

Ten years of promoting farmer-led innovation

Taking stock of achievements of the PROLINNOVA
Global Partnership Programme and network

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Cover photo *The one-ox plough developed by a farmer innovator in Nepal is now being used by many other farmers.* Photo: LI-BIRD, Nepal

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Acronyms and abbreviations

APAARI	Asia-Pacific Association of Agricultural Research Institutes
ARD	agricultural research and development
AusAID	Australian Agency for International Development
CBO	community-based organisation
CCA	climate-change adaptation
CCAFS	CGIAR Research Program on Climate Change, Agriculture and Food Security
CIAT	International Center for Tropical Agriculture
CLIC-SR	Combining Local Innovative Capacity with Scientific Research
COMPAS	Comparing and Supporting Endogenous Development
CPS	Country Platforms
CSO	civil society organisation
CSO-GARD	CSO Group on Agricultural Research for Development
CTA	Technical Centre for Agricultural and Rural Cooperation
DGIS	Netherlands Directorate General for International Cooperation
DURAS	Promoting Sustainable Development in Agricultural Research Systems
EU	European Union
FARA	Forum on Agricultural Research in Africa
FLD	farmer-led documentation
FIF	farmer innovation fair
GCARD	Global Conference on Agricultural Research for Development
GFAR	Global Forum for Agricultural Research
GPP	Global Partnership Programme
HAPID	HIV/AIDS and PID
IAS	Innovation Africa Symposium
ICIMOD	International Centre for Integrated Mountain Development
IFAD	International Fund for Agricultural Development
IIRR	International Institute of Rural Reconstruction
IK	indigenous knowledge
IPW	International Partners Workshop
IST	International Support Team
LI	local innovation
LINEX-CCA	Local Innovation and Experimentation: an entry point to Climate-Change Adaptation
LISF	Local Innovation Support Fund
LoA	Letter of Agreement
M&E	monitoring and evaluation
NGO	non-governmental organisation
NRI/RIU	Natural Resources Institute / Research Into Use
NRM	natural resource management
NSC	National Steering Committee
NUFFIC	Netherlands Organisation for International Cooperation in Higher Education
POG	PROLINNOVA Oversight Group
PID	Participatory Innovation Development
PROFEIS	Promoting Farmer Experimentation and Innovation in the Sahel
PROLINNOVA	PROMoting Local INNOVATION in ecologically oriented agriculture and NRM
PSO	Personele Samenwerking in Ontwikkelingslanden
PTD	Participatory Technology Development
SOLLINKKA	SOcial Learning LINKing Knowledge with Action
ToT	training of trainers
WAIA	Week on Agricultural Innovation in Africa

1 Introduction

In December 1999, members of a number of NGOs from the North and South and a few like-minded individuals from international agricultural research centres met and initiated a global effort to scale up participatory approaches based on local initiatives and to integrate them into mainstream institutions of agricultural research and development (ARD). This was in response to a) the limitations of more top-down approaches in ARD and b) the limited success in bringing small-scale participatory ARD efforts to scale.

This initiative was part of larger movement at the time that called for stronger farmer involvement in ARD through participatory and/or client-oriented research, farmer field schools and farmer-led extension. What distinguished this initiative from others was its attention to farmers' own problem-solving innovation and capacities and the call for a strong say of farmers in the participatory research process and its outreach. It sought to bridge the gap between research and extension by bringing them together to give attention to stimulating innovation in farming communities.

This initiative was developed as a Global Partnership Programme (GPP) under the umbrella of the Global Forum for Agricultural Research (GFAR) and was called **PROLINNOVA** (PROmoting Local INNOVation in ecologically oriented agriculture and natural resource management). This laid the foundation for the **PROLINNOVA** network. After several years of trying to mobilise funds, the network's activities started on the ground in 2003. The network was formally launched in Ethiopia in March 2004 and, over more than a decade, it has grown into the well-recognised international network as we know it today.



In 2014, the **PROLINNOVA** network needed to rethink its strategy in a changing context, revisit the activities it undertakes and assess its own functioning. It therefore initiated a process of 'stocktaking' to serve three main purposes:

- 1 To increase insights into accomplishments of **PROLINNOVA** up to 2014, in relation to available financial resources, and into the role of multi-stakeholder platforms in these achievements;
- 2 To appraise the accomplishments of **PROLINNOVA** at country level in integrating its approach into mainstream ARD programmes, organisations and policies and thereby help the sub-networks at country level to re-strategise their work and partnerships for the next decade;
- 3 To formulate and share lessons, conclusions and recommendations for strengthening global multi-stakeholder partnerships for ARD within and beyond the network.

The stocktaking was also meant to contribute to reflections on the relationship of the GFAR to **PROLINNOVA** and the role it played in the development of this particular GPP. Co-funding made available by the GFAR made this comprehensive stock-taking exercise possible.

This document provides a synthesis of all findings and related information generated through the various sub-studies and activities in this stocktaking process and are detailed in the next chapter. The findings are organised along the lines of the four overall objectives of the network, as agreed by all partners at its inaugural meeting in Ethiopia, and include:

- 1 increased understanding and further development of approaches and methodologies for promotion of Local Innovation and Participatory Innovation Development (LI/PID);
- 2 building capacity of development actors to implement and advocate for LI/PID;
- 3 mainstreaming and institutionalisation of LI/PID and,
- 4 effective functioning of **PROLINNOVA** as a learning network.

Sharing of experiences during the 2004 workshop launching **PROLINNOVA**

2 The approach to stocktaking

As a first step, the PROLINNOVA International Secretariat at ETC Foundation (the host of the network until 2015) in consultation with the GFAR Secretariat developed an overall study framework that would guide the stocktaking process. The final version of this framework is found in Annex 1.

A desk study was regarded as an important second step in the process. This study – supported by an intern from Wageningen University and Research – reviewed all relevant PROLINNOVA reports and documents to obtain answers to the key questions set out in the stocktaking framework (PROLINNOVA 2015b). It tried to take as comprehensive a look as possible at what PROLINNOVA had done over the 10-year period between 2003 and 2013, focusing particularly on the activities implemented. Where possible, the study incorporated outcome data on these activities derived from existing internal reports as well as from reports of external evaluations or assessment studies.

In addition, the PROLINNOVA Secretariat made a detailed review of the network's achievements in mainstreaming farmer-led innovation development at the international level (PROLINNOVA 2015a). Using data from the desk study as a starting point, it summarised all information found in external studies, added more recent data from the network's internal monitoring and evaluation (M&E) system and complemented this by using a questionnaire to obtain views from 40 staff members of international ARD organisations.

To achieve the second objective, a critical self-assessment was undertaken by all country sub-networks, known as Country Platforms (CPs). Most CPs received support in doing this from PROLINNOVA's Secretariat in the form of an operational assessment form (Annex 2) and a series of email and Skype consultations on using this assessment form and for initial analysis of the data gathered. Fifteen of 21

CPs completed their assessment with this support. Five CPs received direct support through a visit by a member of the PROLINNOVA International Support Team. In the case of two CPs (Senegal and Ghana), this took the form of an in-depth consultation lasting several days with field visits, individual interviews and facilitated meetings of key stakeholders. In the case of the other three (Kenya, Ethiopia, Burkina Faso), the in-country support was more limited, focusing on meetings with key organisations and/or members of the National Steering Committee (NSC) and was made possible by piggy-backing on visits of International Support Team members to these countries for other purposes. The results have been presented in PROLINNOVA (2015c).

A draft synthesis of initial findings was presented and discussed extensively at the 2015 annual PROLINNOVA International Partners Workshop (IPW) in Axum, Ethiopia. This synthesis report builds on the presentations in Axum and incorporates all feedback and additional information generated during and after this meeting. The synthesis report will be shared widely using the e-platforms of PROLINNOVA as well as its partner organisations, various media outlets and, where possible, through relevant international meetings. This synthesis report summarises the main findings and conclusions of the reports of the specific stocktaking studies (PROLINNOVA 2015a, 2015b and 2015c).

Working with large sets of secondary data has its inherent limitations. One important limitation has been the decentralised set-up of the network. Some details and data on the network's activities are maintained only at country level, if at all, and do not reach the International Secretariat. Some CPs have been better than others in monitoring and recording their work and the results thereof. This implies that quantitative data presented in this report in relation to work at country level may well be underestimated.



Photo: Hailu Araya

The IPW 2015 reviewed the findings of the stocktaking

3 Objective 1: Methodology development

Introduction

PROLINNOVA was not initiated with the ambition of providing large-scale and long-term support directly to rural communities. Its focus has been on ways to strengthen intermediary organisations among the CP partners by encouraging them to pay more attention to existing local innovation processes and to support farmer-led ARD through PID and related approaches. Trying these approaches out in practice, learning from such practice, and documenting and sharing this learning is covered under PROLINNOVA's first objective of 'methodology development'. These efforts also serve to build an evidence base that feeds into the mainstreaming, policy dialogue and advocacy activities of the network.

Methodology development refers primarily to the recognition, study and documentation of farmer innovation, PID (also called farmer-led joint experimentation) and Local Innovation Support Funds (LISFs). Together, these form the heart of the PROLINNOVA approach. Other supportive innovative aspects built around this core include farmer-led documentation, farmer innovation fairs and a tool for participatory assessment of PID mainstreaming. Some attention has also been given to broad-basing the application of PID into other areas such as in HIV-AIDS-affected communities and for climate-change adaptation (CCA).

Achievements in methodology development

Drawing substantially from the desk study report (PROLINNOVA 2015b) and the report on the self-assessment by the CPs (PROLINNOVA 2015c), this chapter reviews what the network has done and achieved in terms of methodology development and the extent to which the results and lessons generated have been consolidated and documented for wider sharing. Table 1 summarises the core methodologies developed and used by the network.

Local or farmer innovation refers to the process by which local people develop new and better ways of doing things – using their own resources and on their own initiative, out of curiosity or responding to problems or opportunities emerging from ever-changing conditions. The outcomes of these processes are local innovations (with an 's'). Encouraging development workers and researchers to give this serious attention facilitates information exchange among farmers, helps to change perceptions of stakeholders in ARD on the potential of partnering with farmers, creates entry points for joint development and research work, and strengthens policy dialogue towards acceptance of the relevance of farmer innovation.

Planning numerous studies and other activities over the years to capture and understand farmer innovation, implementing

Table 1: Achievements in developing methodologies in the Prolinnova approach

Methodology	Main achievements	Status, level of consolidation and documentation
Recognising local innovation (LI)	<ul style="list-style-type: none"> Guidelines for understanding basic concepts developed Forms and formats for identifying, describing and analysing LI developed and used by all CPs Extensive studies of LI in most CPs: at least 1500 farmer innovators and innovations identified and documented 	<ul style="list-style-type: none"> Guidelines, study forms and formats for documenting LI consolidated internally in most CPs, often in local languages Overall methodology and experiences across countries analysed and captured in published booklet by the International Support Team¹ Information on local innovations published and spread widely at CP level through diverse media (see Chapter 5)
Farmer-led joint experimentation	<ul style="list-style-type: none"> Informed by materials from IST and own experiences, CPs designed methodology in training and planning workshops More than 300 joint experiments implemented but significant differences among CPs in developing / adapting the approach to own conditions 	<ul style="list-style-type: none"> Training guides, PID manuals developed in local languages such as Nepali, Khmer, Amharic; also in French Methodologies used and experiences across countries analysed and captured in booklet published by the IST and summarised in a policy brief
LISFs	<ul style="list-style-type: none"> Feasible models for operating LISFs developed through 3-6 years of action research in 8 countries M&E approach and tool developed and used for cross-country analysis LISF management committees processed over 1200 applications, approved 65% (45% by women) and disbursed grants of € 5-1500; total disbursed almost € 60,000 	<ul style="list-style-type: none"> In 6 countries, LISF approach and model developed with lessons learned documented in manuals or other forms of external publication Overall analysis of experiences across all countries published and spread through one synthesis report, numerous papers / conference contributions and two policy briefs

¹ <http://www.prolinnova.net/resources/publications/Recognising%20local%20innovation>



Photo: Fanos Mekonnen

Cambodian farmers and extensionist jointly measure the harvest of rice of a joint experiment

these, learning from them and improving methodologies has helped the network find methods and tools that are best suited for the purpose. Key among these are forms of discussion that enable deep probing, whilst differentiating between local innovation, traditional knowledge and indigenous knowledge. Specific field-study methods include direct observation, use of key informants and relevant questions, ‘snowballing’ interviews and reconstruction of innovation cases. Competitions for identifying best farmer innovations proved effective in encouraging developments agents to engage in this process. Simple formats to capture innovations and to assess these innovations after initial documentation have been developed.

