covered under the IP site and stakeholder characterisation include outcomes 1-3 of the task force research:

- Knowledge and information flows among IP members and the flow between IP members and community is improved
- Awareness among IP members and between IP members and communities about potential technological and institutional innovations increased
- Awareness about sustainable NRM and markets among members and farmers increased

Outcome 2 of the meta-analysis research (involvement of non-traditional actors in ARD and increased human and institutional capacity for innovation among ARD actors) focuses on non-farmer actors. These outcomes and their indicators are shown in Table 3.

Table 3: Outcomes and Indicators included in the IP site and Stakeholder Characterisation

Outcomes	Indicators
Knowledge and information flows among IP members and between IP members and community improved	Changes in patterns of interaction, linkages and social capital (bonding, linking and bridging among IP actors)
Awareness among IP members and between IP members and communities about potential technological and institutional innovations increased	Level of awareness and access to information on critical issues (NRM, technology, market, policy etc) and operational issues (budgets, expenditures, guidelines, decisions and resolutions)
Awareness about sustainable NRM and markets among members and farmers increased	Level of awareness and access to information on critical issues (NRM, technology, market, policy etc) and operational issues (budgets, expenditures, guidelines, decisions and resolutions)
Increased human and institutional capacity for innovation among ARD actors	Level of knowledge, attitude and practice of IAR4D processes and the critical research issues (NRM, markets, production etc)

Tools

The tool used for IP site and stakeholder consultation has multiple functions and therefore multiple distinct parts (i) general information (both biophysical and socio-economic) on the sites, obtained using key informant interviews, secondary information and village transect walks (ii) a participatory stakeholder analysis of existing stakeholders in the site and their roles, as well as key constraints (iii) an individual survey of existing stakeholders focusing on their skills, priorities and interactions. The outputs of the tools function as framework and indicators for comparison of sites across TFs, PLS, SSA CP and the social network maps of all research and counterfactual sites based on various characteristics.

Analysis

Outputs of the analysis:

- Comparative analysis of intervention and counterfactual sites in terms of social and biophysical characteristics
- Baseline social network maps of stakeholder interactions in intervention and counterfactual sites
- Identification of the critical issues related to productivity, markets, NRM, policies and other cross-cutting issues such as capacity
- List of stakeholders, their interests in the critical issues and areas where they operate to inform the formation of IPs

Use of the outputs:

- The analysis of critical issues and constraints will be used to determine the entry points of the innovation platforms.
- Social network maps of stakeholder interactions will be used to monitor changes in interactions resulting from IPs.
- List of stakeholders and interests will be used in the stakeholder engagement strategy in the IAR4D sites.

3.1.2 Village characterisation

Rationale

The village characterisation tool is utilised to characterise and obtain baseline information on all the 540 villages in the SSA CP across the three types of treatments (180 IAR4D villages, 180 conventional villages and 180 clean villages). The baseline is, on those aspects, unlikely to change under the influence of the IAR4D activities. This makes comparing the situation before and after the implementation of the project easier.

Process

The village characterisation has two major parts;

- Part A is the obtainment of general information based on key informant interviews, secondary information and village transect walks
- Part B consists of focus group discussions conducted with farmers in the village.

The focus group discussions identify the priority income and food security options for the villages, the constraints that need to be addressed to achieve community visions of improved livelihoods as well as baseline information on markets and source of information by farmers.

Key indicators

The key indicators in the village characterisation are aimed at making comparisons of villages across the three treatments, identifying baseline conditions of village level variables and identifying priority constraints for interventions in each of the villages.

Tools

The village characterisation tool consists of a (i) General information (both biophysical and socio-economic) on the village using key informant interviews, secondary information and village transect walks (ii) A participatory stakeholder analysis of existing stakeholders in each village both internal and external and Venn diagrams of how these stakeholders interact (iii) Focus group discussions to identify the community vision of change, key livelihood strategies, priority crops and livestock for markets and food security, as well as the constraints and opportunities related to these.

Analysis

There are three different levels and outputs of the analysis of the village characterisation:

- A framework for comparison of the three treatment villages across the sites, TF, PLS and SSA CP based on common socio-economic and biophysical variables

- List of internal and external stakeholders in the three treatment villages
- Social network maps by village of the baseline levels of interaction amongst stakeholders
- Priority critical areas for interventions on productivity, markets, NRM and policies in the IAR4D villages

Use of the outputs:

- Characterisation of villages to be used as an explanatory variable in impact assessment and as a tool for understanding differences on the outcomes and impacts
- Social network maps for monitoring changes in interactions and access to services as a result of IPs
- Identification of priority areas to monitor the responsiveness of IAR4D to the critical issues defined by the communities

3.1.3 Household level characterisation and baseline

Rationale

In order to test hypotheses in a statically robust fashion and empirically determine whether IAR4D works and whether it delivers more benefits than conventional approaches, multiple-treatments experimental design will be used. This design compares household- and community-level outcomes under IAR4D, the conventional approach and no intervention. The SSA CP experiment will comprise three treatments carried out in three blocks (the PLS) and nine repetitions (three per block, i.e. the taskforces)

Following White and Chalak (2006) we take the set of counterfactuals to be the set of all possible states of the world with outcomes taking different values under different possible states of the world. We also define an intervention as the move from one possible state to another. Under the SSA CP we are limiting ourselves to comparing outcomes under IAR4D and under only two other possible states; namely, the conventional approach and non-intervention. Our set of counterfactuals is therefore limited to the set {W0, W1, W2} where W0 is the non-intervention state having neither IAR4D nor the conventional approach in operation, and W2 is the state that has IAR4D in operation. The effectiveness and impact of IAR4D will be assessed throughout the impact pathway all the way to the farmer level. The hypothesis regarding whether IAR4D works will be tested by comparing the values of relevant knowledge, behavioural, efficiency, welfare, equity and environmental outcomes under W_2 and under W_0.

Similarly, the hypothesis regarding whether IAR4D delivers more benefits than the conventional approach will be tested by comparing the values of relevant knowledge, behavioural, efficiency, welfare, equity and environmental outcomes under W_2 and W_1. Then "with" and "without" IAR4D comparison will be made by comparing the values of the same outcomes as above under W_2 and under the composite possible "W_0 or W_1"

Process

This involved the development of a common tool to characterise and collect baseline information on all the 5400 households that comprise the SSA CP (1800 households from IAR4D villages, 1800 households form conventional villages and 1800 households form the clean villages). The indicators measure the span along the entire impact pathway.

Indicators

In addition to the variables for the characterisation of the households, the household data collection includes indicators on the expected outcomes (behavior changes) and impacts (welfare changes). The outcomes include access to and use of improved services and technologies, behaviour including market participation, interactions with service providers and other farmers/farmer organisations.

Table 4: Outcomes and Indicators at Household Level

Market behaviour	Awareness and use of improved technologies	Knowledge and service seeking behaviour	Interactions at farmer level
Market participation percentage of farmers receiving market information Proportion of marketed produce for target crops Value of crop, livestock and livestock products sold per household Extent to which farmers/ communities / rural poor are aware of market conditions, consumer preferences, and are responding to them	Changes in number, quality and reliability of information sources Use of inputs (fertiliser, seeds) Use of improved varieties Awareness and use of improved crop, soil, land management and post harvest technologies	Access to different services (credit, transport, inputs etc) Access to different information by farmers (technologies, markets, policies etc) Proportion of households with farmers pro-actively seeking information and extension services	Farmers' perception of the rate of occurrence of interactions Types and numbers of local and wider stakeholders involved in IAR4D activities

The impact indicators are organised on the Sustainable Livelihoods Framework and focus on key capitals: social capital and empowerment, financial capital (income), physical capital (assets), human capital (changes in skills and knowledge) and natural capital (environmental impacts). These are shown in Table 5.

Table 5: Impacts and Indicators at Household Level

Financial capital (income)	Social capital /farmer empowerment	Human capital	Natural capital (including NRM)	Physical capital (Asset accumulation)
Total household income Income distribution within households Poverty index: Proportion of surveyed households under the poverty line	Social capital index Level of farmer organisation Strength of social networks (emergence of new groups / strengthening of existing groups for collective action) Extent to which the rural poor, marginalised and women are able to articulate their demands and priorities to IP	Extent of knowledge and skills (technological, market, policies) of farmers	Others specific to TFs (water quality, reduction in erosion) Changes in productivity and production of key focus crops and livestock Technical efficiency on farms Number of months harvested main cereal/legume/root crop lasts after harvest Household dietary diversity score measured over a 24 hour recall	% of households owning key assets Household asset index

Tools

The household characterisation and baseline tool has two main sections: (i) a household survey; and (ii) a plot level survey. The household survey focuses on several key elements, including a characterisation of households, their assets and livelihood strategies and key outcome as well as impact indicators that are likely to change as a result of their participation in IAR4D activities. The plot level survey focuses on input and production data for two seasons (the current season and its immediate predecessor).

Analysis

The focus of the analysis of the baseline and characterisation of household level data is on comparison of households across the three different treatments using the key variables outcome and impact indicators and variables across sites, TFs, PLS and SSA CP. The analysis uses simple measures of comparison tests to show differences across the treatments. It also uses the method of propensity score matching (PSM) that involves identifying a sample of comparator non-participants that are as similar as possible to participants in their predicted likelihood of participation, and subsequently comparing mean outcomes. Techniques such as the Double Difference Estimator (DDE) compare change in outcomes before and after the program is conducted for participants and non-participants. This approach was used in a recent study of Farmer Field Schools in Indonesia (Feder *et al.* 2003). In addition, we will use econometric approaches to account for the effects of differences in observable characteristics across individuals or over time, in order to address selection biases. Econometrics will, under the caveats expressed above, help to account for observable and unobservable differences between program participants and non-participants (OLS, Heckmann model). For full details of this analysis see the SSA CP research plan and programme for impact assessment (SSA CP, 2009).

The outputs of the analysis are:

*   Data base of baseline indicators for all 5400 households sorted according to the type of treatment received
*   Proof of the hypothesis regarding the efficacy of IAR4D in comparison to conventional approaches

Use of the outputs: The data base of baseline household indicators will be used for the impact assessment as described in the research plan and programme for the same (SSA CP, 2009).

3.2 Process monitoring and learning within innovation platforms

The process monitoring follows the action learning cycle of the innovation platforms. The cycle is based on key stages of planning, action, monitoring, reflection and subsequent re-planning based on the results of this reflection. These processes will start with a capacity building and mentoring process for Task Force teams as part of the innovation platform to develop a shared vision, and designate key processes to be monitored and tracked based on the process and learning hypothesis and outcomes. A participatory process of learning is implemented to document what is happening within the innovation platforms, what is working, what is not working, what the outcomes are and what needs to be changed or improved. This feeds into the next planning phase. The key focuses of the process monitoring include IP formation, IP functioning and IP outcomes.

3.2.1 IP formation, functioning and outcomes

Rationale

Innovation platforms are the key implementation mechanisms for IAR4D. An innovation platform is comprised of a set of stakeholders bound together by their individual interests in a shared issue, objective, challenge or opportunity, dealing with which will improve livelihoods, businesses and/or other interests. An innovation platform refers both to the emergent properties of groupings of players and their processes, practices, and habits, as well as the formal structures that might give operational focus to activities and interactions. Innovation platforms will provide the mechanisms through which innovations are identified to address priority issues / problems. Three of the areas monitored are formation, functioning and outcomes. The establishment of the innovation platforms and the subsequent actions of the IP in field research is expected to produce changes at three levels: individual actors, organisations and the household level.

Indicators

The IP formation, functioning and outcome indicators are applied across all 36 innovation platforms.

Table 6: Indicators for the IP Formation, Functioning and Outcomes

	Key Indicators	Frequency of Monitoring	Tools used
IP establishment	Inclusiveness / representativeness of the IP	At the beginning of the formation of the IP and subsequently updated every year	IP Registers
	The IP has a well articulated common objective, issues are being addressed and roles are well defined	At establishment and at the end of each IP cycle (End of farming season)	IP evaluation tool
	Guidelines for establishing innovation platforms tested	End of each IP cycle	IP establishment protocol
IP functioning	Consistency (frequency) of participation of IP actors	At every activity	IP Registers
	Quality and process of IP organised activities (establishment, setting research agendas, training events, other)	At every activity	Activity Report
	Number and types of knowledge sharing channels. Number of male and female farmers being reached by the information	At establishment and beginning of every year	Inventory of knowledge sharing tools IP evaluation tool
	Extent to which there is systematic planning, action reflection cycle within the IP	End of IP cycle (for example, the end of the farming season)	After Action Review (AAR) IP evaluation tool
IP outcomes	Significant changes in interaction among IP actors and/or their organisations as a result of participation in the IP Changes in the level of knowledge of interface issues held by IP actors. Changes in the level of knowledge of concepts and principles of IAR4D held by IP actors	At the beginning and end of every year	IP actor and stakeholder analysis

Tools

Various tools are used to collect data on the formation, functioning and outcomes of the innovation platforms.

IP formation

The IP establishment is used to collect information on the common issues that will be addressed by the IP at the point of their establishment, the type of facilitation and the work plans for the IP. During the formation of the IPs, the inclusiveness and representativeness of stakeholders is measured by the register of actors. This tool also captures data on the types of actors, and their roles in the activities held by the IPs.

IP functioning

The register that is filled in very time the IP has key activities captures data on consistency of participation and inclusiveness of the relevant actors. The IP uses activity reports, the register of actors and the minutes to collect the data on the quality and process of IP organised activities (establishment, setting research agenda, and training events). The knowledge sharing mechanisms are used to measure the knowledge attitude and practice of the IP actors. These tools capture information on the number of knowledge sharing channels, the number of people being reached by each channel, and their perception of the channels. The after action review tools will assess the planning action and reflection cycle within the IP actors and the activities that were carried out in the IP. Both the knowledge sharing mechanisms and the after action review tools will be used on an annual basis.

IP outcomes

Evaluation of the IP outcomes is conducted utilising two major tools. The first is a social network analysis to map the existing interactions between and amongst stakeholders and how these change on an annual basis to form baseline. The latter will be studied in comparison with the conventional and clean sites. The tool also incorporates an evaluation of the changes in knowledge and skill of IP actors. The second is the IP evaluation tool (scores based) through which actors in the IP, including farmers, score the IP on several criteria. These include how participatory the research is, the extent to which research addresses identified critical issues, and their level of satisfaction with different aspects of the IP management (such as facilitation).

Analysis

The analysis of the IP formation, functioning and outcome data is done on a regular basis as part of the planning, action, evaluation cycle shown in Figure 5. At the end of each IP cycle (end of season), the data is analyzed and used to inform the next IP cycle.

Figure 5: The Planning, Action and Reflection Cycle
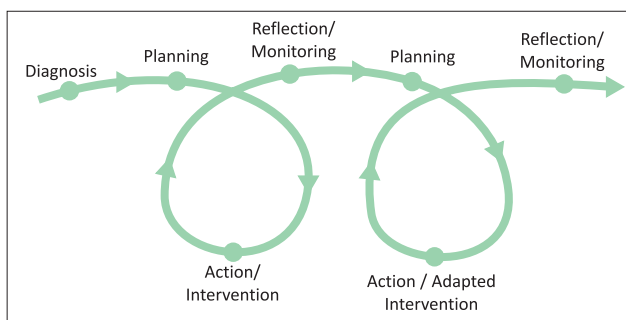
Analysis of the IP registers is based on a trend analysis of actor participation in the IP showing changes in types and numbers of different actors and identifying gaps in participation. The IP establishment protocol provides a detailed description of the process used in the formation of the IPs across the TFs, allowing for a comparison and the establishment of guidelines. Reports provide a documentation of the type, the quality and process of IP organised activities such as the establishment, setting of the research agenda, and training events with a summary of key lessons learned from these.

3.2.2 Measuring the "IAR4Dness"

Rationale

The proof of concept requires generating evidence that the IAR4D approach is more effective than its alternatives and brings benefits to the poor. The elements that could lead to failure to achieve the anticipated outcomes and impacts described in the impact pathway include:

- the conditions or external factors that may have an influence on the achievement of results;
- a theory failure that IAR4D cannot deliver the expected outcomes/impacts; and
- implementation failure that either all or some of the nine projects do not actually implement IAR4D and therefore do not achieve the expected results.

Part of the monitoring and evaluation is therefore to monitor the third, that is, the extent to which the task force projects implement IAR4D or the 'IAR4Dness'. The two ways of generating the evidence on the extent to which projects are practicing IAR4D include empirical evidence to directly compare the IAR4D approach with its alternatives and understanding the rules and processes operating in IAR4D. This understanding can be used to predict the outcomes and impacts. In the first approach, comparisons can be made before/after or with/without. Alternatively and ideally, both measures can be used. The second approach requires development and validation of a conceptual framework for the IAR4D approach, and this has resulted in the hypotheses discussed above.

Process

The measure of 'IAR4Dness' is based on the five principles of IAR4D.

- Existence of IPs that are representative, inclusive and display diverse partnerships
- Existence of non-linear, collective and collaborative interaction among IP actors
- The research addresses key constraints and opportunities agreed upon by the IP in the context of entire value chains
- The research process is multidisciplinary and participatory
- The existence of institutional and human capacity building allowing IAR4D actors to effectively participate in the various activities.

