

*DRAFT*

# **LOCAL INNOVATION SUPPORT FUNDS IMPACT ASSESSMENT GUIDELINES**

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## 1 Introduction

PROLINNOVA is an NGO-initiated programme that is building a global learning network to promote local innovation in ecologically-oriented agriculture and natural resource management (NRM). The programme builds on and scales up farmer-led approaches to development that start with finding out how farmers/pastoralists do informal experiments to develop and test new ideas for better use of natural resources. Currently, the global programme consists of 18 country programmes (CPs) with an International Support Team (IST) to facilitate activities at international level and a PROLINNOVA Advisory Group (POG) to provide overall guidance to the IST and CPs. These are actively implementing PROLINNOVA in Ethiopia, Ghana, South Africa, Uganda, Cambodia, Nepal, Tanzania, Peru, Bolivia, Ecuador, Niger, Nigeria, Burkina Faso, Senegal, Sudan, Kenya and Mozambique.

**FAIR** (Farmer Access to Innovation Resources) was born out of PROLINNOVA partners' belief that a fundamental change in mechanisms for allocating research funding is required if small-scale farmers/pastoralists, their concerns and their own innovation capacities are to play a more central role in agricultural research and development (ARD). Such a change could contribute to creating a longer-term institutional basis for farmer-led joint experimentation/ participatory innovation development (PID) processes. The question faced by the partners was whether such alternative, cost-effective and sustainable, farmer-led funding mechanisms for PID could indeed be developed and sustained.

PROLINNOVA therefore initiated systematic action research to find practical ways to set up financing mechanisms that allow local people to access funds for improving and accelerating their innovative activities related to NRM. These were named "Local Innovation Support Funds (LISFs)". In 2004, partners in Nepal had already piloted a fund to support local innovation using their own resources. In late 2005, with support from the French government-funded DURAS (Promoting Sustainable Development in Agricultural Research Systems) project, PROLINNOVA initiated pilots in four additional countries: Cambodia, Ethiopia, South Africa, and Uganda under the first phase of the pilot activities (FAIR-I).

At the end of the DURAS-funded period in 2008, PROLINNOVA partners wanted to continue the pilot activities in order to acquire a deeper understanding of how the different funding models (could) work; of the different roles NGOs, government agencies and community-based organisations (CBOs) could play in the management and use of such local funds; and, particularly important, of the impact of these funds. These ideas were articulated in a proposal (FAIR-II) submitted to and approved by Rockefeller Foundation in 2007.

FAIR-II started officially on 1 April 2008, and is being implemented in eight countries: in addition to the countries involved since 2005 (Cambodia, Ethiopia, Nepal, South Africa and Uganda), Kenya, Ghana and Tanzania have joined the initiative. FAIR-II, as a response to the conclusions of FAIR-I, focuses on getting a better understanding of how the LISFs function and their effectiveness and impact as a mechanism to accelerate local innovation, with the goal of mainstreaming the results and findings. Monitoring & evaluation (M&E) therefore becomes essential.

During FAIR-I, IST partners (ETC and the International Institute of Rural Reconstruction / IIRR) developed an M&E framework for the piloting of LISFs. This framework focuses on three closely interlinked levels:

1. The **first level** focuses on the actual functioning of the new funding mechanisms themselves, the LISFs. The central question here is: *To what extent is this funding mechanism feasible, effective and efficient?* A key tool here is the MS Access© "Register", in which partners register proposals received, approved, time needed to process applications, disbursements, reports etc. The tool enables analysis of time

- and money spent on managing the LISFs, disbursements to experimenters, proposals accepted and rejected, purposes/themes for which the funds have been used etc.
2. The **second level** focuses on impact. It assesses the relevance of the LISFs and the activities they support and looks at four elements:
    - The extent to which LISF support has led to development of improved practices and systems of NRM;
    - The extent to which these practices and systems have spread among farmers/pastoralists and their impact on local livelihoods;
    - The change in capacities/capabilities of farmers and other land-users to access relevant information and to develop technical and socio-organisation innovations;
    - The change in openness and interest of ARD agencies to support and work with local innovators and their groups.
  3. The **third level** focuses on overall project implementation and the main strategies used to achieve project objectives (as a basis for redesign, if necessary). M&E at this level is based on half-yearly progress reports of the CPs, annual face-to-face meetings, telephone conferences, bilateral reviews and backstopping missions.

The second level is the focus of this document, which is the result of Bernard Triomphe's (CIRAD) study conducted throughout 2009 to design a set of generic impact assessment (IA) guidelines for LISFs which could be used/ adapted by all CPs engaged in the FAIR sub-programme. Such guidelines were jointly developed, adapted and field tested in two countries: Cambodia (May-June 2009) and Ethiopia (December 2009).

This document as it stands now is still in draft form. It is meant to trigger criticism, feedback and suggestions for improvements from other CPs within FAIR-II, so that the guidelines can be made more generic and reflect actual country experiences across the FAIR sub-programme

Content-wise, this document starts with a general presentation of the Impact assessment framework (section 2); a description of step 1 (section 3) and step 2 (section 4). It also provides some basic considerations about analysis and packaging of results (section 5). It then discusses how these generic guidelines are to be adapted to each country (section 6<sup>o</sup>). Appendices 1 and 2 provide comprehensive interviews guidelines for Steps 1 and 2 of the Impact Assessment process. Appendix 3 deals with considerations related to conducting interviews. Appendix 4 focuses on the multistakeholder workshops. Finally, Appendix 5 provides an overview of B. Triomphe's sabbatical study.

## **2 Impact assessment framework**

The LISF impact assessment framework consists of **three** aspects:

- (1) Strategic considerations;
- (2) Key questions that the assessment intends to answer;
- (3) Two-step approach proposed for addressing them.

### **2.1 Strategic considerations**

The following considerations were made in developing the IA guidelines, which:

- Should provide answers to the key questions of Level 2, e.g.: What is the effect of LISFs on the ground? Are LISFs feasible and under what conditions? What have the various countries achieved – individually and overall? What evidence can be provided to donors that their money is being well spent?
- Should be suited to an emerging process and mechanism with limited historical and geographical coverage;
- Should be conceptually solid, yet simple and robust, enabling CPs to undertake assessments with their own resources;

- Should be applicable to a global programme whilst allowing for adaptation to the specificities of each CP;
- Should allow for causal relationships and quantification of evidence;
- Should allow for learning within the network.

## 2.2 Key questions

The starting point for designing the IA framework and guidelines has been to **identify a reduced set of key questions the LISF assessment should try to answer**<sup>1</sup>. Five key questions were identified and validated:

First, a rather strategic and philosophical question has been formulated:

**Q.0. Do farmers/pastoralists do "research" (trying out new things)? What kind? With what type of objectives?**

It is not clear yet if and how to treat this question, as it is a basic starting point and assumption in implementing the LISF and local innovation work. But everyone consulted so far agreed that this point is very relevant and needs somehow to be addressed, as a number of people and institutions do not easily agree with this assumption: they believe "research" can and should be conducted only by well-educated professionals. Changing such beliefs and attitudes is among the challenges linked to institutionalising farmer-led research.

Thereafter, four key specific questions (or assessment domains) were identified:

**Q.1. Do experiments and other activities funded through the LISF contribute to farmers'/pastoralists' livelihoods and objectives? If so, how and why?**

**Q.2. Does the LISF programme as implemented in [the pilot site] contribute to local innovation processes? If so, how and why?**

**Q.3. Do partners actually involved in or in contact with LISF implementation at the district, regional or national level see values or problems in the LISF or similar programmes? If so, what values or problems do they see?**

**Q.4. Are principles or practices related to local innovation processes and specifically LISF and similar programmes being taken on board by stakeholders? If so, how and why?**

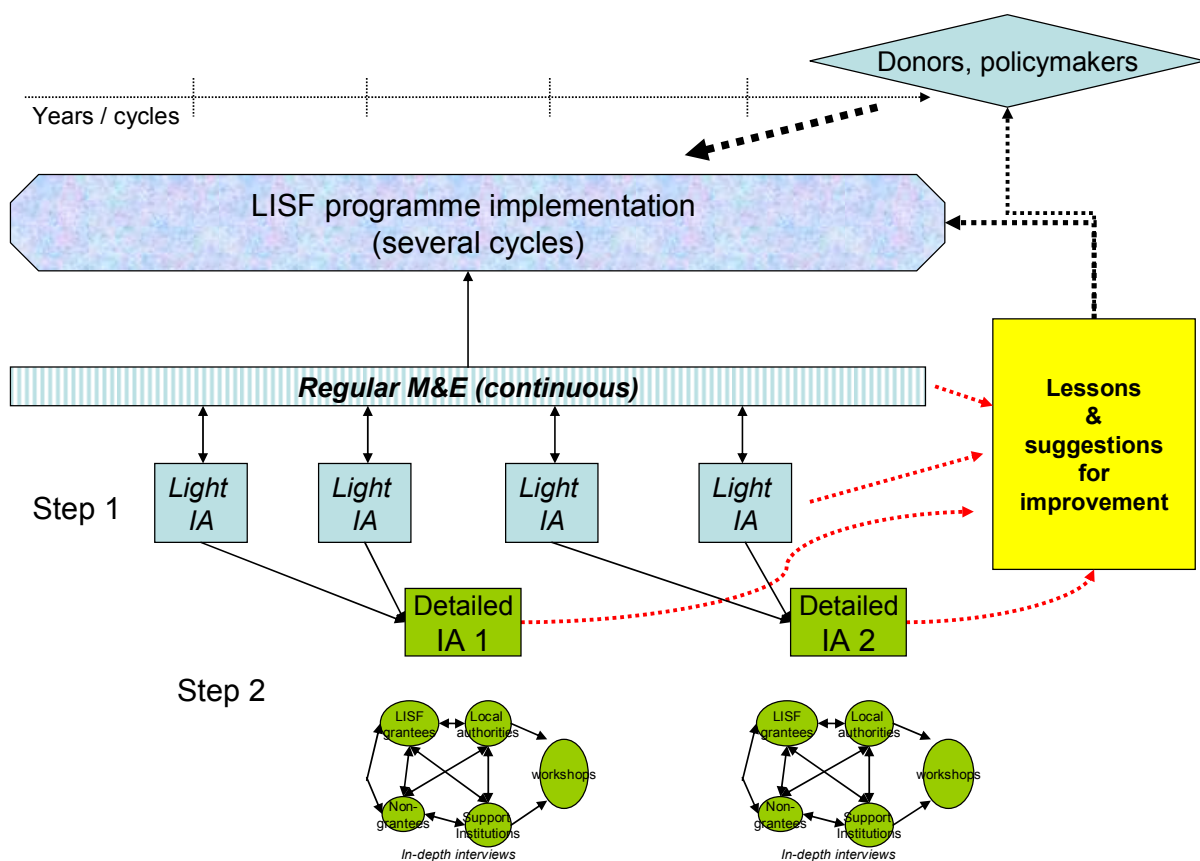
Question 1 looks at the impact of innovations developed by farmers/pastoralists with LISF funding. Question 2 explores the relationship between LISF and farmer-led experimentation, trying to understand the role of locally available funding in achieving PID objectives. Questions 3 and 4 relate to the actual or potential institutionalisation of PID/LISF at various levels.