Once discovered, the documentation of local innovation(s) has been done mainly by the CPs. The diversity of approaches used to publish and spread information on the most promising innovations is discussed in Chapter 5. At the international level, the International Secretariat analysed the various methodologies developed and used by the CPs and compiled the findings in a booklet, one in PROLINNOVA’s series of booklets.

From the documentation at hand, it could be estimated that at least 1500 farmer innovators and their innovations have been identified and given recognition through the work of the CPs. The LISFs alone mobilised a third of this number. Some of the local innovations are relevant in the specific local context, and could be adaptations from practices elsewhere, feeding



Photo: Ann Waters-Bayer

Innovative woman beekeeper in Ethiopia has designed beehives that are better and cheaper than commercial ones

into local-level extension and farmer-exchange programmes. Others have potential for larger-scale application and have often gone through some form of joint experimentation that served to validate them.

Further management of the information and data of the studies on local innovation and making this information more widely accessible have proven to be a challenge. Much of documentation undertaken by CPs is not accessible to those not directly involved, particularly those in other countries. The same is true for information related to farmer-led joint experiments, as discussed below.

Further development of the *farmer-led joint-experimentation methodology* followed a similar path: inspired by initial training and planning workshops, CPs started organising iterative cycles of joint experimentation based on local innovation, reviewed both outcomes and processes of each cycle, and used the learning for consolidating the methodology and adapting it to their specific conditions.

Joint experimentation has taken different forms over the years but has always involved cooperation between farmers and support agents, an agreement to try out one or several practices or ideas, a structure for monitoring and capturing information throughout the process, and a joint review of the results as a basis for learning. Farmers have had a strong role

and say in all aspects of the experimentation process, which is aimed at increasing their capacity to innovate, compare alternatives, manage information and data, and increase linkages and interactions with support agents. Some joint experimentation has involved only farmers and extension staff and has thus become part of extension work. Other joint experiments have involved researchers, allowing for a more systematic approach to experimentation and better documentation of findings.

The number of joint experiments mentioned in Table 1 does not reveal the considerable differences in how they were implemented in the different countries. These differences are not only caused by limited capacities and resources but are also linked to choices made by the CPs. Joint experimentation has addressed a diversity of topics. Some of the experiments have been relevant locally – e.g. adaptation of local soil and water conservation practices – while others, such as the use of plant extracts for pest/ disease management, have had the potential to benefit many more farmers.

Challenges in organising joint experimentation have been reported frequently. Even after comprehensive capacity-building events, trained personnel have found it difficult, initially, to accept farmers as equal partners in joint experimentation. Costs involved have also been mentioned as a challenge, particularly in the case of joint experiments with a high input from research. Finally, it has also been a challenge to consolidate and make a comparative analysis of results of experiments undertaken on the same issues but in different countries, especially to know when such an analysis would be beneficial (and for whom) and then to mobilise resources for it.

As mentioned in Table 1, PROLINNOVA undertook an important action-research programme in eight countries to come up with feasible models for *Local Innovation Support Funds (LISFs)*. The French Government through the Promoting Sustainable Development in Agricultural Research Systems (DURAS) project, the Netherlands Government and the Rockefeller Foundation co-funded this work. The models that were devel-

oped and tested demonstrated that farmer innovators could use relatively small amounts of funding to accelerate their innovative work at moderate transaction costs. LISF models and methodologies have been well documented and spread both at the CP level and internationally. It has been more challenging than foreseen to link the LISFs to regular national or local ARD funding sources.

PROLINNOVA has also developed a number of other support methods and tools as summarised in Table 2.

The farmer innovation fair (FIF) methodology grew out of a series of fairs organised in different countries – above all, the national FIF held in 2009 in Nepal – followed by the FID at regional level held in Eastern Africa in 2013. An FIF involves creating a space to bring farmer innovators together and to provide them with an opportunity to display their work and to interact with each other as well as with ARD staff and the wider public who visit the fair. It usually includes side events such as mini-workshops, panel discussions, video screenings, cultural shows etc and often also a contest for best innovators (male and female). High-level policymakers are often invited as guests of honour to open these fairs, to deliver keynote addresses and to judge the best innovators. This not only attracts media coverage but also creates room for policy dialogue.

Working closely with PELUM-Uganda and with Oxfam Novib in the Netherlands, PROLINNOVA developed an approach that enables farmers and other land users to take the lead in documenting their local issues in agriculture and natural resource management (NRM) and their own innovations to deal with them. This became known as *farmer-led documentation (FLD)*. FLD attempts to present farmer innovation through the eyes of local communities and builds the capacity and confidence of local people to analyse and share their own experiences and innovations. In the period 2006-11, the PROLINNOVA network and the above-mentioned partners undertook a desk study on related experiences, organised an international workshop in Uganda and implemented a

Table 2: Development of supportive methods and tools

Methodology	Main achievements	Status, level of consolidation and documentation
Farmer innovation fair (FIF)	<ul style="list-style-type: none"> Methodology development by learning from implementation One regional FIF for Eastern Africa (later also in West Africa), at least 10 national fairs, and many local and smaller fairs in CPs 	<ul style="list-style-type: none"> Documentation of approach and lessons learnt in internal documents (to be consolidated in well-structured publication at international level)
Farmer-led documentation (FLD)	<ul style="list-style-type: none"> Extensive literature review, international workshop, international training in participatory video methodology Ten FLD pilots in five countries 	<ul style="list-style-type: none"> Pilots and lessons learnt documented in reports and manuals by 5 CPs. Methodologies used and experiences across countries analysed and captured in booklet compiled by the IST
Assessment tool on PID institutionalisation	<ul style="list-style-type: none"> Tool design based on literature review Piloting in two cases in Cambodia and Ethiopia 	<ul style="list-style-type: none"> Consolidated tool description and guidelines in Working Paper (www.prolinnova.net/sites/default/files/documents/resources/working_paper/wp_37_pid_institutionalisation_assessment_tool_final.pdf internal document)

series of FLD pilots. Ten of these pilots were coordinated by PROLINNOVA CPs and covered FLD methods such as participatory video, photo documentaries, storytelling and combinations of these.

These experiences demonstrated that FLD is an effective tool that communities could use to express themselves and present their issues and experiences as part of an ongoing participatory innovation process. However, the International Support Team had limited time and resources to build relevant capacity in communities as well as among the supporting external agents.

Led by members of the PROLINNOVA-Ethiopia CP, the network developed *a tool to assess the level of institutionalisation of the LI/PID approach* within ARD organisations. The tool consists of 17 questions that elicit the extent to which the approach is integrated in various parts of a given organisation. For each question, the tool gives clear indications and examples that help people decide on a score of 1, 2, 3 or 4. The total score on all questions gives an indication of the overall level of institutionalisation and an additional column provides room to add comments on the causes and factors that contributed to the success or failure of institutionalisation. Table 3 picks up two questions from the tool, with explanation on how to do the scoring.

Table 4 summarises the efforts of the network to explore the potential of using the PID approach in domains other than agriculture and NRM.

The explorative work on the use of *PID in working with HIV/AIDS-affected communities* became known as HAPID and was led by the CPs in Mozambique and South Africa with some involvement of the CP in Ghana. To start with, each CP undertook an inventory of organisations supporting HIV/AIDS-affected households and those working with participatory approaches to ARD. Thereafter, they organised planning and capacity-building workshops on the implications of HIV/AIDS for farming communities as well as the relevance of the LI/PID approach to strengthen resilience at household and community level. This was followed by case studies on innovative coping mechanisms in agriculture and NRM in the face of HIV/AIDS, the results of which were shared at a final workshop in each of the three CPs. Although it has proven more difficult than anticipated to build stronger relationships and interactions between the different stakeholders involved in HAPID, a range of interesting and relevant technical and social innovations were identified.

When CPs noticed that the increasing number of new initiatives and programmes addressing climate change paid little attention to how land-users themselves set about adaptation, the network decided to make its own investigations. In 2008, the network launched a series of studies on whether and how *an LI/PID approach could support climate-change adaptation (CCA)*. CPs in Ethiopia, Nepal and Niger analysed how land-users innovate in order to respond to climate change and reviewed the results in workshops with key CCA actors in the country. This led to a growing consensus on the potential

Table 3: Extract from the PID institutionalisation assessment tool

Assessment question	Level of institutionalisation				Why or why not?
	1	2	3	4	
To what extent is LI/PID approach included in regular planning?	Very little reference to use of LI/PID approach in planning documents	Planning documents refer to LI/PID approach but little about implementation procedures	Use of LI/PID approach is planned with implicit procedures	Use of LI/PID approach is explicitly planned with detailed strategies and procedures	
To what extent does the organisation have skilled staff capable of facilitating LI/PID?	Staff skilled in LI/PID brought in from other organisations as needed	A few key staff members have good knowledge on LI/PID, but little practical experience	Most staff members have good knowledge on LI/PID, but limited practical experience	All staff members have good knowledge and practical skills to apply LI/PID approach and are doing it well	

Table 4: Applying PID in new domains

Methodology	Main achievements	Status, level of consolidation and documentation
PID in working with HIV/AIDS-affected communities (HAPID)	<ul style="list-style-type: none"> Explorative studies and networking by two CPs 	<ul style="list-style-type: none"> Learning in two countries documented in PROLINNOVA Working Paper 33 http://www.prolinnova.net/sites/default/files/documents/resources/working_paper/working_paper_33_hapid_synthesis_report.pdf
PID to strengthen community resilience to climate change	<ul style="list-style-type: none"> Studies on local innovation in the face of climate change by three CPs Two multi-CP projects funded and being implemented in promoting PID for CCA 	<ul style="list-style-type: none"> Internal reports of the three studies Policy brief published with main findings of three studies and cases from elsewhere http://www.prolinnova.net/sites/default/files/documents/thematic_pages/climate_change_pid/2011/prolinnova_policy_brief_climate_change_june_2011_lowres.pdf



Farmer innovator explaining his innovation to visitors at the national Farmer Innovation Fair in Nepal

of LI/PID as an approach to CCA. The interest encouraged **PROLINNOVA** to summarise its findings and other similar experiences from elsewhere into an international policy brief. The relevance of the LI/PID approach for supporting communities to strengthen local resilience in adapting to climate change has gained recognition in recent years. A number of more recent CCA and resilience-building initiatives, including several facilitated by **PROLINNOVA**, have integrated this approach to CCA. These include the Local Innovation and Experimentation for Climate-Change Adaptation (LINEX-CCA) project implemented by the CPs in Cambodia, India and Nepal with funding from Misereor, the German Catholic Bishops' organisation for development cooperation, and the Combining Local Innovative Capacity with Scientific Research: Strengthening Resilience to Change (CLIC-SR) project implemented in Eastern Africa with funding from the Rockefeller Foundation.

