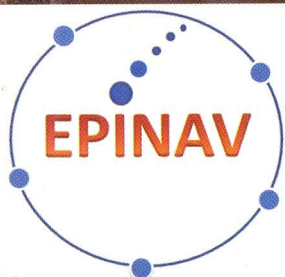
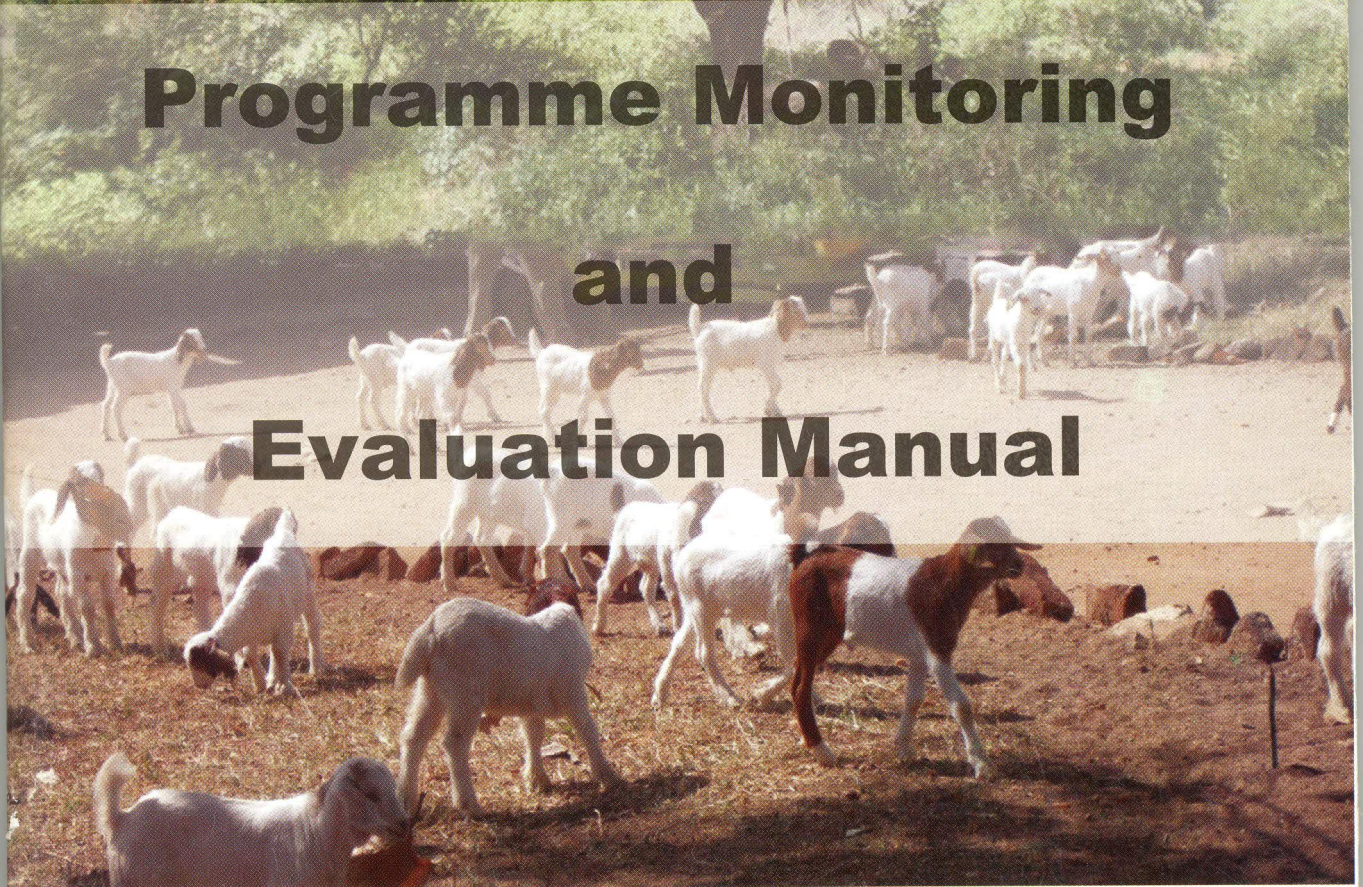


Programme Monitoring and Evaluation Manual



The Programme on Enhancing Pro-poor
Innovations in Natural Resources and
Agricultural Value-chains

Sokoine University of Agriculture

**Enhancing Pro-Poor Innovations in Natural
Resources and Agricultural Value-chains (EPINAV)**

Programme Monitoring and Evaluation Manual

Planning, Monitoring and Evaluation Component

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Foreword

The Programme for Enhancing Pro-Poor Innovations in Natural Resources and Agricultural Value Chains (EPINAV) is a Norwegian Government Supported initiative being implemented by the Sokoine University of Agriculture (SUA) and the Norwegian University of Life Sciences (UMB) in collaboration with other partners within Tanzania and Norway.

This manual describes a protocol for monitoring and evaluating research as well as capacity building activities under the (EPINAV) programme. The manual draws from scholarly literature and experiences on the subject to devise a protocol that will help the Programme gauge the implementation process, success and outcomes of the projects; identify critical activities including support services that are needed to achieve stated objectives and; identify location-specific demands and market imperfections that might undermine the realization of project objectives and devise corrective measures.

This manual is tailored to the programme-specific context and modes of operation and should provide relevant insights for managerial decisions as well as ongoing and comprehensive evaluations. In summary the monitoring and evaluation of the EPINAV Programme will be based on various indicators of the result based monitoring and evaluation, which are conventionally and widely adopted for a range of interventions and strategies. Its use will be supplemented with rigorous assessment of factors underlying success/progress. The indicators adopted will be used as measures of inputs use, processes involved (activities), outputs realized, outcomes (immediate effects of outputs on client), and impacts of research projects, programs, or strategies. These indicators will be tracked through a sound data collection, analysis and reporting to enable the Planning Monitoring and Evaluation (PM&E) component to gauge progress and demonstrate results. Furthermore the manual provides an early warning system to allow identification of problems arising from project implementation and inform the programme about appropriate measures (corrective actions) to be taken before it is too late. This manual also describes potential sources of risk as well as control measures envisaged to mitigate the impacts of such risk.