Indicators

Indicators of "IAR4Dness" have been developed based on the five key principles. Table 7 shows the indicators and the tools used to collect the data as well as the frequency of this collection.

Table 7: Indicators for Measuring "IAR4Dness"

Indicators	When to collect	Tool to be used
Innovation Platform (IP) Strategic actors identified, listed and interconnected in network and actively participating: • Representativeness /inclusiveness of IP; affiliation of actors • Assessment of how well the IP establishment process was conducted (Respondents' scores to questions about how well the IP has been established) • Types of partnerships established (agribusiness, research, rural financing etc.) • Profiles of IP actors (expertise, experience, competence, specialisation)	To be collected as part of the IP establishment	IP Register IP establishment protocol
Non-linear, collective and collaborative interaction among IP actors (rather than the linear researcher-extension-farmer transfer of technology model) • Graphic analysis of relationships among IP actors (based on baseline and follow-up surveys about social interactions among actors)	To be collected as part of IP establishment, functioning and outcomes	IP stakeholder characterisation
Research addresses key constraints and opportunities agreed upon by the IP in the context of entire value chains (from input supply through production to consumption) and sustainable livelihood systems. • Criteria and methods used to identify constraints and to set research priorities • Research protocols	To be collected as part of IP establishment and functioning	Activity report Research protocols
Research process is multidisciplinary and participatory • IP actors' perceptions of the research process (respondents' ratings of the participatory and multidisciplinary nature of research from surveys and focus groups)	End of IP cycle (such as the end of the farming season)	IP evaluation tool
Institutional and human capacity building for IAR4D actors to effectively participate • Congruence between problem identified and training provided (Tracer study: respondents' ratings of the usefulness of training) • Number and types of training events	After every training End of 2008, 2009 and 2010	Training evaluation form Activity report

The variables used to measure 'IAR4Dness' will be collected as part of M&E of the IP establishment, functioning and outcome assessment.

Tools

M&E tools to assess the extent to which Task Force projects are practicing IAR4D are similar to those used for establishment, function and outcome evaluation. These include:

• The IP establishment protocol and register that records the process for the establishment of the IPs including identification of partners, information on types of actors, their interests and competencies and their participation in the IP activities.

- The IP stakeholder characterisation that has a section which collects information on interactions between and amongst stakeholders. Social network analysis from this data shows the multi-directional or linear nature of interactions and information flow.
- A combination of the stakeholder analysis in each site that gives the critical issues identified in each site and village, which along with the activity reports and research protocols show the extent to which the IP is addressing the critical issues as identified and defined by stakeholders.
- The IP evaluation tool includes scores of IP actors' perception of the extent to which the research carried out by the IP is participatory and multi-disciplinary.
- The training evaluation form which is used after every session collects information on the types of training, who has been trained and participants' perception of the usefulness of the training.

Analysis

Based on the data, an index of IAR4Dness will be calculated for each innovation platform. There will be two distinct overall indices: a simple linear combination and a more complex index. This will be used in the impact assessment in one of the following ways:

- A dummy for intervention sites (yes/no)
- A linear index (min 0 – max 5)
- A complex index.

3.3 Monitoring plot and field level outputs

Rationale

Research being carried out at IP level and other experimental sites need to be monitored because these are expected to lead to field and household level changes including the use of new and improved technologies, use of inputs and changes in production and productivity. From a monitoring perspective, the innovations will be of interest. Questions such as how they have come about, what is innovative about them and how they respond to the interface issues (NRM, markets, productivity, policy), who is using them, the number of households and male and female farmers, the types of households and their scale of use will be raised and pondered. How has access to these innovations changed for households? What are farmer perceptions of the innovations? These innovations will be used to generate knowledge and predicate behavioural outcomes at the household, community and market level.

Process

The process will involve the description of the protocols before the research, a documentation of the innovations and a participatory evaluation of research trials and any products coming out of these trials for new or existing technological innovations. These innovations may be social (in terms of approaches and methods), technological, institutional (markets, input systems, organisational) or policy-related (community policy mechanisms, advocacy mechanisms).

Indicators

The indicators monitoring plot and field outputs are shown in Table 8.

Table 8: Indicators for monitoring field level outputs

Key indicators	How often?	Tool to be used
Number of technological, social, market and policy interventions developed and tested with farmers	At the end of every year	Innovation documentation tool
Number of male and female farmers and other IP actors using or testing innovation	At the end of every year	Innovation documentation tool
Performance of innovations compared to other traditional/non improved technologies/innovations	At the end of every year	Technology evaluation tool
Farmer perceptions of technological, social, policy and market innovations	At the end of every season	Technology evaluation tool
Number of information sharing mechanisms, number of farmers and other actors being reached and their perception of this information.	At the end of every year	Knowledge sharing tool, documentation tool

Tools

These field and plot level activities will be monitored and documented through the use of research protocols. The research protocols are designed by the TFs and based on the types of technologies being developed, adapted or tested as part of the IP activities. Common data will be included across all the research protocols, including the objective of the research, the problem being addressed, the extent of the problem, how the research has been developed, its experimental design, replications and the type of data to be collected.

A documentation of technological and other innovations generated by each IP, how they have come about, what is innovative about them and their application by IP actors will be conducted using an innovation documentation tool.

A participatory evaluation tool will be used to get both male and female farmers' perceptions of the technologies based on a combination of farmer and researcher criteria.

Analysis

The output of the analysis will produce results on the changes as a result of use in innovations (productivity, profitability), increased returns to investments, and changes in technical and allocative efficiency of agricultural production. Other analyses will focus on farmer perception of the technological innovations based on matrix scores.

3.4 Outcome M&E

There are two sets of outcomes anticipated from the SSA CP:
- Behavioural change outcomes at organisation and individual level
- Outcomes at the community and household level

3.4.1 Institutionalisation of IAR4D

Rationale

Key outcomes of the IAR4D process are institutional change, change in skills and capacities and organisational change. The individual changes in skills, knowledge and practice are part of the IP characterisation. Institutionalisation and use of IAR4D by partners is an important outcome

of the meta-analysis project. Additional outcomes include increased adoption and reliance on IAR4D, increased involvement of non-traditional actors in ARD, increased investment in support of IAR4D processes and increased human and institutional capacity for innovation among ARD actors.

Indicators:

The indicators to show the changes in these behavioural outcomes are shown in Table 9.

Table 9: Indicators for monitoring individual and organisational behavioural outcomes

	Indicators	When?	Tools to be used
Increased involvement of non-traditional actors in ARD	Inclusiveness of actors	At establishment of IPs, at the end of every year	IP Registers
Increased adoption and reliance on IAR4D	Extent of use of IAR4D by actors beyond the SSA CP	At establishment, at the end of every year	IP site and stakeholder analysis and characterisation
Increased investment in supporting IAR4D processes	Changes in funding for IAR4D projects, studies and capacity building activities	At the beginning and end of project	Organisational assessment Budget reviews
Increased human and institutional capacity for innovation among ARD actors	Changes in knowledge and skills of IP actors, including male and female farmers Number of actors trained in different skills including IAR4D, and interface issues	At the beginning and end of the project At each training activity	IP site and stakeholder characterisation Training evaluation

Tools

The IP registers list all stakeholders participating in the innovation platforms including their organisations and competencies. Involvement of stakeholders such as the private sector and policy makers will be documented.

The IP site and stakeholder characterisation documents the baseline skills and capacities of actors in IAR4D and in interface issues. Annual monitoring using this tool assesses changes in these skills over time.

The training evaluation tool documents the number and types of actors trained and their assessment of the training in terms of newly gained skills and knowledge

Organisation assessment will be conducted for all organisations participating in the SSA CP at the beginning and end of the project. This will be done to document changes in organisational capacity for IAR4D and the extent of use of IAR4D beyond the SSA CP. This tool may be extended to other organisations in the regions of the PLS to analyse the success of the scaling out of the approach. An electronic survey (rather than a face-to-face meeting) will be used for this survey.

Analysis

A KAPP analysis for all partners in the SSA CP, an organisational analysis of the extent of use of IAR4D beyond the SSA CP and beyond the traditional partners of the SSA CP and the extent to which this can be attributed to the SSA CP.

4. Development of a database system for baseline, monitoring and evaluation data

In order to effect the analysis and comparability of indicators and data across IPs, TFs and PLSs, a common data entry and management structure has been proposed. This is to avoid a situation where data is entered in different formats, different structures and different coding, thereby rendering cross site and cross project analysis unfeasible. This will entail:

- Developing a structure for all data collection tools that provides an interface for both data collection and entry
- Developing an access data base for the storage and management of common data across sites
- Assisting TFs to build on the common data base for TF-specific indicators and data
- Assisting in the training of TF data enumerators and data entry clerks
- Developing a database for IP and field level monitoring tools
- Assisting data management specialists in other activities to ensure consistency of data
- Making data accessible to all partners within the SSA CP

5. Learning within the SSA CP

As discussed, the M&E system described above is used for multiple functions including learning and improving the implementation of the SSA CP. The objectives of the learning forums are to:

- Share information and lessons from implementation within and across groups (IPs TFs, PLSs)
- Use M&E data to inform program planning and implementation.
- Document lessons across SSA CP for scaling up and out of IAR4D

Four levels of learning forums are envisaged:

a.   *IP level:* All IP actors meet at the beginning and end of the IP cycle to plan, evaluate their activities and make action plans for implementation

b.   *TF level:* The timing of these is determined at TF level but it is recommended that they be held twice a year. Results from M&E and other activities, including interface research, are presented and used for planning

c.   *PLS level:* These are to be held once a year to ensure exchange of lessons and experiences and planning of joint PLS activities

d.   *SSA CP wide:* To be held once a year bringing together all TFs. These will be used for reviewing progress and achievements, planning and documenting SSA CP wide outputs and outcomes.

6. Implementation of the M&E system

Implementation of the M&E strategy is the responsibility of different teams within the SSA CP. Table 10 denotes the key persons/groups and their roles and responsibilities towards implementing this strategy.

Table 10: Roles and responsibilities for M&E within the SSA CP

Actor	Role
Task Force teams	• Facilitation of IPs • Contributing to indicators for M&E processes, outcomes and impacts • Building in a reflection and learning process in IPs to use the results of the PM&E to make decisions and corrective adjustments, thus linking PM&E to planning and implementation. • Implementation of baseline studies that integrate common indicators across site indicators and TF-specific indicators • Monitoring, evaluation and tracking of the progress of indicators • Implementation of impact assessment studies to assess the extent to which change has occurred within the PLS (in intervention areas and counterfactual sites) • Periodic assessment studies to generate data for testing hypotheses
IP facilitators (part of TF teams)	• Implementing and documenting – the interaction process of actors and its outcomes at IP level • Implementing and documenting the participatory monitoring and reflection process • Collecting data on key process and outcome indicators and making assessments of the extent to which these indicators are manifested in the IPs • Monitoring and documenting the processes and interactions within the IPs and how these are changing • Building the capacity of farmer associations and other actor groups to implement PM&E systems that help them to articulate their demands within the IP actors, develop key indicators to be monitored within each actor group, tools to measure these and how to use the results for decision making.
Actors within the IPs, including farmers and communities	• Implementing TF Level Research • Contributing towards the development of indicators for processes, outcomes and impacts • Sharing roles and responsibilities of M&E • Using PM&E data and information to articulate demands, make decisions and make adjustments to the projects and project activities

Actor	Role
Knowledge and information management specialists (including NRS data specialists)	• Developing a system of data and information from the PM&E process that allows for the use of the same for program improvement, hypothesis testing and across-site comparisons • Managing and making available data for use within the IPs and TFs
A centralised function (core research support team and post-doctoral fellows)	• Developing and organising indicators that cut across sites to be included in all the baselines, outcome and impact assessments to allow for across-site comparisons • Developing tools and methods for periodic outcome assessments within and between IPs, TFs and PLSs • Providing guidance and leadership on the development and implementation of baselines, outcome and impact assessment studies • Coordinating organisational and individual assessments based on key hypotheses and expected outcomes at these levels • Conducting meta-analyses of process, outcome and impact indicators across sites to derive lessons and test multi-site hypotheses • Mentoring process facilitators on the participatory monitoring and reflection process for IP, TF and PLS teams that will allow for learning and adjustment to project plans • Working with TF teams to develop an indicator-based reporting system that integrates learning and lessons from experience • Conducting a meta-analysis of the role of the PM&E system in improving learning, and performance of teams/platforms • Conducting an across-site comparison of IPs, PLSs and TFs

Annex 1: Participatory (M&E) Framework for the SSA CP

Theme 1: Development of an approach for establishing functional innovation platforms

IP actor baseline and IP site characterisation

Results	Indicators	Data to collect	When to collect	What level	Tool to use
Outcome 1.1 Increased responsiveness of IP research to the needs of stakeholders	P I #1.1(a) Extent to which stakeholders participate in IP processes and articulate demands P I #1.1(b) Number of issues addressed in congruence with stakeholder priorities and constraints (NRM, markets, technologies, etc.) P I #1.1(c) Extent to which concerns and priorities of various actors in IPs are integrated into the planning process and action plans	Perception held by IP actors of the extent to which their needs have been met Investment of IP partners in the process Inventory of all issues addressed by the IP Inventory of stakeholders' priorities Inventory of stakeholders' priorities in the IP Matching of stakeholders' priorities with IP action plans	Mid way and end of IP process Through the life of the IP At the start of the IP At the start of the IP Mid way and end of IP	IP actors IP actors Actors in the IP	IP evaluation tool (Likert scale of micro-scenarios) Minutes of IP meetings Scoring and ranking of priorities Stakeholder analysis and IP characterisation tool
Output 1.1.1 Methodology of establishing IPs developed and tested	P I #1.1.1 (a) Extent to which different vested actors, including male and female farmers, participate in the platform (diversity of organizations and actors) P I #1.1.1 (b) Extent to which IP partners have participated and are aware of the vision and have clear roles and responsibilities towards achievement of the vision P I #1.1.1 (c) Actors' perception of the functioning and performance of the IP P I #1.1.1 (d) Presence and functioning of decision making and conflict resolution mechanisms (rules and documents) P I #1.1.1 (e)At least three models for successful functioning of the IPs available by 2010	Relative proportions of gender, institutions and discipline of actors participating in the IP process Documentation of the roles and responsibilities of IP actors Consistency in attendance of IP meetings Actors' indicators of functioning and performance of the IP Actors' perception of the functioning and performance of the IP based on these indicators An analysis of factors enabling and hindering functioning of the IP Process of decision making,. Identification of type and nature of potential conflict, deliberation on method of conflict resolution Number of models and their characteristics	At the start of the IP Every IP meeting At the start of the IP Mid way and end of IP End of IP Through the term of the IP	IP actors IP actors IP actors IP actors. comparison across all IPs IP	IP actor inventory / Stakeholder Analysis Attendance registers FGD IP evaluation tool (Likert scale of micro-scenarios) IP critical incidents journal / process documentation / case studies

Results	Indicators	Data to collect	When to collect	What level	Tool to use
Output 1.1.2 Increased interaction, linkage and communication among actors	P I #1.1.2 (a) Changes in patterns of interaction, linkages and social capital (bonding, linking and bridging among IP actors) P I #1.1.2 (b) Quality and consistency of participation in IP activities P I #1.1.2 (c) Level of awareness and access to information on critical issues (NRM, technology, market, policy, etc.) and operational issues (budgets, expenditures, guidelines, decisions and resolutions). P I #1.1.2 (d) Number and types of knowledge sharing channels	Frequency of meetings to discuss and plan Level of interaction, information sharing, joint planning and networking between organizations on the IP site IP actors participating in IP meetings and activities Knowledge, attitudes and practice of IP actors with regard to critical issues. Knowledge of IP actors on the decisions, guidelines, expenditure, etc. Number of knowledge sharing channels, number of people being reached by each and their perception of the channels	Before IP formation, mid project and end of project During each meeting and activity of the IP At IP formation, and at the end of the project Mid project	Each organization on IP site Actors in the IP Actors in the IP IP and IP actors	Stakeholder Analysis/ Social Network Analysis IP attendance registers KAP Analysis
Outcome 1.2 IP actors empowered to articulate needs, plan, implement and monitor research and development activities (NRM, Marketing, production, etc.)	P I #1.2(a) Extent to which farmers articulate and express their needs and feedback to IP P I #1.2(b) Ability of farmer organizations to independently implement and monitor their activities P I #1.2(c) Extent to which level of farmer organization /social capital has changed P I #1.2(d) Changes in level of knowledge, attitude and practice of critical issues (NRM, markets, production, etc.)	Number of farmers making contributions to IP meetings Number of farmer groups with clear objectives, plans and activities along with indicators for monitoring them. Number of farmer groups per farmer, changes in levels of social capital (bonding, linking and bridging). Number of farmers practicing different technologies being developed and tested by IP actors Farmers' knowledge of technical innovations	During IP meetings End of year 1,2 and 3 of project Year 1 and 3 of project Year 1 and 3 of project	Farmers in IP Farmer groups Households Households	Minutes of IP meetings Farmer group characterization Village / community characterization Baseline and impact surveys
Output 1.2.1 Capacity of IAR4D actors is enhanced in IAR4D principles	P I #1.2.1(a) Changes in level of knowledge, attitude and practice of IAR4D processes P I #1.2.1(b) Number of IP actors implementing IAR4D processes beyond the sites P I #1.2.1(c) At least three organizations outside the PLS applying IAR4D principles by 2010	Knowledge, attitudes and practice of IP actors with regards to critical issues Number , types of organizations applying IAR4D process, where they got information skills from and scale of application	At the start, mid and end of IP Year 1 and 3	IP actors	Organizational assessments