**"Local partners"** refers to individual farmers/pastoralists, their organisations, local authorities at district and subdistrict level etc, while **"regional/ national partners"** refer to provincial and federal levels of the Ministry of Agriculture, NGOs working in the given villages and other support institutions. These definitions of partners may differ according to the country and to how government functions in each of them and how services have been decentralised.

## 2.3 Two-step approach to assess impact

A two-step approach to assess impact is proposed (Figure 1) as best suited for favouring both country-level and international requirements for IA, and for responding to the needs of the diverse target groups for IA.

<sup>1</sup> For further details, please refer to the "Manual on Participatory Impact Assessment" published by the Feinstein Foundation.



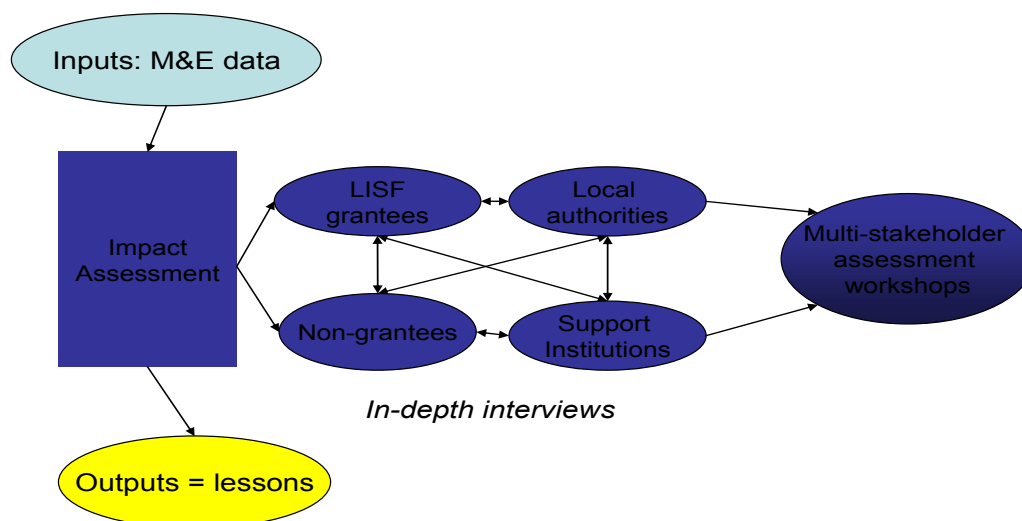
**Figure 1: Overall 2-step approach proposed for LISF impact assessment**

### **Step 1: “Light” internal impact assessment**

Consisting mostly of a short, well-structured interview with LISF grantees, this internal impact assessment complements and extends the “routine” M&E already in place for FAIR/LISF. Ideally, it should be conducted **once a year** (or once per LISF cycle) in all sites where LISFs are being implemented, by members of country-level FAIR sub-programmes in charge of overall M&E of FAIR activities (e.g. this would be the National Steering Committee, in the case of Cambodia).

Step 1 can and is viewed by some (case of Ethiopia) as being actually part and parcel of routine LISF M&E, but adds to it by creating a more open discussion forum with farmers/pastoralists through a light, semi-open interview. It can provide LISF practitioners in a given country enough early evidence to reflect critically about whether LISF seems to be contributing to improving local livelihoods, and about how the mechanism is being perceived by farmers/ pastoralists. As such, it contributes to capacity building about LISF and about IA.

## **Step 2: “Detailed” external impact assessment**



**Figure 2: Components of the detailed impact assessment process (Step 2)**

Consisting mostly of intensive semi-structured interviews, focus-group discussions and possibly multi-stakeholder workshops (Figure 2), this may be conducted every few (2 to 4) years on a sample of LISF sites (communities) in each country, or possibly at the regional level (in the case of workshops).

### **2.4 Resources for implementing the LISF IA**

Successful implementation of Steps 1 and 2 depends on proper access to sufficient resources, and specifically to qualified resource persons. They include:

1. **Human resources:** Resource persons may some times be found within the FAIR program but will usually be hired specially for the task. Well-tutored and “mature” MSc students (national or foreign) may also be assigned to this task.(Table 1)
2. **Financial resources**<sup>2</sup> may be needed for paying the external resource persons, paying student stipends, travel and subsistence costs, translation etc

LISF CPs may adjust the actual amount of resources needed by making a judicious choice among the various IA instruments proposed (such as individual or group interviews, and workshops, see Appendices 1 and 2), and by adjusting the sample size (number of sites, number of interviews) to match the resources available.

<sup>2</sup> All CPs taking part in the FAIR sub-programme already have an M&E budget line. If not sufficient to cover all the costs to be incurred, resources should be looked for elsewhere within CP, or with other interested donors.

Table 1: Advantages and constraints of several choices for conducting in-country LISF Impact Assessment

Option	Advantages	Constraints
1. External experts	Skills in IA Truly external	High costs Usually low prior knowledge of FAIR & the country context Rely heavily on quality translation Time is very limited
2. National experts	Skills in IA External to FAIR Know the country well Available upon request? Less expensive than external experts	No easy to find people with the required skills Usually low prior knowledge of FAIR
3. Insiders	Know FAIR and the country very well Know the IA framework Available? Cheapest of the 3 options	Skills in IA not necessarily very high Too involved in FAIR implementation to be actually able to assess it properly Over-booked agendas
4. "Mature" MSc students	Can be mobilized over extended time periods Able to carry out many interviews and to prepare quality outputs Fresh, in-depth look at IA / LISF issues	Relative lack of experience Need proper preparation, tutoring and supervision in the field

## 2.5 Stakeholders for LISF impact assessment

Ideally, the IA should consider the viewpoints of **all or most stakeholders actually involved in LISF activities**, or **potentially** involved in it (because they are engaged in approaches and activities to strengthen farmers'/pastoralists' voices in local development, and might be interested in LISF), as presented in Table 2.



**Table 2: Stakeholders to be considered in each step of LISF impact assessment**

<b>Step</b>	<b>Farmers/Pastoralists</b>	<b>Local authorities</b>	<b>Support institutions</b>
1. Light IA	<ul style="list-style-type: none"> <li>• Grantees</li> <li>• Other members of farmer/pastoralist organisations</li> </ul>	<ul style="list-style-type: none"> <li>• Leaders of local Village / Farmer Associations (only in selected cases, if they are known to be aware of LISF)</li> </ul>	<ul style="list-style-type: none"> <li>• Field officer(s) of SIs* for the village</li> </ul>
2. Detailed IA	<ul style="list-style-type: none"> <li>• Selected grantees and their families</li> <li>• Other members (non-grantees) of farmer/pastoralist organisations</li> <li>• Members of Fund Management Committee (if not already part of the previous groups)</li> <li>• Leaders of farmer/pastoralist organisation (if not part of the previous groups)</li> </ul>	<ul style="list-style-type: none"> <li>• PKA leaders</li> <li>• District-level authority (<i>Wereda</i> Administration) (only in selected cases, if they are known to be aware of LISF)</li> </ul>	<ul style="list-style-type: none"> <li>• Field officer(s) of SIs for the village</li> <li>• Person(s) in charge of PID work in SIs (if different)</li> <li>• Selected staff of other SIs active in the LISF site (only if there appears to be a strong enough rationale for interview)</li> </ul>

\*SIs = support institutions, GOs and NGOs, possibly including government extension agencies, universities, research institutes, etc. (actual list to be adapted to each LISF site)

### **3 Light internal impact assessment – Step 1**

Step 1 consists of conducting a “simple” or “light” questionnaire-cum-discussion type of interview, primarily with LISF grantees and other members of farmer/pastoralist organisations through which the LISF is being implemented.

The interview guideline in **Appendix 1** is designed to supplement existing M&E activities, especially when the LISF M&E system is still weak or emerging. Its aim is to capture basic facts and evidence about the LISF experiments which have been and are being conducted in the villages, and their most obvious (immediate) effects. It includes: a) identification data; b) list of LISF proposals currently or previously implemented; c) details on selected experiments (one table per experiment).

The questionnaire consists of a series of fairly close, narrow questions. But because it also aims to gain some first impressions for assessing LISF impact, it includes a few open-ended questions. All in all, it strives to provide a “best-bet” formulation for each question (i.e. a formulation that may be easily understood by most people being targeted for extended LISF M&E). These formulations may, however, need to be tested and adapted to the situation in each FAIR country.

Note that some of the basic data dealt with at this step should already be available to the organisations implementing FAIR through the Microsoft Assess-based “register” and possibly also through technical reports from LISF field officers.

## 4 Detailed external impact assessment – Step 2

### 4.1 Conducting semi-structured interviews – Step 2: Part 1

Considering the need to elicit the perceptions of diverse stakeholders about LISFs, specific detailed interview guidelines adapted to different types of stakeholders have been developed as part of Step 2 (Appendix 2). Five sets of guidelines have been developed so far, with the following target stakeholders in mind:

1. Farmers/pastoralists: case of LISF grantees
2. Farmers/pastoralists: case of non-grantees (not involved in LISFs at all)
3. Local authorities
4. Representatives of support institutions involved in FAIR/LISF
5. Representatives of support institutions not involved in FAIR/LISF.
6. Representatives of Fund Management Committees or their equivalent , when and where such structures exist

Each of the guidelines consists of specific sections and questions to tackle the key issues identified above (see Section 2) as part of a single interview for any given category of stakeholders.

Each set consists of several sections: contextual information, awareness and understanding of farmer-led research, judging the interest of LISF etc. Each section, in turn, contains a series of topics and proposes simple formulations for a number of specific questions related to each issue/topic. Depending on the target stakeholder, a given section may include a variable number of topics and questions. Finally, the guidelines also include a number of useful interview tips and specific advice. Details about how to conduct interviews are provided in Appendix 3.