Project implementers are encouraged to consult this manual regularly in planning and implementing programme activities. Effective use of this manual is crucial in keeping track of events and progress towards achieving the intended outcomes and impacts on target communities' livelihoods.

Prof. V.R. Muhikambele
Programme Coordinator

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1.0 Introduction

1.1 Background

Agricultural research projects normally use several approaches to achieve their objectives including discovery of novel ideas that hold promise for improving agricultural productivity, which can be up-scaled and disseminated to many end-users; identification of small-scale or local level strategies or technologies that have the potential to improve agricultural productivity at some wider scale; generation of discernible positive changes as result of adoption of new tested technologies or knowledge.

A supportive institutional environment, defined as the context in which agricultural and natural resource technologies are designed and implemented, is the most important factor in scaling-out new technologies. Effective dissemination of new technologies to target population demands good collaboration between all institutions in charge of result use and/dissemination (Hanckock *et al.*, 2003). Thus, practices such as capacity building, institutional reform, strengthening networks and multi-media dissemination are crucial in promoting, sustaining and improving new technologies (Gündel *et al.*, 2001). Effective participation and collaboration among different actors can ensure that appropriate interventions are designed, programme objectives are achieved, and expected livelihood outcomes are realized.

Also public-private partnership has been identified as an effective way to carry out research, identify new technologies and deploy positive outcomes for the benefits of target beneficiaries. While this partnership is desired, its implementation is usually constrained by several factors imposed by the cost of physical and human resources as well as imperfections in the market for new knowledge (market failure). These failures stems from the fact that social benefits of research exceed private benefits, which results into chronic undersupply of research to inform public interventions (Dalrymple, 2006; Sandler, 2003; Martin and Scott, 2000). There is evidence that some institutions, especially the "business-centred" ones, tend to invest less in research and development because research findings once known become public goods (that is, its non-excludable and non-rival properties). Other factors that contribute to this failure are poor market access, inability of small firms to access the capital markets needed to finance knowledge acquisitions and poor market infrastructure. Institutional constraints such as absence of relevant institutions to correct for these market failures and promote efficient knowledge exchanges have also been identified (*Ibid.*).

Failure occurs when mechanisms such as safeguarding intellectual property rights, enforcing contracts and intra-firm collective actions are weak. These weaknesses contribute to raising transaction costs, thus impeding market-based knowledge exchanges (Naseem *et al.*, 2006; Alfranca and Huffman, 2001). Another source of this market failure is institutions' inability to learn from each other, identify areas of complementarities and synergy, build and sustain trust through interpersonal or organizational relationships and communicate and exchange ideas effectively (Nelson and Winter, 1982; Lundvall, 1988; Metcalfe, 1988; Revilla *et al.*, 2005).

This background is against the traditional belief that technologies once generated will be adopted and might be falsely perceived. Agricultural research projects like many other development projects can rarely operate in environment where supportive institutions are well-established and coordinated to guarantee that socio-economic impacts will be efficiently realized and widely disseminated.

In line with the traditional belief that technologies once generated will be adopted, the PANTIL programme financed by the Royal Norwegian Government and implemented at Sokoine University of Agriculture (SUA) from 2006 to 2009 aimed at reducing poverty, hunger and malnutrition through improved productivity of resources in agriculture, forestry and fisheries. The central theme of the PANTIL programme was generally consistent with the empirical growth models that provide substantial support for growth strategies led by research and development (R&D) and technology generation (Dasgupta, 1998; Fan *et al.*, 1999; Irz & Roe, 2000; Mellor, 2001; Rangarajan, 1982). Assessment of the PANTIL programme shows that it was successful in improving agricultural practices and livelihoods of target communities in the project sites.

However, evaluations of the programme revealed two main challenges namely; i) how to institutionalize the outreach activities of the university research community in a more gender-sensitive, coherent and coordinated manner, using the various demonstration units and field stations and the existing outreach oriented units as springboard for such institutionalization and; ii) how to disseminate and scale up appropriate technologies developed at SUA and through the programme to a wider audience and to the national level. Thus, a new research programme titled Enhancing Pro-poor Innovations in Natural Resources and Agricultural Value-chains (EPINAV) has been established to address these challenges.

1.2 An Overview of the EPINAV Programme

The EPINAV Programme is a collaborative programme between Sokoine University of Agriculture (SUA) and Norwegian institutions, namely, University of Life Sciences (UMB) and Norwegian College of Veterinary Sciences (NVH). The programme is financed through a broader framework of Norwegian Government and peoples' assistance to the Tanzania Government poverty reduction efforts. This programme has been developed to adopt and pioneer an innovation systems approach and value chain approaches to improve communication and dissemination of information and build the capacity of smallholder farmers and other role players (traders, processors, and retailers) to articulate and satisfy their demand for knowledge, technology and other resources. The service and regulatory aspect of the innovation system is expected to build and strengthen the capacity of SUA to generate and disseminate new knowledge and to interlink and work together more productively with local government, the private sector and civil society in bringing technology and best agricultural practices to bear on the lives of people in entire districts and regions rather than only in pilot village sites. Overall the EPINAV programme aims at:

- (i) Scaling up and mainstreaming proven technologies, especially best practices developed through the PANTIL programme, in district, regional and/or innovations systems zones;
- (ii) Building capacities of rural women and men to meet their needs for food security and income generating opportunities and enhancing their capabilities and opportunities for agro-enterprise development;
- (iii) Empowering and enhancing communities and institution's capabilities and readiness to adapt and be more resilient to the impacts of climate change. These interventions are ideal to ensure a conscious and effective adaptation to climate change, reduce vulnerability, sustain livelihoods and facilitate social justice in target communities.

1.2.1 Structure of EPINAV Programme

EPINAV programme is managed by the Programme Coordinator assisted by three coordinators of the main components, namely: Research and Strategic Interventions (RSI), Capacity Building and Institutional Collaboration (CBIC) and Planning, Monitoring and Evaluation (PM&E).

1.2.1.1 Research and Strategic Interventions

The RSI component is responsible for promoting wider use of proven technologies and best agricultural and natural resources management practices. The component has adopted a Value-chain based innovation system approach involving district, regional or zonal level value chain actors for specific enterprises as the main approach for scaling up technologies to a wider audience and to the national level. The component coordinates 19 projects that are under the following four main themes:

- i) Innovation Systems Research;
- ii) Adaptation of Agriculture and natural resources to climate change;
- iii) Innovative Communication and Knowledge Dissemination Pathways and
- iv) Policy Research Analysis and Governance.

