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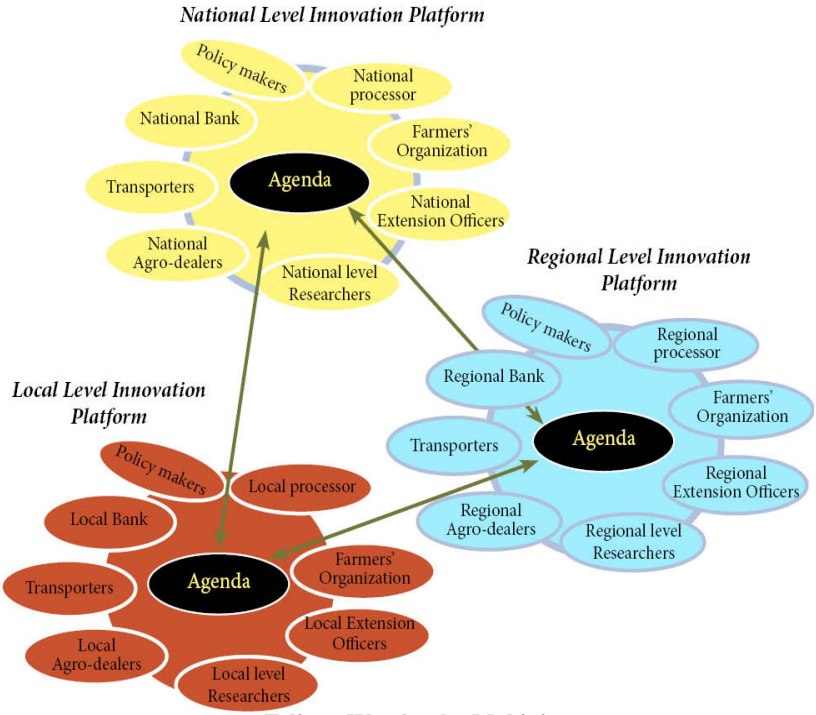
Australian Centre for International Agricultural Research

OPERATIONAL FIELD GUIDE FOR DEVELOPING AND MANAGING LOCAL AGRICULTURAL INNOVATION PLATFORMS



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The guide is not prescriptive but meant to inspire practitioners into exploring by using applicable combinations of tools and methods

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Foreword

The dynamic changes taking place in Africa, especially those caused by increasing population and climate change necessitate renewed efforts in food production, natural resources management and protection of the environment. In the past, Agricultural Research and Development agencies used diverse approaches to share 'best practices'/'best bet options' with the farming community but there has been often disappointing impact at farm level. The efforts made in the 1950s were predominantly linear technology transfer approaches, the farming systems perspective in the 1970s, and the farmer participatory approaches in the 1990s. All these have led to 'islands of success' observed around pilot testing sites instead of the expected widespread impact. Recently, the Agricultural Innovation Systems perspective has been embraced with a view to addressing some of the shortcomings of the previous approaches.

The Agricultural Innovation Systems perspective has a major point of departure from the earlier approaches which is the recognition that it gives to institutional challenges and multi- stakeholder engagement. It is useful because it provides science, technology and innovation organisations with an opportunity to develop appropriate innovations and to efficiently scale them up and/or out across the world. The perspective advocates for users and suppliers of knowledge and other services to interact from the outset to ensure innovation takes place within the value chains. The aim is to combine existing knowledge types (such as local, scientific and global) to generate technological, institutional and organisational innovations.

To operationalise this approach, agricultural innovation platforms (InPs) are critical. An innovation platform entails coming together of a critical mass of partners to share information, identify challenges and opportunities and agree on joint/reciprocal activities related to a common vision. Each actor in an InP needs to have clear role(s), appreciable contribution(s) and definite benefits.

The participation of the private sector in these processes is vital in the achievement of the Millennium Development Goals and various national goals and objectives.

Innovation platforms offer the prospect of vital to accelerated local development and there are many high level materials about them that

exist. However, there is no practical operational field guide which can be used by field level staff or any other interested parties to ensure good quality implementation. Without good quality implementation, the potential effectiveness of InP can not be assessed, in which case learning about which InP methods work best will necessarily be limited. On behalf of all who have been involved in the preparation and production of this guide, we thank the Consultative Group on International Agricultural Research (CGIAR), Forum for Agricultural Research in Africa (FARA), CORAF/WECARD, CSIRO, the National Agricultural Research Systems (NARS) and the educational institutions from the 17 countries whose representatives shared their experiences on the setting up and management of InPs in a workshop facilitated by Dr Jurgen Hagmann of PICO Team. These experiences are further summarised into the chapters of this guide.

This field operational guide forms one important step in a larger series of activities conceptualized by John Dixon, ACIAR, Bruce Pengeley, CSIRO, Andy Hall, AusAID and George Mburathi, SIMLESA designed to build capacity and foster quality in InP establishment, management and monitoring. Ultimately, we hope to establish a mentoring platform in the region.

Finally, it is our sincere hope that all NARS and other institutions in Africa and beyond involved in working with Innovation platforms will find this guide valuable. We shall appreciate your feedback so that we continually update the guide with any emerging trends and information from the field.

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Acknowledgements

On behalf of NARS in Africa and at the request of ACIAR, the Kenya Agricultural Research Institute (KARI) hosted the workshop; *Innovation platforms as a vehicle for delivering agricultural products and enhancing learning: African experiences.* This led to the preparation of this guide which is a document to serve as a basis for discussion and learning about innovation platforms (InPs). It has been informed by experiences and lessons from the existing agricultural innovation platforms in Southern, Eastern and Western Africa.

First we thank the Director KARI, Dr Ephraim Mukisira for his insightful guidance towards, during and after the experience sharing workshop. He not only facilitated the preparative stages but also gave very insightful opening remarks and observations. From the onset, Mr. George Mburathi has willingly shared his experience with agricultural development in Africa as well as his field experiences in supporting InPs. We also thank the Australian government through the Australian High Commissioner to Kenya, who was represented at the workshop by the First Secretary, Food Security, East and Horn of Africa, Ms Louisa Cass. We are specifically grateful to Australian AID (AusAID) for funding through the Australian Centre for International Agricultural Research (ACIAR). Similarly, we are grateful to ACIAR and AusAID for not only providing financial support to the innovation platforms in various regions of Africa but also for supporting and participating in the workshop which formed the bedrock for the development of this guide.

We thank the facilitator, Dr Jurgen Hagmann of PICOTEAM for ably steering the preparation process and the three days of the workshop. We are also indebted to the participants in the workshop whose active participation in the discussions that took place informed by their rich experiences saw the production of this guide. Last but not least, we thank the support staff from the Department of Outreach and Partnerships in KARI and all the individuals who in one way or the other contributed towards the successful preparation and production of this guide.

Acronyms and Abbreviations

ACIAR	Australian Centre for International Agricultural Research
ARD	Agricultural Research and Development
CA	Conservation Agriculture
CARE	Cooperative for Assistance and Relief Everywhere
CBO	Community Based Organisation
CGIAR	Consultative Group on International Agricultural Research
CIG	Common Interest Groups
CIMMYT	International Maize and Wheat Improvement Centre
CSIRO	Commonwealth Scientific and Industrial Research Organisation
EIAR	Ethiopian Institute of Agricultural Research
FARA	Forum for Agricultural Research in Africa
FGD	Focus Group Discussion
FPR	Farmer Participatory Approach
FRG	Farmer Research Groups
IAR4D	Integrated Agricultural Research 4 Development
ICIPE	International Centre for Insect Physiology and Ecology
ICRISAT	International Crops Research Institute for the Semi-Arid Tropics
ICT	Information Communication Technology
IIAM	Instituto de Investigação Agrária de Moçambique
ILRI	International Livestock Research Institute
InP(s)(INP)	Innovation Platform(s) (InP to distinguish it from Intellectual Property)
JOLISAA	Joint Learning in Innovation Systems of African Agriculture
KARI	Kenya Agricultural Research Institute

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LDA	Limpopo Department of Agriculture
LInP	Local Innovation Platforms
MCA	Market Chain Analysis
M&E	Monitoring and Evaluation
MoA	Ministry of Agriculture
MoLD	Ministry of Livestock Development
MoU	Memorandum of Understanding
NARS	National Agricultural Research Systems
NGO	Non-governmental Organisation
OA	Outcome Analysis
PAR	Participatory Action Research
PM&E	Participatory Monitoring and Evaluation
PNISA	National Platform for Innovation in Agriculture
PRA	Participatory Rural Appraisal
RWAB	Rwanda Agricultural Board
SARI	Selian Agricultural Research Institute
SH	Stakeholder
SHA	Stakeholder Analysis
SIMLESA	Sustainable Intensification of Maize Legume Cropping Systems for Food Security in Eastern and Southern Africa
UoA	University of Abomey
UoN	University of Nairobi
WECARD	West and Central Africa Council for Agricultural Research and Development

Organisation of this Guide

This guide is organized into six chapters with a summary of key steps at the end of each chapter which can be considered as main highlights. Chapter one gives an introduction and explains why the guide is necessary. It gives an overview of the sequence of the main agricultural research and extension approaches and their shortcomings and hence the reason for the new innovation systems approaches. Chapter two deals with an overview of the InP process covering underlying values and principles, design and processes. In chapter three, a description of the four key phases of the InP formation process is given starting from Initiation (pre-formation), establishment, management and sustainability of the process. Chapter four deals with resourcing the InP process while chapter five is on monitoring and evaluation. The final chapter covers cross- cutting and enabling factors which include gender, policy, scale and communication among others.

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Chapter 1

INTRODUCTION

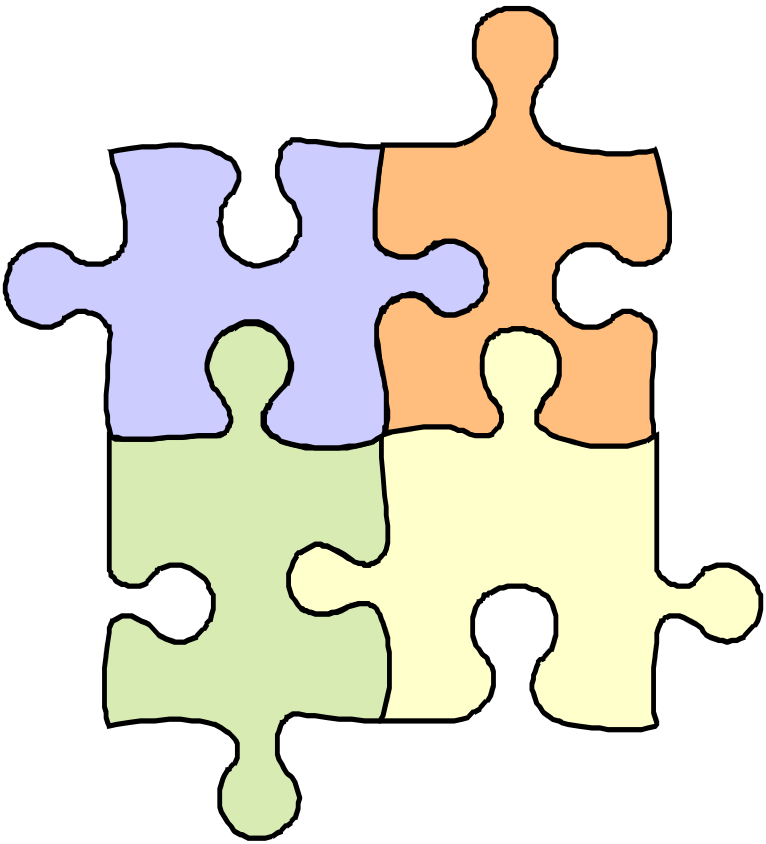

Plate 1: Innovation platforms are like a jigsaw puzzle that needs the pieces to be pieced together to make systems whole and efficient

A vast majority of the population in Sub-Saharan Africa depend directly or indirectly on agriculture for their livelihoods and any improvements in this sector could make a big difference in the lives of millions of people. The sector faces manifold challenges that relate to production, post-harvest handling, marketing, policy frameworks, information flow and knowledge exchange between the stakeholders. Therefore, there is need to boost efforts towards transforming agriculture with a view to reducing poverty, increasing food and nutrition security and reducing environmental degradation.