Analysis

Looking at the results as summarised above, it can be concluded that the network has made substantial achievements in methodology development. Most of the results have been systematised at the international level in a way that inspires others to start using or adapting the methodologies. **PROLINNOVA**'s booklet series published by IIRR in the Philippines has played an important role in this. Policy briefs and internal working papers have also helped to capture

and share the outcomes of methodology development. Documentation of methodologies for use in different countries (in local languages) has also been done reasonably well in the case of LISF pilots and to a lesser degree in the other areas of methodology.

The approach and methodologies for identifying, recognising and analysing farmer innovation have evolved to a degree that they have become part and parcel of the work of CP partners. Many farmer innovations have been documented and disseminated in the last decade. However, the challenge for many **PROLINNOVA** partner organisations is to use these innovations as entry points for catalysing collaboration and partnership among farmers, researchers, extensionists and other service providers through farmer-led joint experimentation. **PROLINNOVA** could perhaps look more critically at farmer innovations found and documented and strategise which have potential that goes beyond local-level problem solving and merit more attention.

The overall number of joint experiments across the network downplays the fact that many CPs have found it a challenge to facilitate farmer-led joint experiments. In spite of substantial training efforts, the limited capacities of relevant staff to facilitate PID has proved to be a constraint. Some CPs have cited the relatively high costs involved as a bottleneck, while other CPs have found ways to get around this issue. Costs of joint experiments undertaken through

the LISFs have been lower than those directly negotiated with research organisations. Joint experimentation often requires longer-term commitment of key players, at least throughout the duration of one farming season, but the commitment and availability of relevant staff could not be ensured in situations where the approach was not fully accepted by the organisations concerned.

Another major challenge has been consolidating and managing information and data derived from the studies of local innovation and joint experimentation and mak-

ing these accessible to a wider audience. CPs have used various forms and methods to document and spread the findings of their PID experiences such as farmer magazines, community radio, video clips, farmer meetings and documentation by undergraduate students. Little of this information has been accessible for people not directly involved in the work, particularly those in other countries. In a number of cases, such accessibility was realised through publishing the process and results of joint experiments in (international) journals and presentations at national and international conferences.



Photo: Sam Vitou, CEDAC, Cambodia

A woman innovator who has been using raised beds to grow salads as a way of preventing flood damage to the crops due to unusually heavy rain as a result of climate change

4 Capacity building

Introduction

Building the capacity of development workers, researchers, academics, farmer leaders and other ARD-related stakeholders to use and advocate for farmer-led innovation approaches building on local innovation is central to PROLINNOVA's work. Capacity building is done at all levels: internationally, nationally and locally. 'Opening the eyes' of development workers, researchers and others to the relevance of farmers' own innovation efforts and inspiring these other actors to work alongside the innovators, instead of above or against them, is the overall objective of PROLINNOVA's capacity-building agenda.

PROLINNOVA uses a step-wise, cascade approach in which people trained intensively, often in international Training of Trainers (ToT) events, are encouraged to train others in subsequent events in their own countries. Regular international ToT courses in LI/PID have been crucial in this process. These aim at empowerment, increased ownership and enhanced capacities of trainers in CPs to continue in-country capacity building. Capacity building in PROLINNOVA, however, is much more than a series of organised training events, as can be seen in the following.

Training programmes implemented

PROLINNOVA has paid substantial attention to capacity building over the past decade. Table 5 summarises some statistics on all key training programmes conducted between 2003 and 2013. This table distinguishes between training at country level and training at international level – the former geared to participants from a given CP and the latter catering to participants from more than one CP. Most of the training workshops have focused on the farmer-led innovation approach and on topics such as LI, PID, LISF and FLD but have also addressed issues such policy advocacy, M&E and gender within PID. At country level, a further distinction has been made between training that targets farmers and/or community groups and so-called mixed training events that target staff of different stakeholder organisations, including farmer leaders or innovators.

While the international ToT courses have often lasted at least 10 days, training of staff at other levels have been of 3-5 days' duration, while farmer training events have been even shorter. In all cases, the training methodology has been highly interactive and has involved a diversity of training methods and tools



Photo: PROLINNOVA

Small group assignments are an important and integral element of PID training conducted by PROLINNOVA

Table 5: Training programmes implemented in the period 2003-13

Training	No. of events	No. of participants	% women
International ToT in LI/PID	5	106	16%
International-level training in other topics	5	106	32%
Subtotal	9	198	23%
CP-level mixed training in LI/PID	not available	5,690	25%
CP-level farmer training in LI/PID	not available	4,200	not available
CP-level training in other topics	25	750	not available
Subtotal	not available	10,640	25%

Note: CP-level quantitative data compiled from CP annual reports sent to the International Secretariat (incomplete data)

Table 6: Implementation of supplementary capacity-building activities in the period 2003-13

Activity	No. of events	No. of people involved
IST backstopping visits to CPs	113 (ranging from 1 to 17 visits per CP in this period)	
Country cross-visits	8	51
IPWs	10	330
CP workshops on related topics	61	
CPs strengthening CBOs and farmer groups	30 groups strengthened	

in order to gain a deeper understanding of the content. With a few exceptions, training at CP level has been facilitated by staff trained in international ToTs and without involvement of a member of the International Support Team.

A broader look at capacity building

As mentioned above, PROLINNOVA has used a wide range of activities to build capacities in LI/PID at all levels. This has included support to CPs by members of the International Support Team through on-the-job support during country visits (backstopping); virtual support by email and Skype in areas of project management, planning, documentation and publication; facilitation of cross-visits between CPs; and organisation of annual International Partner Workshops (IPWs).

Such supplementary activities have encouraged the involvement of ARD actors in identifying farmer innovations and innovators through award-giving events and interacting with them in innovation fairs and through joint experimentation for capacity-building purposes. Table 6 summarises data on these supplementary capacity-building activities.

In addition, the CPs have engaged in efforts to strengthen the functioning of farmer groups and community-based organisations (CBOs) that are viewed as the owners of PID processes at the local level. These efforts were significant between

2007 and 2011, when discussions at the IPW in 2006 led to inclusion of this work in the larger project funded by the Netherlands Government. Capacity building of farmer groups and CBOs included areas such as organisational development and leadership training, financial education and management, literacy training, and strengthening of farmers' capacities in policy dialogue and advocacy.

Country backstopping visits (North-South or South-South) have been used to provide on-the-job mentoring. A typical backstopping visit has lasted 3-5 days. CPs take the lead in setting the agenda, developing the programme and flagging issues to be addressed. Meetings with the national coordinating body (e.g. National Working Group), the National Steering Committee (NSC) and platform partners are usually on the agenda of such visits. Country backstoppers from the International Support Team have also been involved as resource persons in national training workshops, have supported CP documentation and have joined CP members on visits to policy-/decision-makers in ARD institutions and donor organisations in the country.

Cross-visits between CPs have encouraged mutual learning and peer review on issues such as implementation of LI/PID in the daily work of CP partners, mainstreaming of the LI/PID approach and the modalities of CP organisation. Such a visit usually took about a week and included meetings with CP coordinators and their partners, field visits to observe activities in the farms and interaction with farmer innovators.

The IPW brings together CPs, members of the IST, International Secretariat and the PROLINNOVA Oversight Group (POG) and other interested parties, including donors. Despite having no dedicated funding for this event, the network has managed to hold an IPW annually by pulling together small bits of funding from various sources. The IPW is the main event for face-to-face sharing and learning within the network. It is also used to review progress made during the previous year and to plan for the year ahead. IPWs are far from static, formal events; they have been facilitated to create maximum opportunity for social learning and capacity strengthening. Each IPW has had a specific content focus, such as the LI/PID approach itself, PID for CCA, resilience building, M&E of PID, mainstreaming strategies and facilitation of country-level multi-stakeholder partnerships.

Analysis

The international ToTs in LI/PID have played a very important role in the network. M&E data in the International Secretariat show that at least 70% of the participants in the ToTs in 2006 and 2007 had themselves organised and facilitated PID training events in their own CPs within an year after completion of the international course and had supported PID implementation in the field. Many CPs now have a group of LI/PID trainers capable of providing in-country training, although some of them have moved on to new jobs in organisations that are not part of the CPs, which has been seen as a limitation to their availability to support PROLINNOVA training activities.

Most CPs involved in international ToTs have developed PID training materials adapted for use in their in-country training in local languages. The outcomes of supplementary capacity-building activities such as the cross-visits and backstopping are less easy to assess. Discussions and issues raised among partners during IPWs have resulted in extending the LI/PID approach to other related areas such as the action research on Local Innovation Support Funds (LISFs), the work on PID for interaction with communities affected by HIV/AIDS (HAPID) and PID as a means of adapting to and strengthening community resilience in the face of climate change.

Capacity building at CP level has contributed to a significant change of attitude among ARD practitioners, who have more respect for and understanding of farmer innovation and farmer innovators as equal partners in the development process. This is evident, for example, from the number of farmer innovations they have identified, documented and disseminated. Not all of these innovations have been further improved through processes of joint experimentation, for reasons mentioned above. At farmer level, there is little doubt that building of farmers' capacity in LI/PID and their subsequent involvement in PROLINNOVA activities has increased their confidence to take up new things and be involved in experimentation (see also Box 1).

A lack of funds for continued international capacity-building events has been seen by the CPs as a major bottleneck. The cross-visits between CPs and the international ToTs in PID/LI have been discontinued for lack of funds after the end of support from the Netherlands Government, which has been a great loss for the network. The IPWs continue to be held annually, though the attendance of CPs depends to a large degree on their involvement in a funded PROLINNOVA project, access to own resources or the success of (mostly) the International Secretariat in raising funds for the event. Backstopping visits depend increasingly on the possibilities for IST members to piggyback on visits to the countries for other work. This makes CP-CP backstopping more difficult, as CP staff do not have as many opportunities to travel to other countries in the context of their work.

Considering the large numbers of people trained within the CPs, M&E of post-training outcomes is much more challenging. As in many capacity-building programmes, the high rate of staff turnover within organisations has been a factor leading to loss of well-trained staff in the CP. This implies a need for continued training and mentoring to maintain PID capacity within organisations. Although capacity building within the network is strategically linked to mainstreaming of LI/PID, it has remained a challenge to ensure that trained staff within ARD organisations are given the space to be involved in LI/PID as part of their regular work.

Box 1: Evidence from Niger of increased farmer capacity in PID

Interviews in 2011 with six CBOs actively involved in the Niger CP confirmed increased strength of their organisations. They reported that new roles had emerged within their organisations, links with external agencies had improved sustainably, membership had increased and interactions between men and women had improved. They also noted increased experimental skills, improved literacy levels and more self-confidence of office bearers and members of the CBOs.

Source: PROLINNOVA-Niger report, cited in PROLINNOVA (2015b)

5 Mainstreaming LI/PID

Introduction

Mainstreaming can be understood as moving beyond acceptance of the LI/PID approach by individuals to integration of the approach into projects and programmes and/or into organisations' overall policies and structures. PROLINNOVA also views mainstreaming as the use of the LI/PID approach beyond the small group of pioneering organisations and individuals to encompass international and national ARD programmes and organisations.

The network has undertaken a variety of activities to promote mainstreaming and institutionalisation both at the national (or sub-national) and at the international level, as described below. The choice of target institutions and methods used has largely been influenced by the specific context, the level of resources, existing links with individuals within institutions and opportunities that have arisen. Although most activities have been organised with this main purpose in mind, they have also sought to involve representatives of key organisations so as to create entry points for mainstreaming. PROLINNOVA has sought to promote its approach through various forms of dialogue and cooperation rather than through activism and lobbying.

Mainstreaming LI/PID internationally

At international level, the PROLINNOVA network has created awareness and acceptance of the LI/PID approach among international research and development organisations and donors. It has undertaken activities to mobilise relevant

experiences of the CPs and to collate, analyse and systematise these at network level for wider sharing. The advocacy work at the international level is thus directly linked to and deeply rooted in what happens at the field level.