Results	Indicators	Data to collect	When to collect	What level	Tool to use
Output 1.2.2 Increase in linkages of communities with R&D actors within and outside the site.	P I #1.2.2(a) 50% increase in the number of sources of information and services that communities interact with by 2010 P I #1.2.2(b) Extent to which communities are pro-actively approaching service providers	Types of information (production, market, price, etc.) farmers get and their sources Number of organizations farmers are approaching for different services and information	Year 1, 2 and 3 of project Year 1, 2 and 3 of project		Village / community characterization / household surveys Village / community characterization / Household surveys

Theme 2: IAR4D derived innovations and capabilities to deal with critical issues at interfaces developed

Household Level Baseline

Results	Indicators	Data to collect	When to collect	What level	Tools
Outcome 2.1 Increased economic capacity of smallholder farmers from effective market linkages	P I .2.1(a) Farmer changes in wealth category and perception of their economic capacity. P I #2.1(a) A 30-50% increase in farmer incomes from agriculture related activities (under theme 3)	Indicators (and their value) of wealth Farmer perceptions of wealth status	Baseline and end of project	Household	Household questionnaire
Output 2.1.1 Effective strategies for farmer linkages to output and input markets are developed and implemented to increase farmer access to markets	P I #2.1.1(a) A 40% increase in the number of smallholder farmers actively producing for selected markets P I #2.1.1(b) An increase in volume and value of products traded in market P I #2.1.1(c) Increase in number of male and female farmers with access to and utilizing inputs (fertilizers, improved varieties)	Number of farmers producing for the market, crops, livestock kept for market Amount of crop / livestock marketed, distance to markets, price and value of marketed produce Number of farmers using inputs, source of inputs, distance to source of inputs, perception of availability of inputs	Baseline and end of project	Household	Household questionnaire
Outcome 2.2 Increased production and availability of food at household level	P I #2.2(a) A 50% change on the value of produce P I #2.2(b) Number of months that harvested food of main crops lasts after harvest P I #2.2(c) Diversity of crops grown by farmers in target sites				

Results	Indicators	Data to collect	When to collect	What level	Tools
Output 2.2.1 Increased productivity and profitability of targeted crops	P I #2.2.1(a) Increase in productivity (yield per unit area) of target crops P I #2.2.1(b) Increase in returns to investment due to use of improved technologies (returns per unit of labour, unit of cash/ unit of land)	Amount of specific crops produced, area planted Amount of specific crops produced, area planted, labour use, value of crop	Baseline and end of project	Household	Household questionnaire
Output 2.2.2 Increased utilization of improved technical innovations	P I #2.2.2(a) Number of male and female farmers using crop/ livestock/NRM technologies P I #2.2.2(b) Farmers' perceptions of technical innovations P I #2.2.2(c) Changes in the area under improved crop / livestock / NRM practices are used	Types of improved technologies being used and number of farmers using the same; sex of farmers utilising the technologies. Are under each technology	Baseline and end of project	Household	Household questionnaire
Outcome 2.3 Increased awareness of policies on technologies, input and output markets	P I #2.3(a) Number of farmers aware of policies influencing markets and technologies	Number of farmers aware of policies influencing markets and technologies	Baseline and end of project	Household	Household questionnaire

Theme 3: Effectiveness of IAR4D approaches in delivering pro-poor benefits and assessment of its scalability

Household-level baseline, village characterisation, IP site and actor characterisation and organisational assessments

Results	Indicators	Data to collect	When to collect	What level	Tools
Outcome 3.1 Increased benefits to IP partners and target households participating in IAR4D as compared to non-IAR4D households	**Household Level** P I #3.1(a)Improvements in food security and food availability P I #3.1(b) % increase in household incomes due to IAR4D – as compared to non-IAR4D households P I #3.1(c) Increased asset accumulation by households P I #3.1(d) Increased social capital, social organization and empowerment of farmers due to IAR4D interventions as compared to non IAR4D sites P I #3.1(e) Changes in human capacity of farmers with regard to the critical issues P I #3.1(f) Improvement in the natural resources and natural resource base of farmers **Partners** P I #3.1(f) 15% increase in profitability due to reduced transaction costs and/ or increased volume in at least three products P I #3.1(f) Traders' perceptions of changes in product quality and farmer-trader relationships **Research and development partners:** P I #3.1(f) Extent to which actors within the IP are invited to IAR4D fora and are recognized within the institutions 50% increase in funding for IAR4D projects, studies and capacity building activities	Number. of months that harvested products last in the household. Number of meals that households have increased by 50% by 2010 Household dietary diversification index Priority sources of income and annual income estimates from the household expenditure estimates on food and non- food items Number and value of agricultural and domestic assets Number and value of household livestock assets Likert scale measurements of social capital and social organization indicators (extent of working together, access to services etc) Ability of household to demand services-number of service providers that farmers are linked with, types of information they are providing, which ones farmers have approached themselves Likert scale assessment of human capacity indicators with regard to critical issues (NRM, Markets, policy and Productivity) Profitability/ changes in value of traded volumes of target commodities, perceptions of reductions in transaction costs and operational costs, improvements in product quality, improved relationships with farmers, etc. Perception of actors of changes in status and recognitions, number of meetings and conferences that they present results to, number of invitations to train on IAR4D, etc. Number of other IAR4D projects, activities and studies actors are involved in, levels of funding allocated to these activities and studies	At the start and end of project Before and end of project Mid and end of project End of project	Household IP actors (traders) IP actors (other) Organizations	Household baseline questionnaires Trader baseline questionnaires Case studies Organizational assessments

Results	Indicators	Data to collect	When to collect	What level	Tools
Output 3.1.1 Establishment of the baseline conditions for the evaluation of the impacts of IAR4D	P I #3.1.2(a) Extent to which baseline conditions have been established in intervention and counterfactual sites by mid-2008	Geo-reference, household characteristics, farm characteristics, production systems (main crops grown and acreages), production trends of main crops, access to markets (types of markets, distance from markets, volumes of specific crops sold), access to input markets knowledge, awareness and use of different technologies, household asset base – agricultural, domestic, livestock	Before and end of project	Household	Household baseline questionnaire
Output 3.1.2 Establishment of costs and benefits of IAR4D to different actors	P I #3.1.1(a) At least one model to assess costs and benefits of IAR4D developed and evaluated by 2009 P I #3.1.1(b) Extent to which the financial, social and environmental benefits of IAR4D exceed those of conventional R&D approaches established by 2010 P I #3.1.1(c) Extent to which the cost per farmer adopting conventional R&D exceeds the costs of farmers adopting IAR4D interventions established by 2010 P I #3.1.1(d) Extent to which the lag time between development and utilization of technologies is reduced as compared to conventional IAR4D established by 2010				

Results	Indicators	Data to collect	When to collect	What level	Tools
Outcome 3.2 Increased utilisation of IAR4D within and beyond project sites and partners	P I #3.2(a) 50% increase in number of project proposals in at least three organizations participating in the PLS by 2010 that utilize IAR4D P I #3.2(b) Number of lecturers exposed to IAR4D and incorporating IAR4D in existing courses [economics, rural development, soil sciences, agribusiness, etc.] P I #3.2(c) 50% increase in staff trained in IAR4D in at least three organizations participating in the programme in the PLS	Name and type of organizations, number of projects and proposals that include IAR4D principles and concepts Learning institutions that have incorporated IAR4D in their training programs Number of people trained in IAR4D to develop a critical mass	Before and end of project	Organizations	Organizational assessments
Output 3.2.1 Selection of learning sites that allow for pro-poor targeting and scalability	P I #3.2.1(a) Criteria for selection of sites developed and implemented to enable identification of sites by mid 2008 P I #3.2.1(b) Sites are selected and characterized according to their suitability for implementation and comparability of impact of IAR4D by mid 2008	Criteria for site selection, documentation of site selection process and validation of the same developed Characterization of IP sites and implementation of villages' IP site characterization – geo-references, number of organisations and their linkages, agro-ecology/ biophysical potential, governance (land tenure, administrative), population density, market access, density of networks/ organizations, mapping existing networks and interactions, farming systems Village characterization: geo-reference, level of organization, farming system, number of inputs and output markets within village, proportional households in different wealth categories, governance mechanisms, etc.	Before the project Before and end of project Before and end of project	Sites IP site Village	IP site characterisation tool/ stakeholder analysis Village characterisation tool

Annex 2: FARA SSA CP M&E Tools
Tool 1: Innovation Platform Site Characterisation and Stakeholder Analysis

Introduction and objectives

The main aim of the SSA CP is implementation of Integrated Agricultural Research for Development(IAR4D) and assessing whether it works or not. The challenge of the SSA CP is to conduct research to identify the effects of the IAR4D approach and its different components, in designing and implementing research targeted at the interface of processes driving productivity gains, efficient use of resources, the care of the environment, policies and markets that would increase demonstrably the delivery of the benefits to end users and have an impact and to do all this in a scientific, statistically-based manner. IAR4D is an action research approach for investigating and facilitating the organisation of groups of stakeholders (including researchers) to innovate more effectively in response to changing complex agricultural and natural resource management contexts, in order to achieve developmental outcomes. At the core of this organisation is the establishment of innovation platforms (IP).

An IP is comprised of a set of stakeholders who are bound together by their individual interests in a shared issue, objective, challenge or opportunity, dealing with which will improve livelihoods, businesses and/or other interests. An IP refers both to the emergent properties of groupings of players and their processes, practices, and habits, as well as the formal structures that might give operational focus to activities and interactions. Although conceptually IPs do not have them, the geographical boundary of a "site" is taken within the SSA CP. This does not however mean that all IP members will be from this geographical boundary. Indeed, stakeholders or actors will sometimes be from outside the geographical site. However, the organisation of the actors will be within this boundary and most of the IP actions will be within this site.

This is a draft framework for IP site characterisation and mapping of stakeholder interactions. It specifies some of the information to be collected and the methods and tools for doing this.

The tool has the following objectives:

- To analyse the social and biophysical context within which the IP will operate
- To conduct a stakeholder analysis to analyze existing stakeholders and their interests
- To map the existing interactions between and amongst stakeholders and provide baseline information on aspects in the site that will be influenced by the presence of IPs
- To conduct an assessment of current knowledge and practice of IAR4D amongst stakeholders within the IP site

Outputs of the analysis

- Comparative analysis of intervention and counterfactual sites in terms of social and biophysical characteristics
- Social network maps of stakeholder interactions in intervention and counterfactual sites
- List of stakeholders, their interests in the critical issues and areas where they operate to inform the formation of IPs

The implementation is undertaken in two major steps

- Step A: Quick characterisation of the biophysical and social characterisation of the IP site and an inventory of all stakeholders working within the site.
- Step B: This step involves a one day workshop with all identified stakeholders to conduct a stakeholder analysis and collect information on existing forms of interaction amongst stakeholders as well as information on indicators that are likely to be influenced by the presence of IPs (e.g. the knowledge and practice of IAR4D, forms and strengths of interactions and linkages, etc.).

NB: This is a characterisation tool and a separate, more detailed tool to baseline actual IP actors will be developed.

Step A1: General IP-site level characteristics

Task Force (TF) members can complete the following list of questions on the basis of secondary information sources and interviews with a few key informants in the district. The information to be collected includes

Name of the district where the IP is located

Geo- reference information of the IP site

What are the agro-ecological/biophysical characteristics of this area?

What are the major food and cash crops grown by the majority of farmers?

How do you characterise the poverty status of community members residing within the geographical boundary of the IP (as given by national/central bureaux of statistics)?

See Characterisation tool in Annex A1.

Step A2: Quick assessment of relevant stakeholders

The main objective of this is to document all organisations, external and internal, that are working within the IP site in agricultural research and development. This information can be obtained from secondary sources, key informant interviews or via a field visit. Groups and institutions can be identified using the snowball method.

At the least, the following groups and institutions should be covered: farmers, farmer groups, farmer organisations, the government, NARES, input suppliers; agro-dealer shops, wholesalers, marketing actors, middleman/traders, supermarkets, NGOs and other project implementing organisations, and policy makers.

A draft inventory sheet is presented in Annex A2.

Step B1: Stakeholder analysis

All the partners identified in step A2 will be invited to a one day stakeholders meeting. This can be combined with another activity such as a project start up meeting or, alternatively, held on its own. During the one-day workshop a more detailed stakeholder analysis will be carried out. The workshop will be organised by a facilitation and documentation team that consists of (at the least) a lead facilitator, co-facilitators and note takers. This step will only be conducted at the actual IP-sites, not in the counterfactuals.

The objectives of this are to define the central problem around each TF's critical issue or organizing principle. For example, the TF's soil fertility management, specific value chains, etc. and stakeholders' interests, influence over and strengths in terms of addressing and influencing its critical issues. Two tools for participatory analysis are suggested:

A problem tree exercise to define the key issues, the causes and effects as perceived by each cluster of stakeholders (see Annex B1 i.)

A stakeholder matrix and spider diagram to get different perceptions on which stakeholders are the prime movers in the system as well as their relative strength of influence (see Annex B1 ii..

NB: TFs should hold the stakeholder workshops in as convenient a manner as possible, such as by combining IPs, districts, etc. Stakeholders, however, should be grouped by site for all group discussions and activities.

Step B2: Mapping stakeholder actions and interactions

The objective of this is to map current interactions of the stakeholders, the types and intensity of these interactions, and to get stakeholders to analyse their innovation capacity. This will involve individuals from the represented organisations answering a set of questions posed in a questionnaire. These questions will be used to map the existing linkages and analyse the strength of the same using social network analysis (Annex B2 i.) and to make an assessment of different micro-scenarios that represent different elements of the interactions and innovation capacity such knowledge sharing, and coordination of activities to triangulate the information (Annex B2 ii.). The short questionnaire can administered during the stakeholder analysis workshop. This will be done on both the intervention and the counterfactual sites.

NB: The short questionnaire (Annex B 2 i.) can be administered during the stakeholder meeting and not necessarily as a separate survey. The facilitator should, however, present or go though the questionnaire with all the stakeholders before they individually fill it in.

Annex 1: Biophysical and Social Characterisation of the IP site

1. Identification

    Name of site   Site code

    Name of district   District code

    Name of province/state   Province/state code

    Name of country   Country code

    Name of PLS   PLS code

    Name of TF   TF code

2. GPS coordinates of central point: Northings   Eastings   Elevation (m.a.s.l.)

3. What are the agro-ecological/biophysical / social / economic characteristics of this area?

a. Rainfall	i. Rainfall amount ii. Average number of rainy days
b. Elevation	
c. Average temperature	i. Summer ii. Winter
d. Number of cropping seasons	
e. Population	i. Population density ii. Number of households
f. Main farming systems Is it practiced? Yes or No	i. Monocropping ii. Mixed Cropping iii. Livestock production vi. Shifting cultivation v. Mixed crop livestock production vi. Aquaculture vii. Other Respond
g. Main cash crops (Prioritise in order of importance)	i. ii. iii. iv. v. vi.
h. Main food crops (Prioritise in order of importance)	i. ii. iii. iv. v.
i. Main land tenure system	i. Individual ownership with title ii. State owned iii. Village/communal ownership iv. Other (specify) System
j. Poverty levels	i. Percentage of households below poverty line ii. HIV/ AIDS infection rates iii. Number of female-headed households iv. Number of child-headed households
k. Markets	Number of markets within the site
l. Social organisation (Types of groups and their numbers)	i. Number of registered groups ii. Women-only groups iii. Men-only groups iv. NRM groups v. Social welfare groups vi. Apex organisations /networks vii. Local NGOs

Annex 2: Stakeholder inventory

1. External organisations

Row	a. Name of organisation (in full)	b. Type of organisation 1= Research 2= Extension department 3= Marketing organisation 4= NGO 5= Input supplier 6= Other	c. Types of activities they are involved in 1= Community mobilisation 2= On-farm demonstration of technologies 3= Farmer training 4= Output marketing 5= Input supplies 6= Natural resource management 7= Other
1			
2			
3			
4			
5			
6			
7			
8			
9			
10			
11			
12			
13			
14			

2. Internal organisations (e.g. CBOs, farmer organisations, etc.)

Row	a. Name of organisation	b. Type of organisation 1= Women-only groups 2= Men-only groups 3= NRM groups 4= Social welfare groups 5= Apex organisations / networks 6= Local NGO	c. Types of activities they are involved in 1= Crop production 2= Natural resource management 3= Savings and loan 4= Produce marketing 5= Social activities
1			
2			
3			
4			
5			
6			
7			
8			
9			
10			
11			
12			

ANNEX 3: Identifying the critical issue: problem and objective tree analysis[1]

Process:

1. Brainstorm on community/site vision for the farmers

2. Brainstorm on cards the main problems or constraints in achieving the vision

3. Discuss which of the cards are a central problem, which cards are causes of the problem and which cards are the effects of the problem

4. Place the central problem card in the middle, drawing lines above and below it. Note that there may be more than one central problem and this should be done separately for each problem (to a maximum of four).

5. Place all the cards that you think are causes of the central problem, above the top line and all those that are effects of the problem place below the central line.