Such efforts started in the 1950s when the linear transfer of technology model was introduced. Scientists were considered as the innovators and farmers were the target to improve productivity of single commodities. In the 1970s, the farming systems perspective emerged aimed at understanding constraints faced by the farmer while the scientific input was interdisciplinary, and the work was conducted on-farm. Farmers were consulted, but scientists remained as the key source of knowledge and innovation. Farmer Participatory Research approaches (FPR) were launched in the 1990s where scientists and farmers were considered as co-creators of new knowledge that was directly relevant to the farmers' livelihoods. The new approach recognised the importance of farmer engagement in the knowledge development process but failed to fully recognise institutional constraints, and the usefulness of multiple actors besides the necessity to engage all key stakeholders. Towards the end of the 1990s, the innovation systems approach and its actualisation through Innovation platforms (InP) was introduced. This approach, unlike FPR recognizes the enabling role played by institutions, multi-stakeholder engagement as well as policies towards innovation, social learning and adoption of improved methods (Hounkonnou *et al*., 2012).

An innovation platform (InP) is described as a forum established to foster interaction among a group of relevant stakeholders around a shared interest. The stakeholders perform different but complementary roles in the development, dissemination and adoption of knowledge for socio-economic benefit. These roles could be new ideas, methodologies, procedures, concepts or technologies developed or adapted from other locations. Reference is basically the value

chain but other actors playing critical roles in the innovation process can be included. Innovation platforms seek to harness innovations related to technology processes, institutional and social organisational arrangements. To promote these innovations, partnerships along and beyond agricultural value chains must be fostered to bring on board actors with a special mix of skills (World Bank, 2011). These skills are complemented with functional expertise since the new ways of working require a mix of scientific, technical, managerial and entrepreneurial skills.

In constituting the InP membership, key obstacles that could hinder the accomplishment of developmental goals are considered. Every member of the platform is considered to have something unique to contribute and to benefit making it a win-win collaborative mechanism. The stakeholders interact to jointly identify problems and opportunities, seek and apply solutions, learn, reflect and source more solutions for the innovation process to continue (Adekunle *et al.*, 2010).

An InP has boundaries which can be thematic, geographic, and sectoral or value-chain related. It can also be formal or informal in character, but must always possess clear ground rules to define how decisions are made, conflicts are dealt with and how new members or organisations can join. The existence of ground rules does not mean that the platform is static but rather it is a fluid entity with an evolving membership that draws in relevant expertise depending on the problem being addressed. Organisations or members may join and leave at will, while roles of actors change over time and the focus of the platform also changes (Nederlof *et al.,* 2011).

Innovation platforms are applicable to all aspects of agriculture and for a wide range of technologies from simple to complex to integrated and composite. They present opportunities to increase the yield in farmers' fields through increased access to information, inputs, agricultural lending, and capacity building. With increased market linkages, farmers' incomes increase, and contribute towards reduced poverty. Innovation platforms have to strategically engage researchers for continual contribution to the development of technologies, new

products, increased productivity, natural resource management, policy, markets development and gender.

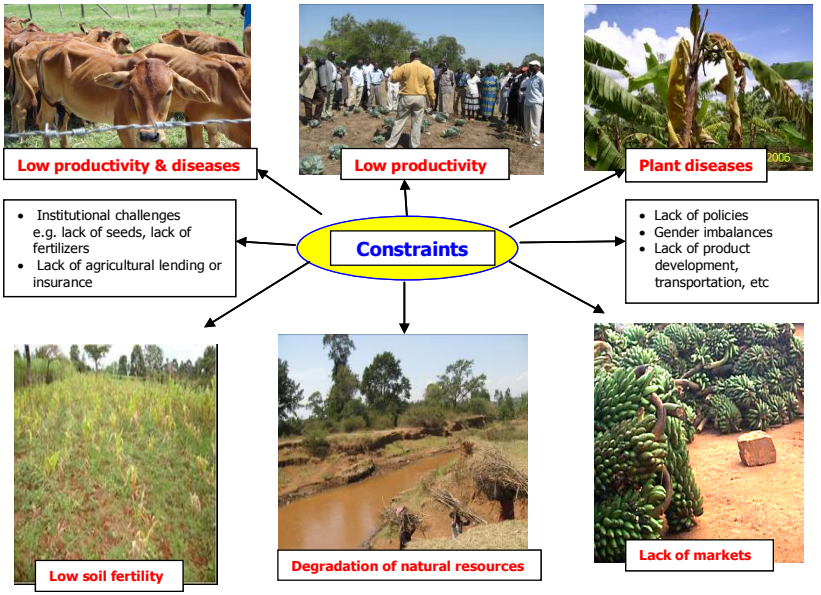

Plate 2: Need to guide formation of InP to address challenges e.g, low productivity, diseases, lack of markets, degradation, institutional challenges, lack of inputs, etc.

Innovation platforms have become attractive to a wide range stakeholders who include researchers, development practitioners and policy makers. However, their establishment and management are complicated by the multiplicity of actors who start with diverse objectives and expectations. This guide has been prepared to support users to navigate along the path leading to socio-economic benefits.

Setting up and managing innovation platforms in the past has been likened to *driving a car by reading instructions in a book yet it requires coaching, mentoring, interactive learning and doing, to be a good driver*. This guide therefore should be complemented by coaching,

mentoring and peer learning for success. It comprises of operational practices illustrated by experiences from various regions of Africa and allows inclusion of more experiences as they become available to capture the wide heterogeneity of operational contexts. The guide does not take away the necessity to analyse one's own context and develop a specific intervention.

Chapter 2

OVERVIEW OF THE InP PROCESS DEVELOPMENT

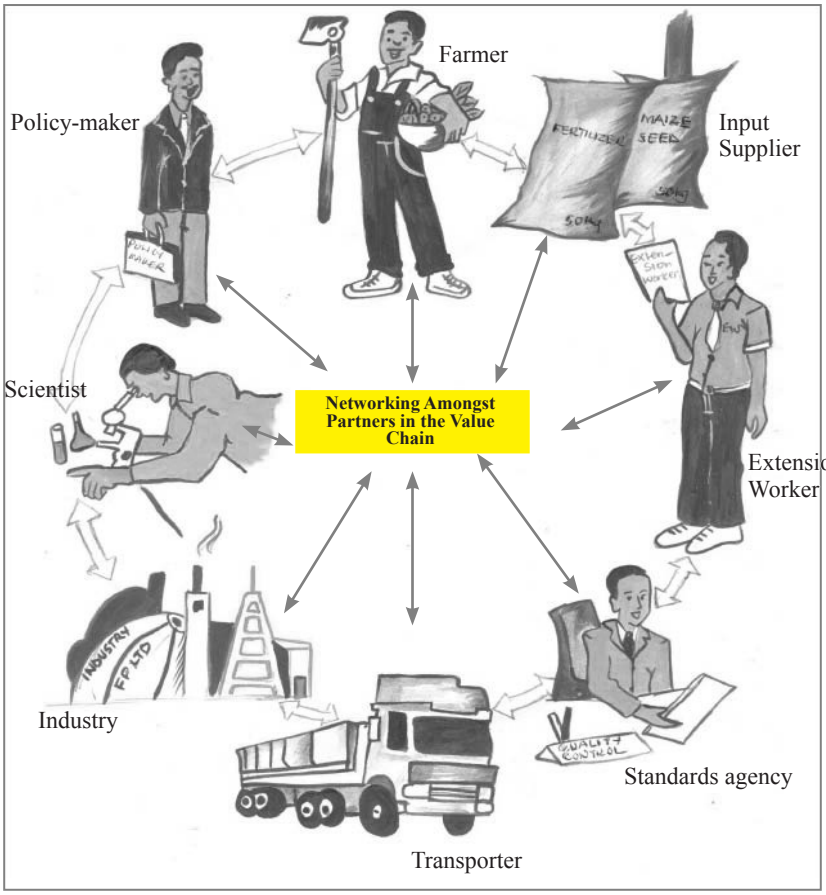

Plate 3: Stakeholders bound together by their individual interests on an issue e.g. an enterprise value chain

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2.1. Underlying Values and Principles

Innovation platforms can be formed at least at three levels - operational (local), intermediary/regional and national levels. They may deal with different sectors such as livestock, crops, aquaculture, horticulture, and forest and forest products among others. All platforms however deal with common problems found in a specific sector or sub-sector for which identification and application of solutions depend on more than one actor. Stakeholders may have different interests yet share a common objective and depend on one another in responding to the challenges and opportunities encountered.

At the community level, platforms often look for opportunities or practical solutions to a local problem, by linking local farmers to markets and other stakeholders. In so doing, they provide evidence for realistic policies and policy areas which could be taken up at the higher level. Higher level platforms inform policy makers who in turn formulate policies that will have an influence on local level activities. Getting multiple partners to work, learn, and innovate together often requires a broker, champion or a catalyst. An innovation platform broker or champion (who may be an individual or an organisation) is responsible for connecting the local partners for operational purposes and linking them with platforms at higher levels). Platforms at higher levels e.g., regional or national platforms, are tilted more towards strategic rather than operational matters. The broker also provides guidance and where this is an outsider, gradually facilitates takeover of this role by local stakeholders in form of a local broker or a local steering committee stakeholder (Figure 1).

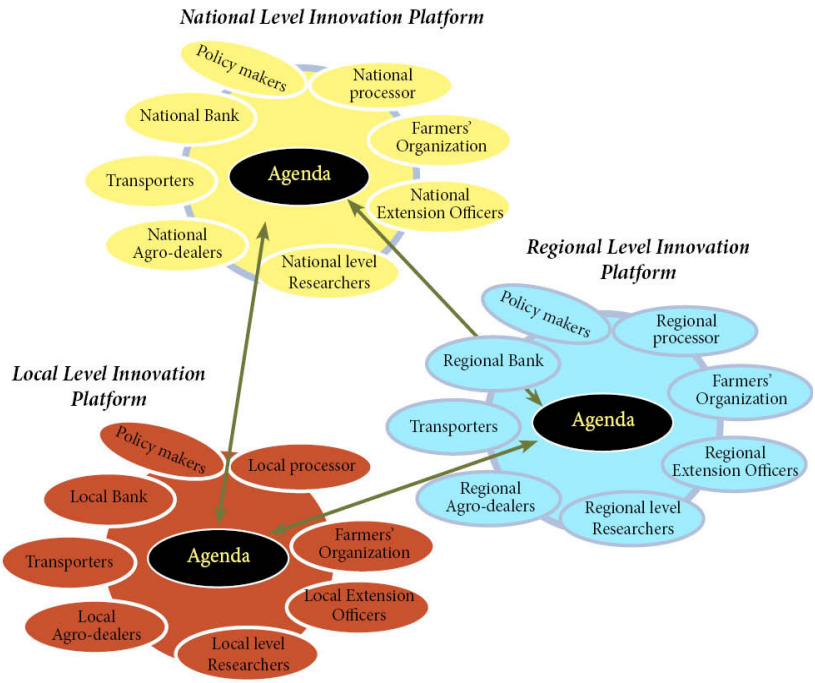

Figure 1: Local, regional and national level innovation platforms

Formation of InPs falls into four broad phases which are;

1. Initiation and visioning (this includes engagement with stakeholders and setting vision for the group);
2. Establishment (which includes planning and stakeholder engagement);
3. Management (including facilitation, learning, assessing); and
4. Sustainability (which includes the application of lessons from assessment in developing sustainability measures)

At each of these phases of the innovation process, the role of each category of participants can change. For example, the role of farmers is likely to change from merely showing interest to active collaboration and finally ownership and leadership. Where the research or development organisation is the initiator or broker of an InP, its role

changes from initial leadership to facilitation of the process and finally to providing backstopping when and as required.