The stocktaking at this level was done using a focused web-based questionnaire using the Survey Monkey tool with more than 40 resource persons working in international ARD programmes and organisations. This was complemented with information from PROLINNOVA reports and external studies (PROLINNOVA 2015d). The results of the stocktaking of achievements at this level have been summarised in PROLINNOVA (2015a).

Main activities realised

The main avenues for promoting the PID approach internationally have been (co-)organisation of international workshops, participation in and contribution to international workshops organised by others, preparation and spreading of papers, books, policy briefs, articles for journals or magazines, and bilateral policy-dialogue activities. Web-based and other forms of e-communication complemented this. Table 7 presents what has been done in more detail.

PROLINNOVA initiated and co-organised the Innovation Africa Symposium (IAS) in Uganda in 2006, the Innovation Asia-Pacific Symposium (IAPS) in Nepal in 2009 and the Agricultural Innovation Systems in Africa (AISA) workshop in Kenya in 2013². The last-mentioned was part of the larger Week of Agricultural Innovation in Africa (WAIA). In all these meetings, participants shared regional experiences

Table 7: Activities implemented to mainstream LI/PID internationally

Activity	Results	Additional information
Co-organisation of international workshops	<ul style="list-style-type: none"> Three workshops, 341 participants 	<ul style="list-style-type: none"> Co-organisers include CIAT and other CGIAR Centres, ICIMOD, CIRAD; CPs of Uganda, Nepal and Kenya as co-hosts
Contribution to international workshops organised by others	<ul style="list-style-type: none"> 212 independent contributions, 50% by IST and 50% by POG or CP members 	<ul style="list-style-type: none"> Roles included delivery of keynotes, being panellists, workshop facilitators, session chairs or rapporteurs, and presenters of papers
International publications	<ul style="list-style-type: none"> 235 publications, including 11 books and booklets, 49 articles in journals and magazines, 8 policy briefs and 4 video films 	<ul style="list-style-type: none"> Most have been co-authored by CP and IST members
Web-based and other Internet-based activities	<ul style="list-style-type: none"> Functioning website Active Facebook page 4 issues of <i>PID/PTD Circular</i> Facilitation of PROLINNOVA Yahooogroup (600+ members) & CSO-GARD (CSO Group on ARD) Yahooogroup (200+ members) 	<ul style="list-style-type: none"> Website kept up-to-date Facebook page launched in 2011; re-activated in 2014 <i>PID/PTD Circular</i> discontinued Email groups used regularly to share information, to develop joint positions (CSO-GARD) and less often for debates
Membership in international (advisory) bodies	<ul style="list-style-type: none"> Active in at least 9 bodies, about 50% by CP or POG members; more than half related to GFAR or regional fora 	<ul style="list-style-type: none"> Membership sometimes on individual basis but always with links to PROLINNOVA

Source: PROLINNOVA (2015b)

² After the period covered by this stocktaking exercise, PROLINNOVA also co-organised the West African Farmer Innovation Fair in Burkina Faso in 2015, together with a regional workshop on farmer-led research.

and approaches in developing and strengthening multi-stakeholder innovation processes and increasing the role of smallholders in ARD. They discussed priorities and recommendations for research, practice and policy. The results of these meetings were captured in publications/proceedings. In the case of the IAS in Uganda, the output took the form of a book published by Earthscan (Sanginga et al 2008), whereas electronic publications (http://www.prolinnova.net/iaps/symposium_papers.html; Triomphe et al 2014: <http://aisa2013.wikispaces.com>) were produced from the other two meetings.

The report on the desk study (PROLINNOVA 2015b) includes detailed descriptions of most of the other activities listed in Table 7. Generally, PROLINNOVA's publications have targeted practitioners and their direct managers, policymakers and higher-level managers in ARD institutions, and academics in agricultural education. The network's series of booklets on promoting local innovation includes four volumes so far. From 2010 onwards, the network increased its efforts in publishing and spreading key messages through policy briefs: 4-page documents with an attractive layout presenting main findings and policy recommendations on a given topic. Two of the eight policy briefs were produced together with other organisations: a brief on the role of local innovation in managing agricultural biodiversity with the German Agency for Technical Cooperation (GTZ) and a contribution on LI/PID to the FAO policy brief on scaling-up of good practices in SARD (Sustainable Agriculture and Rural Development).



Susan Kaaria, former POG member, telling the PROLINNOVA story at the Agrinatura Science Days in Vienna in 2013

Results

It is not easy to assess the results or outcomes of mainstreaming at international level. If changes are observed at the international level, it cannot be certain that these are linked directly to efforts of PROLINNOVA. External studies and evaluations have suggested some increased awareness and acceptance of the relevance of local innovation and PID among international ARD professionals and organisations since 2003. Adam

and Fernando (2009) observed modest achievements in this regard. Studies by Holleman (2006 and 2010) using systematic Web-based searches have not shown a substantial increase in references to the approach on the Web by 2010 but the author noted methodological challenges in capturing these.

The network's internal M&E has collected substantial anecdotal evidence on increased interest in the approach internationally. The rhetoric of organisations such as FAO, CGIAR, CTA and IFAD (International Fund for Agricultural Development) have begun to refer to local or farmer innovation and the need for ARD to work with and support this process. The rhetoric has been translated into international programmes with LI/PID components, as in the case of several CGIAR Collaborative Research Programmes and IFAD's work on innovation. PROLINNOVA itself has been receiving an increasing number of invitations to contribute to policy debates of international bodies or programmes (including those of DFID and the EU in recent years) and to partner in new initiatives and projects. Although the network lost its core funding from the Netherlands Government in 2011, it has been able to continue its operations because a growing network of (sometimes) new donors have been prepared to support some of the work on LI/PID. The WAIA in Nairobi in 2013, for example, benefitted from the funding support of at least six donor organisations, three of which funded LI/PID activities through PROLINNOVA for the first time.

A survey among ARD professionals working internationally confirmed this analysis (PROLINNOVA 2015d). Seventy-five percent of respondents noted an increase in awareness internationally on LI and PID as well as an increase in the use of these approaches within ARD programmes. Only a few reported similar changes in international policies and regulations. As far as the increase in international awareness on LI/PID is concerned, a large majority of the respondents felt that PROLINNOVA has contributed significantly. The role of PROLINNOVA in the increased use of LI/PID within international ARD programmes was considered somewhat lower but still noticeable.

The survey respondents from international organisations felt that (co-)organisation of international workshops, symposia and innovation fairs had made the most effective contributions to achievements, whereas they found PROLINNOVA's Website, Facebook page and Yahoo group as being the least effective.

Challenges

This analysis shows that much more needs to be done to realise substantial and sustainable changes in ARD policy to support LI/PID that goes beyond general awareness to include also integration of the approach into individual projects, programmes and organisations. To achieve this level of institutionalisation, PROLINNOVA would need to become more proactive and target specific international policy development processes and activities and the relevant individuals who could be change makers. While the network has produced an impressive list of publications targeting various audiences,

Table 8: Activities carried out to mainstream PID at country level

Activity	Numbers	Additional information
Higher-level officials as members of NSCs	not available	<ul style="list-style-type: none"> • Acceptance of invitation is an opening for policy dialogue with their respective ARD organisations • NSC members act as ambassadors to reach out to organisations
Organisation of national workshops	<ul style="list-style-type: none"> • 58; 9 CPs who hosted an IPW held a mini-workshop as part of the opening session 	<ul style="list-style-type: none"> • Influential people were reached both as participants and through involvement in opening or closing events
Publications	<ul style="list-style-type: none"> • 244 publications, including at least 58 leaflets/posters, 16 radio broadcasts, 58 magazines, 12 innovation catalogues, 9 policy briefs and 25 video films 	<ul style="list-style-type: none"> • Leaflets, radio broadcasts and many videos target farmers and are used in partners' extension work.
Farmer innovation fairs	<ul style="list-style-type: none"> • At least 27 organised at national, sub-national or local level 	<ul style="list-style-type: none"> • In a few countries (Cambodia, Ghana), the lead in organising FIFs has been taken by the Ministry of Agriculture
Integration of LI/PID into educational curricula	<ul style="list-style-type: none"> • 6 CPs involved university lecturers in PID training, organised field visits for students and lecturers, supported development of LI/PID modules for educational curricula 	<ul style="list-style-type: none"> • Experiences of CPs supported through international sharing workshop on integration of PID into curricula • Experiences & outlines of LI/PID modules compiled in PROLINNOVA Working Paper 34

these deal mainly with the outcome of its work and approach in terms of livelihood improvements. Documentation of increases in the capacity to innovate is still limited. Thus, more efforts would be needed to generate adequate 'grounded' evidence to support policy-influencing initiatives.

Mainstreaming LI/PID in national ARD policies, programmes and organisations

At country level, PROLINNOVA partners have also strived to mainstream LI/PID into national and sub-national ARD policies, programmes and organisations. Collaboration with like-minded organisations and networks has been a key feature of this work. Often, the CPs follow the strategy of informal discussion and trust building with staff of ARD organisations at lower/middle levels before engaging with top-level management and pursuing more formal partnerships. Their work has been aimed at creating interest in and commitment to LI/PID by targeted ARD organisations rather than influencing the formulation of specific ARD policies.

Main activities accomplished

The CPs have used a great diversity of approaches, methods and tools in their mainstreaming work and they have targeted a diverse range of organisations. The choices they made depended on existing capacities of partners as well as opportunities and limitations emerging from local conditions. In the decentralised set-up of the network, it is not easy to capture all the work done in quantitative terms. Table 8 summarises information and data compiled during the desk study (PROLINNOVA 2015b) from M&E data and reports at hand. In nearly all countries, the actual data would be substantially more than what could be captured by this internal M&E system. Important policy dialogues in the form of informal (often bilateral) meetings were not captured through any form of M&E. The strength of PROLINNOVA's mainstreaming has been the combination of a diverse set of tools and methods.

Involving representatives of key ARD organisations in multi-stakeholder partnerships at country level is a key strategy to create entry points for mainstreaming LI/PID within these organisations. NSCs of CPs often include higher-level staff members, thus increasing the potential for mainstreaming. Subsequent involvement of these organisations in funded or non-funded LI/PID activities often leads to further increase of interest in the approach. This part of PROLINNOVA's mainstreaming efforts thus emphasises collaboration and joint learning rather than activist-oriented lobbying and advocacy work.

As shown in Table 8, the CPs have undertaken a diverse range of *documentation and publication* activities. Video documentation and mass media have played a strong role, with at least 25 videos produced, more than 15 radio programmes aired and series of publications in national newspapers and magazines. While leaflets and brochures on cases of farmer innovation were designed mostly for farmers, the catalogues of local innovations also reached ARD practitioners and policymakers.

Results

According to Adams and Fernando (2009), the progress in integrating the LI/PID approach into curricula of universities/agricultural colleges is a major achievement of the network. In one country (Nepal), a full LI/PID course at BSc and MSc level was developed by a senior lecturer together with CP partners. The design went through all the formal approval procedures and the course is now being offered. In five other countries (Burkina Faso, Cambodia, Tanzania, Uganda and South Africa), PID topics or modules have been integrated into existing university courses such as on extension approaches or research methodologies.

Given the complexities involved in institutional change processes and the difficulty to identify the impact of one among many factors influencing these, it is a challenge to provide data on the outcome of the CPs' mainstreaming efforts.

Moreover, successes in mainstreaming could be overturned in a single day, if a new minister or manager comes in and sets new priorities. Adams and Fernando (2009) looked at the results of mainstreaming in their mid-term evaluation of PROLINNOVA and concluded that the LI/PID approach had been successfully mainstreamed in most of the key NGOs active in the CPs but the CPs had been less successful in mainstreaming LI/PID within other organisations. The results of the recent assessments done by the CPs themselves confirm that mainstreaming has been achieved within key NGOs in each CP.