6. Use unidirectional arrows pointing from each cause to its effect.

7. Now, convert the problem tree into an opportunity and objective tree.

   a. For each of the central problems, group the causes.

   b. For each of the causes, what action could we take?

   c. What would we want to achieve / What would be the positive change?

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1. For more information see Method 28 in *A Guide for Project M&E – Annex D*, downloadable from Jacques M Chevalier, 'SAS2 1.0: Ideal Scenario' in *Social Analysis Systems 2 1.0*, http://www-sas-pm.com

ANNEX 4: Analysing stakeholder interest and influence on the critical issues

Cluster the stakeholder groups around common themes (for example, those working in research, extension, NGOs, farmer organisations, private sector, etc.).

For each of the critical problems identified above, each cluster analyses the following:

Critical problem 1: ……………………………………

Row	a. Stakeholder group	b. To what extent do you think the group is affected by the problem?* U= Unknown 1= Little/not affected 2= Some are affected 3= Moderate 4= Very affected 5= All are affected	c. What level of influence do you think it has in dealing with the issue?* U= Unknown 1= Little/no influence 2= Some influence 3= Moderate influence 4= Very influential 5= Critical player	d. If we want to deal with the issue, how important is it to involve the group?* U= Unknown 1= Little/no importance 2= Some importance 3= Moderate importance 4= Very important 5= Critical player	e. What role do you think they can play in dealing with the issue? Give examples of specific organisations within this category of stakeholders.
1	Farmers				
2	Private Sector				
3	Extension departments				
4	Research organisations				
5	Traders				
6	Input suppliers				
7	Policy makers				
8					

* This can be presented in the form of a spider diagram.

Critical problem 2: ………………………………

Row	a. Stakeholder group	b. To what extent do you think the group is affected by the problem?* U= Unknown 1= Little/not affected 2= Some are affected 3= Moderate 4= Very affected 5= All are affected	c. What level of influence do you think it has in dealing with the issue?* U= Unknown 1= Little/No influence 2= Some influence 3= Moderate influence 4= Very influential 5= Critical player	d. If we want to deal with the issue, how important is it to involve the group?* U= Unknown 1= Little/no importance 2= Some importance 3= Moderate importance 4= Very important 5= Critical player	e. What role do you think they can play in dealing with the issue? Give examples of specific organisations within this category of stakeholders
1	Farmers				
2	Private sector				
3	Extension departments				
4	Research organisations				
5	Traders				
6	Input suppliers				
7	Policy makers				
8					

* This can be presented in the form of a spider diagram.

Critical problem 3: …………………………………………

Row	a. Stakeholder group	b. To what extent do you think the group is affected by the problem?* U= Unknown 1= Little/not affected 2= Some are affected 3= Moderate 4= Very affected 5= All are affected	c. What level of influence do you think they have in dealing with the issue?* U= Unknown 1= Little/no influence 2= Some influence 3= Moderate influence 4= Very influential 5= Critical player	d. If we want to deal with the issue, how important is it to involve them?* U= Unknown 1= Little/no importance 2= Some importance 3= Moderate importance 4= Very important 5= Critical player	e. What role do you think they can play in dealing with the issue? Give examples of specific organisations within this category of stakeholders
1	Farmers				
2	Private sector				
3	Extension departments				
4	Research organisations				
5	Traders				
6	Input suppliers				
7	Policy makers				
8					

* This can be presented in the form of a spider diagram.

Critical problem 4: …………………………………

Row	a. Stakeholder group	b. To what extent do you think the group is affected by the problem?* U= Unknown 1= Little/not affected 2= Some are affected 3= Moderate 4= Very affected 5= All are affected	c. What level of influence do you think they have in dealing with the issue?* U= Unknown 1= Little/no influence 2= Some influence 3= Moderate influence 4= Very influential 5= Critical player	d. If we want to deal with the issue, how important is it to involve them?* U= Unknown 1= Little/no importance 2= Some importance 3= Moderate importance 4= Very important 5= Critical player	e. What role do you think they can play in dealing with the issue? Give examples of specific organisations within this category of stakeholders
1	Farmers				
2	Private sector				
3	Extension departments				
4	Research organisations				
5	Traders				
6	Input suppliers				
7	Policy makers				
8					

* This can be presented in the form of a spider diagram.

Spider diagram design exercise[2]

Steps

1. Fill in the names of each cluster of stakeholders as formed in the problem tree design exercise in the spider diagram (Figure 6).

2. Ask each actor or group of actors to say how strong an influence each different type of actor exerts on the agricultural innovation process.

3. This will be made visible by asking each participant of the workshop to fill in a blank spider diagram consisting of a circle and one line for each type of stakeholder (there may be more or fewer lines than in the example). Each group of stakeholders is assigned a line, and each workshop participant is asked about every other group of stakeholders separately. They decide where to place a sticker on the line representing this particular stakeholder. The stronger (the more 'controlling') the influence of this stakeholder, the further away from the centre the sticker is placed. The weaker (the more 'following') the influence, the closer it is placed to the centre. There may be more than one prime mover. The use of a spider diagram is a good way of discussing and understanding the perceptions of the participants of the workshop. The diagram helps to give the team a coherent picture of the system and the understanding of the stakeholders.

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2. A tool used in IRC's SWITCH project, http://www.switchurbanwater.eu/page/1439, briefing note no.2. See also Method 29 in *A Guide for Project M&E – Annex D*.

4.   After this round, the facilitator needs to take some time to put together all the individual answers in one single spider diagram. This needs to be presented to the participants of the workshop and discussed with them.

Figure 6: Example of a spider diagram

Figure 6: Example of a spider diagram

Donor

Research

Policymaker

Market industry

Agro-industry

Consumer

Producer

Scoring
5 = 100% controlling
1 = 100% following
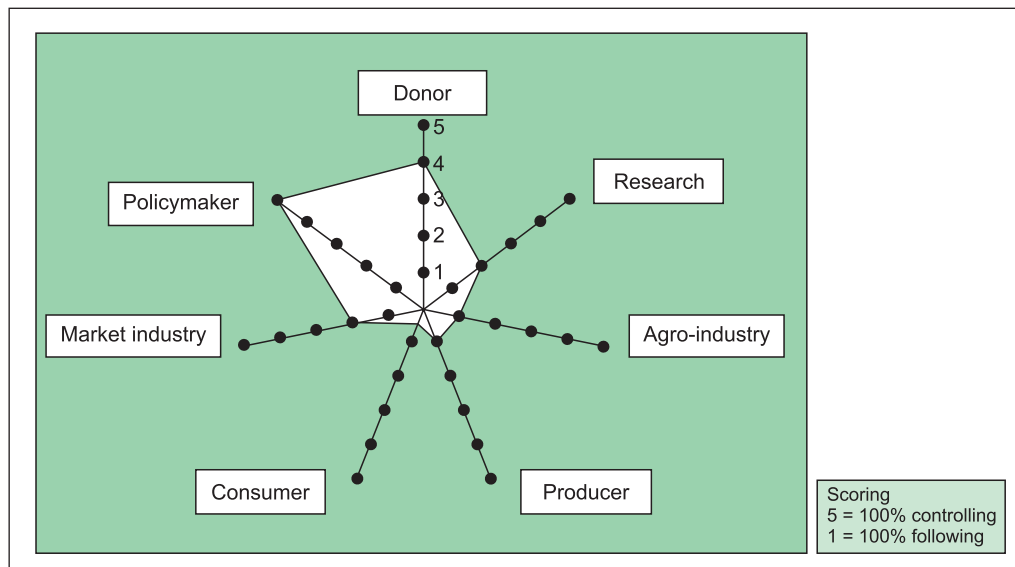
ANNEX 5: Mapping stakeholder characteristics and interactions

Identification (to be filled in by enumerator)

a.	Name of site	Site code
b.	Name of district	District code
c.	Name of province/state	Province/state code
d.	Name of country	Country code
e.	Name of PLS	PLS code
f.	Name of TF	TF code

1. General

1. Your name
2. Name of organisation
3. Type of organisation   *1=Research, 2=Extension department, 3=Marketing organisation, 4=NGO, 5=Input suppliers, 6=Other*
4. Countries of operations   *1=Rwanda, 2=Uganda, 3=DR Congo, 4=Zimbabwe, 5=Mozambique, 6=Malawi, 7=Niger, 8=Other*
5. Position in organisation
6. Sex of respondent   *1=Male, 2=Female*
7. Age of respondent in years
8. Email address
9. Telephone number
10. When was your organisation established?

2. What are the main activities of your organisation?

Row	Activities
1	
2	
3	
4	
5	

3. Coverage and location of your activities
1=Nationwide,   2=Number of districts,   Localized: if localized, number of sites

4. Specific location of your activities

Row	a. Which countries within the PLS?	b. Which districts?	c. Village	d. In each of these villages, which of the activities mentioned above are you carrying out (mention letter 1-5)?	e. In each village, how many households are you working with?
1					
2					
3					
4					
5					
6					
7					
8					
9					
10					
11					

5. Existing partnerships

a. Who are your main external partners and what is their profile?

Row	a. Names of partners	b. Type of organisation 1= Research 2= Extension department 3= Marketing organisation 4= NGO 5= Input suppliers 6= Other	c. What type of partnership do you have with them? 1= Strategic partners, contributing resources 2= Collaboration 3= Implementing partners 4= Minor partners, we just share information 5= Contractual arrangement	d. Is the partnership formalised? 0= Not formalised 1= Formalised with an MoU or LoA	e. How would you rate the strength of the partnership on a scale of 1 to 5, 5 being the highest?
1					
2					
3					
4					
5					
6					
7					
8					
9					
10					

b. How did you create the partnerships with each of your partners? What strategies did you use?

		Strategies used *(Yes=1 if you used strategy; No=0 if you did not)*					
Row	a. Name of partner	b. Who initiated the partnership? 1= Our organisation 2= Partner 3= Other	c. Developed MOU	d. Joint planning meeting	e. Developed a joint proposal	f. Field visit	g. Participated in meetings/ workshops
1							
2							
3							
4							
5							
6							
7							
8							
9							
10							

c. What activities/initiatives do you have with each of your partners and how often have you met in the period of the last month to do this?

		Number of times you have met in the last 12 months to do this					
Row	a. Name of partner	b. Joint planning of activities	c. Joint implementation of activities	d. Information sharing	e. Field visits	f. Workshops/ seminars/ training events	g. In total, how many times in the last 12 months have you met ?
1							
2							
3							
4							
5							
6							
7							
8							
9							
10							

6. Assessment of the interactions

a. How would you assess the overall effectiveness of partnerships with your partners with respect to the following issues?

Row	Issue	a. What is your overall assessment of the partnership? Rate on a scale of 1 to 7, with 1=Very poor, 7= Outstanding	b. Please explain your answer where necessary
1	Information and communication strategies		
2	Extent to which partners are aware of the vision of the partnerships and their roles and responsibilities in fulfilling them.		
3	Levels of commitment by partners (extent to which they fulfill their roles and responsibilities).		
4	Extent of trust between you and your partners (e.g. Can you can trust the partners with funds?)		
5	Equity and transparency of decision making within the partnership		
6	How the partnerships handle publicity and IPR issues (e.g. Do the partners acknowledge each other's contribution to the achievement of results?)		
7	Extent to which there exists enough capacity to achieve the objectives of the partnership (the members of the partnership have the skills and capacity to implement the activities of the partnership)		
8	Frequency and quality of interactions amongst members		
9	Strength of interactions (Are partners closely knit and do they bond beyond professional activities?)		

b. Are there existing networks in which you (your organisation) is a member?
(0=No, 1=Yes)   **If yes, then which ones?**

2. Existing networks

Row	a. Name of network	b. Number of members	c. Who are the other members?	d. Objectives of the network
1				
2				
3				
4				
5				

c. During the past 12 months, with whom have you interacted? By interaction, we mean people you have spoken with face to face or by phone or e-mail, exchanged information, personnel, materials and money (work-related interactions, not social interactions).

Row	1. Name of the person	2. Gender 1= Male 2= Female	3. Age of the person 1= <20 2= 21-30 3= 31-40 4= 41-50 5= 51-60 6= >60	4. Distance from your office to their residence/ office (km)	5. Kind of interaction 1. info exchange 2= business transactions 3= materials exchange 4= money exchange 5= other (specify)	6. Frequency 1= daily, 2= weekly 3= monthly 4= every 6 months 5= annually or less	7. Strength of interactions 0= Do not interact; 1= very weak 2= weak 3= moderate 4= strong 5= very strong	8. Gave info 1= Yes 0= No	9. Received info 1= Yes 0= No	10. Name of org	11. Role of org	12. Role of person
1												
2												
3												
4												
5												
6												
7												
8												
9												
10												

d. Now I would like to ask you about relationships with all the persons you interacted with during the last 12 months. How well did the pair of you interact with each other?
0=Did not interact; 1=very weak; 2=weak; 3=moderate ; 4=strong; 5=very strong

Person	1	2	3	4	5	6	7	8	9	10
1										
2										
3										
4										
5										
6										
7										
8										
9										
10										

e. Now I would like to ask you about relationships between all the organisations of persons you interacted with during the past 12 months. How well did the pairs of organisations interact with each other?
0=Did not interact; 1=very weak; 2=weak; 3=moderate; 4=strong; 5=very strong

Organisation	1	2	3	4	5	6	7	8	9	10
1										
2										
3										
4										
5										
6										
7										
8										
9										
10										

f. Have you heard of or, or do you know about multi-stakeholder platforms and forums in this district/sector/under this local government authority? Yes=1 No=2
If No, proceed to section D. If Yes, what are the objectives of participants of the IPs?

Row	Objectives
1	
2	
3	
4	
5	

g. Which organisations are participating in these platforms /forums?

Row	Organisations
1	
2	
3	
4	

h. Has your organisation participated in the platforms/forums during the last 12 months?
Yes=1 No=0

i. Why did your organisation participate/not participate in the platform/ forum?

j. Do you know how participants were selected to participate in the platform/ forum?
Yes=1   No=0

k. How were the participants selected for the platform/ forum?

l .Do you know how the problems being addressed were identified and prioritised?
Yes=1 No=0

m. If yes, who identified the problems being addressed?
1=Farmers, 2=Researchers and extension agents, 3=Researchers and extension agents in consultation with farmers, 4=Other (specify)

n. What are the main activities of the platform/ for

Row	Main activity
1	
2	
3	
4	
5	

o. If the platform is engaging in action research or experimentation, who identified the issues to be researched?
1=Farmers, 2=Researchers and extension agents, 3=Researchers and extension agents in consultation with farmers, 4=Other (specify)

p. Who designed the research protocols for the action research?
1=Farmers, 2=Researchers and extension agents, 3=Researchers and extension agents in consultation with farmers, 4=Other (specify)

q. Who is carrying out the participatory action research?
1=Farmers, 2=Researchers and extension agents, 3=Researchers and extension agents in consultation with farmers, 4=Other (specify)

r. What are the capacity building needs for actors who actively participate in the platforms/ forums?

s. What formal and non-formal capacity building should be provided and by whom?

7. Potential interactions – What actors have you not been interacting with , whom would you like to interact with more and what are your expectations of this interaction?

Row	a. Actors I or my organisation have not interacted with and would like to	b. Why I have not interacted with them	c. What are the expectations from the interactions?
1			
2			
3			
4			

8. Knowledge and Awareness of IAR4D – Knowledge, awareness and practice of integrated agricultural research for development activities

Row	Item	a. Do you know? 1= Yes 2= No	b. How would you rate your skills in doing this? [1] Very Poor [7] Outstanding	c. Have you practiced it? 1= Yes, 0= No
1	Value chain analysis			
2	Action research			
3	Participatory approaches			
4	Training in IAR4D			
5	Facilitating IPs / forums			
6	Linking farmers to markets			
7	Participatory M&E			
8	Facilitating community natural resource management			
9				

9. Willingness to join the IPs – Are you interested in getting involved in collaboration around innovations in the agricultural system? What are your main reasons for being interested? What are your main reasons for being hesitant?

Are you interested in getting involved?   0=No, 1=Yes

Willingness to join IPs

Row	Reasons to be interested	Reasons to be hesitant
1		
2		
3		

10. Knowledge of TF-specific technologies

Do you know the following technologies?

Row	Technology/practice/ innovation	Do you know It? 1= Yes 2= No	When did you first hear about it?	What was the source of your information on the technology?	Do you know farmers/ farmer groups using this technology?	Which type of farmers would you recommend this technology to?
1	*Striga*-resistant maize varieties					
2	*Striga*-resistant cowpea					
3	*Striga*-resistant sorghum					
4	Cowpea (extra early variety)					
5	Maize (extra early variety)					
6	Sorgum (extra early variety)					
7	Soil fertility					
8	Groundnut (high-yielding variety)					
9	Other (specify)					

11. Actor assessment of innovation capacity and interactions

Tick the statement that you most agree with in each of the five areas listed below.