The role of the private sector changes from merely showing interest to one of active collaboration and finally ownership by providing support to farmers and engendering opportunities (Figure 2). It is important to note that private sector can initiate the process where production of an enterprise is vital for its success. For example, East African Breweries Limited (EABL) has been proactive to increase Gadam sorghum production for brewing its products (Kavoi *et al*., 2013).

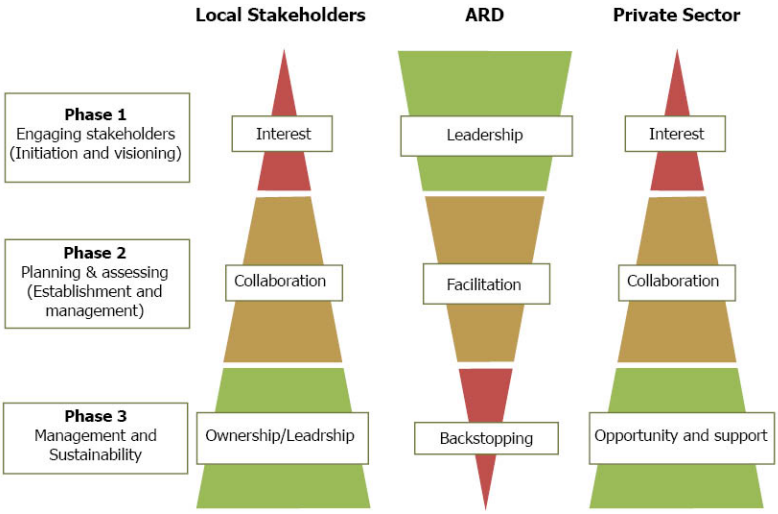

Figure 2: Changing roles of various stakeholders at different phases

Adapted from Devaux, *et al., 2005*

Text box 1: Changing roles at different stages: Case study: Goat value chains as a platform to improve income and food security: Swaans, et al., 2013

In a goat InP experience in Mozambique, ILRI and CARE played a strong role in the establishment and facilitation of the platform but this was slowly handed over to the InP secretariat elected by the platform members. A notable observation is that it takes time to develop a well functioning secretariat. In the initial stages, the role of agenda setting was taken up by ILRI and CARE as the innovation brokers trying to link the knowledge, skills, capacities, and resources from different players.

2.2. Innovation Platform Processes

The following is a step by step sequence of stages that may guide the establishment of an InP. The sequence described here may not cover all types of platforms, or even the diversity exhibited by InPs, but provides the general principles of the process.

1. **Initiation phase.** This phase includes site selection, determination of the agenda and entry points. This first step comprises of a scoping study or process to determine and understand the compelling challenges of the value chains of selected commodities or systems. The process is accomplished by an initiator or broker who convenes a meeting of diverse, all inclusive stakeholders to discuss and articulate the challenges that limit performance of the value chains of selected commodities or systems. The initiator here could be an individual or a team or even an organisation in either the public or private sector. They could be researchers, farmers, development workers, or private sector players covering the inputs or output markets or policy makers. The product from this phase may include a general description of the system or the value chains coupled with a privatisation of the entry points.

2. **Establishment phase.** Selected entry points influence this phase particularly the kind of stakeholders to be engaged. Stakeholder analysis is conducted to enable the initiator to identify stakeholders willing to join the platform and their capacities to play expected roles on the platform. The narrowing of the platform topic, understanding of the context, visioning and action planning is undertaken in this phase. After gaining the general understanding of the challenges in the initiation phase, stakeholders relevant to the topic are selected and engaged. Through the relevant stakeholders, the InP agenda is refined.

3. **Management of InP phase**. This is where the management of the process takes place including learning and innovation.

4. **Sustainability of an InP.** This is where stakeholder dynamism occurs as issues are solved and new issues arise, old stakeholders leave and new ones join as need arises. These new issues can be championed by an individual or organisation with the expertise in that new area or has knowledge to bring relevant interventions to solve the new challenges. Learning and innovation continues in this stage.

Appendices 1-9 at the end of this document provide detailed steps for the various methodologies and tools used in the InP.

Chapter 3

THE PHASES

3.1. Initiation Phase

Plate 4: Platform initiation from a felt need – Marketing of goats in Mozambique (photo by Van Rooyen et al., 2013)

The initiation stage marks the entry point into starting off stakeholder interaction processes in an InPs. As mentioned above, the initiator may be an organisation, or an individual in the public or private sector operating or interested in operating within an area. It is at this stage that there is determination and/or articulation of the challenges constraining the productivity and profitability of an enterprise or failure of a value chain. Background information on the state of affairs or level of development in relation to the selected commodity or system may be obtained from literature review, secondary data, key informant interviews, focus group discussions (FGD), case studies, market chain analysis, institutional capacity assessment, and expert information.

Adequate planning is necessary for each of these approaches but irrespective of how well prior planning is done, diverse contexts in the InPs environment will lead to unexpected challenges, opportunities and other occurrences invariably leading to changes in the way a platform works. Operators should be on the lookout for these and take full advantage as much as possible. Maximizing such advantages makes the difference between a high flying platform and a mediocre one. Depending on the intended objective of the InP, the process can be started either by determination of the agenda or site selection.

3.1.1 Site selection

As indicated, site selection can precede the determination of the agenda depending on the objective of initiating an InP. Sometimes, site selection is given either by the mandated institution or by the policy makers. It is important to understand the background of the selected site including any initiatives that may have been implemented in the past. Site selection can also be straightforward where the aim of the project is to alleviate the impacts of a certain constraint in a given area but can also involve the analysis of the biophysical and socio-economic conditions as well as the interest and willingness of local communities. Site selection usually requires analysis where the purpose of setting up the InP is experimental for which results have to be subjected to rigorous statistical representativeness (Appendix 1).

3.1.2 Determination of the agenda

This sub-stage, also termed as 'scoping,' refers to the activities that help to better understand the context within which the platform is to be established. It usually follows the process of *stakeholder scanning* that gives a quick overview of all stakeholders operating within the location and who could be called upon to help determine the real problems and set the agenda for operations (Adekunle, 2013). Scoping serves as the initial effort to narrow down the platform's topic. Scoping provides a clear understanding of the issue or opportunity that will impact positively in an area in terms of addressing food insecurity, poverty, income generation (marketing, processing etc), natural resource degradation or local capacity. Methods and tools to be used here include secondary data collection and analysis, literature searches, baseline studies, semi-structured interviews, historical trends and observations. Determination of the agenda entails seeking and consulting information on, a few issues including but not limited to:

a. Key challenges and/or opportunities of for example, value chain enterprises and their status.

b. Probing the existing institutions (policies, rules, and regulations), organisations and business entities on how they work.

c. Determining the actual cause, for example: the issue could be producing more food, but the cost of production could be constraining. Conversely, there could be adequate production but lack of value addition of an agro-enterprise, or markets and marketing may be the real issue. The issue could also be sustaining agricultural and natural resources or improving the policy and institutional environment. An analysis like "the problem tree" could be used to determine the root causes of challenges that are on the agenda for the platform.

After determination of agenda through the methods above there is need to:

a. Identify all the existing stakeholders in the region, their agendas or mandates (institutional and individual), power

relations and openness to collaborate; and the extent of organisational and individual technical and managerial capacities. This is a general stakeholder mapping (1st level stakeholder mapping).

b. Mobilize and build interest amongst these stakeholders who can include policy-makers, farmers, opinion leaders, R&D partners, private sector and/or business entities, in the area. This level should include almost all stakeholders in the selected site or region. These stakeholders should be engaged in consultative meetings to understand the nature of activities being undertaken and the constraints as well as the biophysical, socio-economic, technological, policy and institutional arrangements. A wide consultation with several stakeholders facilitates collaboration, co-operation, networking and mobilisation of social capital which are all ingredients for the creation and sharing of knowledge.

c. Undertake a situation analysis to capture current knowledge, attitudes and practices of stakeholders, and the selected commodity or system.

3.1.3 Stakeholder mapping and engagement

After the general agenda is set and site identified, the follow-on activity is to accurately identify the essential stakeholders that are relevant to the accepted agenda. This comes through stakeholder analysis leading to stakeholder mapping. The output will be used in the identification of the stakeholders to engage for the set agenda. Stakeholder analysis characterises and covers the relative skills and scope of stakeholders as well as their interest in working with others on a platform. Stakeholders that have been identified to have relevant skills with adequate scope of coverage and interest in working with others on the platform are engaged. At this point, stakeholder categories that are considered critical to the accomplishment of the set tasks and who are missing on the platform need to be identified and engaged. Depending on the agenda, engaged stakeholders may include any of the following: farmers, input suppliers, output handlers,

financial institutions, extension agents, researchers, policy makers, business entities /private sectors (covering input and output markets), and other relevant actors. Those not operating within the area could be engaged through virtual means to ensure that their inputs complement others on the platform.

Discussion on actual roles to be played should be made clear at this stage and not assumed since the success of an InPs hinges on the synergy between the skills of the different actors. The stakeholders are then taken through an initial visioning process where they are facilitated to appreciate being part of an effort to achieve a dream. The expectations are levelled to ensure that the stakeholders feel they are part and parcel of the decision making on the platform. An important achievement of this process is to get 'buy in' by local leaders which is a deviation from past approaches that took the involvement of leaders as optional.

In order to avoid pitfalls of previous approaches, a crucial activity is the clear definition of roles and responsibilities of stakeholders for every action point. These include governance, capacity building, monitoring and evaluation, facilitation, and experimentation. An understanding among the platform actors with regard to the mandate and tasks of the organisation or individual providing the main facilitation services is essential.

3.1.4 Challenges and how to address them

Major challenges that may be encountered at this stage could include;

- **Lack of inclusiveness:** Inclusiveness is important to ensure that no actor or special interest group relevant to the platform is left out.

- **Making scientists accept to relate to others including farmers as equal partners in the accomplishment of the collective dream:** Changing the mindset of scientists to accept other players on the platform is challenging. Facilitators can help in ensuring that the ember of 'ivory towerism' which is common with scientists is not fanned.

- **Submerging selfish interests and embracing group interest:** Actors usually go into collaboration with the purpose of advancing their personal interest sometimes at the expense of other interests. It is a big challenge, for example, to make researchers agree to be open minded and not be hooked on implementing the idea they brought from their station into the partnership. A way to help submerge selfish interest is to identify them and submit them for discussion by the group. It helps to take each idea and analyse it not only for how the benefit is derived but also for who derives the benefits and what happens to the rest of the team. InP is supposed to be a win-win situation thus any idea that does not promise win-win benefits is handled with caution.

- **Ensuring discipline on the platform:** Members come into the platform with different ideas and approaches to work. At the beginning and especially before the benefits start to come in, there may be elements of lack of seriousness in some members. The platform has to ensure that there is discipline and that people carry out decisions taken with seriousness. A proven method of ensuring discipline is to get the group members develop and adopt a set of by-laws and regulations which they should enforce impartially.

- **Poor quality of facilitation**: The quality of facilitation is fundamental and should be ensured since this is what will clearly differentiate this approach from top down approaches. A good facilitator is open to all ideas and submits all of them to objective consideration by members, should not be exclusive, oppressive, or tyrannical and should present himself or herself with objectivity and dignity.

➢ **Key points**

1. The broker/initiator conducts a scoping study in an area through literature review, secondary data, key informant interviews, market chain analysis and other tools to understand key value chain challenges.

2. Determine the type of InP (local, intermediary or national). In case of a local or intermediary level InP, determine the site of operation (county, location, village, etc).

3. Mobilize and sensitize stakeholders such as policy makers (both upstream and down stream), farmers, R&D organisations, in/output suppliers, government agencies and the private sector and jointly determine the compelling agenda.

4. Narrow down to the relevant value chain stakeholders (including those who may be outside the group). Analyse their knowledge, attitude and practices (KAP) and conduct an initial visioning exercise to harmonize the goal and set an action plan.