Projects under the first theme are designed to demonstrate best practices and technologies generated from previous SUA researches as learning centres both at farm level and at SUA. The main objective of the strategic intervention is to provide vehicles for learning and communicating knowledge and best practices to various value chain actors. Another element of the strategic intervention includes programme activities aimed at empowering farmers and other value chain actors. Farmer empowerment is to be done at two levels; at project level involving value chain actors' organization and institutional building and at programme level involving mainly capacity building and institutional strengthening and innovation cluster integration.

Other areas covered under this theme include providing advisory services to value chain actors in non-project areas requiring knowledge and skills available at SUA and relevant to the programme goals. In order to promote private sector participation in addressing technology and policy related constraints through research, public-private partnership research fund will be used to facilitate demand driven short term research (commissioned studies) to provide solution to specific value chain problems. Implementation of the various activities will be carried out by specific SUA research teams with competency to deliver solutions to specific constraints/opportunities.

1.2.1.2 Capacity Building and Institutional Collaboration

The CBIC component is responsible for human resources capacity building; improvement of selected infrastructure; strengthening SUA's focus on gender and other cross-cutting issues; and collaboration with Norwegian institutions to strengthen capacity in tropical agriculture, food and natural resource management.

Enhancement of SUA's capacity to generate and disseminate new knowledge needed to drive innovation in agriculture and natural resources has been identified as a key element of support to Tanzania's agriculture and natural resources sectors. Specifically, SUA efforts to improve its teaching and learning environment needs further support. The focus of human resources capacity building is on improving internal capacity at SUA to impart practical and entrepreneurial skills to its graduates.

In order to deepen entrepreneurial skills of SUA graduates, the CBIC component has a "graduate entrepreneurs challenge fund" (GECF), which is responsible for mentoring SUA graduates who aspire to become entrepreneurs through a competitive grant winning mechanism.

The need to improve teaching and learning at SUA has long been recognised. During the implementation of PANTIL, a number of teaching and learning facilities were rehabilitated and new ones were constructed. Under EPINAV, construction and equipping of two science teaching laboratories at the Faculty of Science, Solomon Mahlangu Campus is envisaged. This investment is meant to bridge the gap in demand for these facilities following enrolment increase.

During implementation of the PANTIL programme, gender mainstreaming was done and gender equality in staff establishment and student enrolment was implemented. These initiatives need to be continued under EPINAV so that more women and other socially vulnerable groups are engaged in activities that empower them further. The main focus should be on influencing policies that improve gender equity, accelerate the adoption of technologies and practices that reduce drudgery to women. Hence all research activities are to be conducted with a gender perspective in order to address challenges of gender mainstreaming in all agricultural, food and natural resources value chains and innovation systems.

Sokoine University of Agriculture has had collaboration with Norwegian institutions for a period spanning over 30 years. This collaboration has enabled SUA to grow in terms of its human capacity and institutional development. The current level of collaboration with Norwegian institutions involves research partnership in tropical agriculture among senior staff, students and young professionals' exchange—all of which are mutually reinforcing and beneficial to Norwegian and Tanzania society at large. Norway collaborates with other institutions in Africa and the exchange of experiences between SUA and such institution would create an additional axis of mutual learning and exchange of experiences. Activities for South-South co-operation include postgraduate student exchange, joint research projects, and staff exchange on sabbaticals.

1.2.1.3 Planning Monitoring and Evaluation

The Programme Monitoring and Evaluation (PM&E) is mandated to undertake planning, monitoring and evaluation; and impact assessment of the EPINAV Programme. The activities of the PM&E component include coordinating baseline studies in the research and strategic intervention study areas, midterm impact studies and end line impact studies.

The PM&E is responsible for devising appropriate protocol and instruments for implementation using a user-friendly and interactive (activity to output linked) M&E framework. This component is also responsible for preparing M&E manual to guide data collection, analysis and reporting, risk management, knowledge management and feedback mechanisms to inform internal M&E teams as well as external evaluation panels. To ensure credibility and relevancy, the component should involve various stakeholders of the target value chains; especially programme officers, representative of local government authorities, NGOs, private sectors and subject matter specialists.

Operationally, the impact assessment should be subsumed in the evaluation part of monitoring and evaluation philosophy. The component shall develop a monitoring and evaluation plan covering the lifetime of EPINAV Programme. The M&E plan should consist of continuous monitoring of planned outputs and activities of the Research and Strategic Interventions (RSI) and Capacity building and institutional collaboration (CBIC) components. The component will also assess short term outcomes and impacts on target communities.

2.0 The Monitoring and Evaluation Manual

2.1 Usefulness and Quality of Monitoring and Evaluation Manual

A monitoring and evaluation (M&E) manual is needed to support the programme and engage projects as well as stakeholders in understanding project progress, learning from achievements and problems, and agreeing on what are feasible options to improve the efficacy of both strategies and operations. The M&E task requires people involved being intuitive and well-informed about what constitutes efficiency, legitimacy, effectiveness, impact, relevancy, and sustainability of projects that are being monitored (UN, 2005). This intuition and understanding is needed to develop a M&E manual that coordinate activities in a logical manner while allowing for continuous feedback that involve people at different levels of programme hierarchy to learn from their own experiences and experiences of others. Literature acknowledges that this feedback mechanism is essential to stimulate and mobilize human resources to emulate good practices leading to success and self esteem (*Ibid*).

In summary a M&E protocol should be designed in such a way that it provide the right information, in the right form and at the right time to inform the programme implementation team and stakeholders including those providing financial and managerial support to: gauge the process, success and outcomes of the projects; identify critical activities including support services that are needed to achieve stated objectives and; identify location-specific demands and market imperfections that might undermine the realization of project objectives i.e. potential risks and devise corrective measures.

2.2 The EPINAV Monitoring and Evaluation Manual

In principle many use-friendly guidelines and handbooks on M&E exist (e.g. http://www.naip.icar.org.in/Downloads/M&E_Manual.pdf; <http://siteresources.worldbank.org/INTHIVAIDS/Resources/375798-1098987393985/M&EManual.pdf>). These resources are normally presented in different forms/formats to reflect varied approaches and contexts, in which they apply. Thus, there is no standard approach and format to suit all situations.