Row	Key focus area	Tick	Micro scenarios (tick appropriate level)
1	Innovation capacity		Actors in our district {IP-site level} work completely isolated and are not aware of problems experienced by other actors; problems persist even though they could easily be solved if better interactions existed.
			Some actors in our district interact with each other. They are aware of some of the problems experienced by other actors; some of the simple problems are resolved but most problems persist.
			Many actors in our district interact with each other and they are aware of each other's problems. Knowledge and ideas are shared, which benefits the finding of solutions to concrete problems.
			Only a few actors interact well with the other actors in our district. Various actors jointly analyse and address problems, which leads to changes in procedures and practices and the adaptation of technologies.
			All actors in our district work closely together and quickly respond to emerging demands and problems; procedures and practices are changed and new technologies developed or adapted when needed.
2	Knowledge and practice of participatory methods		Organisations in our district have heard about participatory methods, but do not generally use them. They assume to know the farmers' needs and priorities. They plan their projects and interventions on the basis of what they think is good for the farmers.
			The organisations that work in our district are familiar with various participatory methodologies. They use mostly surveys and PRA methods to assess farmers' needs and priorities. They use the acquired data to design solutions for the farmers.
			Various organisations in our district use participatory methods to jointly assess problems and opportunities. Actions are designed together with farmers.
			Many organisations in our district use analysis and planning methods that empower and mobilise farmers to take action themselves. Intervention projects are mostly initiated on basis of the identification of problems and opportunities by farmers.
			All organisations in our district are familiar with a wide range of participatory methods. Farmers are empowered to analyse their situation and take appropriate action; when needed they mobilise the organisations in our district, who are responsive to the farmers' requests.
3	Attitude towards participatory methods, collaboration and IPs		Participatory and stakeholder based methods are a waste of time. You take so much time talking to partners, talking to farmers at the expense of being on the ground doing your work. In fact, such methods have very little impact on the ground
			Participatory tools have a role to play in research and development. It is good to talk to people, to collaborate and to have all these IPs. I think they are important but they are definitely not for me.
			I know of participatory approaches, collaboration and IPs. I can participate in them and can use participatory approaches if need be. However, I do not go out of my way to use them or to encourage others to use them.
			I like participatory approaches and multi-stakeholder processes and believe in them and apply them as much as I can in my work. In most of my activities, I try as much as possible to use them as I know they have potential to empower farmers, and have more impact on the ground
			Participatory approaches and multi-stakeholder processes are crucial for achieving development impact at community and household level. I cannot imagine doing any of my work without partnering with others, without putting farmers first and using participatory processes to empower them. Participatory approaches and multi-stakeholder processes are the way to go.

4	Knowledge sharing among actors in the district / area		Actors in our district hardly ever meet with each other. They are not aware of what other actors are doing, nor are they aware of their capacities and knowledge in specific areas.
			Some actors in our district know about the work and capacity of some of the other actors in our district, but many actors are operating quite isolated and do not share their knowledge.
			Irregularly there are meetings at district level in which actors can share knowledge, but the meetings are not well attended. Actors know in general terms about the capacities and work of the other actors. Actors initiate collaboration based on the best of their knowledge, but it is not always with the most appropriate partners.
			Some actors in our district are promoting a knowledge sharing strategy and try to share knowledge as openly as possible. Frequently collaborations are formed between actors on the basis of their mutual awareness of specific knowledge and capacities.
			There are clear and common ideas about knowledge sharing in our district and there are various structures (for example, a platform with monthly meetings) and processes (such as reporting and documentation within a central body) in place to ensure the sharing of knowledge. Regularly held meetings are well attended and actors are able to identify and approach the appropriate actors when needed.
5	Market development		In our district, farmers only produce food products that they consume themselves. Surplus is only sold at small local markets, or to an incidental trader visiting the community. Farmers sometimes tried to produce something other than what they generally consume themselves, but were not able to sell it.
			Farmers in our district are able to produce surplus that is too much for selling at local markets. For other marketing, farmers rely mainly on traders visiting the village. Traders visit irregularly due to which produce goes bad and prices are low.
			Various farmers in our district are producing products with a high market value. Sometimes they are able to sell it for a good price. Yet the quality of the produce fluctuates and the farmers have a limited number of ways to sell their output.
			Many farmers in our district produce more than one product with a high market value. There are various ways to market the product, but not all farmers are aware of this and they frequently lack the skills to negotiate a good price.
			Farmers in our district produce a large variety of products that are highly marketable. They are aware of market developments, both in terms of quality demands and prices. They have a number of ways to get their produce sold and are usually able to negotiate a good price.

Tool 2: Village Characterisation

Introduction

The main output of SSA CP is the implementation of integrated agricultural research for development (IAR4D) and assessing its efficiency. SSA CP seeks to identify the effects of the IAR4D approach and its various components in designing and implementing research targeted at the interface of several processes. These processes include those that drive productivity gains, use resources efficiently, encourage environmental safety, and support policies and markets that demonstrably enhance the delivery of benefits to end-users – and do so in a scientific, statistically based manner. IAR4D is an action-research approach for investigating and facilitating the organisation of groups of stakeholders to innovate more effectively to achieve developmental outcomes. The organisation's primary efforts are directed towards the establishment of innovation platforms.

This is a draft framework for the Village Characterisation Tool. It specifies the information to be collected and includes examples of methods to do this. The tool is meant to be implemented at both the intervention and the counterfactual villages.

The tool has the following objectives:

1. To characterise the various villages to facilitate comparison
2. To collect baseline data at the village level on aspects that might change under the influence of the IAR4D activities to facilitate comparison before and after the project

Outputs of the tools:

1. A framework and indicators for comparison of villages across TFs, PLSs and the SSA CP
2. Maps of all research villages and counterfactual villages based on various characteristics

Village characterisation has two major parts:

1. **Part A: General information about the village**
2. **Part B: Focus group discussions with farmers**

A. General Information about the Village

1. Geographical Information

a. Basic information

Name of village	Village code
Name of district	District code
Name of province/ state	Province/state code
Name of country	Country code
Name of PLS	PLS code
Name of taskforce	Taskforce code
Name of innovation platform	IP code
GPS coordinates of central point: Northings	Eastings Elevation (m.a.s.l.)

b. Agro-ecological / biophysical / social / economic characteristics of the village

Rainfall	Rainfall amounts Average number of rainy days
Average temperatures	Summer Winter
Number of cropping seasons	
Population	Population density Number of HHs
Main farming systems Is it practiced? Yes or No	Monocropping Mixed cropping Livestock production Shifting cultivation Mixed crop livestock production Aquaculture Other
Main cash crops (prioritise in order of importance)	1 2 3 4 5
Main food crops (prioritise in order of importance)	1 2 3 4 5
Main land tenure system	Individual ownership with title State-owned Village/communal ownership Other (specify)
Poverty levels	Percentage HHs under poverty line HIV/ AIDS infection rates Number of female-headed HHs Number of child-headed HHs
Markets	Number of markets within the site
Social organisation	Number of registered groups
Types of groups and their numbers	Women-only groups Men-only groups NRM groups Social welfare groups Apex organisations /networks Local NGOs Watershed groups

c. Total land area and land use

Total land area		Area in ha
1	Land under cultivation in 2007/08	
2	Land under food crops in 2007/08	
3	Land under cash crops in 2007/08	
4	Land under pasture in 2007/08	
5	Land under forest in 2007/08	
6	Estimated average cultivated landholding per HH (HH)	

d. How much of the land is estimated to have the following

Row	Practice	Estimated proportion of land area
1	Shifting cultivation	
2	Fallows	
3	Wetlands	
4		
5		

2. Population information

Types of HHs	Numbers
Total number of HHs	
Male-headed	
Female-headed	
Child-headed	
Total children	
Total men	
Total women	
Total population	

3. Organisations working in the village

a. External organisations

	Name of organisation (in full)	Type of organisation	Types of activities	Perceived benefit to farmers	Coverage	
					Number of women	Number of men
1						
2						
3						
4						
5						
6						
7						
8						
9						
10						
11						

Code for type of organisation: 1=Research, 2=Extension department, 3=Marketing organisation, 4=NGO, 5=Input suppliers, 6=Other (specify)

Codes for type of activities: 1=Community mobilisation, 2=On-farm demonstration of technologies, 3=Farmer training, 4=Output marketing, 5=Input supplies, 6=Natural resource management, 7=Other (specify)

Codes for perceived benefit to farmers: 1=Highly beneficial, 2=Beneficial, 3=Not beneficial

b. Internal organisations (CBOs, Farmer organisations, etc.)

	Name of organisation (in full)	Type of organisation	Types of activities	Types of activities they are involved in collectively as a group	Membership	
					Number of women	Number of men
1						
2						
3						
4						
5						
6						
7						
8						
9						
10						
11						

Code for type of organisation: 1=Women-only groups, 2=Men-only groups, 3=NRM groups, 4=Social welfare groups, 5=Apex organisations/networks, 6=Community NGO, 7=Other (specify)

Code for type of activity: 1=Crop production, 2=Natural resource management, 4=Savings and loan 5=Produce marketing, 6=Social activities

4. Input and output market access

Markets in the village

Attributes	Respond	Estimated time to reach the place	Estimated cost to reach the place
Number of markets within the village			
Number of markets within a 50 km radius			
Number of traders / processors, etc. linking with the village			
If no market within the village, where is the nearest market (name)?			
Distance to the nearest market if not within village (km)			
Number of agro-dealer shops within the village			
Number of agro-dealer shops within a 50 km radius of the village			
If no agro-dealer shop within the village, where is the nearest (name)?			
Distance to the nearest agro-dealer shop if not within the village (km)			

What is the cost of transportation of 100 kg of grain from village to the nearest market?

indicate currency

What is the cost of transportation of one small ruminant from village to the nearest market?

indicate currency

What is the cost of transportation of cattle(one) from village to the nearest market?

indicate currency

5. Village resources

Physical amenities	Does the village have any amenities? (1=Yes, 0=No)	If yes, how many?	If no, what is the distance to the nearest one in km?	How long does it take to get there using the most common means of transportation?	What is the estimated cost for getting them? (indicate currency)
Schools					
Hospitals, clinics, health centres					
Churches, mosques, other places of worship					
Social hall/centres					
Boreholes, wells					
Cattle dips, veterinary centres					
Village wood lots					
Telephones					
Does the village have radio reception or channels?					
Circulation of newspapers					
Number of all-weather roads					
Mobile phone coverage					
Water bodies (streams, ponds, rivers)					
Livestock watering points					
Public transport stop					
Rural micro-finance bank					
Government extension office					
Agricultural research site					

6. Perception of the state of natural resources in the village

a. Soil fertility and erosion

How would you assess the following? Fill out this table with three different key informants separately (extension worker, traditional leader, knowledgeable farmer, etc.)

Land condition	Assessment	Extension worker	Traditional leader	Knowledgeable farmer	Your perceptions based on transect walk
Soil fertility	1=The soil is poor to very poor; plants do not grow well in this soil: they dry quickly or have problems with waterlogging and frequently exhibit nutrient deficiencies. 2=Various crops can be grown in this soil, but some crops do not do well and exhibit nutrient deficiencies. 3=The soil is rich in nutrients and humus content and almost any crop can be grown in this soil; even without fertilisers nutrient deficiencies do not often occur.				
Crop productivity	1=In most years, the crop yields for all crops are very low. Most households cannot harvest enough for their consumption throughout the year. 2=In some years the yields are low and in others the yields are high. Generally more than half of the households harvest is enough for their consumption. 3=Crop yields for all the crops are quite high and most households are able to harvest enough for their home consumption and sometimes sell the surplus.				
Level of erosion	1=Erosion is very severe in the village; there are gullies and soil gets carried away by the wind, and when it rains the top layers of the soil are washed away. 2=Erosion is in the village, but it is not very serious; there are some gullies, especially on the sloping areas in some farms. 3=There is no erosion and the soil is protected and not carried away by winds or rains.				

Land condition	Assessment	Extension worker	Traditional leader	Knowledgeable farmer	Your perceptions based on transect walk
Condition of pastures	1=The pastures are very poor. Often the cattle go hungry as the pastures are depleted and have unpalatable weeds. The condition is very serious both during the wet and the dry seasons. 2=Some of the pastures in the village are of good quality although some are depleted. There is adequate pasture during the wet season, but during the dry season the situation is bad. 3=The pastures are well maintained, have palatable grass and are available for cattle both during the dry and the wet seasons.				
Water quality	1=The village water sources are contaminated and the water cannot be used for domestic purposes; even the river and the well water are brown with considerable siltation. 2=Some water sources have clean water that can be used for domestic purposes; others are unsuitable for domestic purposes. 3=All the water sources have high quality water and can be used for domestic purposes.				
Livestock productivity	1=In most years, the productivity is very low. 2=In some years, the productivity is low and in others it is high. 3=Livestock productivity is quite high and farmers have surplus to sell.				

Part B: Focus Group Discussions with Farmers

1. Establishing dialogue and setting social contract

- Who are we?
- Why are we here?

2. Community livelihood strategies, constraints and opportunities

In analysing community livelihood strategies, we will use an opportunity- and asset-based approach called Community Participatory Diagnosis and Visioning. This is an approach that starts from the assets and opportunities that communities have and currently use or can use to achieve their livelihood goals rather than starting from the problems and constraints. Visioning

helps farmers realise the potential for change and the need to understand the forces that can facilitate or constrain change, and to define workable strategies for seizing opportunities and dealing with potential challenges.

a. Possible tools

- ***The river code.*** The river code is a mime or play by community members assisted by a facilitator. It is useful for generating a common livelihood vision for a group or a community, the opportunities that exist within the community to achieve the vision, and the constraints to achieve that vision.

Table of results

Community vision for women	Community vision for men

- ***Resource mapping.*** Once the community vision has been defined, the next question is: What resources or opportunities exist in our communities to enable us reach that vision? Resource maps are powerful tools for communities to start recognising the resources that they already have and that can be used to assist them in reaching their livelihood goals. It is also useful for researchers to identify the various resources that exist within the community.

The resource map will be extended to include issues of:

- - Access to various resources by different socio-economic groups in the community
- - Trends in changes of the resources and reasons for the changes

- Results:
- - All the resources the community has at its disposal
- - Differences in access to the resources (women/men and other socio-economic groups)
- - Trends in changes in resources for the last decade and reasons for these trends

Table of results

Resources available within the village	Who has access to these resources?	Who controls these resources?	Farmer perception of trends in changes in resource availability in the last 10 years

Access to resources: 1=Both men and women, 2=Women only, 3=Men only, 4=Other
Perception of change: 3=Improved, 2=Remained the same, 1=Declined

3. Opportunity and constraint analysis: brainstorming and scoring/ranking

- What are the opportunities for improving livelihoods?
- What are the constraints to improving livelihoods?
- Use scoring tools to priorities the opportunities and constraints?

Table of results: Women

Opportunities	Score out of 100 in order of importance	Constraints	Score out of 100 in order of importance

Table of results: Men

Opportunities	Score out of 100 in order of importance	Constraints	Score out of 100 in order of importance

4. In-depth knowledge of the farming system

In new areas, it is always important to understand the existing farming system in terms of the priority crops that farmers are growing and their rationale for growing them (cash, income, social insurance, weather insurance, etc.). What crop, livestock and NRM technologies are they using? What are the different cropping systems, crop-livestock systems, average production and productivity, etc.? In areas where an organisation has worked before, this information may already be available, but a very short session may be required to verify this information.

a.   Possible tools
- Brainstorming
- Scoring and ranking

b.   Results
- Priority crops/livestock
- Main reason for growing crops/keeping livestock

- Types of cropping and crop-livestock systems
- Constraints and opportunities for different crop/livestock systems

Table of results – knowledge of the farming systems

Priority crops for food security	Priority/preference		Priority crops for income	Priority/preference	
	Women (score out of 100)	Men (score out of 100)	List of crops	Women (score out of 100)	Men (score out of 100)

5. Links to organisations/access to information

This section will be used to understand what institutions exist in the area, (probe for both formal and informal), and what kind of support each institution provides. It will also cover their relevance.

Possible tools: Institutional maps (Venn diagrams, Chapatti diagrams)

Results table

Name of organisation	Services provided to farmers	Rating of farmer satisfaction with the services	Reasons for rating

Services to farmers: 1=Agricultural information, 2=Training, 3=Health, 4=Improved technologies, 5=Other

Rating of satisfaction: 4=Very satisfied, 3=Satisfied, 1=Not satisfied

6. Levels of social capital

a. Tools to use

- Brainstorming
- Group discussion

b. How often in the last twelve months has the following happened in the village?

Village events	How often (0 to a maximum)
Village members have come together for a social function (e.g. wedding, funeral, party)	
Village members have come together to undertake a community project (e.g. cleaning a well, digging a well, clearing common areas)	
Made financial contributions to help a member in the village	
Come together for a village meeting	
Organised and made a field trip or sent representatives to a research station, field day, demonstration plot	
Organised and gone to another village to see a development, research project, etc.	
A group of people from another village has come to this village to see a research or development project	
An outside organisation or field extension staff has conducted a training programme	
Researchers, staff from NGOs or extension officers have visited the village	

c. How would you assess this village on the following aspects?