5. Jointly identify and determine roles and responsibilities of each stakeholder in the proposed action plans.

3.2. Establishment Phase

Plate 5: Farmers interacting with the Rwanda Agriculture Board team during Community Action Plan elaboration step as reported by Leonidas Dusengemungu, Rwanda

In this stage, narrowing of the agenda visioning, elucidation of incentives for diverse actors, and common understanding of the process takes place. A deeper understanding of the system, constraints, and opportunities occur leading to finer action planning and implementation. There is an inherent threat to the InP if it over stretches or exceeds its scope or if it has a narrow range of actors, geographical or thematic focus. It is therefore necessary to achieve a balance. This can be done through social network analyses[1] or mapping to identify weak or dormant linkages that may or may not be necessary for the InP and taking action either to strengthen or severe them as deemed necessary. In addition, non-existent but necessary links can be identified and forged thus rejuvenating the InP. This role can be accomplished by the facilitator.

Initial work is done with stakeholders who joined as products of the initial stakeholder scanning. But after narrowing down the platform's topics and gaining a deeper understanding of it, a stakeholder analysis is necessary to identify the relevant stakeholders required for the platform. These stakeholders identified by the facilitator need to meet in a workshop setting for the fine-tuning of the agenda. The agenda

[1]See notes at the end

developed by the platform may take different forms and may address different portions of the value chain with different demands made on different actors. For each research and development agenda, there would be multiple options and trajectories to be pursued. Each option should be discussed by partners for the elucidation of "who does what", "who benefits", and "how the benefits would be derived" (Adekunle, 2013). The challenges and/or opportunities are then presented for a common understanding and buy-in. Decisions should be taken by consensus after discussing the options and using all possible tools to identify constraints and options and prioritizing them.

Interests of each stakeholder are taken into account to create incentives for participation. For example, an incentive for participation of a private sector actor would be profit making and access to adequate supply of raw materials if that actor, for example, is a processor. In addition, a processor would further require assurance of timely and quality supply of raw materials for processing. Conversely, an agro-dealer's incentive would also be profit making where the demand or market for his/her products is key. The incentive for researcher and extension actors would be the opportunity to pass on improved production technologies to improve lives.

Plate 6: Incentives to a milk processor are access to adequate milk which will translate to profits after processing.

Plate 7: Incentives to a farmer are access to micro-credit and other inputs to increase production

Clear roles and responsibilities for each actor should be identified, clearly spelt out and agreed upon. This stage is accomplished by stakeholders defining a road-map that will include determination of the resources required and mobilisation for implementation. The road -map is developed into a business plan for the group spelling out what is the goal, what are the activities and when they are to be done. This will provide the InP with the way forward because it will be their implementation framework. It is necessary that frequent consultative meetings are held by the stakeholders to evaluate progress and address challenges that may occur.

Text box 2: The process of determination of incentives: case study: Van Rooyen et al., 2013

During the first meetings of the InPs, members discussed the merits of the process and discussed the potential benefits for each member. The members jointly defined the specific roles and contributions, but more importantly what they could achieve for themselves as members of the InP. This was achieved through a visioning process where all stakeholders were requested to visualize where they wanted to be in 5 to 10 years and to define the challenges and hurdles on the path towards achieving that vision. This provided a realistic framework of what the process should be – rather than focusing on a specific commodity or technology. It created an opportunity for farmers to design their own development pathway within the context of their household and community. The InP then prioritized activities and interventions and drew in the necessary research and development agencies to help with testing technologies to improve production to fulfill market demand.

3.2.1 Action planning

Action planning is a sub-stage of establishment of an InP which:

1. Takes place through a series of meetings and/or workshops.
2. Involves a narrowing down of the main points raised from the joint analysis and defining of a clear strategy for action: i.e. what must be done.
3. Groups actions broadly into operational (implemented at action sites) and strategic, (outside action sites).

4. Entails defining roles and responsibilities of stakeholders at action sites (e.g. governance, capacity building, M&E, facilitation, experimentation) (who will do what).

5. Identifies actions done at different levels, namely, action site, national and regional with provisions for cross-site input.

The resulting joint action plan and agreed division of tasks may change later on. During this sub-stage, it is also important to include a component of monitoring and assessment that may indicate the need for change of strategy when necessary and documenting of lessons learnt from initiatives taken by the platform. It is also crucial at this stage to discuss the role of the facilitator of the platform.

3.2.2 Implementation/operation

Planning, action and reflection at all stages of implementation of the InP should be adopted to ensure that there is learning at all stages.

The InP members should meet at regular intervals to discuss and implement activities to improve the efficiency and effectiveness of the different aspects of the agricultural value chain or sector. Such changes should be tested, evaluated and adapted as necessary and these are important ingredients for sustainable change.

Initially, this process may be driven by the facilitator but stakeholder involvement should increase with time as the benefits of increased cooperation are realised

During implementation, certain activities are necessary to enhance learning such as field exchange visits, participation in field days and other events. This is aimed at enhancing the capacity of the members of the platform to implement the activities of the selected value chain. These visits may show partners how their colleagues are overcoming common challenges or taking advantage of common opportunities. This is crucial especially owing to the fact that InPs are a new way of conducting business and all InP members have something to learn from each other.

3.2.3 Challenges in this stage

Some of the challenges identified for the preceding section are also applicable here. For example, issues of facilitation, maintenance of discipline, submerging selfish interests and confronting mindset may also be experienced during establishment phase. Additional challenges that may be experienced include:

- Lack of common understanding which may lead to fallout of actors. This may be as a result of lack of benefits or incentives for participation and / or having an entry point that is not clearly defined.
- Improper stakeholder analysis to identify the critical actor for the activity at hand.
- Conflicting interests and/or inability of synchronising the time tables of the actors because of their individual mandates.

How to overcome the challenges

The strategy is to ensure that there is a compelling agenda that benefits all the actors in the InP. If it is a constraint or opportunity, it should affect a wide range of actors with others who are not affected ready to buy into it. This means that the identification of the entry point and narrowing the topic is critical. This may be conducted through diagnostic and exploratory studies, secondary data sources, market chain analysis, field data collection through interviews, focus group discussions, participatory modelling and others are possible sources of information. Definition of entry point is an exercise that should be done often, possibly every season to ensure continued progress and place new interests on the common table. Thus, actors whose direct interest did not get considered in the beginning may have a chance in subsequent seasons. A thorough value chain analysis is also essential to identify critical value chain nodes that need interventions for value chain efficiency (Figure 3).

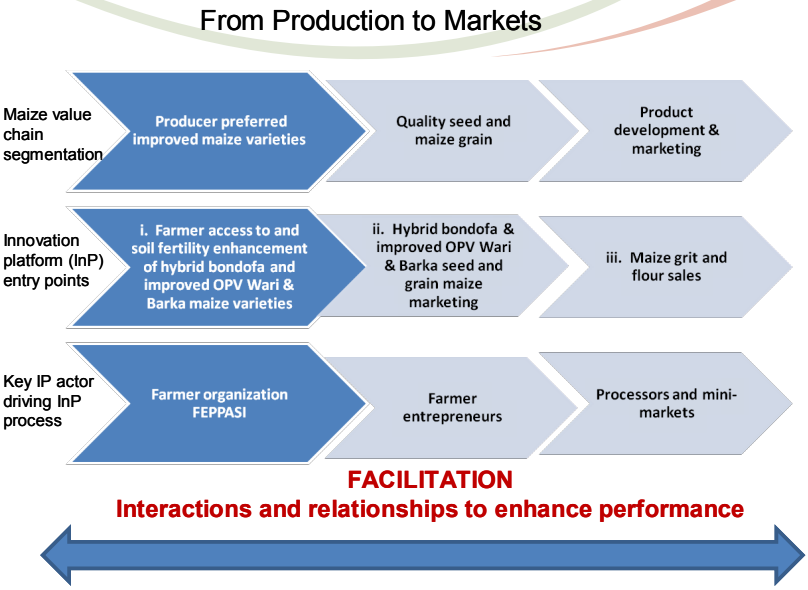

Figure 3: Value chain analysis of the maize InP in Burkina Faso by Sidi Sanyang

This should be followed by a proper stakeholder analysis (Appendix 2) to identify critical actors for collaborative advantage and synergies for the different nodes of the value chain. It should be an all-inclusive approach where decision-making is participatory, which is a crucial ingredient of a joint vision and eventual sustainability of a platform.

➢ **Key points**

1. Conduct visioning and scoping to get deeper understanding of the system and define a clear strategy of action with clear roles and responsibilities.

2. Conduct a thorough analysis of the value chains to identify critical nodes that need interventions for efficiency and on the basis of this develop options and prioritize.

3. Refine the stakeholders further and chart a road-map with clear implementation framework. Use planning, action and reflection at all stages in order to enhance learning and innovation.

4. Ensure that there is a common understanding of the mutual benefits and incentives for participation of all the stakeholders.

5. Gradually involve some InP stakeholders in facilitating some steps in this phase and the follow-on phases.

3.3. Management of the InP Process

Plate 8: A reflection and capacity strengthening session in an InP

3.3.1 Main challenges in achieving a sustainable InP

This section highlights the underlying issues in the management or governance of InPs for success and sustainability. It is important to note that managing an InP is not meant to ensure similarity of interests among actors, but rather to guide diverse objectives into a common vision, uphold transparency, gender and policy issues. The overall challenge in managing an InP is to ensure a progressive process with sustainable reciprocal benefits.

The guide is not prescriptive but meant to inspire practitioners into exploring by using applicable combinations of tools and methods

Other challenges include:

- The existence of InP long after the initial compelling agenda largely depends on the level and nature of participation and ownership by actors. Ownership of platform by local actors promotes the effectiveness and sustainability of the platform and should be encouraged through facilitation from the beginning. A platform may evolve based on circumstances and change its commodity or focus; for example from a coffee InP to a banana or dairy InP. While this happens, the same structure may be used but the membership may differ. For instance, the scientists handling the new crops or new disciplines may differ. Similarly, the private sector actors focusing on new crop may also be different. Platforms that are able to identify new opportunities and constraints and address them with relative stability in spite of changing membership are an indication of approaching sustainability.

- An InP cannot function while actor objectives are competing. For instance, a stockist aiming to make profit may not be on the same InP with an NGO that is promoting free inputs. However, this can be managed and be made complementary. For example, while the two roles may be conflicting, it is the duty of the facilitator to clarify that an NGO could be providing free seed of a new variety in the market to sensitize farmers on its benefits, ultimately creating a future market for the stockist.

- Spoiler factors, such as sudden change of agenda among actor(s) or death of a key participant can derail the progress. This can be overcome by ensuring that core businesses are diversified, or transformed through democratic dialogue that may include a memorandum of understanding (MoU), and linkages among actors. Undertaking activities through the use of sub-committees also ensures that many people are involved thereby reducing the risk of overloading a single member.

- Rules and regulations should not be set hurriedly as their acceptability is not everlasting, especially when new actors join. Therefore it is important to ensure the consultation

process is set so that conflict resolution processes are inbuilt, rather than to assume that rules are always enforceable.

- Learning improves when both failures and successes are embraced, their underlying causes assessed and findings shared collectively. This requires a gifted facilitator who will clarify what benefits accrue to whom, where, when and how.
- The timing of meetings should be left to the convenience of locals. In certain cases it was helpful to maintain a seamless period rather than push for rigorous regularity. In other cases it has been argued that regularity ensures attendance. Each meeting must however have an agenda which should be derived from the business plan and the experiences of actors. Emergency meetings should be considered to deal with threats or opportunities to the business plan.
- Actors need to agree on a functional communication strategy so that they maintain awareness of InP functions, individual tasks and progress amongst actors.
- Different expectations are managed by seeking ways of eliminating hidden agendas, for example, 'confidential' matters are eliminated by asking questions openly and dealing with sensitive issues informally.
- Findings in an InP must be shared so that the lessons are distilled for accountability among all actors to allow flexibility in decision making.
- Leadership in InPs should not be position-based, but rather task-oriented. This will therefore change depending on the need/expertise required. There could be several levels of leadership complementing each other.
- Transparency stems largely from openness. It must be seen to function through efficient information sharing, dialogue and business relationships rather than mere familiarity.
- Finances need to be controlled skilfully. For instance, the InP may explore mechanisms of outsourcing funds which

may require a self-regulating, impartial funds manager. This minimizes conflict of interest, improves efficiency and net benefits, even if management costs increase.