### 4.2 Holding multi-stakeholder LISF assessment workshops- Step 2: Part 2

Such workshops may be organised with a cross-section of LISF stakeholders (currently involved or potential), either in one or in several adjacent villages having had an active LISF project or at the level of an entire region or province. These workshops could be conducted:

- 1 **after** having conducted in-depth interviews with specific types of stakeholders (see Section 4), to discuss and validate collectively the corresponding outputs;
- 2 **or potentially instead** of conducting such interviews (because, for example, there were not enough resources available in-country to conduct them).

In both cases, they need to be organised as part of step 2, after the light internal assessment (Step 1) has been conducted and the corresponding information has been properly processed. Details about the structure of such workshops are provided in Appendix 4.

## 5 Analyzing and systematizing the results

While most of this document is geared towards understanding and applying the guidelines, it is essential before undertaking an IA study to clarify the following aspects:

1. Who are the intended users of the IA results, what kind of information will such users be looking for or interested in, and in what form?

An LISF IA study responds to the needs and agenda set forward by current or future FAIR donors. But it should also respond to the specific agenda of each PROLINNOVA country programme (such as the need for providing evidence to foster institutionalization of FAIR within the national ARD system). Specific PROLINNOVA members (such as institutions leading FAIR work at a given site) might also have their own agenda. Finally, the farmers themselves might well have in some case their own agenda for an IA study.

There are clear overlaps among these various agenda, as all stakeholders share a vision of contributing to improved livelihoods and sustainable agriculture and rural development, empowering local users and reducing poverty, among others. The LISF IA is to be considered as a multi-purpose study bringing to the fore elements of response for the concerns and priority issues of all and each of the main stakeholders. Based on each one's specific needs, organizing the information coming out of the IA specifically for each user is fairly straightforward: it can be done by extracting the corresponding information from the overall IA results. The corresponding products may be included in reports, brochures, posters, oral presentations, and need to be fitted for each audience.

## 2. Who will analyze and synthesize the results of the IA?

The resource person hired for conducting the IA (see section 2.4) should obviously be responsible for delivering an exhaustive report, including preparing an appendix providing full primary information in an organized way. But the FAIR country partners have a crucial role to play in the interpretation and synthesis of the IA information: usually, this will take place during a debriefing workshop during which the resource person will present his or her findings, and receive feedback from PROLINNOVA members.

## 6 Adapting the guidelines to each country involved in piloting LISFs

### 6.1 Overall issues

These generic guidelines form the framework for assessing LISF work in the different countries. However, careful **adaptation** of these guidelines to the specific situation of each country is a **pre-requisite** before applying them. The guidelines need to reflect, as precisely as possible, the overall context under which LISF/PID work is being conducted in the country, and the specific set-up of the LISF and experience gained with it.

The specific issues which may require adaptation are the following:

- Which stakeholders should be included in the assessment?
- What is the prevailing general understanding of key concepts (innovation, experimentation, LISF, PID, farmer-led ARD) among stakeholders, and how best to express such concepts in national/local languages?
- Are the assumptions about guidelines for specific types of stakeholders valid for your country? If not, what alternative assumptions could and should be made?
- What are the "best-bet" formulations for probing questions?
- Should specific questions be removed from, or added to, the questionnaire or the guidelines, in order to better reflect national/local context, experience and burning issues?
  - For example, are microcredit facilities or other development support funds available to farmers/pastoralists in your sites, besides LISF? (If not, remove all references to microcredit or other sources of local funding in the guidelines!)
- What categories of effects and livelihoods are particularly relevant in the national/local context, and how can links be made between these effects and livelihoods?
- What specific indicators, known to be relevant to discuss livelihoods and impact, could be used in the questionnaire or in the interviews to quantify/qualify responses?

### 6.2 Translation of the guidelines

Quality translation of the adapted guidelines into national or local languages is essential and could be a major challenge, especially if resources (time, money) are scarce. Translation is usually needed in two ways: written translation of the interview guidelines,

and translation during the interview. Two aspects need to be considered for adequate translation: how to convey the meaning of the concepts (such as experimentation, LISF) and how to formulate the questions for people with different levels of formal education (or none) and access to information (see also Appendix 2).

Translating exhaustively the interview guidelines is difficult and not necessarily recommended, because of their length, their intrinsically evolutive nature in the course of the LISF IA study, and the basic fact that they are guidelines, not questionnaires containing rigid, unique formulations which should be applied systematically.

The profile of the ideal translator for conducting interviews may vary from country to country. Experience shows that properly screened and prepared young people (high school or bachelor graduates), with good English and some concrete knowledge of agriculture are usually a good, affordable solution.

### **6.3 A suggested sequence for successful adaptation of the IA guidelines**

The following 6-point sequence is suggested for adapting these generic IA guidelines to your country:

1. Review and discuss the generic guidelines among those most likely to be involved in doing the assessment or in using its results in the country.
2. Define your strategy about how Steps 1 and 2 will be conducted (who will do what, when, where), including identifying the resources (human, financial) for conducting the IA.
3. Make all necessary adaptations to the guidelines as well as preliminary translations, taking into account your country's context and specific set-up and experience with LISF/PID. While doing so, consult with the FAIR/LISF impact assessment advisory group (e.g. the CP National Steering Committee) as and when required.
4. Field test the adapted guidelines at least once and revise as necessary.
5. Draw up final, country-specific guidelines.
6. Translate the final document into national/regional languages (ensuring the translations are of good quality).

If a decision is made to hire an external resource person for implementing Step 2 of the IA, make sure that this person is duly involved in the process of adapting the guidelines.

## **7 After impact assessment**

Impact assessment is partly an end in itself: it supports claims that are potentially to be made to policymakers and donors. But, more importantly, it is at the same time a means towards self-reflection, learning and improvement of our programmes.

Results and main conclusions drawn from the IA can and should be taken into account when, for example, re-visiting a workplan and defining future strategies for FAIR and the LISFs being supported at country and international levels. In addition, at both national and international level, PROLINNOVA partners in piloting LISFs have committed themselves to write synthesis papers on their experiences and lessons learned. IA provides important data to be presented and discussed in these papers.

We hope to be able to share and discuss initial IA data already during our next International Partners Workshop, to be held in the Netherlands in late March 2010.

**Comments on the text and related material are very welcome and will help us improve the guidelines. Please send your comments to [bernard.triomphe@cirad.fr](mailto:bernard.triomphe@cirad.fr) and [m.wongts@etcnl.nl](mailto:m.wongts@etcnl.nl).**

## Appendices

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## 1.1. Appendix 1: Guidelines for light internal assessment of LISF (step 1)

### Key assumptions made when designing these guidelines:

- One or several LISF cycles have been completed at this site and documented (completely or partially) through the Register and regular M&E
- Structured info about such LISF work has been made readily available before-hand to interviewer
- LISF Grantees are members of a local group/organisation
- Interview is conducted either with individual LISF grantees, or with a (small) group of grantees

### 1.1.1. Identification

Name of person filling the questionnaire: \_\_\_\_\_ Date: \_\_\_\_ / \_\_\_\_ / \_\_\_\_

Region: \_\_\_\_\_ District: \_\_\_\_\_ Village: \_\_\_\_\_

Name of farmer/pastoralist organisation: \_\_\_\_\_

Support institution: \_\_\_\_\_ SI field officer: \_\_\_\_\_

### Who is present for the interview?

Total number of adult participants: \_\_\_\_\_, out of which how many grantees? \_\_\_\_\_

- Specify further: ♂: \_\_\_\_ ♀: \_\_\_\_ Youth (< 30 yrs): \_\_\_\_ Older people (> 50 yrs): \_\_\_\_
- How many participants are also leaders of their local farmer/pastoralist organisation? \_\_\_\_
- How many participants are also members of the FMC? \_\_\_\_
- Note: It is desirable to avoid having representatives of non-grantees, local authorities or support institution during the interview. In case this cannot be avoided, indicate who was present:
  - Representatives of non-grantees? No \_\_\_\_ Yes (how many) \_\_\_\_
  - Representatives of local authorities? Yes \_\_\_\_ No \_\_\_\_
  - Representative from the support institution present? Yes: \_\_\_\_ No: \_\_\_\_
  - Any other types of non-targeted participants (specify)? \_\_\_\_\_

### 1.1.2. 1. LISF proposals implemented in the village

Note: to be filled **before** the interview with staff of the support institution based on the Register or on existing proposals and M&E reports. Interview used only to update / validate it.

Month & Year LISF was initiated in this village: \_\_\_\_\_ / 200\_\_

Total Number of LISF cycles undertaken so far (including present one): \_\_\_\_\_

Total number of proposals submitted so far (Number of proposals accepted): Cycle 1: \_\_\_\_ (\_\_\_\_)  
Cycle 2: \_\_\_\_ (\_\_\_\_): Cycle 3: \_\_\_\_ (\_\_\_\_)

a. List of accepted LISF proposals (all cycles):

	Application Cycle / No.	Name of grantees (*)	Title / Topic	Period of LISF activities (start / finish)	Other relevant info
1					
2					
3					
4					
5					
6					
7					

(\*) Grantee name can be that of an individual or of a small group within the farmer / pastoralist organisation.

b. List of other activities funded through the LISF program: (if none, indicate it clearly across the table)

8					
9					

### 1.1.3. 2. Story line for selected LISF proposals undertaken in the village

From above lists a and b, select **3 proposals**. Selection criteria: the idea is to select contrasting cases (type of innovation, individual vs group proposal, gender and age group of grantees, length of innovation process, success obtained, experiment vs. other type of activities, who interacted with grantee(s) during process, etc.)