The proposed M&E manual of the EPINAV Programme is by no means a blueprint plan as it may change during the implementation to account for potential changes in the environment in which projects under this programme will operate¹. However, this manual is based on a thorough review of literature on the subject as well as the EPINAV Programme document. Thus, it is tailored to the programme-specific context and modes of operation and should serve as guide for monitoring programme's and projects' activities and to provide relevant insights for managerial decisions as well as ongoing and comprehensive evaluations.

Programme monitoring and evaluation will be based on various indicators of the result based monitoring and evaluation, which are conventionally and widely adopted for a range of interventions and strategies² and will be supplemented with rigorous assessment of factors underlying success/progress. These indicators are used as measures of inputs use, processes involved (activities), outputs realized, outcomes (immediate effects of outputs on client),

¹ These changes include occurrences of programme risks such as late disbursement of research funds, macro-economic shocks (hyper inflation rates) and ineffective collaboration /support from actors and stakeholders.

² In theory there are many other M&E approaches that are adopted including theory-based evaluation, formal surveys, rapid appraisal methods, participatory methods and cost-benefit and cost-effectiveness analysis. The choice of the results based approach is based on its appropriateness for the intended use, especially with respect to the speed with which the information is needed to inform the EPINAV Programme.

and impacts of research projects, programs, or strategies. These indicators were established at the formulation stage of the EPINAV programme to measure the extent to which interventions contribute to outputs and outcomes. The use of these indicators will be supported with sound data collection, analysis and reporting to enable the PM&E component to track progress and demonstrate results. Furthermore, the PM&E has developed an early warning system to allow identification of problems arising from project implementation and to inform the programme about appropriate measures (corrective actions) to be taken before it is too late.

The elements of the result based M&E will include: collection of baseline data to reflect situation in the project sites before the intervention; collection of data required to measure the use of inputs and implementation of activities and how such inputs/activities contribute towards achieving outputs; benchmarks to gauge outcomes including perceptions of change among stakeholders; timeliness of activities and outputs; systemic reporting of qualitative and quantitative information on the progress towards outcomes; involvement of stakeholders in planning and implementation of planned activities along with success or failure of partnership strategies in achieving desired outcomes.

2.3 The EPINAV M&E Approach

Economic literature suggests that all levels (inputs and activities, outputs, outcomes and impacts) of a project or programme are always linked through complex pathways or processes. These pathways are normally perceived in broader social and political contexts. Economic literature reveals that the generic logical framework approach fails to account for these pathways. Impact for example, refers to broad and long-term economic, social and environmental effects resulting from research or intervention. These effects encompass changes in both cognition and behaviour of actors involved. Thus, in its broadest sense, impact includes direct outcome of the research activities; changes in institutional approaches and methods used by researchers and other actors in generating and transferring technology; and people level impact, which can be economic, socio-economic, socio-cultural, and/or environmental (Anandajayasekeram et al., 1996).

Thus, it is recommended that the generic logical framework approach that focuses on exploring the causes and effects from activity to impact should be perceived as a starting point for evaluating pathway. However, the pathway is normally constructed at the project planning stage when all necessary factors and assumptions relating to how research uptake and/or impacts will be achieved are established. The ex-ante construction of the pathways suggests that

M&E should be based on rigorous assessment of critical success factors, risk and the implication of untimely implementation of project activities.

The approach adopted by the PM&E Component supports the view that it is important to understand the context in which research is conceived and implemented and findings are disseminated. Also it is important to ensure that an appropriate environment for successful uptake of a research product prevails. The Component also realizes that stronger interaction and exchange between actors and institutions that assume different roles in the development and promotion of innovations are needed to generate outputs, outcomes and impact. Thus, the Component will also explore qualitative factors influencing the research process instead of purely relying on log-frame elements/quantifiable indicators.

To generate indicators that reflect this philosophy, the Component will guide researchers under the Programme to undertake realistic value chain mapping to establish the institutional context highlighting the actors and stakeholders which will be involved in the project and their relationships to one another; and the context within which they can cooperate taking into account their incentives and disincentives, norms of interaction and market factors. Hypotheses and assumptions about the institutional environment required for effective implementation of the project should be carefully examined at this stage and aspects that need close monitoring should also be identified.

Monitoring will be conducted throughout the lifetime of the programme and will involve both project leaders of individual projects under the programme and the PM&E component. The latter will guide the former to do own monitoring and provide specific information needed for planning and management purposes. The PM&E will from time to time involve the M&E Team to carry out regular monitoring to evaluate processes, outputs and short term impacts of individual projects.

The PM&E will also involve the M&E Team in carrying out ad hoc monitoring to supplement the regular/planning and monitoring, especially when unexpected problems arise and regular monitoring cannot generate sufficient information, or when socioeconomic or environmental conditions change drastically in the target area. The PM&E will engage the Impact Assessment Team to carry out the periodic monitoring and evaluations (base-line, mid-term and end-term) and coordinate these evaluations.

2.4 Implementation Plan

The PM&E has already undertaken several activities to establish indicators and criteria to measure success or progress; the use of inputs vis-à-vis objectives and activities; and monitor and evaluate programme activities.

During the implementation stage the PM&E component shall implement several other activities to ensure that:

- (i) Data are collected according to the monitoring plan;
- (ii) Progress reports are reviewed on a regular basis and compared with set targets;
- (iii) Field visits are conducted to verify the process, use of inputs, outputs and outcomes;
- (iv) Additional requirement(s) by- and support to projects are identified and proactive support/remedial actions are proposed and;
- (v) Effective feedback mechanisms are designed to inform individual projects, the Programme as well as value chain actors and stakeholders about the progress and future plans.

During the evaluation stage the Component shall undertake evaluations as proposed, document results and inform all relevant parties (value chain actors, stakeholders, collaborators and development partners) about these results. During this stage the Programme via the PM&E, Research and Strategic Interventions (RSI) as well the Capacity Building and Institutional Collaboration (CBIC) shall inform policy with respect to the implementation of the recommendations and use of evaluation results in present and future development initiatives. A brief summary of the planned M&E is provided in Table 1. A detailed description of information to be collected during M&E is summarized in Annex 1. Indicators of performance for RSI component are presented in Tables 2 through 9 while similar indicators for CBIC component are presented in Tables 10 through 14.