At this stage the social capital is built and strengthened as the stakeholders manage the processes and are equally focussed on the agenda.

Text box 3: Managing challenges: Case study: Making an innovation platform work in practice: Ramaru et al., 2013

Initially, the community-based seed production initiative focused on Vhembe and Capricorn districts. All the actors were not operating as a functioning innovation system at all and it was realised that they were simply dealing with 'system/institution failure' rather than technology or innovation failure. To enable them to play their roles together to provide services to support farmers, the facilitation of a platform of different stakeholders was linked with the farmers and other service providers along the market/value chains. The roles and mandates of service providers were clarified and, more importantly, they began to 'learn to play the roles' and work together in synergistic ways towards making a difference. The experience showed that the development of a functioning platform required high quality facilitation – particularly during the first 1 to 2 years until the systems' own procedures were fully developed. Key to the success of the InP for the maize seed evaluation has been a shared understanding by the diverse range of stakeholders of the operational process of implementation of the initiative.

➢ **Key points**

1. Ensure that the InP stakeholders focus on the same vision and uphold values that make for an all inclusive and transparent process with reciprocal benefits.

2. Clarify the synergy that would arise if stakeholders with seemingly contradictory roles work together e.g. an NGO providing free seeds and a seed seller –NGO creates awareness and seed seller's business prospers.

3. Rules and regulations should be formulated through consultation with stakeholders to facilitate acceptability and minimize conflict. Leadership in InPs should not be position based but task oriented and change depending on the need/ expertise needed.

4. Facilitate the acceptance of both successes and failures as learning points and clarify what benefits accrue to whom, where, when and how. Schedule meetings to follow logical sequence of targets and avoid pushing for regularity.

5. Communicate the findings at every step, manage different expectations and eliminate hidden agendas by asking questions and dealing with sensitive issues openly.

6. Allow for evolution of InP and dynamics of stakeholders as issues in the original compelling agenda are solved and new ones arise.

3.4. Sustainability of Innovation Capacity

Plate 9: Eco honey from the honey bee InP - Mwingi, Kenya. If a product is developed and marketing issues are sorted, the InP can evolve to solve other compelling agenda.

Plate 10: Fund set up to support InP-Mwala, Kenya. This is a structure that can lead to sustainability.

Honey bee value chain platform: Nguku *et al.,* 2013

Plate 11: Commercial maize in Kieni InP Kenya. After increasing maize production, the initial agenda, the Kieni InP is considering focussing on processing and marketing of processed products.

3.4.1 Importance of sustainability in an InP

It is important to discuss sustainability of an InP at an early stage. A sustainable platform is one that is able to continue to innovate, consolidate its gains, change its focus when necessary, renew its membership to address new issues and thereby continue to generate benefits for its members over time with relative stability. Learning and feedback help to build a sustainable InP infrastructure as they help the InP to continue do things better and do better things (Adekunle, 2013). There is also continuous regeneration or improvement of benefits, which acts as incentives for continued participation and change. Similarly, good facilitation is helpful in building a sustainable InP. Facilitators have a unique responsibility to create new focus for the group and identifying new partners that could help achieve or sustain success. Facilitators must rapidly move the groups through the phases of forming to storming and norming into great performance. An InP in the mode of great performance is tuned to sustainability as it self-innovates in its processes and activities. Sustainability is also enhanced when an InP crosses from being facilitated by "outsiders" to being facilitated by "insiders". For the focus that has been chosen it is important to establish who the primary partners are. The primary partners are the insiders, those who have a permanent stake in the venture. For production-based ventures, farmers are the primary stakeholders and the insiders. Processors become the primary stakeholders for a processing-based venture. Putting the primary stakeholders in the drivers' seat enhances sustainability especially if there is continuous backstopping from knowledgeable external stakeholders (Adekunle, 2013). Implementation of good capacity strengthening of the management committee and identification of stakeholders with capacity to be 'champions' or specialists in certain issues taken up by the InPs would also help in driving the InPs towards sustainability.

➢ **Key points**

1. Identify a management team or facilitator from amongst the stakeholders starting from establishment stage. Sub-committees are used to complement this and help in sharing responsibilities and ownership for the InP.

2. Strengthen the capacity of this management team and facilitate identification of issue-specific champions or specialists.

3. Facilitate identification of new challenges and opportunities and continuously innovate to replace existing products, processes and services with more effective ones and expand on existing positions.

4. Ensure transparency, efficient information sharing, dialogue and business relationships rather than mere familiarity.

5. Enhance team work and emphasize focus on the shared goals

***Text box 4: Sustainability of InPs: Micheni et al.,* 2013**

In Kieni IP, KARI introduced conservation agriculture at the beginning of the InP. The Ministry of Livestock Development introduced livestock husbandry innovations while Ministry of Fisheries introduced fish culture. Since then, local stakeholder members have emerged who have specialised in these innovations and hence have become resource persons in the respective innovations. They are the ones who are consulted by the InP members and any other local producers out of the InP in these respective fields. KARI gives such members special training and also confers a 'local' certificate to motivate them. This has enhanced their skills and has facilitated their role as local resource persons.

3.5 Innovation, Learning and Knowledge

3.5.1 Innovation and learning

Innovation is the process of application of new or existing knowledge in new ways and contexts to do something better. It is making changes to something established by introducing something new. This change may be in products, processes or services and can be incremental or radical and at various levels of the value chain. It is a process that transforms ideas into outputs by replacing older established products, processes and services with new ones. Innovation management is the process of managing innovation within an organisation such as an InP and includes activities such as managing ideas, defining goals, prioritizing projects, improving communications, and motivating teams. Innovations have particular life cycles and location specificity. Today's innovation becomes obsolete in the future and may well become an innovation in a new location where it has been adopted or adapted.

For an InP to sustain its mission, it must continuously innovate and replace existing products, processes, and services with more effective ones. Focusing on innovation as a continuous process acknowledges the effect that learning has on knowledge creation within the InP. Learning how to innovate effectively entails managing knowledge within the platform and offers the potential to enhance the way it innovates. Thus while we may define innovation as the process of making changes to something established by introducing something new, it is important to add that the introduction has to add value for the customers (InP members) and also contribute to the knowledge store of the InP, which is partially synonymous with the concept of organisational learning.

Text box 5: Learning: Challenges to learning a case study: (Stirzaker, 2013)

Proponents of InP talk about social learning defined by Wals (2007) as "learning that takes place when divergent interests, norms, values and constructions of reality meet in an environment that is conducive to meaningful inter-action." These diverse interests, norms and values are likely to lead to conflict or dissonance. Dissonance arises when new knowledge challenges different participants existing knowledge and positions. According to Wals (2007), social learning occurs best "on the edge of peoples' individual comfort zones with regards to dissonance". To expand this idea, if the innovation platform is dominated by a homogenous group, there will be little new learning. The dominant group already has well entrenched views and ways of operating and are more interested in imposing these than changing themselves. On the other hand, if the group is made up of people with such widely differing knowledge domains, values and objectives, they may talk but completely misunderstand each other. In both cases learning is blocked.

3.5.2 Innovation and knowledge

Innovation is built on a foundation of creativity that results to creation of new knowledge and learning within the platform. Even when failures occur, the learning gained can be a valuable asset for the organisation. The scope of innovation exists primarily within the realm of the individual and the collective knowledge of the organisation. This has become increasingly evident as the complexity of technology and markets have increased. Therefore, the knowledge reservoir of the organisation determines the type and level of innovation possible. If an organisation's culture and routine are capable of capturing knowledge from past failures, then future innovative efforts will not repeat the mistakes of the past. Organisations that develop such knowledge systems are in a better position to store and share this knowledge so

that it will improve the innovation process through enhanced idea generation, better decision making, and more effective exploitation. In this way, all ideas, whether successful or not, can contribute to the organisation's long-term success. Platforms that continuously learn and adapt their behaviour to external stimuli continuously add to their collective knowledge store and thus increase their novelty and originality.

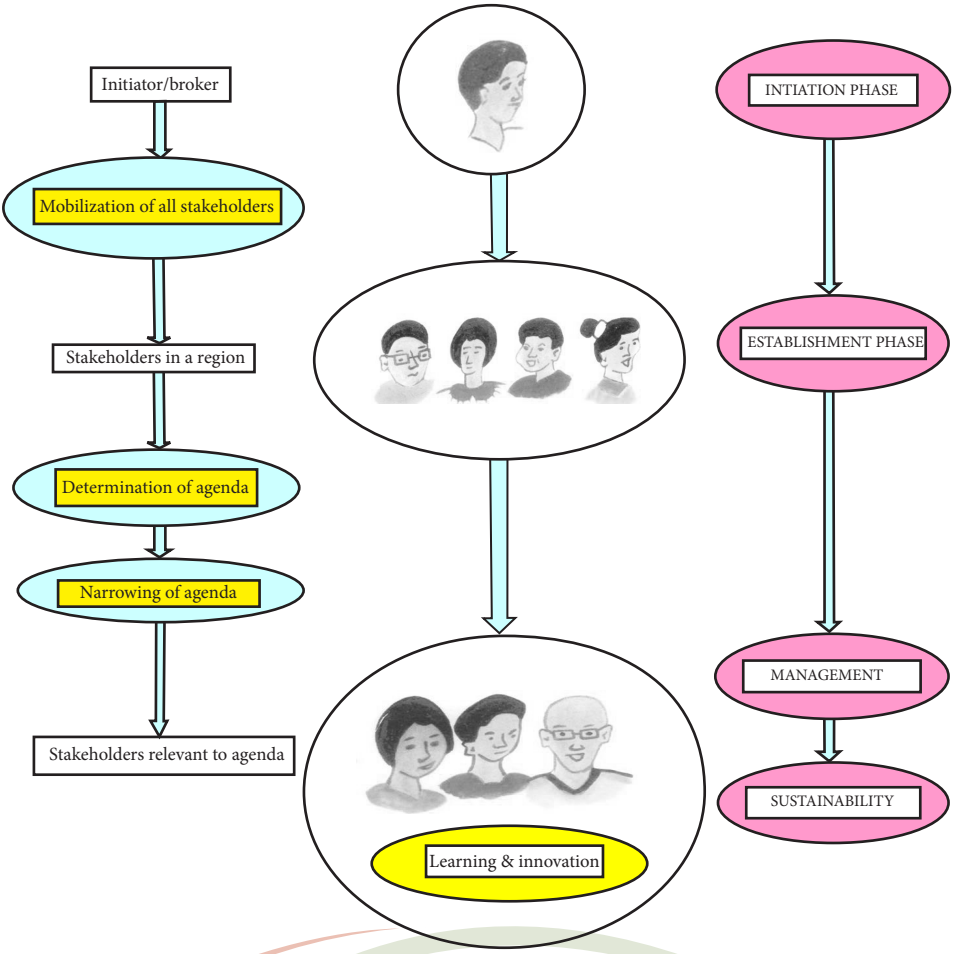

Plate 12: Innovation platform processes and stakeholder dynamism

The guide is not prescriptive but meant to inspire practitioners into exploring by using applicable combinations of tools and methods

Chapter 4

RESOURCING THE PROCESS

Plate 13: Honey retail outlet in Honey bee InP (Mwingi-Kenya) (Nguku, et al., 2013)

Plate 14: Seed processor managed by InP members (Ramaru et al., 2013)

Such initiatives can provide resources for the process.

There is need to identify required resources, their sources, and mechanisms for their sustainability and/or regeneration for optimizing the functioning of the platform as a whole. A thorough value chain analysis is also essential to identify critical value chain nodes that need interventions for value chain efficiency, for example training, input supply, production, market place development, marketing and stakeholder mapping and analysis. Resources include: finance, time, knowledge, transport, land, e.g. for demonstrations/trials, marketing, actors, research technologies and packages.