For each one of the 3 selected proposals, please collect the following info from the grantee(s)

- Proposal cycle / number: \_\_\_\_\_  
Name of farmer(s) involved : \_\_\_\_\_  
Topic: \_\_\_\_\_

a. **Basic farming system context info** about individual grantee, or group of grantees:

<i>Farmer</i>	<i>Farm size (ha)</i>	<i>Main crops grown</i>	<i>Type / number of animals</i>	<i>Major sources of on-farm income</i>	<i>Off-farm income (yes / no)</i>	<i>Role in local CBO (none, member, leadership)</i>	<i>Access to credit for agriculture (yes/no)</i>	<i>Innovator on his/her own (w/o LISF support)</i>

b. **Structured story about this experiment**

- Make the grantee(s) retell the major elements of their LISF experience, by identifying the following components and by trying to understand **reasons** why things have happened the way they did
  - Objective and rationale for the experiment / activity
  - Main activities (or steps) implemented once the grant got approved, and reasons for any significant deviation from original proposal
  - Key results obtained (both positive and negative), and their implications in terms of livelihood for the grantee and his / her family
  - Difficulties and challenges grantee may have faced in implementing his / her project?
  - If, how and with whom the experience and results of the experiment have been shared with others

- vi. If, and to what extent the results have been used by the grantee(s), by others in the village or outside (trying to specify who the users are: men vs. women, richer vs. poorer, older vs. younger)
- vii. What are the future plans of the grantee with this line of experimentation, and what is the justification for any such plans
- *Tip: allow respondents to go through the story in the order that most suits them, without imposing topics rigidly. Also, coach respondents so that they do not get lost in trivial details; for group projects, make sure all group members contribute to and validate the story. Finally, keep watch on time so that collecting each story does not take forever.*

#### 1.1.4. 3. Overall perceptions and judgement about the LISF / FAIR program

*Tip: For the following questions, make sure the respondents understand that they are of a general nature, and hence do not relate only to their own specific experience as related in section 2.*

1. What local word or description best describe the activities you have been undertaking under the LISF / FAIR program?
  - *Tip: If respondents find this question difficult to answer, suggest local equivalent of words (concepts) such as experimentation, farmer research, innovation etc. Try to have respondent distinguish between what they did and other types of activities they may be familiar with, such as adaptation, demonstration, copying, or other ways of getting to know and use new things.*
2. How do you feel about the **results** obtained with the LISF experiments / activities so far?
3. How important are such results for improving a farmer's situation?
4. Do you believe a similar approach (than the one you have been using under the FAIR program) could be used for solving any types of problems a farmer faces?
5. What difference does it make to you to get support from the FAIR program? Could you not achieve the same results (i.e. without support)?
6. What is it you like about the (FAIR / LISF) program? What are its main advantages? Why?
7. What is it you don't like about the (FAIR / LISF) program? What are its drawbacks, if any, or problems associated with it? Why?
8. How different is the FAR / LISF program compared to other types of funding or support available in your village presently or in the past (such as grants or credit provided to your organisation, formal microcredit, or any other kind of direct support to your activities as farmers / pastoralists)?
  - *Tip: If this question creates difficulty, try to discuss a scenario under which a support institution is asking the group to select one only out of 3 potential forms of support it can offer: (a) support for one new cycle of FAIR program, (b) one cycle of hands-on training on topics selected by farmers, (c) a revolving fund (not a loan) given to the organisation to be used according to their own needs and rules.*
9. How could financial support for local innovation be improved / be made more useful to you? (focus is on funding, but it may be **expanded** beyond funding aspects if respondents themselves tend to tackle broader issues)
  - Potential categories: form used for submitting proposal, selection criteria, max. amount of funding, in-cash vs. in-kind payment, individual vs. group proposal, types of expenses eligible, etc.



10. Are there any other topics or issues that you wish to mention / discuss which relates to FAIR / LISF and local innovation, and which we haven't discussed until now?

draft!

## 1.2. Appendix 2: Guidelines for detailed impact assessment of LISF (step 2)

### 1.2.1. 1: Interview guidelines with LISF grantees

Key assumptions made when designing these guidelines:

- LISF grantees are members of a local group/organisation
- Interview is conducted with a (small) group of LISF grantees, and includes some of the leaders of the organisation (who are usually among the grantees), and members of the Fund management Committee.
- At least one or ideally several full LISF cycles have been completed at the time of the interview.
- Interviewer has prepared the interview before-hand by obtaining a copy of the results of the light IA, by getting a list of the LISF proposals submitted, and by getting any other relevant context info from the local S.I. officer in charge of LISF implementation

Name of person conducting the interview: \_\_\_\_\_ Date: \_\_\_\_ / \_\_\_\_ / \_\_\_\_

Region: \_\_\_\_\_ District: \_\_\_\_\_ Village: \_\_\_\_\_

Name of farmer/pastoralist organisation: \_\_\_\_\_

Support institution: \_\_\_\_\_ SI field officer: \_\_\_\_\_

General Tips for this interview:

- Use the words “LISF” / “FAIR” only if and when interviewees are familiar with them: otherwise, use / provide a short, meaningful local word or expression, after explaining what it refers to.
- Encourage participants to provide concrete examples whenever possible, and re-use these examples throughout the interview to ensure questions are more easily understood

#### 1.2.1.1 Basic context information

1. Specify who is taking part in the interview

(Tip: ask for show of hands. Also, take note if people come in and out during the interview!)

Total number of adult participants: \_\_\_\_\_, out of which: ♂: \_\_\_\_\_ ♀: \_\_\_\_\_ Youth (< 30 yrs): \_\_\_\_\_  
Older farmers/pastoralists (> 50 yrs): \_\_\_\_\_

- How many grantees? \_\_\_\_\_ Leaders of local organisation: \_\_\_\_\_ Members of F.M.C. \_\_\_\_\_
- Note: It is highly recommended to avoid the presence of non-grantees, leaders of local authorities or support institution during the interview. In case this cannot be avoided, indicate below who was present:
  - How many non-grantees? \_\_\_\_\_
  - Any representative(s) of local authorities? Yes \_\_\_\_\_ No \_\_\_\_\_
  - Any representative from support institution? Yes: \_\_\_\_\_ No: \_\_\_\_\_
  - Any other types of non-targeted participants (specify)? \_\_\_\_\_

2. Basic information about the farmer/pastoralist organisation participating in LISF implementation

- Topics to be covered: Name of your organisation? When was it created and by whom? How many members did it start with? How many current members does it have? Does it have a legal status? What are its objectives and main activities (beside LISF)? What are its plans for the near future (if different from simply continuing with current activities)?

#### 1.2.1.2 Awareness and understanding of farmer-led research (LISF & PID)

3. If you had to use just one or 2 words to define the types of activities you have been conducting with the LISF / FAIR program, which ones would be best suited (in your own language)?

- Tip: Ask respondents to focus on the process, not on the themes of their own experiments

4. What does each one of the following words mean for you: (1) “experimentation”, (2) “farmer research”, (3) innovation? How similar are they to each other, or how do they differ from each other?
  - *Tip: In case of confusion, interviewer will provide concise explanations about each of them in turn, using clear, easily understood local language equivalents, and then ask people to react to these definitions.*
  - *Tip: Try to have participants discuss and distinguish between the following: experimenting, adapting, copying, training, demonstrations, if such distinctions appear relevant in the local context.*
5. Extent of farmer research
  - *Tip: Reformulate using the words / meaning as clarified in questions 3 and 4*
  - a. Have any/some of you been involved in experimentation or farmer research **on your own** (i.e. without support from anybody)?
  - b. What are the key differences between farmer’s own research and the type of research undertaken with the FAIR program?
  - c. How common is it for people in your village to carry out their own research?
  - d. Why do people carry out such activities?
  - e. Can anybody carry out such activity, or does a person need specific skills for doing it (such as knowledge, literacy, numeracy etc), assets (such as access to land, capital, labour, etc.), or mental attitude? (let farmers comment as freely as possible)
6. Retelling the story of how members of your organisation could get access to financial support for their experimentation / activities through the FAIR / LISF program
  - *Tip: The purpose here is to capture what farmers have actually understood and perceived from the LISF process, and not to describe it in details.*
  - Strategic issues to be identified during the retelling (ask about them if it does not come out spontaneously):
    - a. Could any body apply?
    - b. Could farmers pick freely any topic / theme of their interest?
    - c. Could farmers ask for any type and amount of funding / support?
    - d. What criteria were used to approve the proposal, and who did the screening?
  - How many times have calls for proposals been issued in this area \_\_\_\_ (number of LISF cycles)
  - (If more than one funding cycle has been issued): Have any changes been made in the way proposals had to be formulated or submitted in subsequent cycles, and why?
7. Demand for LISF type of funding?
  - *Tips:*
    - refer to the listing of experiments established before the interview, and start from the number of proposals submitted and approved in this kebele
    - Differentiate the questions for each LISF cycle, if more than one was carried out.
  - Probing questions (distinguish each LISF cycle if applicable)::
    - a. Beside the X proposals that were submitted, are you aware of how many proposals were submitted? If some proposals were not approved: do you know why?
    - b. Were there other people in your organisation/village who would have liked to submit a proposal, but couldn’t do it? If yes: What prevented them from submitting?
    - c. Are you aware of people in your organisation/village who don’t think the FAIR program is very useful? If yes: do you know why?
    - d. Are there people for whom it is easier than for others to submit proposals? If yes: what are the characteristics of such farmers?
    - e. Do you think people in your group / village will want to submit new proposals to the FAIR program for the next calls? If yes: do you believe the number of proposals submitted is likely to change compared to previous calls (increase / decrease)? Please justify your answer.

### 1.2.1.3 Impact (effect) of LISF experiments and activities

- *Tip: Refer to list of proposals established before the interview*
8. Concrete results obtained with the (LISF) experiments / activities conducted so far, actual use of these results by grantees and by others
- Potential Effect categories to be used:
    1. Immediate effects: Yield and productivity, crop health, animal health or weight gains, soil fertility / conservation, water conservation, natural resource use and conservation, production costs, risks, labour use, income and profits, access to market, inputs, information and other services, etc.
    2. Livelihood effects: Food security, capacity to cope with drought and other unfavourable conditions, contribution to household income generation and diversification, family health etc.
  - Tips:
    - *Ask the question in turn to each grantee, using the list of LISF proposals*
    - *Results usually have a direct relation to the nature of the proposals implemented. Also, do not assume that the effect was necessarily positive*
    - *In the discussions, try to distinguish between positive vs. negative effects, expected vs. surprising (i.e. not expected) effects, immediate vs longer-term effects (if relevant).*
    - *Discuss critically with participants the actual links between immediate effects and livelihoods, taking into account that an LISF experiment may have been conducted only on a small scale, and may not necessarily have had immediate positive results.*
    - *If relevant, ask respondents to clarify how sharing / diffusion of results was done concretely and ask them to specify who the users are: men vs women, rich vs poor old vs. young, from same village or outside, etc*
9. Beside such concrete results, what have been the effects of these experiments / activities on your skills, attitude and behaviour as grantees?
- Categories to be used: individual capacities and skills, autonomy / independence, motivation, cohesion within the group / village, participation in collective action at the level of the group / village / district, relationships with Support Institution(s) and/or local authorities and/or other stakeholders, etc.
  - Tips:
    - *If respondents have difficulties understanding the question, provide concrete examples of the type of positive or negative effects we are interested in discussing, and coach the discussion to avoid losing focus*
    - *In the discussions, try to distinguish between positive or negative, expected or surprising, and immediate vs longer-term effects.*
10. Are there any other lessons you have learned from being involved in FAIR activities