Aspect	How often?
Participation in community activities	
Extent of trust among people	
Cooperation among people	
Extent of giving or exchanging gifts	
Extent of financial contribution for community activities/problems	
Extent of financial contribution to group activities	
Spirit of helping others especially the poor	
Extent of settling conflicts or disputes among people	
Extent of abiding by the norms and byelaws	
Confidence among women to speak in public	
Men's respect and consideration for women	

0=Never happens,1=Poor, 2=Average, 3=Very good, 4=Excellent

7. Community natural resource management

Has the local council enacted any bye-laws relating to NRM (requirement to construct and maintain terraces, to control runoff, etc.) since establishment of the local council?
1=Yes, 0=No

Are there other bye-laws or laws affecting land management in this community (parish or sub-county bye-laws, including those from earlier times that are still in effect)?
1=Yes, 0=No

If the answer to either of the above questions is yes, please describe each bye-law affecting land management in the following table:

Bye-law/ provision	Year established	Who enacted? 1=Village council 2=Sub-county 3=District 4= Central government 5=Other		Community awareness 1=No one aware of bye-law 2=Minority aware 3=Majority aware 4=Everyone aware		Community compliance 1=No one complies 2=Minority complies 3=Majority complies 4=Everyone complies	

Tool 3: HH (HH) Baseline Survey

HH ID

Name of supervisor	Date checked

A. Identifying Information

1. Name of enumerator	
2. Date of interview	
3. Country	
4. Province / Region / State	
5. Sub-county/Sector / Locality/EPA/ Local government authority/ Ward	
6. Village	
7. PLS	
8. Task force	
9. HH no:	
10. IP	
11. Name of head of HH	
12. Name of respondent	
13. Is respondent head of HH? 1=Yes, 0=No	
14. If not, relationship to HH head: 1=Wife, 2=Husband NB: Interview should only be conducted with the two adult members of the HH (i.e. husband or wife or adult children living at home)	
15. GPS coordinates of residence (waypoint)	1. Northings: 2. EASTINGS: 3. Elevation (m.a.s.l.):

B. General HH Information

Variable	Response	Codes
1. Gender of HH head		1=Male 0=Female
2. Age of HH head in years		
3. Marriage status		1=Single, 2=Monogamously married, 3=Polygamous married, 4=Widowed, 5=Separated/ divorced, 6=Other (specify)
4. If married, age of spouse		
5. If married to more than one spouse, age of spouse 2		
6. If married to more than one spouse, age of spouse 3		
7. If married to more than one spouse, age of spouse 4		
8. Education level of HH head		1=No formal education, 2=Adult education 3=Some primary education, 4=Completed primary education, 5=Some vocational training, 6=Completed vocational training, 7=Some secondary education, 8=Completed secondary education, 9=College education 10=University education
9. Education level of spouse 1		
10. Education level of spouse 2		
11. Education level of spouse 3		
12. Education level of spouse 4		
13. Highest level of education attained by any family member		
14. Number of males >16 years		
15. Number of females >16 years		
16. Number of members <16 years		
17. Number of members >59 and above		
18. How many members of this family are living away who regularly send remittances?		
19. HH size		All members of a common decision-making unit (usually within one residence) who are sharing income and other resources.
20. How long has the HH head been farming?		Number of years
House characteristics/identifiers		
21. Roofing material of HH's main residence		1=Straw/thatch, 2=Mud, 3=Wood/planks, 4=Iron sheets, 5=Asbestos, 6=Bricks/tiles, 7=Tin, 8=Cement, 9 =Other
22. Walls material of HH's main residence		
23. Floor material of HH's main residence		
24. Number of rooms (minus kitchen and bathrooms)		
25. Type of HH		1=Male-headed monogamous, 2=Male-headed polygamous, 3=Female-headed (husband absent), 4=Female-headed (widowed), 5=Female-headed (divorced), 6=Female-headed (single), 7=Male-headed (single), 8=Male-headed (divorced), 9=Male-headed (widowed), 10=Other (specify)

C. HH Assets

Row	Agricultural enterprise equipment	Number	Estimated value	Joint ownership	Ownership (percentage)		
					Male spouse	Female spouse	Other HH members
1	Hoes, cutlasses, machetes						
2	Ox-ploughs						
3	Draft cattle						
4	Draft donkeys						
5	Tractor, including tractor plough						
6	Wheelbarrows						
7	Transport equipment for agricultural enterprise, e.g. ox- cart						
	Non-agricultural enterprise equipment						
8	Sewing machine						
9	Ox-cart						
10	Car						
11	Bicycle						
12	Motorcycle						
13	Radio						
14	Television						
15	Fishing boat						
16	Mobile phone						
17	Paraffin stove						
18	Sofa chairs						
	Other						
19							
20							
21							
22							
23							

Indicate currency: USD conversion rate at time of interview

D. Land Ownership

1. Land holding in hectares / acres (specify)

Row	Holdings	(a) Homestead land	(b) Main upland land	(c) Wetland (if applicable)	(d) Other	(e) Total	(f) Ownership (in percentage)			
							Joint ownership	Male spouse	Female spouse	Other HH members
1	Owned									
2	Rented from others									
3	Sharecropped in									
4	Borrowed									
5	Rented out									
6	Sharecropped out									
7	Lent out									
8	Under crop cultivation (2007/8)									
9	Under woodlot (2007/8)									
10	Total land under other uses (fallow, pasture, etc.) (2007/8)									
11										
12										

I hectare = 2.471 acres; 1 acre = 0.405 hectares

E. Livestock Ownership

How many livestock does this HH own now?

Row	Livestock	(a) Do you own? 1=Yes; 0 =No	(b) If yes, number owned	(c) Jointly owned	(d) Male spouse	(e) Female spouse	(f) Other HH member (s)	(g) What was the source?
1	Crossbreed cattle							
2	Local cattle							
3	Improved goats							
4	Local goats							
5	Improved sheep							

Row	Livestock	(a) Do you own? 1 =Yes; 0 =No	(b) If yes, number owned	(c) Jointly owned	(d) Male spouse	(e) Female spouse	(f) Other HH member (s)	(g) What was the source?
6	Local sheep							
7	Improved pigs							
8	Local pigs							
9	Improved chicken (broilers or layers)							
10	Local chicken**							
11								
12								
13								

Source of livestock acquisition: 1=Government livestock programme, 2=NGO/FBO, 3=Bought from market, 4=Given by friend/relative, 5=Other specify

F. Use of Agricultural Technologies

1. Use of soil conservation and other land management options

Row	Management	(a) Do you know this technology? 1 =Yes, 0 =No	(b) Have you ever used this technology in your main fields 1 =Yes, 0 =No	(c) Where did you learn about the technology? (see codes)	(d) When did you first use this technology?	(e) Did you ask for this advice/ info/ technology? 1 =Yes, 0 =No	(f) Did you use this technology during the 2007/08 season? 1 =Yes, 0 =No	(g) If yes, area applied in ha / or numbers
	Soil and water management							
1	Mulching (ha)							
2	Water harvesting (number)							
3	Trenches/Terraces (ha)							
4	Irrigation (ha)							
5	Conservation tillage (ha)							
6								

Row	Management	(a) Do you know this technology? 1=Yes, 0=No	(b) Have you ever used this technology in your main fields 1=Yes, 0=No	(c) Where did you learn about the technology? (see codes)	(d) When did you first use this technology?	(e) Did you ask for this advice/info/ technology? 1=Yes, 0=No	(f) Did you use this technology during the 2007/08 season? 1=Yes, 0=No	(g) If yes, area applied in ha / or numbers
7								
	Crop protection							
8	Fungicide use (g)							
9	Herbicide use (litres)							
10	Insecticide use on field (litres)							
11	Insecticide use for storage (litres or g)							
12	Botanical pesticides (litres)							
13	Other disease and pest control (specify)							
	Crop management practices							
14	Row planting (ha)							
15	Planting density (ha)							
16	Thinning (ha)							
17	Inorganic fertiliser application (ha)							
a	NPK							
b	N (urea)							
c	DAP							
d	SSP							
18	Animal manure (ha)							
19	Composting and organic residue management (ha)							
20	Legume-cereal rotation (ha)							

Row	Management	(a) Do you know this technology? 1=Yes, 0=No	(b) Have you ever used this technology in your main fields 1=Yes, 0=No	(c) Where did you learn about the technology? (see codes)	(d) When did you first use this technology?	(e) Did you ask for this advice/info/ technology? 1=Yes, 0=No	(f) Did you use this technology during the 2007/08 season? 1=Yes, 0=No	(g) If yes, area applied in ha / or numbers
21	Method of fertiliser application (ha)							
22	Cover crops (ha)							
23	Others (specify)							

Codes for source: 1=Government extension workers, 3=Farmer group members, 4=NGO (specify), 5=Other farmers, 6=Radio, 7=Demonstration/ research sites, 5=Other (specify)

2. Use of post-harvest technologies

Row	Technology	(a) Do you know it? 1=Yes, 0=No	(b) Have you ever used it? Yes =1, No =0	(c) Where did you learn about the technology? (see codes)	(d) When did you first use it? (year)	(e) Did you ask for info about it? 1=Yes, 0=No	(f) Did you use this technology during the 2007/08 season? 1=Yes, 0=No	(g) On what crop did you use the technology?
1	Drying							
2	Threshing/shelling equipment							
3	Improved storage facilities							
4	Pest control							
5	Grading							
6	Other (specify)							
7	Other (specify)							

Codes for source of information on technologies: 1=Government extension workers, 3=Farmer group embers, 4=NGO, 5=Other farmers, 6=Radio, 7=Demonstration/esearch sites, 8=Other (specify)

3. Use of other crop and livestock productivity enhancing technologies (Each TF to be very specific about the technology it wants to capture here.)

Row	Technology	(a) Do you know it? 1=Yes, 0=No	(b) Have you ever used it? 1=Yes, 0=No	(c) Where did you learn about it? (see codes)	(d) When did you first use it? (year)	(e) Did you ask for info on it? 1=Yes, 0=No	(f) Did you use it during the 2007/08 season? 1=Yes, 0=No	(g) If yes, area applied in ha or numbers
	Improved varieties							
1								
2								
3								
4								
5								
6								
	Livestock							
7	Improved cattle breeds							
8	Livestock drugs							
9	Livestock supplementary feed							
10	Other (specify)							
	Other TF-specific technologies							
11								
12								
13								

Codes for source of information on technologies: *1 =Government extension workers, 3 =Farmer group members, 4 =NGO (specify), 5 =Other farmers, 6 =Radio, 7 =Demonstration/Research sites, 99 =Other (specify)*

4. General access to inputs – *How would you rate your access to the following inputs?*

Row	Type of inputs	(a) Common source	(b) Distance from house to regular source (km)	(c) Time taken in hours to get to regular source	(d) Average cost per unit	(e) Unit	(f) Perception of cost	(g) Other constraints to access
1	Fertiliser (NPK, urea, DAP, SSP, others)							
2	Herbicides							
3	Fungicides							
4	Insecticide							
5	Animal manure							
6	Certified seed							
7	Seed dressing							
8	Post-harvest insect control							
9	Farm equipment							
10	Water pumps							
11	Livestock supplementary feed							
12	Livestock drugs							
	Others (specify)							
13								
14								

Common source of inputs: 1=Purchased from market, 2=Purchased from stockists, 3=Purchased from other farmers, 4=Received from government, 5=Received from NGOs, 6=Others (specify)

Perception of cost: 1=Very affordable, 2=Affordable, 3=Not affordable

Other constraints to access: 1=Too far from HH, 2=Unsuitable packaging (large), 3=No knowledge of how to use, 4=No transport, 5=Other (specify)

G. General Crop and Livestock Production

1. Crops

Row	Crop	Area planted the last season in ha (2007/08 season)	Amount of seed used (kg)	Source of seed	Amount harvested in local unit	Local unit code	Equivalent; l local unit =......in kg	Amount harvested (equivalent in kg)
	3 priority PLS cereal crops							
1								
2								
3								
	3 priority PLS legume crops							
1								
2								
3								
	3 priority PLS fruits and vegetables							
1								
2								
3								
	3 priority roots and tubers							
1								
2								
3								

Source of seed: 1=Purchased from market, 2=Purchased from stockists, 3=Purchased from other farmers, 4=Received from government, 5=Received from NGOs, 6=Own saved seed, 7=Received from other farmers, 8=Others (specify)

Unit code: 1=kg, 2=50-kg bag, 3=100-kg bag, 5=Bucket, 6=Ox-cart, 7=Pile, 8=Bunch, 9=Bundle 10=Other (specify)

2. Livestock – *In which month(s) do you experience shortages in feed for livestock?*

Row	Livestock	Jan	Feb	Mar	Apr	May	Jun	July	Aug	Sep	Oct	Nov	Dec
1	Small ruminants												
2	Cattle												

3. When do you supply feed supplements to livestock and for what benefit? (Tick and indicate code for benefit)

Row	Feed	Jan	Feb	Mar	Apr	May	June	July	Aug	Sep	Oct	Nov	Dec
Small ruminants													
1	Young stock												
2	Adult males												
3	Adult females												
Cattle													
4	Young stock												
5	Adult males												
6	Adult females												

Codes: 1=Survival, 2=Better body conditions, 3=Higher market price, 4=Higher milk production, 5=More draft power, 6=Higher fertility, 7=Other (specify)

4. What are your major constraints in growing/purchasing/accessing livestock feed?

Row	Feed	Constraints						
		1. Land	2. No market	3. High price	4. Poor quality	5. Long distance	6. Frequent drought	7. Other competing use for feedstuff
1	Crop residue/dry fodder							
2	Green fodder							
3	Tree leaves							
4	Concentrates							
5	Grazed forages							
6	Other							

H. Marketing of Agricultural Produce

1. Marketing strategies and linkage with agricultural traders – Ask question (a) for all crops before going on to questions (b) to (o)

Row	Crop	(a) Did you sell? 1=Yes; 0=No	(b) If yes, how much did you sell? Amount sold (kg)	Market 1						Market 2					
				(c) Type	(d) How far is it?	(e) Price per unit	(f) Unit code	(g) In what form did you sell?	(h) How did you sell? 1=Ind, 2=Col	(i) Type	(j) How far is it?	(l) Price per unit	(m) Unit code	(n) In what form did you sell?	(o) How did you sell? 1=Ind, 2 Col
Priority cereal crops															
1															
2															
3															
Priority legume crops															
4															
5															
6															
Priority fruits and vegetables															
7															
8															
9															
Priority roots and tubers															
10															
11															
12															

Unit Code: 1=kg, 2=5- kg bag, 3=90-kg bag, 5=Bucket, 6=Ox-cart, 7=Pile, 8=Bunch, 9=Other (specify)

Type of market: 1=on-farm to consumers, 2=on-farm to middlemen, 3=on the roadside, 4=local/village market, 5=district town, 6=distant market, 7=other (specify)

In what form: 1=as harvested/fresh, 2=shelled, 3=milled/as flour, 4=cooked/baked/conserved, 5=other (specify)

How did you sell?: Ind = individually, Col = collectively

2. Sale of Livestock and livestock products – Ask questions (a) for all products before going on to questions (b) to (f)

a. Sale of livestock

Row	Breed	(a) Have you sold in the last 12 months? 1=Yes, 0=No	(b) If yes, how many have you sold?	(c) Type of market sold to	(d) Distance to market	(e) Amount of money obtained (currency)	(f) How did you sell 1=Individually, 2=Collectively
1	Crossbreed cattle						
2	Local cattle						
3	Improved goats						
4	Local goats						
5	Improved sheep						
6	Local sheep						
7	Improved pigs						
8	Local pigs						
9	Improved chicken (broilers of layers)						
10	Local chicken						
11	Others						

Type of market: 1=On-farm to consumers, 2=On-farm to middlemen, 3=On the roadside, 4=Local/village market, 5=District town, 6=Distant market, 7=Other (specify)

b. Sale of livestock products

Row	Product	(a) Did you produce during the past 12 months?	(b) How many months a year do you produce?	(c) In those months when you produce [....], how much do you usually produce per month?		(d) Of the amount produced how much does the HH usually sell in a month?		(e) Where do you usually sell? (Type of market)	
				Amount	Unit code	Amount	Unit code	Market 1	Market 2
1	Eggs								
2	Milk								
3	Butter								
4	Meat								
5	Hides								
6									
7									

Unit codes: 1=Litres, 2=Kilograms, 3=Trays, 4=Number, 5=Other (specify)

Type of market: 1=On-farm to consumers, 2=On-farm to middlemen, 3=On the roadside, 4=Local/village market, 5=District town, 6=Distant market, 7=Other (specify)

3. Collective marketing and other group activities

NB: Only for farmers who responded that they have sold collectively in I (1) above.

If you produce, process or sell your products in **cooperation with other farmers** or have a binding contract with traders, please report the frequency of meetings, your empowerment to make decisions on group activities and terms and conditions of the contract. Mention at most three groups that members of this HH participate in for collective marketing.