However, finance is the most critical resource that has been identified to affect the maintenance of InPs. Platforms require funds for running specific joint activities such as workshops, exchange visits and purchase of inputs.

In addition, the facilitation role is essential to enable interaction between actors, direct joint training, and development activities for the actors, which requires substantial funding. For example, the production of promotional/marketing materials for the products may require sourcing for an external expert with a background in marketing.

It is important to note that InPs formed through "outside" facilitation need proper management of expectations, and ownership or 'localization' of resource regeneration process.

Sources of funds may include membership fee to generate own revenue. Alternatively, members of the platform can identify a government institution or NGOs to facilitate some platform activities such as linking to markets or they could initiate income generating activities that may not necessarily be related to the initial objective of forming the InP, e.g. hire out facilities for outside catering (chairs, tents, public address system, utensils); group tractor for land preparation and transport.

Most critical to sustainability is the business model on which the partnership on the innovation platform is built. This business model will almost certainly need to be adapted over time to ensure that all partners benefit in ways that make their own delivery more effective and efficient. This calls for sharing of resources such as transport for collective marketing of products and licenses to run businesses. A case example is the Kieni InP, Kenya which has bought plastic chairs for hiring out.

- **Key points**

1. Identify required resources, their sources, and mechanisms for their regeneration to optimize the functioning of the platform.

2. Initiate income generating activities that may not be necessarily related to the initial objective of forming the InP as Kieni InP did.

3. Identify stakeholders who could perform some platform activities such as an NGO linking to markets.

4. Encourage sharing of resources such as transport for collective marketing of products and licenses to run businesses.

5. Formulate a business model on which the partnership operates and adjust the model with time.

Chapter 5

PARTICIPATORY MONITORING AND EVALUATION

Plate 15: Focus Group Discussion for PM&E in an innovation platform

Plate 16: Field visit for participatory monitoring and evaluation in an innovation platform

Clear monitoring and evaluation procedures enable efficient and transparent relationships between stakeholders and should take place on an on-going basis in order to manage the InP processes effectively. Evaluations are conducted periodically to review performance in a more substantial manner. Monitoring and evaluation is an integral component of the innovation platform formation, functioning and outcomes. It is essential to monitor and evaluate the role that these platforms play in enhancing communication, coordination, information and knowledge sharing in the project as well as whether they facilitate the delivery of outputs and outcomes as detailed in the project M&E framework. It is important to note here that the platform level monitoring and evaluation should be part of a larger monitoring and evaluation framework that governs the reporting and accountability mechanisms required so that it generates learning amongst the stakeholders.

There are several steps to implementing and integrating the M&E system into the formation, functioning and outcomes of the innovation platform in order for this system to be sustainable for the life of the platform. Once the platform members independently engage in the active learning processes, the learning facilitator can focus on the global learning from the different components of the project.

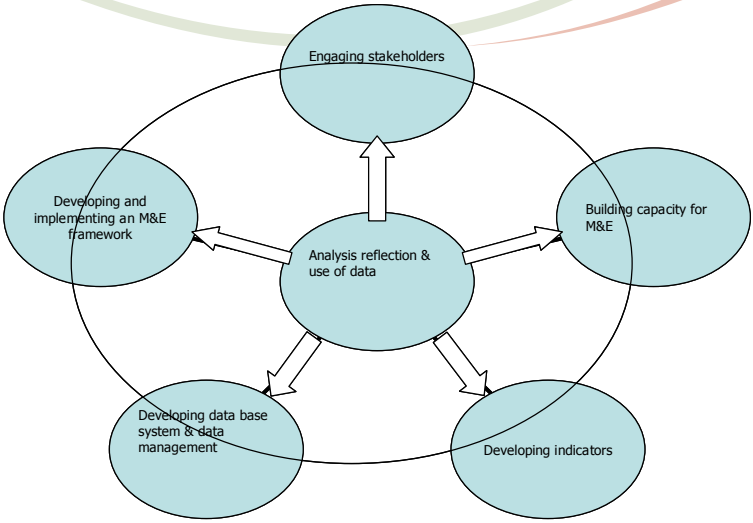

Figure 4: Key steps to integrating monitoring and evaluation into InPs

Source: Adapted from Njuki et al. (2011)

The key principles that should govern the integration of monitoring and evaluation of the platform activities should ensure that all stakeholders in the platform benefit from the platform activities through the learning mechanisms that have been put in place.

Assessments always start with a clear set of targets and questions. This is required for communication and reporting, but also generates information regarding business opportunities. Assessment is conducted in a participatory manner so as to capture the opinions of smallholder clients and other business partners.

Areas that need improvement can be identified through the assessment results and can be adjusted on a continuous basis to enhance performance. Within an atmosphere of open communication, concerns can be expressed and ideas brought forward. Regular meetings, ongoing communication and deliberate focus on relationship-building are therefore critical to identifying opportunities for improvement.

5.1 Learning

A system should be put in place to ensure that learning is integrated into activities of the platform, and that periodically the platform stakeholders meet to reflect on the functioning and outcomes of the platform. To ensure this, an external facilitator (also called a learning facilitator) should be engaged initially for the activity-based learning but should disengage and only facilitate the periodic based learning.

5.2 Behavioural Change

Learning is directly associated with the behavioural change in two aspects of the platform. At one level, learning happens as each platform activity occurs and with each periodic reflection activity and it should be integrated in such a way that the attitudes of the stakeholders are noted. This behavioural change is expected to occur at the individual actors, organisations, households and system levels.

5.3 Relevance and Responsiveness

The monitoring and evaluation system of the platform should be relevant and responsive. For this to happen, the system should be developed by the actors of the platforms themselves in a participatory manner that ensures joint planning and visioning at the beginning of every cycle. The facilitator should be able to facilitate the development of the indicators the platform will use to show progress or changes at the platform level. Tools used to collect data should also be developed jointly with stakeholders. A data collection system should be developed in such a way that data are collected, synthesized and fed back to the platform stakeholders. As the platform evolves and matures, some of its original objectives may have been achieved. With the help of the facilitator, it is important that the InP stakeholders develop new objectives, indicators and tools. The facilitator may facilitate the use of inbuilt systems such as observation and the use of a system to ensure regular reflection and learning by for example, tracking changes in the stakeholder participation and activities that happen at the platform level.

The guide is not prescriptive but meant to inspire practitioners into exploring by using applicable combinations of tools and methods

➢ **Key points**

1. Engage stakeholders to understand the need for learning once the InP has been established.

2. Build stakeholders capacities after InP establishment to enable them understand how to monitor and learn from platform activities and outcomes.

3. Continuously facilitate coaching to enhance learning by doing, use of tools and reflect on the process in order to ensure a sustainable M&E system.

4. Develop a data base and data management framework and involve key partners throughout the InP season.

5. Encourage direct and open exchanges between the partners to enhance mutual understanding and reduce the potential for conflict.

Chapter 6

CROSS-CUTTING ENABLING FACTORS

6.1. Roles and Complementarities of Functions

Plate 17: " Women are very active and proud participants" (Van Rooyen et al., 2013)

The guide is not prescriptive but meant to inspire practitioners into exploring by using applicable combinations of tools and methods

The InP is normally started by an innovation initiator who is described as that "person or organisation that brings together and mediates between stakeholders within the context of an InP". However, after an InP is initiated, other individuals / actors whose roles are critical are incorporated and these include facilitators and champions.

Facilitator

A facilitator is required to ensure that the InP remains operationally alive. He/she should be transparently selected and should remain a neutral actor who builds consensus especially where agreement is elusive. She/he ensures clarity of roles, responsibilities and benefits for the actors as well as managing the evolution of roles. The facilitator should also be good at networking, and thus able to recommend or mobilize new actors who may be necessary to fuel new innovations. The facilitator in this case plays a connector role. For the facilitator to have legitimacy, some supportive instruments are required. These are rules or admissible charters that frame the InP arrangement and not necessarily legal documents.

Champions

These are people who can influence the overall direction specifically on issues that may arise in the life of the InP. They may champion a cause and coordinate the process for that particular intervention. Knowledgeable and self-motivated champions emerge naturally. Often times, champions who may also be specialists in critical aspects that the InP may be engaged in and may be required to share their vast knowledge and therefore bring in practical experiences or 'hidden' opportunities which are critical to the InP.

6.2. Gender Issues in Innovation Platforms

Gender is one of the principal issues that influence impacts of InPs. An InP process needs a context-specific gender strategy that advises all the phases. It is worth noting that in an InP, the roles and benefits may not be equally shared among men and women actors.

When initiating, implementing or managing an InP, the key challenge may be to identify the implications of the InP on gender. The InP facilitator therefore should collect and analyse information that is gender disaggregated which may be about the actors in the InP (if relevant) or on the key benefits and/or impacts that are likely to accrue.

The facilitation process should be undertaken in such a way that gender is main streamed with a view to having impact felt equitably among men and women. This is because an InP may not possess control mechanisms to ensure gender balance since actors participate voluntarily, based on interest and they may not enforce change in practice, or attitudes. However, the InP leadership may identify actors with specialized skills or experts in gender to enhance inclusion through dialogue and who may enrich the overall InP goal.

6.2.1 Key features of a gender-sensitive InP

To ensure inclusiveness especially of gender in an InP, it has to be embedded in the design, implementation and management where necessary. Gender disaggregated needs data should be collected and analysed for gender differences in the activities or sectors that are targeted. The InP design or vision needs to articulate relevant actions that aim to enhance women's and youth's access to and control over fundamental InP benefits, including assets, knowledge and finances.

In addition, strategies and/or opportunities have to be sought to facilitate women's access to basic services such as inputs, better tools, or credit that the InP infrastructure may offer. Their decision-making role in community based organisations (CBOs), especially those facilitated to engage in the InP, should be strengthened since CBOs are institutional conduits for engaging and benefiting the community.

An InP can also be designed with scaling out components such that there is direct outreach to women, for instance through suitable field staff. This is necessary where women are marginalized or their association and mobility are limited.

The measurable indicators should specify how gender-disaggregated impact may appear at InP maturity or the notable achievements that can be expected. These may include: the planned capacity building

and empowerment of the women and marginalized persons, gender-based action research and gender-responsive and labour-saving technology resources available within the InP. It should also include gender-inclusive farmer field and life schools for empowering the marginalized and gender-fostering rural funding especially among relevant participating financial actors as well as institutional support for gender integration among participating actors where relevant.

Gender mapping has the distinct advantage of making it possible to consolidate gendered production data in one centralized map, thereby allowing researchers and practitioners to explore emerging patterns across contexts as well as to integrate gender information into other data and analyses where gender may not have been included in primary data collection. However, obtaining the data and aggregating them from households to communities to larger spatial units in order to develop maps is challenging (Appendix 5).

6.3. Policy Issues and Innovation Platforms

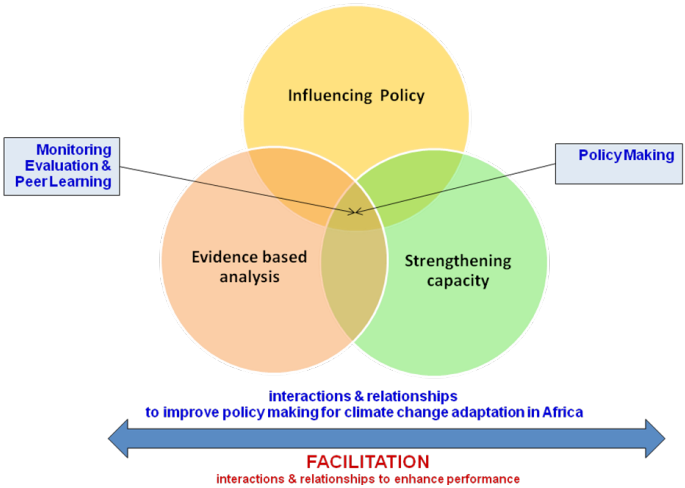

Figure 5: Policy dialogue innovation platform: case study; Sanyang, 2013

An InP needs to identify policy impediments and/or opportunities pertinent to the target activities. Actors with significant knowledge gaps on relevant policy are likely to engage in uninformed processes that are unsustainable. Participatory monitoring and evaluation, knowledge generation, synthesis and sharing, effective communication and shared intelligence have to be combined to influence policy.