### 1.2.1.4 Assessing the interest in LISF / PID

#### Tips:

- *For the following questions, make sure respondents understand that they are of a general nature, and hence do not relate only to their own specific experience.*
  - *Try formulating the questions as if respondents would have to explain to somebody from another village interested in their experience what FAIR is about*
11. What overall benefits do you believe participating in the LISF FAIR program has brought to your group / village (kebele) so far? Why?
- Tip: *Make sure respondents understand we are now focusing on the program as a whole, and not just on specific experiments dealt with in previous questions. Reuse any mention of benefits obtained in previous questions if it helps farmers understand the question better*

12. What advantage does it make to you to get support from the FAIR program? Could you not achieve the same results without any support?
13. Are there any problems / limitations / difficulties / challenges with the FAIR program and activities as implemented in your village so far? Which ones? Why? For each problem: how could it be solved / overcome in the future so that the FAIR program becomes more useful / relevant to people in your village?
- Tip
    - *If necessary provide examples of various kind of known potential problems with LISF (such as difficulty in filling form for submitting proposal, selection criteria, max. amount of funding, in-cash vs. in-kind payment, individual vs. group proposal, composition of F.M.C, etc.*
    - *Try to avoid (or try going beyond) farmers focusing on establishing a simple wish list of things for which they would want more support*
14. Does this type of program present any advantages or disadvantages compared to other types of funding available to people in your area (such as formal microcredit, community development funds etc)? Compared to non-monetary support provided by institutions working with your village (such as training, demonstrations etc.) (discuss around concrete examples!)?
- Tip: *If this question creates difficulty, present as clearly as possible a hypothetical scenario under which a support institution is proposing to support the group and asking them to select one only out of 3 potential forms of support it can offer: (a) one new cycle of FAIR program, (b) one cycle of hands-on training on topics selected by farmers, (c) the attribution of a revolving fund (not a loan) to the group and to be used according to their own needs and rules. Leave the group a few mn to discuss it, then ask if they have reached a decision and how they justify their choice(s).*
15. (only if respondents still seem to grasp the difference between FAIR and more generic approaches, and if they appear motivated to continue the interview at that stage) How could the overall approaches (not just FAIR, but PID in general) used by support institutions to encourage local innovation community-based development be improved in the future so that they better respond to your needs and demands?

#### 1.2.1.5 Institutionalising LISF / PID principles or practices

- Tip: *As these are potentially difficult issues to grasp and the interview is nearing its end, warn the respondent about the need to remain concentrated*
16. **a.** Do you feel you may have changed in the way you behave or interact within your group or with people from outside the group as a result of being involved in the FAIR program? **If yes:** What are these changes specifically? Could these changes be due to other causes than FAIR?
17. **a.** Similarly, have you noticed any changes in recent years among the staff in support institutions in the way they work and interact with your group? Any changes among local authorities?  
**If yes:** What are these changes?
- b.** Do you believe such changes may have anything to do with the LISF program? **If not:** what is the cause of these changes in your opinion?

#### 1.2.1.6 Open discussion

18. Do you have any questions you would like to ask us, or comments you want to make about what we have been discussing?

## 1.2.2. Interview guidelines with non-LISF grantees

### Key assumptions made when designing these guidelines:

- This interview is conducted **after** the interview with grantees, and hence basic information about the farmer/pastoralist organisation and LISF program conducted in the village is **already** available collected.
- Interview involves a (small) group of non-grantees who were not part of the interview with grantees, but are however members of the same local group/organisation

Name of person conducting the interview \_\_\_\_\_ Date: \_\_\_\_ / \_\_\_\_ / \_\_\_\_

Region: \_\_\_\_\_ District: \_\_\_\_\_ Village: \_\_\_\_\_

Name of farmer/pastoralist organisation: \_\_\_\_\_

Support institution: \_\_\_\_\_ SI field officer: \_\_\_\_\_

### General Tips for this interview:

- Use the words “LISF” / “FAIR” only if and when interviewees are familiar with them; otherwise, use / provide a short, meaningful local word or expression, after explaining what it refers to.
- Encourage participants to provide concrete examples whenever possible, and re-use these examples throughout the interview to ensure questions are more easily understood

#### 1.2.2.1 Basic context information

- Specify who is taking part in the interview

(Tip: ask for show of hands. Also, take note if people come in and out during the interview!)

Total number of adult participants: \_\_\_\_\_, out of which: ♂: \_\_\_\_\_ ♀: \_\_\_\_\_ Youth (< 30 yrs): \_\_\_\_\_  
Older farmers/pastoralists (> 50 yrs): \_\_\_\_\_

- How many non-grantees? \_\_\_\_\_ (ideally, all participants are non-grantees!)
- Are all / some participants members of the group involved in FAIR? Yes \_\_\_ No \_\_\_
- Note: It is highly recommended to avoid the presence of grantees, leaders of local organisation, local authorities or support institution during the interview. In case this cannot be avoided, indicate below who was present:
  - How many grantees? \_\_\_\_\_
  - How many representatives of local organisation or CBI? \_\_\_\_\_
  - How many representatives of local authorities? \_\_\_\_\_
  - Representative of support institution present? Yes: \_\_\_\_\_ No: \_\_\_\_\_
  - Any other types of non-targeted participants (specify)? \_\_\_\_\_

#### 1.2.2.2 Awareness and understanding of farmer-led research

1. Can you explain briefly what each one of the following words mean for you?  
(1) “experimentation”, (2) “farmer research”, (3) local innovation, (4) FAIR / LISF?  
How similar are they to each other, or how do they differ from each other?

- Tip: If confusion or ignorance, interviewer will provide concise explanations about the LISF concept in local language equivalent, and then try to see how respondents react.
- Tip: Try to have participants discuss and distinguish between the following: experimenting, adapting, copying, training, demonstrations, if such distinctions appear relevant in the local context.

2. Extent of farmer research

- Tip: Formulate and clarify using the words / meaning as provided by farmers for question 1
- a. Have any/some of you been involved in experimentation or farmer research **on your own** (i.e. without support from anybody)?
- b. How common is such experimentation / research in your village?
- c. Why do people carry out such activities?

- d. Can anybody carry out such activity, or does a person need specific skills for doing it (such as knowledge, literacy, numeracy etc), specific assets (such as access to land, capital, labour, etc.), or specific mental attitude / disposition?
3. Awareness of (LISF/FAIR) experiments / activities
  - Probing questions: Have you heard about the FAIR experiments and other activities that have been implemented by fellow members of your organisation (or by fellow villagers)? Can you name specific examples of such activities developed in your village? Have you seen directly / participated in some of these activities?
    - *Tip: If respondents are not sure whether what they know has been done under the umbrella of the LISF program, try to clarify where they believe support came from. Also, you may refer to the list of LISF proposals to see if any of them rings a bell.*
4. Were you aware that farmers in your village had been invited to apply for support to carry out such activities? As far as you know, was this support open and available to anybody?
5. Did you ever try to develop and submit your own (LISF) proposals when the call for proposals was announced? If not, why not? Did some of you submit a proposal that was not approved? If yes: Do you know the reasons for rejection? How do you feel about it?
6. Would you be interested in submitting a proposal for an experiment or another LISF-funded activity in the future? If not interested: why not? What would motivate you to submit one?
7. (If applicable/relevant): Have you ever tried to become a member of the group involved in LISF? Would you be interested to become one in the future?

#### 1.2.2.3 Benefits and drawbacks of LISF activities

*Tip: For the following questions, make sure respondents understand the questions are of a general nature, and hence do not necessarily relate to the specific LISF activities conducted in the village so far.*

8. Did any of you get direct benefits from the experiments / activities conducted by fellow group members or other villagers who received financial support from FAIR?
  - *Tip: Try to differentiate between benefits received by individual people, and benefits received by the organisation or the village as a whole.*
9. How important do you believe such results are for improving a farmer's situation?
10. Are there any other advantages (non material, and besides the ones mentioned in question 8) that farmers or the village as a whole receives when conducting such activities?
11. Do you believe a similar approach (than the one you have been using under the FAIR program) could be used for solving any type of problems farmers face, or can it only be used for certain types of problems, but not for others?
12. Do you see any drawbacks / problems related to having fellow farmers carry out such experiments / activities in your village? For each problem identified, do you have any suggestions for solving it / overcoming it, so that the program may become more beneficial and accessible to people such as yourselves?
  - *Tip*
    - *If necessary provide examples of known problems already mentioned in other sites or by the grantees themselves, if they appear relevant*
    - *Try to differentiate between problems experienced by individuals and problems for the organisation or the village as a whole.*
    - *Try to avoid as much as possible (or try going beyond) farmers focusing on establishing a simple wish list of things for which they would want more support*

#### 1.2.2.4 Open discussion

13. Do you have any questions you would like to ask us or comments you want to make about what we have been discussing?

### 1.2.3. Interview guidelines with local authorities and official agricultural officers

**Beware:** These guidelines may need to be subdivided further into (1) guidelines for Peasant *Kebele* Association leaders, and (2) guidelines for district levels professionals, if such a distinction is judged meaningful in the Ethiopian context. **To be discussed at final debriefing.**

#### Key assumptions made when designing these guidelines:

- Representative of local authority is knowledgeable about the village / district and about the activities of existing farmer/pastoralist organisations, or other agricultural projects working in the village, but not necessarily about the LISF / FAIR program itself.
- Representative was not among those interviewed in the categories “LISF grantees” or “non-grantees”.
- Interview is being conducted **after** interviews with LISF grantees and non-grantees.

Name of person conducting the interview : \_\_\_\_\_ Date: \_\_\_\_ / \_\_\_\_ / \_\_\_\_

Region: \_\_\_\_\_ District: \_\_\_\_\_ Village: \_\_\_\_\_

Support institution: \_\_\_\_\_ SI field officer: \_\_\_\_\_

#### 1.2.3.1 Basic context information

1. Name of specific local authority / institution being visited: \_\_\_\_\_
2. Respondent' name and position in the institution: 1. \_\_\_\_\_  
2: \_\_\_\_\_
3. How long have you held your current position at this institution? \_\_\_\_ years
4. Are you also a member of a local farmer/pastoralist organisation? No \_ Yes \_\_\_\_  
(which one? \_\_\_\_\_)
5. Basic village / district information (if easily available):
  - Number of villages, Number of households, total area cropped (estimate), main crops and types of animals raised, types and approx. number of farmer / pastoralist organisations, existence of active or past support projects / institutions working in agriculture
    - *Tip: Ask respondent to specify names of projects, types of activities supported, and general approach / strategy, if known).*<sup>3</sup>
6. What type of support / activities do you (or your institution, if relevant) provide / implement in this village / area related to agriculture in general?