The network's own M&E information as reviewed in the desk study report (PROLINNOVA 2015b) includes some anecdotal evidence on results of LI/PID mainstreaming. In Cambodia, there is evidence of the strong support of the Minister of Agriculture (MoA) for farmer innovation and PID, through MoA policy statements and its hosting of annual farmer innovation fairs and through PID planning and implementation in many Provincial Departments of Agriculture. Also in other countries such as Nepal, Tanzania, Mozambique and Ethiopia, some aspects of the LI/PID approach have been accepted and mainstreamed in regular government programmes.

Collaboration with Wageningen University Research created opportunities for undertaking detailed case studies of PID institutionalisation in the Department of Agriculture in Takeo Province of Cambodia and in the Axum area in northern Ethiopia. Both studies demonstrated some progress in mainstreaming the approach within these extension agencies such as in the formal acceptance of relevance of farmer innovation and innovations and increased capacities of groups of staff to interact with farmers in a partnership mode. The studies also identified important gaps partly linked to the larger hierarchical structures they are part of and the lack of funds for PID type of extension work available through those structures. At the same time the studies noted that the CP mainstreaming work itself had a mostly ad-hoc character and that a lot could be gained by giving this more systematic and strategic attention.

Challenges

The relatively low level of funding available at CP level to facilitate mainstreaming has, on the one hand, been a constraint but has, on the other hand, encouraged CPs to join hands with other like-minded organisations to create a critical mass with a convincing 'voice' in policy dialogue. Several national workshops and farmer innovation fairs have been organised in collaboration with ARD actors who are not regular partners in the CP. However, some CPs found it difficult to build the required linkages and alliances and have therefore been less effective in mainstreaming the LI/PID approach.

Organisations and individuals active in the CPs do not normally engage in policy dialogue and mainstreaming as part of their regular work and therefore have not acquired the capacities needed for this. To address this challenge, several CPs have organised workshops to build capacities to strategise, plan and implement activities for mainstreaming, as mentioned in Chapter 4. The IST supported these initiatives by organising an international training workshop on policy dialogue and advocacy, by developing a document and a PowerPoint presentation on internal guidelines to help CPs in strategising their work and by creating a platform for sharing of experiences among CPs on this topic during IPWs.

While many of the mainstreaming activities target organisations and individuals operating at the national level, the changing administrative set-up in many countries invites CPs to work increasingly at lower administrative levels. In many countries, key responsibilities and tasks in ARD and NRM with related funding mechanisms have been decentralised to provincial and still further to district or county level. Effecting changes in policies and practices at these lower levels now requires involvement of and collaboration with partners working at these levels.

6 Building multi-stakeholder partnerships

Introduction

The creation of sustainable mechanisms for joint learning and action by stakeholders involved in ARD is a central feature of PROLINNOVA's design. The term 'stakeholders' encompasses all those who have an interest in ARD, such as governmental agencies, NGOs, research institutes, private-sector actors, consumer groups and, of course, farmers and their groups. PROLINNOVA was set up as an informal network that grew into a community of practice for sharing and learning. It aims to build partnerships through which organisations and individuals agree to jointly analyse, plan, implement, monitor and evaluate activities, sharing resources, risks, costs and benefits in order to achieve the overall goal of making farmer-led innovation development part and parcel of regular ARD programmes and institutions. Partnerships in PROLINNOVA also create important entry points for mainstreaming PID into ARD organisations and programmes by engaging staff from these organisations in the partnership.

The emphasis has been on building multi-stakeholder partnerships at national level – the CPs – and, in some countries, at sub-national level. PROLINNOVA is currently made up of 21 semi-autonomous CPs. The international network also includes more than 600 subscribers to the PROLINNOVA Yahooogroup for sharing and learning across countries and pursuing the PROLINNOVA agenda at the international level.

The Country Platforms

The 21 CPs differ greatly in terms of stakeholder composition, structure and cooperation mechanisms, and level of activities. Yet they have a set of common features, values and principles (PROLINNOVA 2015b). Box 2 summarises the main principles and design guidelines. Facilitation is usually provided by

a local NGO that hosts the CP's secretariat. An inception process precedes the forming of a CP and involves taking stock of who in the country is engaged in activities related to the PROLINNOVA agenda and identifying gaps, priorities and opportunities for the CP.

For the purpose of good governance, each CP has a National Steering Committee (NSC) that meets once or twice a year as well as an operational team coordinating day-to-day activities. This meets more frequently. The annual operational budgets of each CP has rarely exceeded € 30,000, despite combining funds from different sources, and has been a driver of collaborative partnerships.

Annex 3 shows how the network started with only three CPs in 2003 (in Ethiopia, Ghana and Uganda) through a small grant from IFAD. In the ten years that followed, the number of CPs accepted into the network grew to 21. Initially, CPs that joined the network received some funding for starting up and becoming operational, through the grant from the Netherlands Government but, from 2007 onwards, CPs that joined the network received little or no funding and have relied mostly on their own resources.

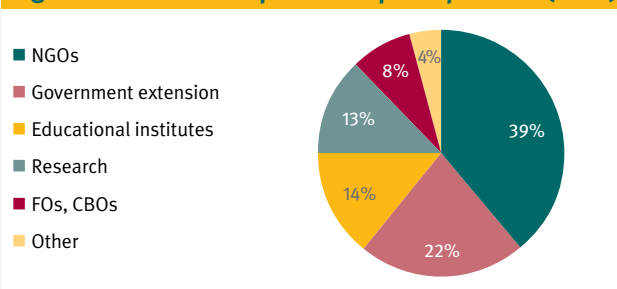
Analysis

Data from 2010 in Figure 1 show that the network has succeeded in its central tenet of involving the main stakeholders in ARD in the CPs. NGOs – the stakeholder group that initiated PROLINNOVA – form the largest group among the active partners, approximately 40% at the time of stocktaking. The involvement of government extension, research and education is substantial, while the involvement of farmer organisations and CBOs is still less than aimed for. In the meantime, new CPs have joined the network since 2010 and some CPs have gone through changes in composition to involve more farmer organisations, which might change the overall picture for 2013 slightly.

Box 2: Key principles and design guidelines for effective CPs in PROLINNOVA

- **Building the partnership:** Start with looking into what already exists, choose partners carefully and strategically, take an "open-nucleus" approach; grow gradually, match partners' interests with the common agenda
- **Governance:** Ensure clear and democratic governance; define roles well including specialist input, backstopping and facilitation; share ownership among partners
- **Operation and facilitation:** Jointly plan, monitor and evaluate activities; ensure partners' commitment through successful starter actions; create a culture of equality; strive for openness and transparency; break barriers of competition; maximise use of partners' abilities for cost effectiveness; ensure effective communication at all levels
- **Learning:** Make partnership functioning an explicit part of the agenda; document experiences of CP functioning; learn how to collaborate as partners by reflecting on experiences

Figure 1: PROLINNOVA partnership composition (2010)



CPs should not be viewed as static entities: they have accelerated and slowed down, they have had periods of high activity and some also of semi-dormancy. At the time of compiling information for this report in mid-2015, the International Secretariat assessed the level of functioning of the CPs, scoring them on a scale from one to five based on their level of communication with the network, their level of activities and the strength/inclusiveness of their partnership. The results are shown in Table 9. The assessment by CPs of their own current performance, which was also a part of this stocktaking exercise, was not very different from the assessment made by the Secretariat (Table 21, PROLINNOVA 2015c).

The differences in strength and performance of CPs is influenced not only by the availability of resources but also by the ability of the coordinating NGO to find capable platform facilitators with good interpersonal skills. In many cases, the CPs benefitted from the stability and credibility provided by the coordinating NGO. When this organisation became weak, the whole CP suffered. A number of CPs also found it difficult to become more inclusive, on account of a lack of capacity and sometimes the pressure on the limited resources, more so at times that the host organisation was losing its wider donor base. The network has started to consider how to deal with CPs that remain inactive for a prolonged period. Steps to discontinue membership of such CPs in the international community of practice still need to be worked out.

Summary of lessons in CP facilitation

A thorough review of all studies and documentation on CP functioning (PROLINNOVA 2015b) revealed the following key areas of attention, discussion and learning over the years:

- **Moving from collaboration for project implementation to longer-term partnership** for pursuing the PROLINNOVA agenda; how to realise this, what are incentives, choices to be made and partner selection
- **Registration and formalisation:** While most CPs do not opt for formal registration and prefer to maintain the open character of the network, several CPs have been discussing the option seriously and one CP decided to seek registration as a company with limited liability
- **Membership:** The open character of the network leads to lack of clarity as to who is a CP member and who is not; there is a need to look beyond the few organisations who are members of the CP to a wider group of individuals/organisations interested in and working on relevant issues
- **Importance of partners' collaboration on the ground:** Being involved in work on the ground such as the action research on LISFs strengthens the CPs and the partners' commitment
- **Capacity to facilitate the platform:** Building the capacity of the CP coordinator/facilitator (also when replaced by a new person), back-up support by the NSC and by the director of the host NGO, and all CP members learning about CP functioning.

The international network

The international partnership develops

The main milestones in the emergence of PROLINNOVA and its development into an international partnership were the following:

- **1999: Rambouillet meeting:** 30 people, primarily from NGOs, come together in Rambouillet, France, and conceptualise PROLINNOVA in preparation for the first GFAR conference; participants mandate ETC Foundation to take the lead in moving the PROLINNOVA initiative forward;³

Table 9: Activity level of CPs as assessed by the International Secretariat

Score by IS	No. of CPs	Countries
5	2	Cambodia, Kenya
4	9	Bolivia, Burkina Faso, Ethiopia, India, Mali, Mozambique, Senegal, Tanzania, Uganda
3	5	Cameroon, Ghana, Nepal, Philippines, South Africa
2	1	Sudan
1	4	Ecuador, Niger, Nigeria, Peru

³ The participants in the Rambouillet meeting formulated two other proposals for activities that were meant to interact with PROLINNOVA: one for a web-based database of local innovations and one for policy research and advocacy for participatory innovation.



At every IPW, there is a marketplace for the partners to share information about their work

- **2000: The GFAR conference** in Dresden, Germany, endorses the agenda of PROLINNOVA, which is included in the GFAR workplans and reports as an emerging Global Partnership Programme;
- **2002-03: Operationalising the idea and fundraising;** PROLINNOVA enjoys a great deal of moral support but funding support proves more difficult to find;
- **2003: Inception process** and planning in Ethiopia, Ghana, and Uganda with a small grant from IFAD;
- **2004: Launch of the international network** during the first international partners workshop in Ethiopia and design of the international network, including setting up of an oversight group (POG);
- **2004-07: The partnership expands** to cover CPs in nine countries, with several other countries involved in short-term activities with support from the Netherlands Government, among others. Action research on LISFs starts with funding from the French programme DURAS;
- **2005-06: The elected POG organises itself** internally through several meetings and formulates some basic operational rules and agreements to guide the functioning of the international network;
- **2007-10: Further expansion** of the network to a total of 18 CPs. Several CPs mobilise substantial direct funding, Senegal and Mali under the acronym PROFEIS (Promoting Farmer Experimentation and Innovation in the Sahel). The Rockefeller Foundation co-funds the LISF action research. New initiatives on FLD, CCA and HAPID take shape;
- **2008-09: External evaluation** of the network, including visits by the two-person evaluation team to two CPs (in Nepal and Uganda) and interactions with many stakeholders;
- **2010: PROLINNOVA strategy 2011-15** drawn up. It proposes, among other things, expansion of work on PID related to selected themes (e.g. climate change) and stronger networking at regional level;
- **2011-13: Maintaining visibility with less funding.** The level of international activities is somewhat reduced and some CPs go into semi-‘hibernation’. The 2011 IPW agrees on a minimum level of activities for all in the absence of core funding. Multi-stakeholder groups in new countries continue to join the network and form new CPs. Enhancing adaptive capacity and local resilience becomes an important concept for PID in a number of new projects.