Another strategy is to seek the membership of a national level policy actor, policy link, policy specialist or 'connector' or incorporate these policy actors as reference resource persons in the InP. This is also an opportunity for the policy actors to get first-hand evidence of success, and channel such proof into important government deliberations for needed changes and may hasten scaling up of InPs. It is also important to acquire relevant policy documents to advise functions and operations of the InP.

6.4. Scaling-up and Scaling-out

At the initiation of the InP, it is important to include a clear scaling up and out strategy indicating the what, who, how, when and why. Identifying which of the available actors can be relied on for up scaling at the beginning of an InP can improve the success prospects of an InP. However, it is also important to demonstrate what is possible before seeking to scale-out and up and to identify what is to be scaled out with regards to either benefits and/or the institutional arrangements of the InP.

6.5. Communication and Capacity Building

Plate 18: Information communication & knowledge flows in innovation platform processes in value chains and food systems: (Sanyang, 2013)

Communication is the most basic requirement for the success of an InP. Basic information may flow spontaneously unlike strategic knowledge. An InP may benefit when media actors are incorporated as actors. These are critical in ensuring the InP story and needs are known locally and beyond. The InP may also assign communication roles to actors with capacity in communication to ensure participants are actively engaged.

However, as an InP matures, it may need to link with a community of practice, beyond local resource persons, as it is a necessary source of key experiences from across the world. These experiences should be collated, synthesized and shared with local actors for future InP evolution.

Information communication technology (ICT) should be incorporated and exploited to hasten information flow and communication. Appropriate computer software will be useful for knowledge management.

It is important to avoid information overload because it can also change from being useful and instead cause confusion. It is therefore important to assess what information is needed, for whom, when and how and appropriate tools chosen that solve problems and/or meet needs. Complicated tools can create new problems although different actors may prefer different tools or approaches.

It is necessary to explore multiple ways for actors to stay in touch while setting clear expectations for all communication. Both formal and informal channels and forums can be used for communication that should be done early and often but not excessively. After communication, response time, reminders, clarifications and feedback should be considered. Examples of communication tools include mobile phones, internet, meetings, workshops, newsletters, reports etc.

Plate 19: Mobile phones have become very effective in communication

Capacity building is required to help players acquire required skills to interact on the platform and to undertake some of the technical activities that may be demanded by the business plan developed by platform members. Experts could be requested to undertake basic training on the operations of an InP. Agricultural advisory services actors assist where capacity building is related to the use of a particular technology needed for the accomplishment of set goals.

The guide is not prescriptive but meant to inspire practitioners into exploring by using applicable combinations of tools and methods

ANNEX I: METHODOLOGIES APPLIED IN INNOVATION PLATFORMS

Appendix 1. Site Selection

Site selection can also precede the determination of the agenda depending on the objective of initiating an InP. Site selection ensures that the identified research and developmental challenges are addressed successfully. The site of an InP is determined using different criteria that may include consideration to administrative/social boundaries, biophysical characters, access to markets, main crop enterprises or the overall aim of a project or development initiative. It can also be guided by priority value chains that will lead to the choice of a geographic location based on the agro-ecological and economic potential of the chain. In all cases, site selection should be in response to the need to alleviate the impacts of a certain constraint in a given area or utilisation of an existing or emerging opportunity

Identify an area that is well suited with the following characteristics:

- Most agencies that initiate innovation platforms may be based in a given geographical location. In such a case the site will already be predetermined.
- Positive and/or negative experiences that may have occurred in the proposed area or sector in line with what the platform aims to address, may inform the decision to choose that particular site.
- Where farmers live relatively close to one another to provide for ease to attend meetings. Preferably the distance should not exceed 5 km.
- The participating farmers must be permanent residents and have crop and/or livestock as part of their livelihood.
- Farmers must have access to land to be able to practise what they learn on their own farms.

- Members should be willing to work as poverty alleviation requires a strong will and persistence to bring about change.

- Participants should have a cooperative mind-set, collaborate in a group, and learn from their peers, and share ideas and information.

Appendix 2. Stakeholder Analysis

Stakeholder (SH) analysis should cover representative sites where the platform activities are targeted and will benefit members. Stakeholder analysis begins by developing a list of possible stakeholders and their mandates with the assistance of local extension and development officers, as well as a key informant survey. This should be followed by secondary data collection to determine the actual activities undertaken by those stakeholders and their relevance to the agenda of the InP. A stakeholder analysis workshop should then follow.

- **Secondary data collection**

Secondary data collection entails making a formal visit to each key stakeholder identified to meet the top managers and collect available documents that may include: annual reports, newsletters, monthly reports/quarterly reports and technical reports etc. A study of these documents is useful in determining the actual mandates of each stakeholder as well as triangulation of information that will be generated from the workshop.

- **Stakeholder workshop**

  During the workshop it is important to:
  - Identify stakeholders involved directly or indirectly in production, marketing and consumption.
  - Generate sub-sector maps that show different supply channels that transform raw materials into finished products, which are then distributed to consumers.
  - Identify the different markets or market segments to which products are sold.
  - Analyze the list to determine clusters of stakeholders with different levels of interest and levels of influence and sub-divide them into broad groups.

- Develop a working framework following the eight key steps summarized in Figure 6 (Lusby and Panlibuton, 2004).
- Identify new or existing solutions in the sub-sector that have the potential to address these constraints in a commercially viable manner.
- Select solutions identified in step 6 above for more in-depth assessment, looking at both demand and supply side constraints.
- Identify interventions that will address the constraints identified in step seven and result in sustainable and commercially viable solutions.

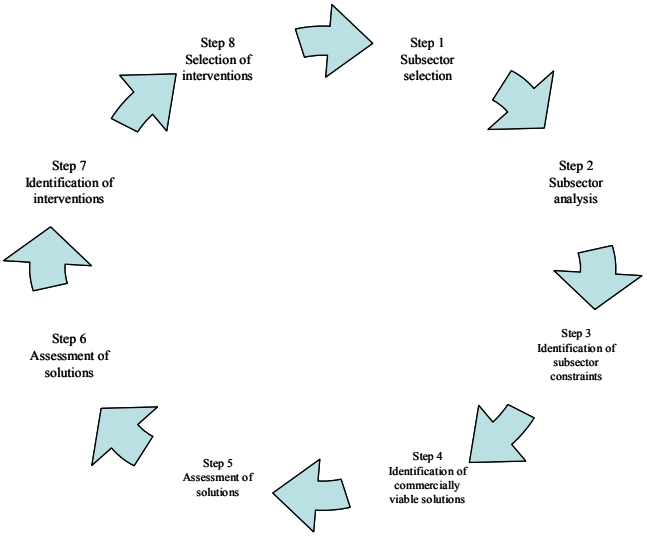

Figure 6: Steps in promoting commercially viable solutions to subsector and enterprise constraints

Source: (Lusby and Panlibuton, 2004)

Group constraints into broad categories e.g. 1) Technology / product development, 2) Market access, 3) Input supply, 4) Management and organisation, 5) Policy, 6) Finance, and 7) Infrastructure etc. These categories will be used as a guide to systematically look at all areas of constraints (and opportunities) that typically affect the success of an enterprise. During the workshop, additional constraints or issues will be solicited.

Commercially viable solutions that fall within a pre-determined attractive range will be given highest priority. Once the solutions to target are selected, they should undergo a more rigorous assessment. Information and data on each targeted solution should be compiled and analyzed including: existing service providers; market size and penetration; frequency of use; demand and supply side constraints and opportunities; satisfaction with solutions or service; awareness of the solution or service; proposed provider(s) to target for interventions, and feasibility of the solution (how costs for the solution are covered).

Then there will be need to establish a common base of working together, including:

(i) sharing knowledge about the integrative concept of production, existing agreements and processes;
(ii) understanding the notion and interests of all stakeholders;
(iii) increasing the capacity of stakeholders to implement partnership for technology development and production
(iv) improving networks and knowledge building among stakeholders; and
(v) improving the quality of policy decisions through increased capacity of stakeholders to feed their knowledge into decision-making.

Appendix 3. Social Network Analysis (SNA)

This is the mapping and measuring of relations in InPs between people, groups, organisations and other connected information and knowledge entities. It allows visualization and understanding of the relationships that can either facilitate or impede knowledge creation and sharing. It also provides a baseline against which to plan and prioritize the appropriate changes to improve knowledge flows and improve effectiveness of formal and informal networks.

Key steps in SNA

a. Identify the network of people to be analyzed (e.g. InP stakeholders) and gather background information to understand the specific challenges.

b. Develop a survey methodology and design the questionnaire (Consult a socio-economist).

c. Survey the individuals in the network to identify the relationships and knowledge flows between them to map out the network.

d. Design and implement actions to bring about desired changes.

e. Map the network again after a suitable period of time.

Appendix 4. Focus Group Discussion (FGD)

A focus group discussion consists of a session where information is shared with a group of six to 10 participants with similar interests or backgrounds. The aim is to follow up on issues which may be unclear through focused questions in a facilitated discussion. A checklist of up to ten questions is formulated based on the area of focus and the session should take 45 to 90 minutes. The aim of FGDs is to acquire in-depth understanding of an issue and not to generalise.

Key steps in FGD

a. Identify the purpose and goals of your focus group discussion.

b. Develop five to ten main discussion questions which are focused, clearly worded and open-ended and group them into introductory, exploratory and exit questions on participants opinions.

c. Prepare for the session by arranging discussion details, dates, times and location.

d. Facilitate the session and explain your role and the discussion ground rules. Summarize group responses to each question.

e. Analyze the data and prepare a report of findings with observations and recommendations.

Appendix 5. Gender Mapping

Gender mapping is a move away from studies that associate particular crops with men or women, problematically treating the category of women as singular, and by implication suggesting that the experience of for example, all women in a particular country or agro-ecological zone is the same. Overgeneralizations of this nature are often too simplistic and potentially misleading when it comes to both context and scale of analysis. In some settings, boundaries between male and female crops may be less rigid than they initially appear. Though individual crops are not gendered, in some production systems there are nonetheless distinct gender patterns in crop choice. These patterns can quickly change as economic and social opportunities arise. Four methods that have been used to develop gendered maps, advantages, and disadvantages of each method are outlined below.

1. Expert Consultation Method

In this method, country or regional experts are selected to come together and based on their experience and expertise, define the gendered production patterns of various regions, districts or zones

through facilitated discussion. Participants form subgroups drawing initial maps that are later compiled into one synthesis map, by discussing differences and finding consensus.

Advantages

- The expert consultation format allows for dialogue and brainstorming among participants during map development. Thoughtful interchange can be quite important for accurate gender mapping, particularly for discussing some of the more nuanced issues (for instance, consensus building on dominant farm management patterns in an area where multiple systems exist) as well as for exploring the dynamics that influence the gendered organisation of farming or new ideas.
- All respondents are selected in advance, which makes it possible to verify their level of expertise and experience, and thereby to control for quality. It is also possible to choose respondents who represent a variety of backgrounds.
- The presence of a trained facilitator makes it possible to oversee the quality of responses and ensure that all respondents fully understand response categories and key concepts.
- Collating all responses in the same sit-down period makes it possible to ensure full participation and a more prompt, streamlined process.
- Expert-based participatory mapping is time efficient. In a one-day workshop with one write-up and check, years of (various forms of) experience are synthesized and visualized as a first hypothesis.

Disadvantages

- The scale at which gender mapping can be completed for multiple regions may be limited given logistical difficulties in identifying experts and organizing workshops.
- The data run the risk of selection bias, depending on participants. It is therefore important to ensure that the group will have comprehensive knowledge of the whole region and

will reflect field reality rather than individual perceptions or notions of what should be.