#### 1.2.3.2 Awareness and understanding of farmer-led research (LISF & PID)

7. Do the following words: (a) Farmer-led research, (b) local innovation, (c) experiments, (d) LISF / FAIR, mean anything to you? No \_\_\_\_ Yes \_\_\_\_  
If yes: what does each of them mean in your own words?
  - *Tip: If confusion or some ignorance, interviewer will provide concise explanations about the LISF concept in local language equivalent, and then try the question again.*
8. Are you aware that such types of activities have been conducted by farmers in your village / district with support provided directly to them by \_\_\_\_\_ [name of SI involved in LISF]?  
No \_\_\_\_ Yes \_\_\_\_ Not sure \_\_\_\_
  - If yes / not sure: Could you name specific experiments / activities developed in your village / district for which you believe farmers received support, or activities related to local innovation in general? Have you had an opportunity to see for yourself or participate in any of them?

<sup>3</sup> Interviewer may make reference to a list of such programs / support institutions prepared before-hand.



- What is in your opinion the purpose / objective of such activities?

### 1.2.3.3 Benefits and drawbacks of LISF / FAIR activities

Note: The following questions are to be discussed only if interviewee appears fairly knowledgeable about LISF / local innovation(s) or at least appears to grasp the underlying concepts.

9. What are in your opinion the concrete benefits which have come so far or may come in the future from funding and supporting farmer-led research and local innovation?
  - Tip: Try to distinguish between benefits to individual farmers/pastoralists vs. to the village / district as a whole.
10. Do you perceive there might be any drawbacks / problems from funding / conducting such type of work?
  - Tip: Try to distinguish between problems faced by individual farmers/pastoralists, and those faced by the village / district as a whole.
11. Does such type of work as FAIR have any advantages / disadvantages compared to other types of support (financial or otherwise) available for agriculture in the village / district?
  - Tip: mention here names and activities of other on-going or past projects identified in Q. 5

### 1.2.3.4 Institutionalisation

12. Have you noticed any differences (positive or negative) in the way farmers involved in FAIR behave and work, or in the way they interact with you or other government / development agents, compared to other (non-FAIR) farmers you know?  
If yes: Why do you think such changes may have taken place? (If not spontaneously mentioned: May they have anything to do with the LISF work they are involved in?)
  - Tip: This question refers specifically to the perception of FAIR farmers. Ask the interviewee to provide concrete examples as much as possible
  - If changes noted:
13. Similarly, have you noticed any differences in the way staff from support organisations involved in LISF (or possibly: PID) work and interact with you and your colleagues, compared to staff from S.I not involved in LISF?  
If yes: Why do you think such changes may have taken place? (If not mentioned: May they have anything to do with the LISF work they are involved in?)
14. And what about yourself? Has your perception about how agriculture can be improved in the village / district and what role farmers/pastoralists may play in agricultural development changed in recent years?  
If yes: What made you change? (If not mentioned: May it have anything to do with your knowledge of LISF work / LISF farmers?)
15. Do you see any possibilities for your institution (*provide name!*) to contribute to funding LISF-type programs in the future through the resources it handles? How easy would it be to make such thing happen? Would some people from your institution oppose such a move? Please explain.

### 1.2.3.5 Open discussion

- Do you have any questions you would like to ask us or comments you want to make about what we have been discussing?

### 1.2.4. : Interviews with support institutions directly involved in FAIR / PROLINNOVA

#### Key assumptions made when designing these guidelines:

- *S.I is aware of LISF work, as it is a member of FAIR in the country, but may not necessarily be the one presently in charge of LISF in this site.*
- *The interview is conducted with a relevant person within the institution: SI LISF field officer and/or a person with a higher position and wider view.*
- *Interview takes place preferentially **after** the interview with farmers/pastoralists and local authorities, so that the previously collected information can be used to illustrate the questions.*

Name of person conducting the interview: \_\_\_\_\_ Date: \_\_\_\_ / \_\_\_\_ / \_\_\_\_

Region: \_\_\_\_\_ District: \_\_\_\_\_ Village: \_\_\_\_\_

LISF Support institution: \_\_\_\_\_

#### 1.2.4.1 Basic context information about the interviewee(s)

1. Name of specific support institution being visited: \_\_\_\_\_
2. Respondent's name and position in the institution: 1. \_\_\_\_\_  
2: \_\_\_\_\_
3. How long have you held your current position? \_\_\_\_ years
4. What proportion of your time do you dedicate to the FAIR / PROLINNOVA program? \_\_\_\_ %
5. Which activities does your institution implement in this village / site related to agriculture in general? How long has it been involved in such activities

#### 1.2.4.2 Awareness and understanding of farmer-led research

6. What are the core principles (or approaches or strategies) that you and your institution apply in your activities with communities and farmers/pastoralists?
7. Are you aware of the activities related to supporting local experimentation/innovation and farmer-led development that have taken place in this village / district?
  - Probing questions: How would you explain – in your own words – what LISF/ FAIR is? Is any other type of farmer-led research / activity being conducted in this village / district, besides that supported through the LISF? If so, please provide details.
  - *If confusion or some ignorance, interviewer will provide concise explanations about LISF before proceeding with the interview.*
8. What specific support have you given to the local organisations and its members as part of the FAIR program (e.g. in developing proposals, providing advice during experimentation, etc.)?
9. Have you been involved in M&E of FAIR activities? Please provide details about the M&E actually undertaken at this site

#### 1.2.4.3 Benefits and drawbacks of LISF-type work

10. What are in your own option the benefits (concrete or others) farmers/pastoralists involved in the LISF/FAIR program derive from it?
11. Do you see any actual or potential drawbacks / problems / limitations / challenges related to these experiments / activities, or related to the LISF program in general? Which ones and why?
12. Does an LISF program have any advantages / disadvantages compared to other types of support that your institution provides to communities?
13. Has the introduction of the LISF influenced in any way your other work and activities with farmers/pastoralists and communities? If so, how?

#### **1.2.4.4 Institutionalisation of farmer-led ARD principles and practices**

14. Have you noticed any “attitude” or behavioural changes (positive or negative) in the past 2–3 years among the LISF farmers/ pastoralists you work with– in how they think about themselves, in how they interact with other farmers/pastoralists, in the way they work?
  - If yes, what are these changes? Why do you think such changes have taken place? (Do they have anything to do with the work on LISF/PID conducted in your village?)
15. What about changes in attitude towards agriculture you may have observed among the local authorities and government professionals at the village or district level?
16. Has your own perception changed in any way in the past 2–3 years about how agriculture can be improved in the villages you work in, and how farmers/pastoralists can work and organise themselves for improving their situation? Why?
17. Has your institution changed the way it supports agriculture and farmer-led work over the past few years? Which changes have been introduced? Why? Are any of these changes linked to the LISF?
18. (if relevant) Do you know if your institution has any intention to modify its commitment to and involvement with FAIR work in the near future (number of sites, funding levels, etc.)? If yes: please specify. Why?

#### **1.2.4.5 Open discussion**

- Do you have any questions you would like to ask us or comments you want to make about what we have been discussing?

## 1.2.5. Interviews with potential support institutions

### Key assumptions made when designing these guidelines:

- Institution has not yet involved in FAIR
- Interview only to be arranged and conducted if and when rationale for it is clear (such as potential for this S.I. to become a PID / LISF partner, or to contribute to funding PID / LISF work etc).
- Such specific rationale will guide the actual issues and questions to be asked: hence, these guidelines are given only very tentatively.

#### 1.2.5.1 Basic context information about the interviewee(s)

1. Name of specific support institution being visited: \_\_\_\_\_
2. Respondent' name and position in the institution: 1. \_\_\_\_\_  
2: \_\_\_\_\_
3. What are the activities you and your institution implement related to agriculture in general in this region (village)?
4. What types of approaches do you use in your work with farmers/pastoralists in general?

#### 1.2.5.2 Awareness and understanding of farmer-led research

5. Have you heard about farmer-led research and/or local innovation? Have you heard about PROLINNOVA and LISF-supported activities in the region?
  - If confusion or ignorance, interviewer will provide concise explanations about PROLINNOVA and LISF before proceeding with the interview.
6. Does your institution conduct activities based on farmer-led or similar principles / approaches?  
If yes: please give details. If not, what approaches do you use?

#### 1.2.5.3 Benefits and drawbacks of farmer-led ARD work

*This part of the interview to be conducted only after the concept of farmer-led research has been clarified.*

7. Do you perceive any actual or potential benefits from farmer-led research? Which ones and why?
8. Do you perceive any actual or potential drawbacks / problems / limitations / challenges from them? Which ones and why?
9. Do you see any advantage/disadvantages of LISF-type approaches compared to other types of support that can be offered to farmers/ pastoralists?

#### 1.2.5.4 Potential Interest in LISF

10. Would the introduction of an LISF-type program be useful for conducting and strengthening your own work with rural communities? Why? (or why not?) If you are not in a position to set it up yourself, would you be willing to participate if such program was conducted by other institutions?
11. Do you foresee any chances of introducing and using LISF-type approaches in the near future in your own work / institution? Why? (or why not?)  
If yes, could your institution provide funding to set up/support an LISF in the (near) future? Give details.

## 1.2.6. Interview guidelines with the Fund Management Committee

### Key assumptions made when designing these guidelines:

- Members of the FMC are mostly farmers, and some of them are also FAIR grantees.
- Interview is being conducted **after** interviews with LISF grantees and non-grantees.

Name of person conducting the interview : \_\_\_\_\_ Date: \_\_\_\_ / \_\_\_\_ / \_\_\_\_

Region: \_\_\_\_\_ District: \_\_\_\_\_

#### 1.2.6.1 Basic context information

1. Specify who is taking part in the interview

Total number of adult participants: \_\_\_\_\_, out of which:

- How many grantees? \_\_\_\_\_ Leaders of local organisations: \_\_\_\_\_  
Representatives of support institution? \_\_\_\_\_ Representative of Wareda Ag. Office \_\_\_\_\_

2. When was the FMC established and by whom? \_\_\_\_\_ (year / month)
3. Who are the members, where do they come from (which kebeles) and how are they selected?
4. What are the main functions of the FMC? What type of concrete activities does the FMC perform?
5. Whom does the FMC have strong interactions with, beside the farmers submitting proposals?