Network design

The process described above allowed the network to gradually develop effective structures and mechanisms for collaboration at the international level. The following sections describe and analyse the network design and the functioning of the various structures.

PROLINNOVA network. By joining the PROLINNOVA Yahooogroup, over 600 individuals have become a part of the network and share and learn together.

The main tasks of the **PROLINNOVA Oversight Group (POG)** are to ensure effectiveness of the international network and accountability to the country-level partners, their constituencies and the donors. It is an elected body that continues to be adapted as the network grows and its needs change. The CPs nominate individuals from their respective regions and an election is conducted by the POG Secretariat (part of the PROLINNOVA International Secretariat), mostly by email; the organisations in the IST follow the same procedure for electing one member to sit in the POG. All CPs and the IST nominate and vote for the independent members of the POG. By the end of 2013, the CPs had four seats in the POG (one per region), the IST had one, while the remaining four seats were for independent members. As host of the International Secretariat managing most of the donor funds, ETC was an ex-officio secretary of the POG, but not a full voting member. POG membership is voluntary. Some POG members even contribute their own resources (e.g. airmiles to cover part of their travel costs) in order to be able to take part in the face-to-face meetings. All other communication is by email and Skype.

Between February 2005 (the time of the first POG meeting) and 2013, the POG has had 14 face-to-face meetings. It has initiated and formulated several policies and guidelines for governance and internal functioning of the network, covering issues such as M&E, Intellectual Property Rights, procedures for conflict mediation, and sources and modalities of funding and sharing resources (www.prolinnova.net/content/prolinnova-guidelines). The POG makes decisions on applications from multi-stakeholder groups in countries that would like to join the network as CPs. It has mediated in rare cases of serious disagreement between the International Secretariat and a CP host organisation. The POG has also provided oversight on the handling of resources in the network, based on reports from the International Secretariat, to ensure transparency and fairness. It has guided the CPs and the Secretariat in developing new proposals and in developing PROLINNOVA's strategy. During the annual IPW, the POG reports to the network on its work during the past year.

Although the POG functions almost as a 'board' for the network, it has been a conscious choice to refer to it as an 'oversight group'. As it does not have to approve annual plans and budgets of all CPs, network activities can be commenced quickly each year. A board that has more formal functions would require resources that the network cannot afford. The POG respects the legal and financial management obligations of the host organisation of the International Secretariat in its contracts with the various donors that fund network activities and realises that the guidance that the POG provides should not jeopardise these obligations.

The **International Support Team (IST)** and the **International Secretariat**, made up of staff from several organisations, are engaged mainly in support roles. They provide the CPs with *country-specific* support to build up and strengthen the CPs and their activities. They also carry out *international-level* activities such as programme coordination, capacity building, publishing, website management, policy dialogue, and M&E. Box 3 lists the organisations that have contributed thus far to the IST and their roles.

Communication within the IST has been almost exclusively by email, Skype and bilateral face-to-face meetings. Only twice in the ten years could an IST meeting involving several members be organised back-to-back with an IPW. Most of the time, staff at ETC Foundation ensured coordination of the IST's work directly with other members. The team at ETC functioned as the International Secretariat and handled the coordination of the network (programme and financial management, POG, IPWs, website content and M&E). It also generally took the lead in fund acquisition for the network.

All staff members involved in the IST devote only part of their time to providing support to PROLINNOVA. The capacity of the IST in full-time staff equivalents has never been more than 3-4 spread over all the member organisations, even during the peak period 2007-11 when the network had core funding

Box 3: Members and roles of the PROLINNOVA International Support Team

Organisation / Country base	Years involved	Main roles
ETC Foundation / Netherlands	2003-15	Host of International Secretariat, financial management, POG Secretariat, networking, international policy work, publications, technical support to countries, IPWs
Royal Tropical Institute (KIT) / Netherlands	2015 onwards	As above
International Institute of Rural Reconstruction (IIRR), Philippines	2003 onwards	Support in areas of capacity building, M&E, documentation and publications, and website management
Innovations Environnement et Développement en Afrique (IED Afrique), Senegal	2007 onwards	Host of PROFEIS, technical support to CPs in West Africa; facilitating sharing and documentation in West Africa
Centre for International Cooperation, Free University of Amsterdam, Netherlands	2004-11	Technical support to countries, publications, curriculum development for PID
SaveAct, South Africa	2006-08	Coordination of action-research project on LISFs in 8 countries
Institute of Natural Resources, South Africa	2009-11	Coordination of work on PID with HIV/AIDS-affected communities and related CP technical support

from the Netherlands Government. In subsequent years, less than two full-time staff equivalents have handled the IST and International Secretariat activities.

Main mechanisms for networking and learning

It is not so much the structures in place but rather the actual networking activities and mechanisms that have made the partnership tick. Major international networking mechanisms have been described already in previous chapters and have included the annual IPW, cross-visits between CPs, IST backstopping, and use of the Yahoo email groups, the website and the Facebook page.

Email and web-based telephony (e.g. Skype) play a major role in facilitating internal communications, crucial in keeping the network together. The Skype-based support could have been used more frequently and effectively, but time constraints, difficulties in coordinating agendas over multiple time zones and poor connectivity in some countries have prevented wider usage.

In PROLINNOVA, *monitoring and evaluation (M&E)* has served a dual purpose of creating the basis for learning within the network as a community of practice and being accountable to donors and partners about the use of funds. The main M&E processes and mechanisms that have served both these purposes to a greater or lesser extent are:

- *Joint development of M&E framework, key indicators and tools:* to ensure that the system of M&E would be realistic and owned by network members, development of the

M&E framework and key indicators was done jointly with partners during two IPWs. The IST member IIRR provided technical support and translated the outcomes of the IPWs into operational M&E tools in the form of ten Excel sheets for M&E at CP level and five for the IST, covering activities and their outcomes. IIRR has also co-authored a document on the M&E guidelines to help the CPs in using the system. In practice, most CPs have found it difficult to use a number of these M&E forms. None of the CPs has managed to develop its own M&E system and plan based on this agreed framework. Two international training workshops in M&E in 2010 and a country-level M&E training in Nigeria in 2011 were conducted in order to build M&E capacity in the CPs. Nevertheless, the forms proved to be challenging for daily use, while capacities to develop own M&E systems remained limited and time to work on M&E within the relatively modest CP annual budgets has been a constraint.

- *The annual financial reports of CPs* have used information and data from some of the M&E forms and have been a key source of information for the M&E at international level.
- *External evaluations:* In the past ten years, PROLINNOVA has undergone one extensive and independent external evaluation (Adams & Fernando 2009). Other studies by external consultants have focused on specific aspects of the network's activities, above all related to multistakeholder partnerships and outreach (Gonsalves & Niangado 2006, Holleman 2006, Rai 2010 and 2011, Holleman 2010, Ssuuna et al 2012).
- *The annual electronic evaluation* on the network's functioning using a questionnaire sent by email to all CPs and



Photo: PROLINNOVA

Participants of the IPW 2011 review the role of farmer organisations in the national platforms (or MSPs)

the IST has covered five main questions. This was done in two rounds in January each year, looking back at the previous year. The results of each evaluation were summarised in a report that was later discussed at the IPW. Such reflection has helped the network to learn and flag important issues, which have led to concrete actions. The cross-visits discussed in Chapter 4 also included elements of peer review, and the reports by the visiting team highlighted areas of attention and suggestions for improvement of the CP visited.

- *Mutual learning among CPs, the IST and the POG*, notably sharing and discussion during the IPWs and the participatory documentation and editing, through which the IST helped the CPs to systematically capture experiences on relevant topics and to disseminate these through the publications summarised in Tables 7 and 8 above.

PROLINNOVA and the role of GFAR

Given that PROLINNOVA was set up as a Global Partnership Programme of the GFAR, the role that the GFAR has played in relation to PROLINNOVA merits further analysis. The preparatory process for the first GFAR conference in 2000 offered opportunities for NGOs to formulate the PROLINNOVA agenda. The French Government, the NGO Committee of the CGIAR and the GFAR Secretariat made funds available for the NGOs to meet and prepare their proposals (e.g. the Rambouillet meeting in 1999).

When the endorsement of the NGO proposals by the 2000 GFAR conference did not lead quickly to support from donors, the GFAR Secretariat communicated with and encouraged the NGOs (through ETC Foundation) to develop funding proposals. It involved NGO representatives in small follow-up meetings with potential donors and thus gave some weight to the PROLINNOVA proposal. Finally, in late 2002, IFAD – one of the donors supporting the overall GFAR process – made available a small grant (€ 87,000) for a one-year PROLINNOVA inception phase in three countries. This greatly helped to raise the profile of PROLINNOVA and created momentum for further fundraising carried out exclusively by the NGOs.

From 2004 to 2010, GFAR provided air tickets for a few participants or covered other related costs of PROLINNOVA activities such as the IPWs, for a total of € 33,000 during that period. Occasionally, it supported travel expenses for a PROLINNOVA representative from the South or North to attend an international meeting on ARD. In 2011, the GFAR Secretariat signed a four-year Letter of Agreement (LoA) with the PROLINNOVA International Secretariat on behalf of the network to support NGOs in international ARD policy dialogue. In the same year, the GFAR made available around € 50,000 to pursue this agenda, but could not provide continued funding in the

following years as had been agreed in the LoA⁴. However, the initial funding in 2011 was important for PROLINNOVA – in content as well as a sign of encouragement – as it was in that same year that financial support from the network's major donor, the Netherlands Government, came to an end.

Apart from financial support, GFAR and the growing PROLINNOVA network continued to interact and collaborate from 2004 onwards, although the intensity of this interaction fluctuated over the years. This included:

- Participation of PROLINNOVA in the GFAR governance structure through contributing to the GFAR Project Committee meetings until 2008. This created an opportunity to share the network's partnership approach with other global programmes that had been initiated under the GFAR.
- PROLINNOVA's contributions to all global GFAR conferences and the Global Conferences on Agricultural Research for Development (GCARD¹, GCARD²) through presentations, chairing or reporting on sessions and participation in working groups. The network provided inputs into the GFAR annual reports but did relatively little in sharing its work and achievements through the electronic platforms of the GFAR. Over time, the link between PROLINNOVA and the GFAR has become less visible and the GFAR Secretariat has frequently requested the PROLINNOVA International Secretariat to make the link to GFAR link more prominent.
- The GFAR Secretariat helped set up regional NGO platforms to give NGOs a voice, but found it difficult to integrate its 'own' NGO-led network into these platforms. It arranged that PROLINNOVA representatives be invited to multi-stakeholder meetings of APAARI (Asia-Pacific Association of Agricultural Research Institutes) and FARA (Forum on Agricultural Research in Africa) but only APAARI continued the interaction with PROLINNOVA partners. ETC as host of the International Secretariat made its own efforts to become part of the European Forum on Agricultural Research for Development (EFARD).
- Some degree of mutual influence remained over the years around the relevance of farmer-led innovation development and multi-stakeholder collaboration in ARD. People who were associated with PROLINNOVA were active in the GFAR Steering Committee as well as in the organising committee for GCARD².

International network analysis

There is ample documentation on the functioning and effectiveness of the international partnership as reviewed in the desk study report (PROLINNOVA 2015b). The annual e-evaluations among the CPs looked at this in detail. Table 10 shows the average scores on three main partnership issues on a scale of 1 to 5 (with 5 being the most positive).