Table 1: EPINAV Programme: Levels of Monitoring and Evaluation

Aspect to be monitored	Description	Reporting requirement
<p><i>Inputs and activities disaggregated by actors/stakeholders:</i></p> <ul style="list-style-type: none"> • Farmers • Other research institution(s) • Private sector • Other stakeholder(s) 	<p>Assessment of progress with respect to:</p> <ul style="list-style-type: none"> • Implementation vis-à-vis time scale (milestone) • Resource use vis-à-vis planned activities and approved budget 	<p>Report on progress of implementation and speed on a quarterly basis</p>
<p><i>Output disaggregated by actors/stakeholders</i></p> <ul style="list-style-type: none"> • Farmers (if any) • Other research institution(s) • Private sector • Other stakeholder(s) 	<p>Detailed assessment various products (e.g.) :</p> <ul style="list-style-type: none"> • Technologies/inventions to enhance productivity, reduce vulnerability to shocks and promote gender balances • Improved human capacity (number of trainees disaggregated by sex) • Market linkages formed/strengthened • Value chain clusters/forums formed to address specific problems (e.g. groups, FFS, SACCOS) • Educational and advocacy material-by type • Knowledge sharing workshops • Physical products (new agric. & natural resources) developed via research • Exchange visits disaggregated by beneficiaries and sex • Infrastructural developments (buildings and equipments) 	<p>Report of quantity and quality of output disaggregated by beneficiaries and gender</p>
<p><i>Outcomes</i></p>	<p>Detailed assessment of how the outputs of research achieve some direct effect on different actors/stakeholders</p>	<p>Measurement of adoption of technical innovations as well as changes in processes/practices at various levels of the value chain (e.g. farming, processing practices, and gender roles and collaboration among actors and stakeholders)</p>

3.0 Expected Outputs

3.1 RSI Component

Indicators and annual targets for research projects under the four main themes that are coordinated by RSI component are presented in Tables 2 through 9.

Table 2: Output for Projects under Innovation systems research³

Indicator	End of programme Target	Status of implementation		
		July 2011- June 2012	July 2012- June 2013	July 2013- June 2014
At least five innovation clusters for five commodity value chains established in five regions producing innovations answering value chain actor needs by 2014	Five innovation clusters for five commodity value chains established			
At least five of the demand driven and gender sensitive strategic/applied research produce results responsive to value chain actors' problems and conditions by 2014	At least five demand driven and gender responsive innovations applied by value chain actors			
Basic research produce at least one new knowledge relevant to agriculture and natural resources challenges and opportunities each year starting 2012	Three new knowledge generated			
All research project publish at least three papers in recognized journals by 2014	At least 51 papers published in recognized journals			
At least three innovations patented by 2014	Three patents			
At least five learning centres for technologies of value-chain-products are established in five regions by 2014	Five learning centres in five regions			
At least 5 functioning units demonstrating best practices are established at SUA by 2014	5 best practices demonstration units			

³ All qualitative outcomes will be assessed annually to gauge the prospect of accomplishment over the programme life cycle

Table 3: Adaptation of Agriculture and natural resources to climate change

Indicator	End of programme Target	Status of implementation		
		July 2011- June 2012	July 2012- June 2013	July 2013- June 2014
At least three demand driven research projects address problems responsive to gender specific adaptation mechanisms to climate change impacts by smallholder farmers in arid and semiarid areas of Tanzania by 2014	Three research projects on gender responsive adaptation mechanisms to climate change impacts implemented			
Increase participation of women and men in climate change disaster preparedness and management in arid and semiarid areas of Tanzania by 2014	At least one project address gendered analysis of climate change adaptation issues			

Table 4: Policy Research Analysis and Governance

Indicator	End of programme Target	Status of implementation		
		July 2011- June 2012	July 2012- June 2013	July 2013- June 2014
At least three policy briefs produced each year starting 2012	Nine policy briefs			
At least one policy research on emerging and cross cutting issues in agriculture, food and natural resources carried out each year starting 2011	At least two policy research on emerging and cross cutting issues in agriculture, food and natural resources carried out			
At least one policy forum on a topical issue held each year starting 2011	At least three policy for a conducted			
At least one policy analysis paper on emerging and cross cutting issues in agriculture, food and natural resources for public debate produced each year starting from 2011	Three policy analysis paper			
At least one commissioned study on governance and power relations by gender within	Three commissioned studies conducted			

value chain conducted by 2011				
At least two policy forums and dialogues on governance and institutional arrangement issues held by 2014	Two policy forums and dialogues on governance and institutional arrangement conducted			
At least two policy analysis and dialogue papers on governance and institutional arrangement issues published by 2014	Two policy			

Table 5: Innovative Communication and Knowledge Dissemination Pathways

Indicator	End of programme Target	Status of implementation		
		July 2011- June 2012	July 2012- June 2013	July 2013- June 2014
Number of research on innovative communication tools for dissemination of technologies undertaken by 2014	At least two innovative communication tools for dissemination of technologies developed			
At least one university wide research workshop held each year from 2010	Three University wide research workshop held			
All research teams present their results in nationwide conferences and publish a paper in annual proceedings each year starting from 2012	Three proceedings of annual scientific workshop			
Each research publish at least two papers in recognized journal by 2014	At least 34 papers published in recognized journals			
Each research project produces at least one audio visual on its programmes for dissemination to national level starting 2012	At least 17 audio visuals produced			
All demand driven research projects produce at least one extension material each year starting 2011	At least 17 extension materials produced			
At least five innovative communication tools developed by 2014	Five innovative communication tools for dissemination of technologies developed			
SUA IR and OA are created and sustained by 2012	SUA Institutional Repository and Open Access - platform created			

Table 6: Farmer Empowerment

Indicator	End of programme Target	Status of implementation		
		July 2011- June 2012	July 2012- June 2013	July 2013- June 2014
Number of farmers' and other value chain actors' (VCA) empowerment needs identified	At least VCA groups from 17 projects identified			
Number of research projects work with LGAs and other actors to strengthen farmers' and other value chain actors' organizations	At least 10 research projects			
Number of Farmer field schools established	25 FFS by 2013			
Number of viable and democratic farmers' and other value chain actors' organizations or networks established	At least 5 by 2014			
Number of innovation clusters forums and exchange visits conducted	At least 4			
Number of sustainable market outlets for different commodities identified and characterized by 2011	At least 5			
Number of research projects working with LGAs to link producers with sustainable market outlets by 2014	At least five research projects			
Number of value chains for specific commodities analysed	At least five value chains			
Number of research projects working with LGAs and other partner organizations to promote establishment of savings and credit organizations by 2011	At least five research projects			