#### 1.2.6.2 Screening and monitoring of proposals

6. What are the main criteria for approving proposals submitted to the FMC?
7. How does the FMC know that the proposals are relevant and stand a good chance of being successful?
8. How easy / difficult is it for the FMC to take decisions about who gets approved or not?
9. Have the criteria and rules for screening changed since the first call for proposals was issued?
10. Has the quality of proposals submitted changed from the first call until now? If yes: in what ways? Why do you think this is so?
11. Have the topics / themes of proposals evolved from the first call until now? If yes: in what ways? Why do you think this is so?
12. Have the types of support and amounts requested changed? If yes: in what ways? Why?
13. Is the number of proposals being submitted likely to change in the future? If yes: in what direction? Why do you think this might be so?
14. Is the FMC involved at all in monitoring the implementation of the proposals? In documentation? In sharing of results? If yes: how? What does the FMC do with the corresponding information?

#### 1.2.6.3 Effects of farmer research

15. What are in your opinion the benefits which have come so far or may come in the future from funding and supporting farmer research and experimentation?
16. Who do you think benefit (most) from the results obtained (individual grantee, farmers from grantee's kebeles, other kebeles etc.)? Why?
17. Do you perceive there might be any drawbacks / problems from funding and conducting such type of work?

#### **1.2.6.4 Successes, Challenges and Sustainability**

18. What do you think have been the key successes that the FMC has achieved so far?
19. What do you think have been the key problems / weaknesses / challenges the FMC has faced so far?
20. What could the FMC change in the way it operates to be more effective / successful in the future?
21. Do you think the status, role and activities of the FMC may evolve over the next 2-3 years? If yes: how and why?
22. Can and should the FMC remain an independent committee? Would there be any advantage of affiliating the FMC with an existing legal institution (such as Wareda Ag. office, or a CBI)?
23. Where could the FMC obtain new / alternative sources of funding in case the PROLININOVA program stops operating, or if the FMC wanted to increase its present level of funding?

#### **1.2.6.5 Open discussion**

- Do you have any questions you would like to ask us or comments you want to make about what we have been discussing?

### **Appendix 3: Points to consider in conducting interviews**

#### **Key interviewing skills**

Few people have the necessary experience, knowledge and access to information for conducting a good semi-structured interview. Identifying a good resource person and providing her or him with adequate background material is crucial to collecting good-quality evidence.

Key skills and conditions required for conducting good-quality interviews include:

- Previous experience with semi-structured interviewing and general interviewing skills such as empathy towards the respondent, an ability to be an attentive listener and to detect incoherencies;
- A good knowledge and first-hand experience of PID and other types of farmer-led ARD, allowing to distance oneself from the guidelines, if necessary, or to reformulate questions and come up with any relevant follow-up questions, depending on the interviewee and the issues which crop up during the interview;
- Ready access to individual and synthesised results of Step 1 of the assessment, in particular those corresponding to the specific sites selected for conducting in-depth interviews;
- Ready access to good translation (if and when the interviewer does not speak the preferred or native language of people being interviewed);
- An excellent understanding of the proposed LISF framework and guidelines (this implies sufficient interaction with, and support from, the LISF country team).

#### **How many interviews, where and when?**

- *How many?*

There are no fixed numbers of interviews. The number will depend on the number of sites in which the LISF is being implemented, on the number of grantees, on the level of participation of local authorities and others in the LISF process, on the number of key informants, composition of partnerships etc. To capture the diversity of experiences and perceptions with the quality required, at least a dozen or so in-depth interviews should be conducted in a given region with various types of stakeholders. Less than this could mean eliciting a biased view of a handful of influential participants, and more than this number could stretch available resources too much, or may compromise quality of the interviews.

- *Where?*

For farmers/pastoralists: the ideal location to hold the interview is in their houses, or at the office of the farmer/ pastoralist organisation.

For other stakeholders: in their respective offices is usually best.

Avoid asking a group of stakeholders (e.g. farmers) to meet in the office of district or local authorities, as they might be intimidated or otherwise have reservations in being open or “telling the truth”.

- *Sequence and timeline for conducting the impact assessment*

This depends on who does the external assessment: if it is a person hired from outside, then there is need for planning an intensive interview process, with several appointments made on any given day. If the interviews are conducted by an MSc student, then there is more flexibility, and appointments may follow a simple geographical structure (usually quite efficient in terms of resources and time). In any given site, the “best” sequence for conducting interviews with the different stakeholders may need to be adapted, depending on the situation and interview context. But it is advisable to conduct interviews with grantees and non-grantees consecutively.

Make sure that the baseline information and the information from the light internal assessment (Step 1) has been collected and analysed before proceeding with the external assessment. Similarly, make sure the individual interviews take place before the multi-stakeholder workshop.

#### **Preparing for the interview**

The richness of an interview not only reflects the quality of the questions asked, and the quality/ originality of the responses given. It is also, in no small part, a matter of arriving well-prepared for the interview, by knowing and studying beforehand any relevant background information about the site and the PROLINNOVA/LISF work being conducted there. In particular, the interviewer should obtain the following basic information and facts, if they are available:

- Basic characteristics of the village, of the agriculture being practised, of the farmer/pastoralist organisation(s) in the village
- General knowledge about work conducted in the village by support institutions, including, but not limited to, PROLINNOVA partners
- Thematic content of LISF proposals that have been funded and information about their implementation (progress so far, any preliminary results etc). The Register and the regular M&E activities should be able to provide this information!

All such information may come in handy during the LISF assessment interview, to validate existing M&E information or to ask relevant questions about what has been going on.

Obtaining it may require looking into LISF M&E electronic or paper files, or holding a quick fact-finding chat with the person from the SI in charge of the village **prior to starting the interview, or even prior to going to the village**. If none of this is possible, then a short preliminary fact-finding interview will need to be conducted with a local key informant before actually engaging in the LISF impact assessment.

**Box: Questionnaire versus semi-structured interviews: what's the difference?**

In a *questionnaire* (such as the tables proposed for light assessment in Appendix 1), most, if not all, questions are fairly narrow and well-focused; consequently, the answers are expected to be fairly specific and to the point. Also, questionnaires are usually applied to many people (or groups). The key objective is to get a good level of standardisation of questions and answers, conferring the ability to compile simple statistics from the many filled-in questionnaires, which thus contribute to providing a semi-quantitative idea of **what** is going on with respect to the issues tackled in the questionnaire.

In a *semi-structured interview*, specific issues are discussed, but the questions are much more open. Many specific questions related to the issue of interest are not even formulated: it is the interviewer who decides which ones to actually ask, depending on the answers s/he gets from the first probing questions. Finally, much fewer semi-structured interviews are usually conducted compared to questionnaire interviews. The objective is not so much statistics and numbers but the ability to understand qualitatively the outcomes and processes being assessed. In that sense, the **why** is much more important than the **what**.

## Who should be present during the interview?

Having the right people in the interview is essential to avoid potential biases and interferences in the responses being given.

- On the interviewer's side, avoid having the officer in charge of LISF implementation with you (unless s/he is the actual person in charge of LISF IA as part of Step 1) or any officials such as local authorities or leaders of farmer/pastoralist organisations (unless they are themselves among the grantees, or are the target audience of the interview).
- On the interviewee's side, try to minimise the possibility of social control being exerted.
  - if the aim is to interview only grantees, then try to avoid the presence of non-grantees;
  - If people start coming in (out of sheer curiosity), gently but firmly explain that you would prefer the interview to be kept intimate, or indicate whose voices are to be heard, and who should keep silent.
- Avoid conducting interviews with people who merely "represent" the target institution or the person we are trying to interview
  - This may be the case, for example, when the deputy district manager comes as a substitute for the district manager, who is too busy on this day. Another tricky case is people recently appointed in their positions. Under such conditions, it may well be that the person interviewed will have little or no knowledge about the subject matter (LISF), because s/he has not been personally involved in any of the LISF / PID work to be assessed. This can be especially true when conducting interviews in target institutions with high staff turnover. Unfortunately, and unless one knows the names and contacts of those who are knowledgeable, one may discover the situation only when actually meeting with the person: in that case, one has to decide on the spot



which questions still make any sense, and whether or not to reschedule the interview with a person who is knowledgeable, if s/he is still around.

- Going for individual vs group interviews
  - The main advantage of interviewing individuals one-on-one is to allow a free-flowing interview process, and to get an opportunity to obtain real, “honest” reflective answers on controversial or difficult issues, or answers that may go against the more socially-acceptable (accepted) ones. The main disadvantage of individual interviews is that it requires a lot of time to conduct them with a diverse group of interviewees.
  - Advantages of group interviews include that they may create a more comfortable, socially supportive setting for some interviewees, and especially for poor farmers/pastoralists with little experience in speaking out their minds to people from outside the village. Also, they make for efficient use of time, and provide a setting for interesting debates about a given issue within the group of respondents. A major disadvantage, however, is that one person out of the group of respondents may tend to dominate the interview, and hence minority opinions might not get recorded properly.

## **During the interview**

### **Organising the interview process**

While the interviewer knows exactly what information s/he wants to elicit, this is not the case for the respondent, who needs some minimum guidance to walk comfortably through the interview process. The interviewer will need to pay attention to the following aspects:

- When starting the interview, clarify objective of the interview, explain overall structure, clarify approximate duration (and make sure farmers/pastoralists are available for this amount of time), make clear who you want to talk to, specify that right to privacy will be respected, and how the interview will be recorded.
- Make clear transitions between section and issues, to allow respondent to follow the dynamics of the interview and to stay focused.
- Create a relaxed atmosphere (cracking a joke or taking a short break once in a while can be useful).
- Provide “proper” concluding remarks (not just thank you) at the end of the interview, including some time for an open-ended dialogue at the end, if and when participants are still willing to engage with interviewer at this stage!

Also, a good interviewer needs to be flexible enough in following and applying the interview guidelines:

- Be ready mentally to handle a diversity of interview situations and atmospheres (talkative groups vs very passive, groups with one dominant individual, people walking in and out, individuals or groups with contrasting levels of knowledge about issues being discussed etc).
- Always have a Plan B or even C at hand for formulation of key questions / issues, adapted to diverse situations and levels of knowledge about these issues and diverse profiles of interviewees.
- Be well aware at any moment of what the focus of the discussion is or should be (so you can re-focus participants whose answers tend to be out of place, and you do not get caught up in unnecessary details not related to key issues).
- Follow up on stories and anecdotes, if they allow you to get at specific insights related to LISF impact issues.
- Know when to put to rest conversations on some issues, when there is confusion or deadlock (once Plans B and C have been deployed).