Row	Attribute	Group 1	Group 2	Group 3
1	Name of group			
2	Main activity of group			
3	Year this HH first participated			
4	# of female family members belonging to this group			
5	# of male family members belonging to this group			
6	Frequency of meetings per year			
7	Who initiated this group?			
8	Who sets the prices?			
9	Do you have a contract between the group and traders? Yes =1 No =0			
10	If yes, what type of contracts? *1=signed contract, 2=Informal/word of mouth, 3=Other (specify)*			
11	Perception of empowerment to set terms of the contract with traders			
12	Perception on empowerment to enact laws and regulation of the group			
13	Perception on empowerment to make decisions of group activities			

Main activity: 1=Production, 2=Processing, 3=Marketing, 4=Production and processing, 5=Production and processing, 6=Processing and marketing, 7=Production, processing and marketing, 8=Other (specify)

Who initiated formation of this group? 1=Farmer group, 2=Trader group, 3=Individual trader, 4 =Trader group, 5=NGO, 6=CBO, 7=FBO, 8=Government official, 9=Village/ocal government leaders, 10=Project, 11=Farmer (respondent), 12=Other farmers/friends/relatives, 13=Other (specify)

Who sets the prices? 1=Farmers as a group, 2=Traders, 3 =Farmers in consultation with traders, 4=Other (specify)

Perception of empowerment: 1=Very empowered, 2=Slightly empowered, 3=Not empowered – all decisions are made by other people

4. Constraints to marketing – What are the priority constraints to crop and livestock marketing?

Row 1	(a) Constraints to crop marketing	(b) Rank (1 being the most important constraint)	Row 2	(c) Constraints to livestock marketing	(d) Rank (1 being the most important constraint)
1	Low quality of produce		1	Low quality of produce	
2	Low market prices at the time of selling		2	Low market prices at the time of selling	
3	Unavailability of markets		3	Unavailability of markets	
4	Lack of market information		4	Lack of market information	
5	Difficulties in processing		5	Difficulties in processing	
6	Difficulties in storage		6	Difficulties in storage	
7	Transport to the market		7	Transport to the market	
8	Farmers are not organised to market collectively		8	Farmers are not organised to market collectively	
9	Difficulties in setting prices		9	Difficulties in setting prices	
10	Other (specify)		10	Other (specify)	

5. Access to market information – From whom or from which organisation do you primarily obtain market information?

Row	Type of information	(a) Do you receive information? 1 =Yes, 0 =No	(b) Source of information	(c) How do you use the information?
1	Commodity prices in different markets			
2	What commodities are in demand?			
3	When are the commodities demanded?			
4	Supply in different markets			
5	Availability of services, e.g. transport			

Source of information: 1=Other farmers, 2=Family and friends, 3=Radio/TV, 4=Farmer organisation/cooperative, 5=Other non-farmer associations, 6=Marketplace posters/posted bulletins, 7=Agricultural traders, 8=SMS messages, 9=Internet, 10=Newspaper, 11=Extension officer, 12=Other (specify)

How you use information: How do you use this price and market information? 1=Affect purchasing decisions, 2=Affect sales decisions, 3=Affect stocking decisions, 4=Affect contracting decisions, 5=Affect investment decisions, 6=Other (specify)

6. Membership in farmer associations

a. Are you or any other member of the HH a member of other groups that are not dealing with marketing? Yes =1, No =0

   If no, go to question 2.

b. If yes, which groups and what are their main activities?

c. If no, why you do not participate in any farmers' organisation?

   1=Lack of time, 2=Lack of resources, 3=No need for group benefits, 4=Other (specify)

Row	(a) Name of group / association	(b) Membership of group	(c) Total membership	(d) Main activity of the group	(e) For how many years have you been a member?	(f) Which HH member is the registered member of the group?	(g) Assessment of benefits
1							
2							
3							
4							
5							
6							

Membership of group: 1=Women-only group, 2=Men-only group, 3=Mixed group, 4=Cooperative society, 5=Other (specify)
Main activity: 1=Production, 2=Processing, 3=Social, 4=Savings and credit, 5=Kinship, 6=Other (specify)
Registered member: 1=Husband, 2=Wife, 3=Both
Assessment of Benefits: 1=Not beneficial, 2=Fairly beneficial, 3=Beneficial, 4=Very beneficial

I. Access to Credit Services, Information, Extension and Training

1. Access to credit – Do you have access to any of the following sources of credit?

Row	Source of borrowed money	(a) Have you ever borrowed? 1 =Yes, 0 =No	(b) Amount borrowed in the last 12 months	(c) Purpose of borrowing
1	Relative and friends			
2	Informal savings and credit group			
3	Moneylender			
5	Government credit schemes			
6	NGO/church			
7	Bank			
8	Microfinance institution			

Purpose for borrowing: 1=Purchase of food, 2=Purchase of HH assets, 3=Payment of fees, 4=Cover medical costs, 5=Agricultural production, 6=Educational costs, 7=Other (specify)

2. Access to and use of agricultural extension services

a.   Did any member of your HH visit an agricultural extension agent or an agricultural extension centre during the last 12 months to seek advice or assistance on growing crops? Yes =1, No =0

b.   If yes, how many times during the last 12 months did members of your HH do this?

c.   What type of assistance or information was requested? Tick where appropriate.

d.   During the past 12 months, did any agricultural extension agent visit your HH? Yes =1, No =0
     How many times did the extension agent visit your HH during the last 12 months?

	(a) Crop production	(b) Did you request? 1=Yes, 0=No		(c) Livestock production	(d) Did you request? 1=Yes, 0 =No
a	Use of fertiliser		a	Disease management	
b	Use of improved varieties		b	Feed /nutrition	
c	Pest and disease management		c	Insemination services	
d	Soil management		d	Marketing advice	
e	Weather information		e	Credit	
f	Marketing advice		f	General livestock management	
g	Credit		g	Other	
h	General crop production advice		h		
i	Other		i		

3. Access to agricultural training

a. Have you or any member of this HH participated in any agricultural research or extension training in the last 12 months? (Yes =1, No = 0)

b. If yes, who provided the training, what was the topic and how would you rate it? (Up to a maximum of 5)

Row	Service provider	Topic[1]	(c) Perception of methods / approaches used[2]	Did you or any of the other farmers ask for the training? 1=Yes, 0=No	(d) Usefulness of the training [3]	(e) Timeliness of the training [4]
1						
2						
3						
4						
5						

Topic of Training: *1 =Crop management, 2 =Pest and disease control, 3 =Livestock management, 4 =Specific agricultural technologies (specify), 99 =Other (specify)*

*[1] **Perception on methods***: *1 =Very poor, 2 =Poor, 3 =Good, 4 =Very good*

*[2] **Perception on usefulness of training**: 1 =Not useful, 2 =Somewhat useful, 3 =Useful, 4 = Very useful*

*[3] **Timeliness of the training**: 1 =Untimely, 2 =Always provided late, 3 =Not always timely, 4 =Timely*

4. Participation in research activities

a. Have you or any member of this HH participated in any agricultural research or extension demonstration plot or research plots? (Yes =1, No = 0)

b. If yes, complete the following table

Row	Type of technology being demonstrated. (If several, mention at most 3)	Respond
1		
2		
3		
4	Distance to research site from homestead (km)	
5	Who decided on the technologies to be researched/ demonstrated?	
6	Organisation conducting the research/demonstration	

Row	Type of technology being demonstrated. (If several, mention at most 3)	Respond
7	How long did the research take (in months)?	
8	Number of times you interacted with the research staff during this period	
9	Average time spent per visit/meeting/contact (hours)	
10	What was your role in the research / demonstration?	
11	Perception on usefulness of the research/demonstration	
12	Have you adopted any of the technologies demonstrated? Yes=1, No=0	
13	If no, why not?	

Type of technology: 1=Crop variety, 2=Soil erosion control structures, 3=Agroforestry, 4=Soil fertility improvement, 5=Crop protection, 6=Post-harvest handling, 7=Tillage methods, 8=Plant spacing and other management practices, 9=Others (specify)

Who decided: 1=Researchers /extension officers, 2=Researchers/extension in consultation with farmers, 3=Researchers, extension and farmers agreed, 4=Farmers, 5=Other (specify)

Role in the research/demonstration: 1=Just watched and learned, 2=Provided labour, 3=Provided land, 4=Collected data, 5=Made decisions on the research, 6=Other (specify)

Usefulness: 1=Not useful, 2=Somehow useful, 3=Useful, 4=Very useful

Reasons for no adoption: 1=Lack of planting material, 2=Research not useful, 3=Lack of land, 4=Lack of inputs, 5=Lack of labour, 6=Other (specify)

5. Interactions with other farmers and farmer groups

In the last 12 months, how often has a member of your HH participated in the following?

Row	Aspect	How would you rate the occurrence?	Number of times it has happened in the last 12 months
1	Participated in community development activity		
2	Made financial contribution for community activities or collective problems		
3	Been involved in settling conflicts or disputes among people		
4	Visited other farmers within your community to learn about agriculture		
5	Visited other farmers outside your community to learn about agriculture		
6	Visited a research station to learn about agriculture		
7	Visited an extension office to learn about agriculture		

0=Never happens, 1=Poor, 2=Average, 3=Very good, 4=Excellent

6. Most recent interactions

In the last 12 months, who are the persons you have interacted with to exchange agricultural information, trade goods or other information?

Row	Name of person	Sex 1 =Male, 0 =Female	Distance from your home (km)	Type of interaction	Frequency of interaction	Perception of strength of interaction	Did you give information? 1=Yes, 0=No	Did you receive information? 1=Yes, 0=No	Role of the person
1									
2									
3									
4									
5									
6									
7									
8									
9									
10									

Type of interaction: 1=Information exchange, 2=Commercial transactions, 3=Materials exchange, 4=Money exchange, 5=Other (specify)
Frequency of interaction: 1=Daily, 2=Weekly, 3=Monthly, 4=Every 6 months, 5=Annually or less
Perception of strength of interaction: 1=Very weak, 2=Weak, 3=Moderate, 4=Strong, 5=Very strong
Role of the person: 1=Fellow farmer, 2=Community/group leader, 3=Extension agent, 4=Researcher, 5=Trader, 6=NGO staff, 7=Other (specify)

7. Evaluation of existing interactions and approaches

In your view, how would you rate the methods/approaches of research/advisory /training services that you have received from various service providers in the past 2 years? (not more than 6)?

Row	(a) Which organisation have you been receiving agricultural services (information, technologies, training, etc.) from?	(b) Methods / Approaches used [1]	(c) Usefulness of advice/ research [2]	(d) Timeliness of service provision [3]	(e) Collaboration with extension & research [4]	(f) Collaboration with farmers [4]	(g) Frequency of interactions [5]
1							
2							
3							
4							
5							
6							

[1] *Perception on methods:* 1=Very poor, 2=Poor, 3=Good, 4=Very good
[2] *Perception on usefulness of advice:* 1=Not useful, 2=Somehow useful, 3=Useful, 4=Very useful
[3] *Timeliness of service provision:* 1=Untimely, 2=Always provided late, 3=Not always timely, 4=Timely
[4] *Collaboration:* 1 =Very poor, 2 =Poor, 3 =Good, 4=Very good
[5] *Frequency of interaction:* 1=Very infrequent, 2=Occasional, 3=Regular, 4=Very regular

J. Welfare Indicators

1. HH income

a. What are your priority sources of income and what is the income estimate from these sources for the last 12 months? Which HH members are engaged in these businesses or wage labour activities? *(Ask for each source one at a time and if the HH does not get income from that source, move to the next option.)*

b. At any time during the last year (last 12 months), did you or anyone in the HH do any day labour for income?   1=Yes, 0=No

c. Did you hire any labour to work on your farm?   1=Yes, 0=No

d. Do you have savings?   1=Yes, 0=No

e. If yes, how often do you save money?   0=Never, 1=Occasionally, 2=Regularly, 3=Always

	Income source	(a) Do you get income from this source 1=Yes, 0=No	(b) From whom within the HH?	(c) Do you get income from this source? 1 =Yes, 0 =No	(d) How regularly do you get income from this source? (see codes)	(e) What is the estimated amount that you have got from this source in the last 12 months? (currency)	(f) What importance would you give this source of income in terms of contributing to total HH income?
1	Sale of crops		Head				
			Spouse/s				
			Other				
2	Sale of livestock		Head				
			Spouse/s				
			Other				
3	Sale of other products e.g. firewood, trees		Head				
			Spouse				
			Other				

	Income source	(a) Do you get income from this source 1=Yes, 0=No	(b) From whom within the HH?	(c) Do you get income from this source? 1=Yes, 0=No	(d) How regularly do you get income from this source? (see codes)	(e) What is the estimated amount that you have got from this source in the last 12 months? (currency)	(f) What importance would you give this source of income in terms of contributing to total HH income?
4	Regular employment		Head				
			Spouse				
			Other				
5	Casual employment (agricultural related)		Head				
			Spouse				
			Other				
6	Casual employment (non-agricultural related)		Head				
			Spouse				
			Other				
7	Running own business		Head				
			Spouse				
			Other				
8	Remittances		Head				
			Spouse				
			Other				
9	Remittances from non-family members		Head				
			Spouse				
			Other				
9	Remittances from non-family members		Head				
			Spouse				
			Other				

Regularity of income source: 1=Do not get, 2=Occasionally, 3=Regularly, 4=All the time

Importance of source: 1=Not important, 2=Moderate importance, 3=High importance, 4=Very high importance

2. HH Food Security

a.   Number of months that the harvested food lasted: In the 2007 season, how long did your harvest of the main cereal and legume crops last?

b.   In the past 12 months, were there months in which you did not have enough food to meet your family's needs 1 =Yes, 0 =No
If no, go to K3

(a) Crop	(b) Name of crop	(c) How long did the harvest last (no. of months out of 12)?	(d) How long do you think your harvest will last this time? (no. of months)?
Main cereal crop			
Main legume crop			
Main root/tuber crop			

c. If yes, which were the months in the last 12 months that you did not have enough food to meet your family's needs?

	(a) Did you have enough food to meet your family's needs? 1=Yes, 0 =No		(a) Did you have enough food to meet your family's needs? 1=Yes, 0 =No
Jan		Jul	
Feb		Aug	
Mar		Sep	
Apr		Oct	
May		Nov	
Jun		Dec	

d. Coping with food shortages – If you faced any food shortage in the past 12 months, what coping strategies did you use?

	Coping mechanism	(a) Did it happen? 1=Yes, 2=No	(b) If you used a strategy, how often did you use it?
1	Borrowed money to buy food or got food on credit		
2	Reduced the number of meals		
3	Mother ate less		
4	Father ate less		
5	Children ate less		
6	Substituted commonly bought foods with cheaper kind		
7	Modified cooking method		
8	Mortgaged/sold assets		
9	Borrowed from neighbours		
10	Went for food-for-work programmes		

How often: 1=Very few times, 2=Occasionally, 3=Regularly, 4=All the time

3. HH dietary diversity
In the last 24 hours, has your HH consumed any of the following foods?

Food	Types of foods	Has your HH consumed? (1=Yes, 0=No)	How many times in the last 30 days have you consumed this food?
Cereals	Any local foods, e.g. ugali, nshima, bread, rice noodles, biscuits, or any other foods made from millet, sorghum, maize, rice, wheat, or other local grains		
Vitamin-rich vegetables and tubers	Pumpkin, carrots, squash, or sweet potatoes that are yellow or orange inside and other locally available Vitamin A-rich vegetables		
White tubers and roots	White potatoes, white yams, cassava, or foods made from roots		
Dark green leafy vegetables	Sweet pepper, dark green/leafy vegetables, including wild ones and locally available Vitamin A-rich leaves such as cassava leaves etc.		
Other vegetables	Other vegetables, including wild vegetables		
Vitamin A-rich fruits	Ripe mangoes, papayas, other locally available Vitamin A-rich fruits		
Other fruits	Other fruits, including wild fruits		
Meat	Beef, pork, lamb, goat, rabbit, wild game, chicken, duck, or other birds, liver, kidney, heart or other organ meats or blood-based foods		
Eggs	Eggs		
Legumes, nuts and seeds	Fresh or dried fish or shellfish		
Legumes, nuts and seeds	Beans, peas, lentils, nuts, seeds or foods made from these		
Milk and milk products	Milk, cheese, yogurt or other milk products		
Oils and fats	Oil, fats or butter added to food or used for cooking		
Sweets	Sugar, honey, sweetened soda or sugary foods such as chocolates, sweets or candies		
Spices, caffeine?? or alcoholic beverages	Spices, coffee, tea, alcoholic beverages OR *local examples*		
Did you or anyone in your HH eat anything (meal or snack) OUTSIDE of the home yesterday?			

4. HH Expenditure

Please indicate the purchases done for consumption and non-consumption needs in the past 12 months

Cost item	Code	1 Monthly purchases (high expenditure season) (Naira/CFA)	2 Number of months of high expenditure season	3 Monthly purchases (low expenditure season (Naira/CFA)	4 Number of months of low expenditure season
Food purchases	1				
Annual expenditure					
Purchase of non-productive durable goods	2				
Repair of houses and other durable assets	3				
Education	4				
Health	5				
Clothing & footwear	6				
Purchase of other assets	7				
Others (Specify)					

Tool 4: Plot-Level Survey

Household Code No:

Agricultural Enterprise Production and Management

1. Crop Production in specific fields

Details of land parcels and plots for crops. Ask the farmer to draw a map of her/his land (including any away from the homestead) on the ground and transfer this to the blank space in the questionnaire. A parcel is a contiguous piece of land owned or operated by the farmer. Number all parcels and plots and use the same numbering throughout this section. For example, if you assigned a parcel as #1, please assign the same number when completing the other sections. Please ask the questions listed below for each plot. Refer to the last two seasons of crop activity. In areas with unimodal rainfall, there is only one cropping. In such cases, report data for only one season.