Table 7: Community Advisory and Development services in Agriculture and Natural Resources

Indicator	End of programme Target	Status of implementation		
		July 2011 - June 2012	July 2012 - June 2013	July 2013 - June 2014
Guidelines and mechanisms for responding to advisory request put in place by 2010	Guidelines in place			
Expert deployed to respond to at least 3 request per year from 2011	At least 9 requests.			
Expert deployed to engage with at least 3 communities per year from 2011	Engaged with at least 9 communities			
A call centre established by 2012	At least one call centre established by the end of the programme			

Table 8: Establishment of Learning Centres

Indicator	End of programme Target	Status of Implementation		
		July 2011 - June 2012	July 2012- June 2013	July 2013 - June 2014
Number of learning centres are established in target regions by 2014	At least 5			
Number of functioning units demonstrating best practices established at SUA by 2014	At least 5			

Table 9: Public and Private sector Partnership

Indicator	End of programme Target	Status of Implementation		
		July 2011 – June 2012	July 2012 – June 2013	July 2013 – June 2014
Modalities for establishment of public and private sector partnership developed by 2011	Modalities for private sector partnership in place	Completed by the end of reporting period	Done	None
Short term research responding to private sector value chain constraints carried out starting 2011	At least 9	Process initiated by the end of reporting period	Not yet done	Projects are at initial stages of implementation. Research teams will identify required needs for short term research outside their core research thrust.

3.2 Capacity Building and Institutional Collaboration

The Capacity Building and Institutional Collaboration component is responsible for several outputs that are presented in Tables 10 through 14.

Table 10: Human Resources Capacity Improvement⁴

Indicator	End of programme Target	Status of Implementation		
		July 2011- June 2012	July 2012 - June 2013	July 2013 - June 2014
Number of Masters scholarships (half of which are for females) offered at SUA by 2013	At least 20 masters scholarships			
Number of PhD students trained in various disciplines	5 PhD students (at least 2 are female)			
Number of undergraduates undertake Special Projects within research projects involving uptake of technologies developed at SUA by 2014	At least 30 undergraduate students involved			
Number of capacity building short course modules and training manual in new EPINAV programme areas developed by 2011	At least 3 short courses modules/ manuals developed			

Table 11: Entrepreneurship capacity of SUA graduates improved

Indicator	End of programme Target	Status of Implementation		
		July 2011 - June 2012	July 2012 - June 2013	July 2013 - June 2014
Number of competitions conducted per year starting 2011	At least 3 competitions involving 300 candidates.			
Number of winners identified and supported to start their business each year starting 2011	At least 15 winners are identified and supported			

⁴ All qualitative outcomes will be assessed annually to gauge the prospect of accomplishment over the programme life cycle

Table 12: Institutional Collaboration through Staff Exchange

Indicator	End of programme Target	Status of Implementation		
		July 2011- June 2012	July 2012 – June 2013	July 2013 – June 2014
Number of Norwegian scientists participate in programme research activities	At least 15 scientists participate	At least 15	16 Norwegian scientists are among research members in the research projects teams	None
Number of female and male scholars from UMB/NVH visit SUA annually.	At least 10 female and 10 male scholars	At least 3	25 scholars visited SUA (17 female)	None
Number of female and male scholars from SUA visit UMB/NVH annually	At least 10 female and 10 male scholars	At least 5	Process initiated	The activity was moved to 3 rd quarter of 2012/2013
Number of Norwegian Staff undertake exchange visits each year from 2011	At least 9	At least 9	6 staff from SUA visited NVH and other selected places in Norway	None

Table 13: Institutional capacity in management of cross cutting issues improved

Indicator	End of Programme Target	Status of Implementation		
		July 2011- June 2012	July 2012 - June 2013	July 2013 - June 2014
Gender mainstreamed in all research and strategic intervention projects.	All research and strategic intervention projects mainstream gender and other cross cutting issues in their projects.			
Gender issues mainstreamed at all levels of planning by the end of the programme	Gender issues mainstreamed at all levels of planning			
HIV/AIDS infection and prevalence rates reduced by 2014	Infection rate Reduced from 6.9% to 4.9%			
Incapacitation and fatality of non-communicable diseases reduced by 2014.	Incapacitation and fatality of NCDs reduced from 3 to 2%			

Table 14: Institutional infrastructural Development for Strengthening Teaching and Learning Environment

Indicator	End of programme Target	Status of Implementation		
		July 2011- June 2012	July 2012 - June 2013	July 2013 - June 2014
One basic science laboratory to support training of science teachers constructed by 2014	One laboratory			
One basic science laboratory to support training of science teachers equipped by 2014	Various equipment			

4.0 Risk and Risk Management Plan

4.1 Introduction

Programme risks are literally defined to include all events that are uncertain⁵ and have negative impacts on programme activities, outputs and outcomes. The framework through which the EPINAV Programme is conceptualized assumes no adverse effect on the process and realization of the programme objectives and goal. However, in practice there is a plethora of unpredictable uncertainties that normally impinge on value chain actors as well as stakeholders within the EPINAV research themes. Thus, it is realistic to anticipate that the implementation of the programme will be influenced by various legislative, administrative, judicial, commercial and other sources of influence. In view of these multiple sources of programme risks, it is imperative to limit the scope of risk analysis to those risks of direct potential relevance to research interventions.

As EPINAV use a value chain development (VCD) approach to meet the objectives of the programme it is necessary to have adequate information on risks involved in the value chain development. This information will help the programme implementers to identify strategies to minimize risks for the successful impact of the project. It is important to anticipate potential risks and devise mitigation measures before hand to ensure on schedule attainment of the programme objective.

However it is crucial to underscore that anticipated risks cannot always correspond to real risks. This anticipation should therefore be perceived as an integral part of the uncertainty analysis that allows programme implementers to have an idea of how likely different impacts are in a range around the anticipated risks. Thus, is vital to have a risk management plan for EPINAV programme.