⁴ The current PROLINNOVA stocktaking of which this report is part was made possible through some funding support by GFAR, which could be seen in a way as the realisation of the 4th and final year of this LoA.

⁵ GCARD: Global Conference on Agricultural Research for Development

Table 10: Annual internal assessment on functioning of International Support Team/Secretariat

	2007	2008	2009	2010	2011*	2012	2013	Aver.
Governance / POG	Pos.	3.42	4.00	3.72	not available	3.60	3.35	3.62
Sharing & learning internationally	Pos.	3.18	3.80	3.44	not available	2.75	2.66	3.17
Functioning of IST / International Secretariat	Pos.	3.71	3.90	3.88	not available	3.28	3.05	3.56
Overall	Pos.	3.44	3.90	3.68		3.21	3.02	

* In 2011, year of final synthesis and reporting to the Netherlands Government upon completion of its funding cycle, an additional internal evaluation was not carried out.

These data suggest that CPs have been positive about the network and its functioning. The average scores become somewhat lower in 2012 and 2013, which reflects the decrease in funding after 2011.

Assessment of the functioning of the international partnership has also been included in external reviews and studies (Gonsalves & Niangado 2006, Adams & Fernando 2009, Rai 2010). The findings have been positive regarding the partnership approach and how it has been shaped within PROLINNOVA. The decentralised set-up of the network with semi-autonomous CPs supported by the IST has been identified as a key factor for success. Despite some risks, this set-up is deemed as necessary for partners to have authority and responsibility for their work. It has resulted in stronger ownership by country-level actors. PROLINNOVA's successful organisational structure and its multi-stakeholder mode of operating hinges on joint ownership and mobilising diverse contributions, talents and connections. The effective coordination and facilitation by the PROLINNOVA International Secretariat assisted by the IST was regarded in these reviews as another success factor.

Adams and Fernando (2009) were concerned about the transaction costs of the joint planning, sharing and learning in the multi-stakeholder partnerships at both international and CP level. Creating one central body in each country that works directly with government agencies, institutions, universities and NGOs, they felt, might overcome the need to negotiate multiple perspectives. However, they concluded that, *'while thus centralising 'control', this model could be a problem should the centre cease to hold, making this option less sustainable'*.

Other areas of attention suggested by these studies included the issue of M&E and documentation in countries of the lessons learned on network functioning as a basis for sharing and advocacy at all levels. Rai (2010) also stressed the importance of communication within the network among CP partners and warned that the International Secretariat should not become a filter, preventing direct links between CPs and donors. Still further decentralisation, sharing of tasks and related resources by the IST to CPs and within CPs by coordinating NGOs to other country partner organisations were suggested as points for consideration.

The above-mentioned studies and documents allow the following conclusions to be drawn with regard to the international network:

- Among key success factors are the gradual and organic development process, the flexible and open character of the network, the relatively light structures chosen with limited bureaucracy, and the emphasis in wording and practice on joint ownership involving diverse contributions and talents.
- The approach has allowed the network to continue to function, meet, interact, plan and implement despite the fact that core funding ceased in 2011. The reduced funding led, however, to discontinuation of international capacity building and related activities; this constrained further expansion and strengthening of the network.
- The highly interactive annual face-to-face meetings (IPWs, training/learning workshops) play a decisive role in maintaining the networking spirit and the continued commitment to the shared PROLINNOVA vision and agenda.
- The network functioning depends partly on the capacity of the IST to work on shoestring budgets. After 2011, the demand on the IST and particularly the International Secretariat has become extremely challenging, as so many of the activities had (and have) to be done in the staff's 'free' time, leading to excessive working hours. Although the network has managed to continue in this mode for a number of years, these demands are reaching a point at which the long-term sustainability of the network is threatened.
- It has been a conscious choice not to establish PROLINNOVA as an independent and formally registered organisation but rather to rely on established NGOs to provide the formal framework at international and country level if and when needed, e.g. for signing funding agreements with donors. One CP recently registered itself as a company (in Kenya); however, it continues to operate as a network with one member organisation hosting it and has not yet used its company 'hat' for any specific purpose.
- The decision in 2010 to strengthen collaboration, sharing and learning at the regional level has been only partially implemented through some regional-level projects. The CPs seem to have given higher priority to strengthening country-level work and networking as compared to investing in regional cooperation.

7 Resource mobilisation and use

Introduction

A critical reflection on the work by the network done over the past ten years would not be complete without looking into resource mobilisation and the way these resources have been used.

The network does not have one or two dedicated donors covering large parts of its work but has functioned by mobilising (often small to medium amounts of) resources from a variety of sources. Some of the funds have entered the network through the International Secretariat and have been managed by its host organisation. An increasing amount of funds is being handled directly by CPs. These often focus on work by the CP itself, including support needed for this from the IST, but occasionally has also covered work by other CPs or network-wide activities.

In addition to external funding, members at all levels have also tapped into own resources. These have been in kind – above all, staff time – or have been covered by using funds from related project funding available at their level. Between 2003 and 2013, CPs covered almost 25% of total costs of activities from own resources.

Funding levels and sources over the years

The total amount of funds mobilised by the network over the past 10+ years is € 7,930,000 while own contributions by partners added another € 2,520,000 to the resource pool. Annex 4 lists the main donors and the activities or sub-projects funded by them. Table 11 shows how funding levels have changed over time.

From 2006 to 2010, the network had its highest amount of annual external funding support when the programme funding from the Netherlands Directorate General for International Cooperation (DGIS) was complemented by funding from the Rockefeller Foundation for the LISF action research and a variety

of other smaller and focussed sources of funding. In this period, the CPs monitored their own contributions systematically, which added to the higher volume of resources documented.

After the DGIS support came to an end in 2011, the network continued to raise at least € 550,000 per year. However, the distribution of these resources over the CPs has been quite uneven, as it was determined by specific project requirements of the donors involved. CPs like Kenya, Mali and Cambodia appear to have benefitted substantially, while other CPs such as Cameroon, Nigeria, Sudan and those in the Andes have not enjoyed the same benefits. They continued to link up with the network using their own resources.

In the period 2003-07, about 45% of available resources was used to cover costs of the international network activities as well as those of the International Secretariat based at ETC Foundation, while 37% was allocated to country-level work. The remaining funds covered costs of regional activities (9%) and support by other IST organisations (9%) (Adams & Fernando 2009). The percentage at the level of the International Secretariat has been relatively high because of substantial amounts of own contribution of resources at that level and the success of the International Secretariat in raising funds for specific support activities, documentation and publications.

Analysis and conclusion

Comparing the above average level of external funding of around € 800,000 per year over the 10+ year period to the volume of work done, as summarised in the previous chapters involving many countries and organisations, it could be concluded that the network achieved relatively high levels of cost efficiency. The external evaluation in 2009 also concluded that ... *‘the execution of programme activities is managed with high regard of cost efficiency and added that ‘cost efficiency has been mentioned as one of its strengths by several stakeholders’* (Adams & Fernando 2009).

Table 11: PROLINNOVA funding 2003-13 (Euros)

	2003	2004	2005	2006	2007	2008
<i>Funding coordinated with International Secretariat</i>	123,000	288,000	314,000	1,058,000	725,333	1,091,688
<i>Own contributions including local donors</i>	78,000	183,000	199,000	323,000	430,000	282,604
Total resources	201,000	471,000	513,000	1,381,000	1,155,333	1,374,292

	2009	2010	2011	2012	2013	TOTAL
<i>Funding coordinated with International Secretariat</i>	1,195,279	1,296,646	578,259	704,495	558,659	7,933,340
<i>Own contributions including local donors</i>	475,886	477,318	70,727	0	0	2,519,535
Total resources	1,671,165	1,773,964	648,986	704,495	558,659	10,452,875

In view of the relatively low annual budgets, partners were encouraged at all levels to make use of cost-sharing arrangements and contributions in kind wherever possible. A general 'NGO style' of managing and using funds has included very low or no 'per diems' during meetings, reimbursement of real costs instead of allowances during travel, and seeking good but not top-of-the-market facilities for activities such as workshops and the annual IPW. This also led to relatively low costs.

The fact that the network functions with a large number of often small projects or even activity-focused donors has contributed to its resilience, as evident from its continued functioning even after the DGIS funding was discontinued in early 2011. At the same time, this has implied relatively short

timeframes for most funding, leading to continued high pressure at all levels to fundraise. The system has also become very demanding in terms of donor coordination and handling a large number of small funding flows. Furthermore, the project nature of the funding makes it difficult to find support for key network and governance activities, such as international training of trainers, IPWs and the POG.

Looking at the country-level work, even the better-funded CPs often have an annual budget not exceeding € 30,000-40,000. Most have had much less. The ambition of mainstreaming the **PROLINNOVA** approach with main ARD players can only be realised if all CPs manage to link up with other initiatives, use opportunities that arise and work with champions within the agencies open to the approach.

8 Conclusion and way forward

Achievements of PROLINNOVA on most, if not all, of its objectives over the past ten years have been substantial. This is the overall picture that emerges from the previous chapters. Data and information presented indicate that the volume of work done and the totality of activities implemented are impressive, given the financial resources that were available to the network over the years.

The decentralised design of the partnership and the ownership and autonomy this created with partners at all levels has been one of the key factors contributing to this success. It has created the dynamics for collaboration and partnership that allowed mobilisation of the capacities and resources (including partners' own resources) needed to pursue the PROLINNOVA agenda. It has also created a strong link and flow of information from farmer-led innovation activities on the ground in many corners of the world to the international policy arena. At the heart of this has been the personal commitment of many individuals to the cause of promoting farmer-led innovation and the capacity of the network to mobilise, nurture and encourage this.

PROLINNOVA has helped to generate and develop several methodologies to strengthen farmer-led innovation in agriculture and NRM. The most challenging part has been the work on farmer-led joint research and more needs to be done to ensure wider application and adaptability of this approach. Accessibility of information on the findings and results of local innovation and PID is relatively weak, particularly for those not involved directly in the network. The network has also not yet found ways to ensure that the LISF methodology becomes integrated into regular ARD funding mechanisms.

The outcome of the capacity-building work has been relatively well documented. Given the continuous change of staff at various levels, capacity development continues to need attention. It is thus a very serious drawback that reduced funding prevented the network from continuing its (international) training of trainers efforts and backstopping support to CPs. At the same time, it is good to note that, in quite a few countries, PID is now being taught as part of regular courses offered by institutes of higher learning. This should lead to the emergence of ARD actors in research, extension and development, including the private sector, who have acquired basic insights into PID and capacities to facilitate and support this process.

Though there are important results in mainstreaming at international and CP level, deeper integration of the PID approach into ARD policies, programmes and organisations is still needed. This means that the main agenda of the network will remain relevant and very important in the years to come.

The strength of the network is determined by the strength of the CPs. The stocktaking has pointed yet again to the differences among CPs: some are very active, while others are nearly dormant or barely functional through one or two organisations in the partnership. CP strength is influenced not only by the availability of resources but also by the strength of the coordinating NGO and its ability to find capable platform coordinators. If the coordinating NGO weakens, the whole CP may suffer. Quite a few CPs find it difficult to become more inclusive, prevented by lack of capacity and sometimes by the pressure on the limited resources with a host that is losing its wider donor base.

It is an achievement that the network has continued to function, plan, meet and learn after DGIS funding came to an end in 2011. The reality is that this has been made possible only by relying on a complex set of shorter-term and lower-level project funding. Not only has this not covered many of the necessary core network activities, it has also put high pressure on the network and the International Secretariat, which may well threaten the network's sustainability. The annual e-evaluation has already showed a declining score in assessing the functioning of the international network. Hosting the International Secretariat by an organisation in the South would reduce costs and, if accompanied by a good fundraising strategy, may help to address this challenge, provided that the new organisation is in a position to continue the functions that the Northern-based Secretariat has been handling over the last 10+ years. A contact point in the North may still be useful for interacting with and influencing ARD organisations based in the North.