Parcel name	Parcel ID #	Total parcel area (acres)	Distance from home (km)	Soil type (see code)	Used in 2nd season of 2007? 1=Yes, 0=No	Used in 1st season of 2008? 1=Yes, 0=No	Tenure type: 1=Customary, 2=Leasehold/rent, 3=freehold, 4=Other (specify)
1							
2							
3							
4							
5							

Soil type: 1=Sandy, 2=Clay, 3=Sandy loam, 4=Clay loam

2. Crop production for the 2007 season

For 2007/08 (2nd season of 2007 for LK, main 2007 season for KKM, winter season for ZMM), list all the plots and crops for all parcels cultivated by the household. Please list all the crops grown on each plot, with each crop listed in a separate row. Please assign the same parcel and plot numbers throughout this section. For example, if a plot is assigned as #2, it should be assigned the same number throughout this section.

For 2008 1st season (Feb to Jul) in LK, 2007/8 main season for ZMM, and not applicable for KKM, list all the plots and crops for all parcels cultivated by the household (HH). Please list all crops grown on each plot, with each crop listed in separate row.

Table 1 — Crop production/output

Parcel name	Parcel ID#	Plot ID#	Share of plot in parcel (%)	Cropping system [1]	Crop name	Crop code	Used improved variety? Yes=1, No=0	Source of seed/planting material [2]	Use recommended practices: row planting / spacing? Yes=1, No=0	% of plot area under crop	Seed/planting material		Production/output				
											Quantity (kg, or number of plants, or number of 100-kg bag for potato/cassava)	Total value (currency)	Quantity	Unit	Unit code	Unit conversion to kg	Total value of output (currency)

Please continue on next page if needed

[1] **Cropping system:** 1=Pure stand (mono cropping), 2=Intercropping (two crops), 3=Mixed cropping (more than two crops), 4=Other (specify)

[2] **Source of chemical fertiliser:** 1=Bought, 2=Saved from own harvest, 3=Given by NGO/FBO, 4=Given by government, 5=Given by farmer organisation/CBO, 6=Given by trader, 7=Given by a friend/relative, 99=Other

[3] **State of produce:** 1=Fresh cobs with leaves, 2=Dry cobs with leaves, 3=Dry cobs without leaves, 4=Dry grain, 5=Fresh pods, 6=Dry pods, 7=Other

3. Input use for 2007/08 season

List inputs used for each parcel and plot for the 2007 (2nd season of 2007 for LK, main 2007 season for KKM, winter season for ZMM). Make sure the parcel and plot numbers correspond to the tables in G (II).

Table 2 — Input use

Parcel name	Parcel ID#	Plot ID#	Land preparation and weeding				Use of fertilizers				Use of pesticides			Other		
			Land preparation method [1]	Cost of land preparation, including hired labour (currency)	Total cost of hired labour other than land preparation (currency)	Number of weedings	Used chemical fertiliser? 1 = Yes, 0 = No If No →41	Type of fertiliser used (list on separate row if more than one) [2]	Amt used (kg)	Total value (currency)	Used organic fertiliser? 1 = Yes, 0 = No If No, →12	Type of organic fertiliser [3]	Amt (kg)	Used pesticides / other chemicals? 1 = Yes, 0 = No If No, →14	Total value	Other input costs

[1] **Land preparation method:** 1=Hand hoe, 2=Oxen, 3=Tractor/mechanised, 4=Chemical, 5=Tractor & oxen, 6=Slash & burn, 7=Other (specify)

[2] **Chemical fertilisers:** 1=NPK, 2=Urea, 3=CAN, 4=SSP, 5=Ammonium Phosphate, 6=DAP, 7=Other (specify)

[3] **Type of organic fertiliser:** 1=Green manure, 2=Animal manure, 3=Compost, 4=Other (specify)

4. Family labour input (crop production)

Report the family labour input for the 2007/08 cropping season for each parcel of crops grown by this HH. Report the number of days worked separately for adult females and males (16 years and above), and female and male children (below 16 years). Ask the farmer about each field operation then add up all costs (land clearing, sowing, weeding, fertiliser applications, harvesting, threshing, etc.).

Parcel name	Parcel ID#	Plot ID#	Crop	2007/08 cropping season (no. of days)							
				Adult females		Adult males		Female children		Male children	
				No.	How many days?	No.	How many days?	No.	How many days?	No.	How many days?

5. Networking general questions

What are the three biggest agricultural problems that you faced?

1
2
3

We would like to learn about networks such as kinship groups, neighbour networks, collective work groups, and agricultural learning and discussion groups and credit and finance groups that influence improved crop and livestock practices you practise on your main fields and animals?

4. Describe your relationships with the different people you interacted with during the past 12 months. How well do interact with each other?

0=Do not interact, 1=Very weak, 2=Weak, 3=Moderate, 4=Strong, 5=Very strong

Person	1	2	3	4	5	6	7	8	9	10
1										
2										
3										
4										
5										
6										
7										
8										
9										
10										

6. Organisations

Now describe your relationships with the organisations you interacted with during the past 12 months. How well do they interact with each other?

0=Do not interact, 1=Very weak, 2=Weak, 3=Moderate, 4=Strong, 5=Very strong

Organisations	1	2	3	4	5	6	7	8	9	10
1										
2										
3										
4										
5										
6										
7										
8										
9										
10										

7. Have you heard of, or do you know about, innovation platforms in this district/LGA/sector? Yes=1, No=0

8. Which organisations are participating in the innovation platforms?

9. Did a member of your village participate in the innovation platform during the last 12 months? Yes=1, No=0

10. Why did a member of your village participate/not participate in the innovation platform?

11. What are the objectives of those who participate in the innovation platforms?

12. Do you know how the participants were selected to participate in the innovation platforms? Yes=1, No=0

13. How were the participants selected to participate in the innovation platforms?

14. How was your village selected to participate in the innovation platforms?

15. Do you know how the research for development problems that were addressed were identified and prioritised?

16. Who identified the problem being researched?

17. Were problems related to the value chain take into consideration? No=1, Partly=2, Fully=3, Other=4 (specify)

18. Why or why not?

19. Who identified the solution to the problem for experimentation?

20. Who designed the research protocols for the action research?

21. Who is carrying out the participatory action research?

22. Have you heard of, or do you know what is discussed, in the innovation platform meetings?

23. What is discussed in the innovation platform meetings?

24. What are the capacity building needs for IAR4D actors to actively participate in these meetings?

25. What formal and non-formal capacity building programmes should be provided and by whom?

26. Have you heard of or do you know of Potential Cereal-Legume Systems **(NGS and Sahel please insert your own IP topic here)**-based technological and institutional **innovations** that are being developed or have been introduced or have been successfully promoted? 1=Yes, 0=No

*(By **innovation** I mean changes in product or production design and quality, changes in processes, technologies, organisation or management routines and changes in the organisation of production, distribution and marketing that resulted in economic gain or savings improvements in social well-being or services.)*

27. If YES, please indicate potential technological and institutional innovations that you have heard of or know are being developed or have been introduced or have been successfully promoted?

28. Have you heard of, or do you know of, farmers and/or organisations that have taken up the technological and institutional innovations recently developed? 1=Yes, 0=No

29. IF YES, can you spell out what technological and institutional innovations have taken up, by which organisations, and with what outcomes?

Tool 5: Register of actors in the IP

Name of IP actor	Sex	Organisational affiliation	Type of organisation	Specialisation / discipline	What is our role (or potential role) in the IP?

Tool 6: Inventory of knowledge-sharing mechanisms and products being used and their reach

Name of innovation platform:……………..………….…   Taskforce:………………….…..……………..

Country:…………………………………………….....….   Facilitator:…………………..….................

Date:………………………..….................................

Methods for knowledge-sharing used in the IP	Numbers produced / available	What information is being shared / content	Number of partners using / with access	What is the reach / potential reach amongst partners and farmers(estimates)?	
				Number of farmers (male)	Number of farmers (female)

Notes:

Information and knowledge-sharing methods can include things like posters, booklets, websites, etc. that the TF /or IP is using to share information. This information should be collected on a yearly basis

Tool 7: Matrix to document IP characteristics and functioning

Name of innovation platform:………….....…............ Taskforce:…………..................…...............…..

Country:………………………………………………….......... Facilitator:……………………….....................

Date:…………………………………………………..............

Characteristic	Levels	Category where IP falls	Remarks
Origin	IP started from scratch		
	IP builds on existing networks		
	IP already fully operational		
Structure	Structured with elaborate procedures for running the IP		
	Amorphous		
Facilitation	Facilitated by researchers		
	Facilitated by local stakeholders		
	Joint / Alternating facilitation		
Common objectives / issues	Have common issues/ objectives been addressed?		If yes, what is the common issue / objective?
	Do not have a common issue / objective being addressed		
Information-sharing mechanisms	Have clear information-sharing mechanisms		If yes, give a list of information-sharing mechanisms being used
	Do not have clear information-sharing mechanisms; information sharing is ad hoc		

Tool 8: Activity report

A. General information

Name of innovation platform:……….…..….……….……….   Taskforce:…………..……….……...….……..……….

Country:……….……….……….……….……….……....…..   Facilitator:……….……….…….…..….….……….….

Activity:……….……….……….……….……….……….….   Date: ...……….……….……….……….……….….

B. Description of the activity

What is the nature of the activity?

Where was the activity implemented?

What were the objectives?

Who organised / originated / facilitated the activity?

C. Participation by IP actors in the activity (attach a list of attendees using Tool 1)

Number of organisation actors—grouped by type of organisation

Number of male farmers

Number of female farmers

Other groups represented

D. Process used

What was the process?

What tools were used?

E. Results of activity

What were the immediate results of the activity?

F. Evaluation of the a activity

What worked well, what did not work well?What needs to be changed? What are the action points for follow-up?

Tool 9: IP evaluation tool

This tool will be used by individual IP members to evaluate the functioning and outcome of the IP around critical IP indicators. This tool should be used together with the group AAR, starting with the group AAR and followed by this individual assessment.

Name of innovation platform:……….........……………...................   Taskforce:…………....................…….

Country:…………………….………………………………............……............….   Facilitator:…………………………....

Name of IP actor doing evaluation:………………....................…….   Date : ....….

	On a score of 0-10, 10 being the maximum, what score would you give the IP with respect to:	Comments / Reasons for score
Your level of awareness and understanding of the critical issue being addressed by the IP		
Extent to which these issues are relevant for you /or how important it is for you to address the issue		
How well the IP facilitation was done		
How well the IP meetings and activities were organised		
How participatory the activities / discussions were		
Information sharing within the IP		
Extent to which you have felt involved / engaged in the activities of the IP		
Conflict resolution within the IP		
Extent to which you were involved in contributing to the decisions and design of the research		
Extent to which the research done was useful for you		
Whether the plans of the IP have been clearly articulated		
Extent to which the goals have been achieved		

Tool 10: Inventory and description of innovations

Name of innovation platform:……….....….…………….   Taskforce:……….…..........………..…..……………..

Country:……………………………...…….................…...   Facilitator:……………….…………..................

Date:………………………....……………..…………………

Innovation (this could be technology, social, market innovation, etc...)	Description	What is the innovation (what is new, improved, etc.)?	How does the innovation respond to markets / policy / increasing productivity / addressing NRM issues?

Tool 11: After Action Review

Name of innovation platform:…………………………………….. Taskforce:………………………….…….

Country:……………………………………………………………..…. Facilitator:……………………………….

IP cycle: From ……………......................…To………….................……… Date:…………………………..........

Issue being addressed ………………………………………………………………………………..........………

………..........………

What were the plans / targets, etc.?	What has been achieved?	What was done well?	What did not go well	What do we need to change / do differently in the next cycle and how?

Note:

This is a planning, monitoring and reflection tool that will be used by IPs at the end of their IP cycle to evaluate their activities, achievement of objectives and reflect on what has gone well and what has been less successful. The lessons from this should feed into the next planning cycle.

Tool 12: Research Protocols

Name of innovation platform:………………………………………….. Taskforce:……………………….…….

Country:…………………………………………………………….…... Facilitator:…………………………….

Period covered under season: From…………..…………………… To …………………..…………………….

Date: …………………………..

 The research protocols should include

- Objective of the research
- Problem being addressed
- Extent of the problem
- How the research has been developed
- Experimental design
- Replications
- Type of data to be collected

Tool 13a: Training Evaluation Tool

Name of innovation platform:…………………………………………………… Taskforce:……………………………..

Country:……………………………………………………………………… Facilitator:…………………………..

Name of IP actor doing evaluation:……………………………………………… Date:…………………………….

Topic of the training:……………………………………………………………

Organisation providing training:………………………………………………

Aspects of training to be evaluated	On a score of 0-10, 10 being the maximum, how would you rate the following:	Comments / Reasons for score
General		
Relevance of training to your skills needs		
Usefulness of the training in carrying out your tasks (in organisation or IP)		
Scope for application of skills gained		
Timeliness of the training		
Technical facilitation during training		
Methods used in training		
Competence of the trainers		
Specific topics of the training		

Notes:

Individual IP members will use this tool to evaluate every training programme for IP actors after it has been conducted.

Tool 13 b: Summary of training activities

Country:……………………………………………………………………… District:…………………………………….

Sub county/Other:…………………………………………………… Taskforce: ………………………………..

Innovation platform: ………………………………………………… Facilitator: …………………………………..

Activity:……………………………………………………………… Date:…………………………………………..

Topic of training	Dates	Organisation providing training	Number of male participants	Number of female participants	Was the training demanded by the participants or supplied by the trainer?

Note:

This tool is used every year to report on all training activities carried out during that year.

Tool 14: Matrix scoring for evaluation of technologies and other innovations

(a) Quantitative evaluation

District:……………………………………… Country:…………………………………………….

Village: ……………………………………… Site (farmer):………………………………….

Total number: ……………………………… Men: …………………………………………… Women: …………….…………

Evaluation criteria	Score out of 10			
	Innovation 1 / Option 1	Innovation 2 / Option 2	Innovation 3 / Option 3	Innovation 4 /Option 4

(b) Qualitative evaluation

District:……………………………………… Country:…………………………………………….

Village: ……………………………………… Site (farmer):………………………………….

Total number: ……………………………… Men: …………………………………………… Women: …………….…………

Innovation 1 / Option 1		
Innovation 2 / Option 2		
Innovation 3 / Option 3		
Innovation 4 /Option 4		

Note:

The evaluation should be done at the end of the season by individual farmers, preferably by small groups of farmers, same sex and mixed to capture gender differences in the perceptions. The evaluation criteria can be generated by farmers, however researchers may have some common criteria that they may want used across the experimental sites for ease of comparison.

Tool 15: Inventory of number of farmers /potential farmers being reached with technologies, markets and information

Country:………………………………………………………..……   District:………………………………….…………….

Sub county/Other:…………………..…………………..………   Taskforce:…………………………….…………..

Innovation platform:…………………………………………   Facilitator:……………………………………….

Activity:…………………………………………………..……   Date:……………………………………………….

Technologies / Other innovations	Partners using them (Please list)	Number of farmers being reached	
		Male	Female

Note: This tool started with the potential numbers expected to be reached in 2008, and was then updated in 2009 and 2010.

Acronyms and abbreviations

ARD   Agricultural research for development

AAR   After Action Review

CBO   Community-based organisation

CRST   Core Research Support Team

FBO   Farmer-based organisation

IAR4D   Integrated agriculture research for development

IP   Innovation platform

KKM   Kano-Katsina-Maradi

M&E   Monitoring and evaluation

NGO   Non-governmental organisation

NRM   Natural resource management

NRS   Nationally recruited staff

PM&E   Participatory monitoring and evaluation

PCU   Programme Coordination Unit

PLS   Pilot learning site

SSA CP   Sub-Saharan Africa Challenge Programme

TF   Task force

ZMM   Zimbabwe-Malawi-Mozambique

About FARA

FARA is the Forum for Agricultural Research in Africa, the apex organization bringing together and forming coalitions of major stakeholders in agricultural research and development in Africa.

FARA is the technical arm of the African Union Commission (AUC) on rural economy and agricultural development and the lead agency of the AU's New Partnership for Africa's Development (NEPAD) to implement the fourth pillar of the Comprehensive African Agricultural Development Programme (CAADP), involving agricultural research, technology dissemination and uptake.

FARA's vision: reduced poverty in Africa as a result of sustainable broad-based agricultural growth and improved livelihoods, particularly of smallholder and pastoral enterprises.

FARA's mission: creation of broad-based improvements in agricultural productivity, competitiveness and markets by supporting Africa's sub-regional organizations (SROs) in strengthening capacity for agricultural innovation.

FARA's Value Proposition: to provide a strategic platform to foster continental and global networking that reinforces the capacities of Africa's national agricultural research systems and sub-regional organizations.

FARA will make this contribution by achieving its *Specific Objective* of sustainable improvements to broad-based agricultural productivity, competitiveness and markets.

Key to this is the delivery of five *Results,* which respond to the priorities expressed by FARA's clients. These are:

1. Establishment of appropriate institutional and organizational arrangements for regional agricultural research and development.

2. Broad-based stakeholders provided access to the knowledge and technology necessary for innovation.

3. Development of strategic decision-making options for policy, institutions and markets.

4. Development of human and institutional capacity for innovation.

5. Support provided for platforms for agricultural innovation.

FARA will deliver these results by supporting the SROs through five Networking Support Functions (NSFs):

NSF1. Advocacy and resource mobilisation

NSF2. Access to knowledge and technologies

NSF3. Regional policies and markets

NSF4. Capacity strengthening

NSF5. Partnerships and strategic alliances

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