4.2 Risk Management Plan

Risk management plan is simply defined as the practice of using risk analysis to devise management strategies to reduce or ameliorate risk. The management of risk involves the identification, estimation, assessment, monitoring, evaluation

⁵ Uncertainty is defined as imperfect knowledge. This imperfection is attributable to variation in activity durations, costs and the exact performance level delivered by resources; foreseen risks with impacts that are difficult to quantify and unforeseen risks which make contingency planning more difficult because not all influential factors can be anticipated (Jacques Dréze, 1987).

and all control measures such as preventative, reactive *ad hoc* and unorganized processes to mitigate the impacts of risks. A risk management plan should critically evaluate whether the project implementation will go beyond the proposed schedule; its implementation will overrun its budget; and outputs will not satisfy the programme goal(s). This analysis (preferably quantitative) should help programme implementation team (PIT) to decide whether the programme is in jeopardy of not meeting its commitments and whether or not to take action to mitigate the risks. In summary a comprehensive risk management plan should:

- a) Identify risks and uncertainties in the programme
- b) Assess and prioritize the risks;
- c) Provide control options and risk handling plan and;
- d) Develop an early warning system.

4.3 Analysis of Programme Risk

4.3.1 Schedule risk

All projects under the EPINAV Programme have scheduled activities to be carried out after specific periods. These schedules are the benchmarks that will provide a graphical summary of the progress and will allow the Component to see where each task should be vis-à-vis its current level. To empirically gauge this risk, it will necessary to gauge how long it will take to accomplish activities that are lagged i.e. require extension. A tentative option that will be used to gauge riskiness of lagged activities is provided in Table 15.

Table 15: Tentative Criteria for Assessing Schedule Risk

Risk level	Criterion
Low	If the delay will have no impact on project completion
Minor	If delay will cause extension that does not exceed 10% of the project lifecycle
Moderate	If delay will cause the project to be extended for 10-15% of its lifecycle
Significant	If delay will cause the project to be extended for 15-25% of its lifecycle
High	If delay will cause the project to be extended for more than 25% of its lifecycle

This assessment will allow the Component to identify activities that are lagging; liaise with individual projects to understand reason(s) for the delayed implementation and inform the Programme about how well activities are progressing and how to fast track the implementation of such activities through various measures, especially providing additional support. This support may include; strengthening research capacity through broadening skills of the researchers and collaborators and, financial resources to meet budget deficit. Where delays cannot be justified, the Programme Implementation Team (PIT) shall deliberate and decide what should be done.⁶

Procurement/acquiring goods or services from outside the immediate project organization, is often one source of schedule risk. Procurement at SUA and other institutions in Tanzania normally succumb to long tendering process that can potentially delay the implementation of activities involving such an arrangement. The PM&E Component in collaboration with the RSI and CBIC Components shall design an expenditure tracking system to particularly identify activities that are critical to project success but involving tendering. The plan is to have an early warning in place, preferably an IT-based system, to help individual projects initiate procurements early. This strategy will be achieved through quarterly and semi-annual M&E reports that will be made available to all projects.

4.3.2 Cost risks

The budget for implementing the EPINAV Programme is basically estimated to finance overhead (coordination and overseeing programme) cost; capacity building as well as direct research costs. However, actual costs may change to reflect changes in exchange rate as well as labour and material cost. Individual projects are expected to have own contingencies to off-set deficits arising from unforeseen costs. While expecting incidental hikes in operational costs, it is ideal to believe that some projects/cost items are likely to be over budgeted albeit slightly. Consequently, effects of over budgeted costs items may conceal under budgeted items.

In terms of strategies, mitigating this risk demands flexibility in financial management to allow modest re-allocation of over budgeted to under budgeted cost items. In an event this strategy fails to mask budget deficit, it will be necessary for the Programme and individual project to strategically re-examine and prioritize activities and expenses.

⁶ It is anticipated that such issue will first be resolved amicably through round table discussions involving researchers, RSI Component and PM&E Component before resorting to other options.

4.3.3 Scope risk

Occasionally optimism is manifested in scientific research. This optimism is often associated with wrongly perceived assumptions during the conception of project ideas. Thus, researchers may face several challenges during the implementation including unforeseen technological changes, changes in regulations and scope creep. Scope creep is a situation that occurs when there are uncontrolled changes or continuous growth in project's scope without corresponding increases in resources, project's schedule or cycle. This phenomenon can occur when the scope of a project is not properly defined, documented, or controlled. It is generally perceived as a risk and should be avoided because the project team risks drifting away from its original purpose and scope into unplanned additions thereby overrunning its original budget and scope. To minimize this risk the RSI and PM&E Components will institute a system which will ensure that more tasks are completed within the budget and schedule originally designed.

4.3.4 Unpredictable risk

The programme document has several pre-defined overarching contingency plans to avoid unpredictable risk. Contingency plans are generally part of the risk management plan, but they may also be integrated into other parts of the overall project plan (e.g., as part of a scope management plan or quality management plan).

Thus, the PM&E Component shall advise the Programme to ensure some degree of margin in the programme schedule, budget and scope because new risks may occur as the programme rolls. Therefore the Component will constantly be on the lookout for potential risks throughout the project cycle and will take appropriate measures to assure timely responses.

Since risk management requires holistic and well-thought approaches, it is important to harness experiences of actors and stakeholders of specific chains. To uphold this philosophy, the Component shall promote brainstorming in the identification and management of project risks. Through this approach, it will be possible to solicit opinions/ideas from those engaged in brainstorming that seem to offer better alternatives to mitigate eminent threats.

4.4.5 Other Programme Risks

The programme document identifies several sources of risk including varied expectations of actors and stakeholders who are involved in executing research

and other value chain interventions; varied capacities of these actors and stakeholders to understand properly and implement project activities; overlapping responsibility of planners/coordinators entrusted to oversee the programme; limited capacity of SUA to work with the private sector and; other institutional weaknesses within the agricultural and natural resources sectors to provide support services that are needed.

Actors and stakeholders involved are likely to have varied perceptions of the purpose and benefits of research and interventions, especially with respect to how research findings and interventions will be relevant to their unique situations. The implementation of EPINAV programme requires all individual projects to do stakeholder analysis and understand their expectations, interests and willingness to participate, abilities to assume specific roles and power to influence outcomes. The programme also requires projects to organize inception workshops to establish common understanding about the agenda of research and how interventions will be piloted.