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Annex 1: Overall framework for PROLINNOVA stocktaking

Introduction

This framework presents the main elements to be covered under the study to take stock of the achievements of the PROLINNOVA network over the period 2003-13. For each, it gives the main questions to be answered and the main sources of information.

What has PROLINNOVA managed to do in the past 10 years?

This part of the work describes PROLINNOVA and its work covering:

- 1 The main activities related to Objective 1 of the network: Increase understanding and further develop approaches and methodologies for LI/PID. A distinction will be made between activities at the country and at the international level.
- 2 The main activities related to Objective 2 of the network: Capacity building of all actors to use and advocate for LI/PID. A distinction will be made between activities at the country and at the international level, covering both structured training events as well on-the-job training, backstopping and other capacity building activities.
- 3 The main activities related to Objective 3 of the network: Mainstream and institutionalise PID/LI. A distinction will be made between activities at country and at international level.
- 4 Set-up and functioning of the PROLINNOVA network and partnership at local, national and international level including structures, communication, governance and decision making and M&E and the facilitation of learning.
- 5 An analysis of the level of efficiency of the network in realising the above-mentioned activities: How does realisation of work compare to the amount of resources used through the network?

Central questions to be answered in this part of the work are: What was done by PROLINNOVA at the different levels to realise its objectives? Who was involved (stakeholder categories, sex)? How much/how many of that was done? and How was this done?

Sources of information for this part of the study are the existing reports at the level of the secretariat including annual progress reports and project reports (desk study).

What has PROLINNOVA achieved as direct result of its work?

This includes an analysis and related reflection within the network on the extent to which its main objectives have been reached during the past 10 years. Central questions are therefore:

- 1 To what extent has PROLINNOVA succeeded in increasing understanding and further development of approaches and methodologies for LI/PID? The analysis will look at the extent that relevant activities have led to consolidation and documentation of new insights and methodologies in a way that they have become available widely and thus added to the array of methods on participatory agricultural development and research.

This work will focus at the international level as most it implies compiling and analysing related experiences across multiple different countries. Sources of information are the actual documents that resulted from this work of PROLINNOVA, to be complemented by info from existing external evaluations of PROLINNOVA.

- 2 To what extent has PROLINNOVA's work led to increased capacities at all relevant levels to (train and) implement and advocate LI/PID. This will look at evidence of people having been trained in some form putting into practice (part of) what they learned.

Answering this question at the country level will focus on the capacity to implement and advocate for PID/LI and is part of a guided reflection within each PROLINNOVA country platform that the international secretariat will facilitate using Email and web-based tools. In addition the secretariat will visit 3 countries and directly assist in the reflection process. Answering this question International mainstreaming focuses on the capacity to train PID/LI. Use will be made of existing M&E information on the extent that people trained to become a PID trainer did facilitate PID trainings complemented by information on the current status in the CP (see below).

- 3 To what extent has PROLINNOVA succeeded in mainstreaming and institutionalisation of LI/PID within ARD organisations at country and international level. This will look at integration in policies, programmes and organisations as whole and focus on organisations (GOs and CSO/NGOs) active in the field of agricultural research, extension and education and those supporting these.

The guided reflection with all CPs mentioned under Point 2 and the focused review visits to three countries will also be used to generate answers to this question jointly with CP staff. This will be complemented by own PROLINNOVA outcome M&E data as well as information from external evaluations. The assess the extent of success of PROLINNOVA in mainstreaming PID/LI at the international level can be based to a large extent on information available with the international secretariat as compiled in annual reports, reports of annual e-evaluations, and other

M&E data. This will be complemented by generating new info and feedback from a selected group of people working in ARD at the international level.

4 Ensure effective functioning of PROLINNOVA's partnership (national and international level)

Existing documentation, both own internal reports, annual e-evaluations, and reflections on functioning of the network at the relevant levels and the effectiveness of the partnership approach will provide one main source of information of this part of the work.

The review of the PROLINNOVA partnership approach and its functioning will be concluded with an analysis of the current level of functioning.

Has PROLINNOVA's work resulted in impact at farmer/ community level?

This question will be answered to the extent possible, using existing reports, including those of external evaluations. Additional information will be generated only through interactions with all CPs as detailed above and thus rely on information available at that level.

A distinction will be made between impact realised following PROLINNOVA own activities at the community level and such impact that followed from others that integrated a PID/LI type of approach in its programmes as result of PROLINNOVA mainstreaming activities.

Two major impact areas will be considered: Improvements in livelihood of farmers and community members and strengthening of local social capital, of local capacities to continue and expand the process of innovation.

Annex 2: Operational framework for analysis & stocktaking by CPs

Country Platform (name of country):

PROLINNOVA achievements & outcomes within the CP

1 Approaches and methodologies that have been used and supported by the CP such as: 1) Local Innovation, 2) Participatory Innovation Development / Joint Experimentation, 3) Farmer-led Documentation (FLD), and 4) Local Innovation Support Funds (LISFs).

- Titles of country-specific documentation on above-mentioned methodologies / approaches (booklets, training manual, tools, other) for wider sharing
- Use of these methodologies/ approaches (e.g. used within your division/department of your organisation, or within your organisation, or within the CP or beyond the CP members and, if so, used by whom beyond the CP)

2 Capacity building of all relevant actors (farmers, CSOs, researchers, extension workers, government officials, university/college staff and/or others) to use and advocate for Local Innovation/ PID and related topics

- Main capacity-building activities carried out (e.g. training events, workshops, other types of learning events, other capacity-building activities)
- Evidence/ examples of putting learning into practice (e.g. trained people becoming PID trainers/ facilitators; researchers (and/ or other stakeholder categories) becoming involved in joint experimentation/ LISF; documentation led by farmers; multi-stakeholder platforms to advocate/ promote LI/ PID)
- Current capacity in the country to promote/ facilitate Local Innovation /PID and examples of individuals providing training in LI/PID, partners integrating LI/PID aspects into other projects/areas of work etc.

3 Mainstreaming and institutionalising LI/ PID approaches

- Main activities carried out to integrate LI/ PID approaches into existing ARD/ extension structures (e.g. policy review, policy dialogue and advocacy activities)
- Examples and/or evidence of actual integration of LI/PID methodologies into organisations and/or programmes of agricultural extension, education and research (e.g. research institutes/ programmes that apply PID/ Joint experimentation/ LISF; universities/colleges that have taken up LI/PID in their curriculum, etc.) and linkage to activities supported by the CP

4 Functioning of the PROLINNOVA network within the country

- Current organisational set-up and functioning of PROLINNOVA in your country (e.g. National Steering Committee, core group, sub-national platforms, PROLINNOVA network meetings, etc.)
- Changes and reasons for change in organisational set-up and functioning of the CP since its establishment (if any)
- Changes and reasons for change in network partners/ members (changes in kind and number of organisations involved) in the CP since its establishment (if any)
- Functioning of CP in terms of the minimum requirements agreed in 2012 (see below):
 - ▶ Functioning: meeting the minimum requirements most of the time
 - ▶ Active: doing substantially more than the minimum requirements
 - ▶ Inactive: not meeting the minimum requirements

Impacts

- Examples/ evidence of local innovations that have led to substantially improved livelihoods/ adaptation to (climate) change/ food security and a rough estimate of the number of farmers (men, women) benefitting from these local innovations (several key innovations can be selected)
- Examples/ evidence of continued local experimentation/ innovation by farmers linked to PROLINNOVA-supported activities
- Other impacts of PROLINNOVA (e.g. empowerment of smallholder farmers, changes in the status of women)

Challenges, lessons learnt and way forward

- Challenges in: 1) developing, making widely available and using LI/PID methodologies and approaches, 2) capacity building of all relevant actors, 3) mainstreaming and institutionalising LI/PID, 4) functioning of the PROLINNOVA network in your country, and 5) reaching impact
- Lessons learnt in: 1) developing, making widely available and using LI/PID methodologies and approaches, 2) capacity building of all relevant actors, 3) mainstreaming and institutionalising LI/PID, 4) functioning of the PROLINNOVA network in your country, and 5) reaching impact
- Way forward in: 1) developing, making widely available and using LI/PID methodologies and approaches, 2) capacity building of all relevant actors, 3) mainstreaming and institutionalising LI/PID, 4) functioning of the PROLINNOVA network in your country, and 5) reaching impact

Background on projects implemented by the CP

Year of establishment of the CP:

PROLINNOVA-related projects (please list here all projects that have been implemented since the start of PROLINNOVA, including projects acquired through ETC and other projects acquired on your own)

Name of project	Implementation period	Donor(s)	Budget (approx.) (denote currency)

Annex 3: History of the emergence of the Country Platforms

PROLINNOVA development of network and its funding base													
2000	2001	2002	2003	2004	2005	2006	2007	2008	2009	2010	2011	2012	2013
Planning and lobbying, no funding for the network			Inception Phase (IFAD)	PROLINNOVA Phase 1 (DGIS)			PROLINNOVA Phase 2 (DGIS)					LINEX-CCA (Misereor): 3 CP's	
												SOLLINKKA (CCAFS): 2 CP's	
											GFAR MOU year 1		CLIC-SR (Rockefeller) : 4 CP's
						FAIR 1 (Duras): 4 CP's			FAIR 2 and 3 (Rockefeller Foundation): 8 CP's				
						FLD: Farmer-Led Documentation (Novib)							
						PROFEIS 1 (Misereor): 2 CP's				PROFEIS 2 (Misereor): 1 CP			

Countries joining the PROLINNOVA network											
	2003	2004	2005	2006	2007	2008	2009	2010	2011	2012	2013
Uganda											
Ethiopia											
Ghana											
South Africa											
Sudan											
Nepal											
Niger											
Cambodia											
Tanzania											
Peru											
Ecuador											
Bolivia											
Kenya											
Mozambique											
Senegal											
Mali											
Burkina Faso											
Nigeria											
India											
Cameroon											
Philippines											

Color for each CP referring to main donor in the given year

CP with limited, erratic, mostly own funding indicated with:



Annex 4: Volume and sources of funding PROLINNOVA 2003-13

Funding 2003-13 (Euro)	7,933,340	Period	Purpose
CTA	68,087	2001-03	Start-up book; later also support 4 IPWs
IFAD	87,000	2003	Inception planning in 3 CPs
DGIS	4,911,575	2004-11	Main programme funding
GFAR	84,852	2004-06	Various small support; CSO policy work 2011
World Bank	23,000	2004	Publication of IK Notes on LI/PID
Misereor	698,767	2004 to date	IPW 2004; CPs Senegal (2006-10), Mali (2006 to date); India, Nepal, Cambodia (2012-14)
DURAS	144,801	2006-08	Action-research LISF
Oxfam Novib	36,000	2006-07	Co-funding FLD study and workshop
CIAT	15,456	2007	Co-funding Innovation Africa book
Rockefeller Foundation	1,262,084	2008 to date	Action research on LISF in 8 CPs (2008-12); CLIC-SR with 4 CPs (2012 to date)
NRI/RIU	46,630	2009	Innovation Asia Pacific Symposium
PSO	165,449	2009, 2010, 2012	Capacity building in M&E; Action research networking Partnership consolidation in 3 CPs EA
EU	103,000	2010-13	PID Case studies in SA and Kenya; Kenya CP coordinator (JOLISAA project)
CCAFS	164,020	2012-13	Support international learning; CPs Kenya and Senegal (2012-13)
AusAID and other co-funders	37,237	2013	2013 Africa Innovation Week Nairobi
NUFFIC	42,832	2013	Training in PID for CP Kenya
Smaller donors	42,549	throughout	Various, including tickets for international mainstreaming



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