### **Formulating the questions properly**

Questions in a semi-structured interview should be formulated in a manner that is easily understandable to the respondents. What constitutes an “easy-to-understand” question may vary according to the country, the stakeholder and their degree of involvement with LISFs. Translating the concepts, questions and issues from English to the national/local languages will pose a significant challenge both conceptually and practically. The guidelines provided in Appendix B are an attempt at simple formulations and are the output of iterative field tests conducted in Cambodia.

Examples of what has worked fairly well across different types of stakeholders in Cambodia are questions such as:

- What is the meaning of "experimentation" for you?
- Anything concrete about what interviewees are involved in such as: what are your activities, tell us about X or Y, how did you do this or that?
- What do you like (or don't like) about X or Y?
- Questions related to history, e.g.: When did you start X or Y? When was the organisation created?
- Questions about reasons why things work or do not work, or why farmers/pastoralists do this or that are also useful. However, confusion could arise between how and why – so be careful.

Conversely, what seems to work poorly and hence should be avoided are vague, abstract questions (such as "what is your objective"), questions the interviewer himself / herself is not crystal clear about, referring to institutions or concepts with acronyms, with which the respondent might not be familiar. This includes the LISF and PID acronyms themselves!

It is sometimes unavoidable that confusion about the meaning of a question may arise, even when attempts at clarification or reformulation have been duly made. Identifying confusion originating not from problems with formulation or translation but from the actual perception or experience of the respondents may indeed be precisely part of the type of answers the assessment should be concerned with (e.g. reporting that a farmer or an extension agent understands LISF not as experimentation but as a means to invest in his farm/herd).

## **Ensuring answers given are accurate**

For a number of reasons, it is not always easy to obtain the answers that actually reflect what the respondent really thinks, and not just answers that are polite and meant to please the interviewer. Maximising the chance of obtaining the "truth" is part of the basic skills of a good interviewer. While there is no magic solution to this dilemma, a combination of techniques and tricks usually provides good results:

- Introduce sensitive questions by announcing specifically to the person being interviewed that the question is sensitive and that you are ready for any potentially uncomfortable answers.
- Avoid any pre-conceived (re)formulations, which make it difficult for the interviewee to contradict your statement.
- Proceed to a number of triangulations during the interview, by asking several questions related to one key issue in different ways, or by asking other participants to corroborate and expand on the first answer given.
- Draw on answers given by the person being interviewed to infer logical consequences and get him / her to validate the corresponding inferences.

## **Taking notes**

The recommended and time-tested method is to take written notes during the interview,

Who: the interviewer + somebody specially in charge of note-taking besides the interviewer, especially if the interview is done with translation.

Sound recording might also be useful, but is optional, as it can be quite intimidating for the respondent, and requires appropriate equipment. Also, time for transcription into electronic format might be a limiting factor.

## **The issue of translation**

While these guidelines are in English, most assessment work will probably involve people speaking little or no English, or people more comfortable in expressing themselves in the national or local language. This may apply both to the people who are being interviewed but also to the interviewer.

Translation is not about achieving a precise word-to-word translation; it is about reconstituting the meaning of the question, using concepts that make sense in the local language and that convey the concept we are using in English.

Once country-specific adaptations have been made (see Section 6), agreed-upon questionnaires and guidelines should be carefully and "professionally" translated (by hiring a qualified translator, in some

cases) in at least the prevalent national language (e.g. Khmer, Swahili). The resulting translation should be subject to a strict, systematic quality control by bilingual PROLINNOVA / LISF staff in order to avoid or minimise erroneous interpretations and subsequently irrelevant, out-of-place or confusing discussions during assessment work.

draft!

## **Appendix 4: Preparation for the multi-stakeholder workshops**

### **Materials to be prepared before the workshop**

The success of the workshop hinges on adequate preparation, especially when the workshop is meant to substitute for interviews. In such cases, one cannot afford to miss out on a workshop or be poorly prepared, because it is the sole source of information to assess the impact of the LISF in a given site. Materials to be prepared (but not necessarily systematically used in the workshop: see below) include:

- Introduction to farmer-led ARD (in a proper format: usually banner and paper board, while power point-based slides will be the exception)
  - Introduction to key common concepts related to PID / LISF and ARD (such as experimentation, research, adaptation, demonstration)
  - Concrete examples of farmer-led research conducted in the villages / region
  - The LISF concept and practice
- Synthesis of LISF light internal assessment interviews (proposed Step 1) applied in the place of origin of participants (see Section 3)
  - Number and types of experiments implemented
  - Profiles of farmers/pastoralists who did the experiments
  - Main results and effects obtained (positive and negative)
  - Diffusion of results
  - Main advantages and challenges of LISF mechanism
- Ready translation in national/local language of key concepts and probing questions that will be tackled during the workshop (see Section 4.1.7).

### **Who should take part in the workshop?**

Representatives of the same categories of stakeholders considered for the assessment in general (see Section 2.3.2) should be invited to the workshop: they include farmers/pastoralists (LISF grantees and non-grantees), local authorities, support institutions (NGO, education, research, extension etc).

The total number of participants (not including facilitators) may range from 8–10 to a maximum of perhaps 20–25, if the workshop covers LISF activities of several villages. Smaller workshops allow more intensive and focused discussions and are easier to facilitate and to organise (not to mention cheaper!). However, this size may limit the diversity of stakeholders, opinions and experiences represented. Bigger workshops allow fair participation by all or most stakeholders, while at the same time offering the opportunity of using dynamics based on groupwork during the workshop, if necessary. But they require stronger input for facilitation and are logistically more complex, not to mention that they can be expensive (especially if significant per diems have to be paid).

The actual number of participants to be invited per stakeholder group can be adjusted, depending primarily on the number of villages, farmer/pastoralist organisations and LISF grantees for which assessment is being sought:

- If assessment is for one village only, then most or all LISF grantees may be invited.
- If assessment involves several villages, then perhaps only 2–3 grantees per village may be selected, according to agreed criteria.
- Attention should be paid to reaching some diversity within any stakeholder group: types of farmers/pastoralists, men vs women, younger vs older, knowledge about LISF, without trying to reach what is called a “representative” sample in statistical terms.
- Altogether, it is also important to strike a “good” balance in terms of the relative proportion of farmers/pastoralists vs local authorities vs representatives of support institutions, avoiding both having too few farmers/pastoralists or, on the contrary, too many.

## Proposed (generic) agenda & dynamics of the workshop

The actual agenda will always need to be finetuned for every workshop, based on specific context and outputs and lessons of previous workshops conducted in the country. But it should generically remain fairly close to the following script, which itself derives from the five key questions that the LISF impact assessment is trying to address (see Section 2.2).

**Table 3: Generic agenda for LISF impact assessment workshop**

<b>Session</b>	<b>Content / Probing questions</b>	<b>Possible dynamics</b>
Introduction (20 min)	➤ Presentation of participants, objectives, agenda, process	
<b>Session 1:</b> Introduction to farmer-led research (20 min)	➤ Introduction to key concepts and practices (based on local PID / LISF experiences)	Short presentation by facilitator, followed by Q&A
<b>Session 2:</b> Meaning of experimentation (40 min)*	➤ What is the meaning of research conducted by farmers/ pastoralists? How useful it is for them to do this?	Facilitated plenary discussion
<b>Session 3:</b> Results, effects and livelihoods (1 h 30)	➤ What kinds of results and effects have farmers/pastoralists obtained from their LISF experiments? How do they contribute to local livelihoods?	Facilitated plenary or group discussion, based on selected inputs from compilation of questionnaires
<b>Session 4:</b> Advantages and drawbacks of LISF mechanisms (40 min)	➤ How do participants judge advantages and drawbacks of the LISF mechanism they have implemented?	Brainstorming
<b>Session 5:</b> Suggestions for improvements (20 min)	➤ What are the participants' suggestions for making the LISF / PID work more useful?	Brainstorming
Synthesis and concluding remarks (10 min)		Facilitator

All in all, at a minimum, such a programme implies a workshop duration of no less than about 4 hours, not including unavoidable delays and other coffee / tea breaks: but this is a bare minimum, and the optimal duration, allowing some flexibility for extended discussions in some sessions, is probably 5–6 hours, i.e. ¾ of a day's work.

## Workshop facilitation

Who should facilitate? Depending on the human resources available, it is desirable that the workshop be facilitated by a trained PID facilitator, but not by the person in charge of conducting the LISF impact assessment. The major role of this person is either to listen and take notes, and possibly to ask for in-depth explanations and clarifications about what is being unearthed in any given session.

## Workshop output

As soon as the workshop is over, the facilitator and the person in charge of LISF IA should proceed to a debriefing among them, and review the main results obtained in each session. Then a brief written synthesis will have to be prepared by the LISF IA resource person.

### **Appendix 5: Overview of Bernard Triomphe's sabbatical**

In the period May to December 2009, Bernard Triomphe (CIRAD researcher) has been involved in a part-time sabbatical within the PROLINNOVA FAIR/LISF programme, with the following objective:

***Co-design and test an LISF “impact assessment” framework and related guidelines for future adaptation and use as part of the M&E of all PROLINNOVA FAIR/LISF programmes***

To achieve this objective, the following steps and time-line were conducted:

- **Step 1:** Participate in the PROLINNOVA International Partners Workshop in Nepal and the FAIR reflection workshop to learn more about PROLINNOVA CP activities and LISF experiences, and to discuss the broad outline of the IA approach.
- **Step 2:** Spend six weeks in Cambodia to design and field test an LISF assessment / M&E framework and guidelines adapted to the Cambodian context and experience, in collaboration with Sam Vitou (CP Coordinator) and colleagues.
- **Step 3:** Return to France, further analyse and refine the guidelines developed in Cambodia during the period July–August and incorporate lessons and suggestions from relevant literature and from feedback provided by people from other FAIR countries. Share the corresponding draft generic LISF assessment framework and guidelines with all FAIR members by early September.
- **Step 4:** Undertake a second country visit to Ethiopia in the first half of December 2009 to test the framework / guidelines under different conditions.
- **Step 5:** Prepare and submit by early 2010 a “final” operational document to PROLINNOVA, outlining a generic, concretely illustrated, easily adaptable framework and guidelines for LISF assessment in all FAIR countries.