These two processes are meant to instil common perspectives about the programme and project and minimise over expectations/pessimisms about the intention of research and intervention among actors and stakeholders. Stakeholder analysis, proper introduction and joint planning have always been useful in establishing a common framework and building confidence through cooperation as well as sharing resources and information. These processes normally make the implementation easier and more efficient.

The programme document reveals that Programme Coordinators are currently assuming other administrative and academic roles and may have limited time to oversee the implementation process. The management of EPINAV Programme is structured in a way that coordinators and associate coordinators are working as teams. Furthermore, all components have various Committees Members who are well-informed about component activities and able to support the Coordinators as they implement Programme activities. In summary this structure allows the Programme Component Coordinators and Committee Members to support each other in coordinating Programme activities.

The M&E Component will support the programme to evaluate managerial efficiency through monitoring and evaluating progress as well as assessing collaboration among the Coordinators and Leaders. This M&E will allow the Component to identify managerial deficiencies and make appropriate recommendation(s) on how to overcome such deficiencies.

Limited experience of SUA to work with the private sector has been identified as a risk in enhancing pro-poor innovations. Effective public-private partnership demands introducing private sector efficiencies into public service through long-term contractual arrangement. This arrangement can secure all or part of the public service, call upon private funding and private sector know-how. This process has always been difficult with respect to entering into management contracts that facilitate the transfer of knowledge and skills to target beneficiaries and ensuring that the partnerships formed involve experienced operators with good track record.

To minimize this risk the programme document provides avenues for SUA to involve experts from competent firms, NGOs and other actors in the private sector in reviewing, approving implementation plans and monitoring progress. Harnessing the knowledge, skills and experience of these experts in conjunction with the prior requirement for individual projects to undertake rigorous analysis of stakeholders are twin-strategies to ensure that interests of the private sector are accommodated.

Deficiencies on the part of providers of support services (e.g. extension) have also been identified to impose some risk to the program. To minimize this risk the programme requires all projects to identify collaborators in respective sites, support them to assume specific value chain roles as they collaborate to undertake research and pilot interventions. This support and collaboration is expected to uplift specific constraints (e.g. capacity or skill) and empower service providers that are involved to undertake their responsibilities more efficiently. What appears to be critical is the identification of competent and reputable service provider, which justifies a need to undertake a thorough stakeholders' analysis.

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Annex 1

Information Required from the Field as basis for Verifying Expenditure, Tracing Progress and Gauging Output/Achievements Beneficiaries

1.0 Primary Beneficiaries

Project Name: _____

District _____ Site/Village _____ Date _____

(i) Based on the field experience, describes the primary beneficiary of the project (*Example: This project is primarily working XX farmers in YY villages within the district (HH males and MM Females). Where possible disaggregate beneficiaries by villages and sex*

(ii) .

Site/Village	Beneficiaries		Total
	Male	Female	

(ii) Based on beneficiaries testimony what project activities have been implemented on the ground and by who?

Planned activity	Implemented Activity	When was it implemented (e.g. Jan-2012)	How many beneficiaries were involved?		Apart from primary beneficiaries who else was involved (e.g. Agric. Officer)	Role performed	Outputs	Outcome(s)	Remarks
			Males	Female					
						Advisory support to farmers	New knowledge to farmers on <i>striga</i> control	Adoption of new <i>striga</i> control methods/practices	

- (iii) Based on beneficiaries' testimony what goods and services were used or provided during the implementation of activities mentioned in part (ii) above?

Activity	Inputs				
	Physical goods ⁷	Total number	Services	Monetary support	
				Fare/transportation	Facilitation (e.g. meals/pocket money)
Example: <ul style="list-style-type: none"> Workshop for farmer training 	Example: <ul style="list-style-type: none"> Stationery (notebooks and pens) 	Not necessary	Example <ul style="list-style-type: none"> Soft drinks and meals/refreshments 		
Example: <ul style="list-style-type: none"> Construction of fed lots 	Example : Construction materials <ul style="list-style-type: none"> Iron sheets (10 ft) Pieces of timber Poles Bags of cement Wire for fencing 	100 230 70 50 16 rolls			

- (iv) Based on beneficiaries testimony what is the overall assessment of the project with respect to its conception, inception, implementation, and relevance

Project conception	Inception	Implementation	Relevance
Example: <ul style="list-style-type: none"> Consulted and contributed ideas Generally not involved Idea introduced by researchers and supported 	Example: <ul style="list-style-type: none"> Consulted to seek support and input before the implementation Not consulted to plan its implementation 	Example: <ul style="list-style-type: none"> Activities generally implemented as planned Most activities implemented but with significant delays Implementation is generally poor (most of the planned activities still pending) 	Example: <ul style="list-style-type: none"> Project activities generally relevant Project activities are somehow relevant Most activities/interventions seem to be irrelevant

⁷ For major capital items information on average whole sale/retail prices in shops within the nearest town can also be collected as basis to authenticate expenses; Where time allows, attempt to verify physically some of the capital goods that have been procured

- (v) Apart from the core objectives of the research what are other cross-cutting/community-wide/national issues that are addressed through the project? NB: Focus on gender issues, HIV/AIDS, climatic and natural disasters (e.g. climate change), environmental issues (deforestation, pollution)?
- (vi) What challenges have so far been experienced by this projects and how did the project and stakeholders address such challenges?

	Problem encountered	How was the problem addressed	Comments

- (vii) Observe and comment on the extent to which the project has attempted promoted partnership and collaboration/networks within and between the public and private sectors?
- (viii) In stakeholders' opinion what is the overall assessment of the project implementation?
- (ix) What are stakeholders' suggestions for improving the performance of the project?

3.0 Tertiary Stakeholders (e.g. Policy Makers and Institutions)

Project Name: _____

District _____ Site/Village _____ Date _____

Name of stakeholder	Role/involvement in the project	Where appropriate what input or support has been availed to the project stakeholders	Overall assessment of the project

- (i) What challenges have so far been experienced by this projects and how did the project and stakeholders address such challenges?

	Problem encountered	How was the problem addressed	Comments

- (ii) In stakeholders' opinion what is the overall assessment of the project implementation?
- (iii) What are stakeholders' suggestions for improving the performance of the project?