- Substantial investment is needed to organize an in-person event. Some organisations may not have this type of capital available. A potential solution would be hosting a virtual meeting, but many of the experienced gender experts within a country lack sufficient Internet access at this time. Doing this work at the site of some other meeting where such experts are already gathered would be a way of reducing the costs of this type of workshop. Costs also inhibit the ability to provide continuity through follow-up meetings for deepening and updating the analysis.
- Participants may have a limited and mostly qualitative understanding of farming geography.
- Moreover, precise boundaries within predefined large areas are often subjective, especially when boundaries of other influencing factors are difficult to define. This can lead to very inaccurate boundaries and mappings of imprecise geographic units such as the north of the country rather than well-defined geographic extents that may challenge existing perceptions.

2. Open Online Survey Method

In this method a comprehensive survey including detailed information on gender patterns of farm management and agriculture is disseminated online to a variety of interested stakeholders. The survey may include modules on respondent background, farming systems and gender roles, area of expertise, gender and farming enterprises and gender roles in the area of expertise.

Advantages

- This crowd sourcing method makes it possible to reach a large pool of qualified respondents not just those already identified as experts and thus is a way to benefit from the experience of less conventional, but knowledgeable, sources (for example, extension agents, graduate students, and members of civil

society organisations). In this sense, it is a more democratic procedure than expert workshops, allowing for cheaper collection of data over a larger geographic area.

- The method can be implemented within a fairly short period of time and with limited financial resources.
- Interactive online GIS tools can allow participants to interact with the spatial data directly, soliciting more precise responses while disseminating or revising the knowledge already recorded. Compared with other techniques, these tools also encourage more users to apply the gender-mapping data in their own analyses.

Disadvantages

- Quality control remains a challenge, particularly regarding respondent capability to answer questions. It becomes difficult to control for some respondents who may guess or answer incorrectly if they do not know the answer. In addition, the questions and definitions are also subject to the interpretation of the respondent, and it is difficult or impossible to verify a classification without documentation or discussion among experts in each area.
- Without incentives, it may be difficult to get respondents to complete the survey in full.
- Respondents, particularly those in Africa may lack the necessary internet connection to access the survey.
- The Survey Monkey tool is very static and one dimensional. Some questions may have to be simplified or adapted to the capabilities of the template.

3. Literature Review Method

A survey of the literature covering case studies of gender and farm management systems provides a third method of developing a gender map. Ideally, case material of this nature can be entered into a database and mapped using GIS technology to produce a geo-referenced database.

Advantages

- Material used in the literature review is generally from verifiable sources and thus often of high caliber (for example, publications in peer-reviewed journals). This leverages the existing documented expertise without reproducing high-cost fieldwork.
- This method also allows for consolidation of existing data from multiple sources without the intensive organisation or time that is required for an expert consultation or online survey.
- The literature has dates associated with publication and the information is frequently associated with collected data, allowing for gender maps to include a reliable temporal component.

Disadvantages

- There are large gaps in data coverage, particularly since there is currently limited available data on gendered farm management systems in Sub-Saharan Africa. Thus, it may be quite difficult to produce a comprehensive gender map of a country, let alone of a region or area.
- In cases where information is unclear or incomplete, it is challenging to go to the original source for clarification or expansion.
- Essential definitions or farm management system typologies may vary across case studies, making comparisons difficult.
- Converting literature into data is labour intensive and requires a great deal of time and attention to detail. It cannot be

outsourced, crowd sourced, or inadequately staffed without compromising quality.

4. Aggregating Household Survey Data Method

A large number of existing national-level household surveys has included various indicators of gender that can be aggregated across surveys and countries. These surveys are a large reservoir of reliable gender data with consistent coverage across much of Sub-Saharan Africa, and many national socioeconomic surveys have the benefit of statistically representative sampling covering entire countries, collection of the same indicators over a number of years dating back to the 1980s, and consistent methodology across multiple countries. By extracting the indicators of interest from these data sources and mapping the values to the administrative units used in the surveys, a reliable regional map can be generated.

Advantages

- The method builds on the large reservoirs of statistically representative survey data collected by various institutions over the years. These sources are reliable, well documented, and already in widespread use by many development practitioners.
- Data quality is consistent across countries and years, with known sampling techniques and standardized errors.
- Geographic coverage is complete within countries and already representative at the district level, reducing complications on how to represent more ad hoc data across large geographic areas.

Disadvantages

- Indicators are limited to simple metrics, such as the ratio of male- to female -headed households, male and female education levels, asset ownership, household expenditures, and other commonly collected household data.
- Data are not explicitly oriented toward farming systems and include urban and non-agricultural households.
- Survey data are often linked to administrative units that have been changed, redrawn, or replaced by successive governments in Sub-Saharan Africa.

Appendix 6. Outcome Mapping (OM)

This is a monitoring and evaluation methodology for planning and assessing development projects which is oriented towards socio-institutional change. It provides tools to design and gather information on behavioral changes and focuses on a project's influence on the progression of change in partners. It allows partners to systematically and realistically think about the project progress and also to adaptively manage variations in strategies to bring out desired outcome. Outcome mapping puts people and learning at the centre and accepts unanticipated changes as opportunities for innovation. The approach helps to modify the intervention according to the complexity of the change process and pays special attention to behavioral change, boundary partners and the respective contribution.

Outcome Mapping helps a programme to be specific about the actors it targets, the changes it expects to see, and the strategies it employs and, as a result, be more effective in terms of the results it achieves. It is particularly valuable for monitoring and evaluating development programmes whose results and achievements cannot be understood with quantitative indicators alone but also require the deeper useful evaluation process. Thus outcome analysis is the term used to describe the final steps designed to produce a rational and defensible statement about the predicted effects of a hazard(s), or positive change (s) on household livelihood strategies (i.e. their ability to obtain food and cash income, and to acquire the non-food items they need to live).

Appendix 7: Visioning

Visioning is the process of generating a common goal, hope, and encouragement and offers a possibility for fundamental change. It gives people a sense of control and something to move toward besides promoting creative thinking and passion. An InP vision describes what the community will look like in the future (related to agriculture or any other sector) and how it will embody opportunities and challenges. The vision creating process involves several steps and actions which are context specific and thus each group of InP stakeholders has to find the steps and actions that work best for their situation.

There are three basic elements in the process which are formation of a steering committee, holding community workshops and formation of task forces. Steering committees are responsible for oversight and organisation of the entire visioning process. Community workshops are open public meetings that are used to inform innovation stakeholders about the visioning process, to discuss the progress being made and to discuss issues affecting the community. Task forces are small groups that gather information on a specific issue affecting the community and identify possible solutions.

The steps followed in a visioning exercise are as follows:

Step 1: Getting Started:
Constitute a steering committee from among the members of the InP to plan for a first community workshop. The steering committee provides an overview of the visioning process and asks participants to brainstorm on what the community would be like in 10 to 20 years with reference to an issue like livelihoods or development. These committee members should comprise of people and organisations that are respected and active in the area where you form the innovation platform. Thus business owners of good standing in the community, members of non-profit agencies, educators, agricultural sector professionals as well as producer representatives who are actively interested in improving agriculture in the area should be members of the Steering Committee.

Key points to remember in forming a Steering Committee include:

1. Membership should be open to many organisations – thus public, private, and non-profit.
2. Inclusiveness should be upheld and differences in opinion should not be avoided.
3. Do not get stuck on the past since this is a plan for the future.

Invite members to a meeting but do not be disappointed if only a few show up at the first meeting. It takes momentum to get going, but once it starts, it is self propelling.

Step 2: First Community Workshop:
At the first community workshop, the Steering Committee needs to be concerned about organisation and outcome. The organisation is how the workshop is put together and the outcome is what information is generated during the workshop.

In this first meeting and at others if necessary, ensure that you identify stakeholders who are missing and who are considered influential in shaping community opinions. These individuals should be invited to the next Steering Committee meeting. A chair or co chair of the Steering Committee should be selected whose job is to keep the process focused and to give every participant the chance to have a say in the process.

It is also crucial to establish a positive attitude through a brief discussion on the community's strengths to help get a positive tone going. An action plan that is not too detailed should be drawn. The participants should leave the meeting with an understanding of the geographic boundaries of the community and an understanding of the economic, cultural and social bonds that make them a community.
It is important to plan the date of the workshop, the location, agenda, the speakers and any other logistics to ensure the anticipated outcome is achieved.

Step 3: Establishing Task force:
The Steering Committee should meet and assess what went right at the workshop and what needs to be improved. The results of the participants' issues are assessed for similarities and differences and condensed into four or five broad topics. These topics will serve as the basis for the task forces. Each task force needs to be assigned a temporary leader, who is usually a Steering Committee member. The leader is responsible for informally recruiting members to the task force and collecting the information on that particular topic. In addition to identifying the task forces, the Steering Committee should begin preparing for the next community workshop.

Step 4: **Second Community Workshop**
The Steering Committee reviews activities to date and breaks participants into small task forces, giving each a specific issue to examine in detail. The Steering Committee should always keep track to ensure that the task forces are meeting regularly and plans for the third workshop.

Step 5: Third Community Workshop
Task forces report major findings to the community. Participants are asked to discuss what they want their community to look like in the future.

Step 6: Drafting the Visioning Statement
The Steering Committee ensures that task forces meet regularly and draws a vision statement. The goal is not to find the majority opinion, but to arrive at a vision that reflects the aspirations of the diverse groups in any community.

Appendix 8: Action Planning

An action plan is a statement of what you want to achieve over a given period of time. It is a sequence of steps that must be taken or activities that must be performed well, for a strategy to succeed. It consists of three major elements (1) Specific tasks: what will be done and by whom. (2) Time horizon or when will it be done. (3)

Resource allocation or what specific funds are available for specific activities. The plan itself may have one or more goals, but it is not really necessary to have a goal.

An effective action plan gives you a concrete timetable and set of clearly defined steps to help you to reach your objective(s), focus your ideas and also provides you with an answer to the question ‘‘what do I do to achieve my objective?’’.

Key steps in action planning:

1. Guide the stakeholders through a joint identification of the desired goal.
2. The goal must be specific as well as the intention and tasks or steps to move towards completion of the goal.
3. Create measurable milestones that give a clear picture of what is to be accomplished and the targets to hit during the time span of the activity.
4. Make a list of the accompanying timeline of specific action items or tasks to accomplish in order to achieve the set milestones.
5. Break large tasks into more manageable ones.
6. Put timelines on everything to ensure that deadlines are clear.
7. Create a visual representation e.g. flowchart grant chart etc.
8. Take daily action and follow up to ensure everyone is doing their part.
9. If unexpected circumstances arise, revise plan and continue working to meet the target and move forward.

Considerations:

1. Action planning takes place through a series of meetings and/or workshops

2. Involves a narrowing down of the main points raised from the joint analysis and defining of a clear strategy for action: i.e. what must be done.

3. Actions broadly grouped into operational and strategic, implemented at action site level and outside the action site, respectively.

4. Entails defining roles and responsibilities of stakeholders at action sites (e.g. governance, capacity building, M&E, facilitation, experimentation) (who will do what).

5. Implementation of identified actions done at different levels, namely action site-, national and regional with provisions for cross-site input.

The resulting joint action plan and agreed division of tasks may change later on.

Appendix 9: Scoping

Scoping refers to the initial effort to narrow down the platform's topic, and to better understand it, along with the context where the platform is to be established and at what level. It is a stage that provides an opportunity to look at and assess the project before it becomes formally operational. It is aimed at establishing how the project should be organized and identifies the key issues of concern at an early stage in the planning. The scoping process should involve all interested parties.

Scoping should be an ongoing exercise throughout the course of the project and is the appropriate time for the consideration of various project issues, elements and initiatives which will have an effect on scope, cost, and schedule. Scoping provides a clear understanding of the problems and needs and effectively addresses project related issues, elements and initiatives. It results in making informed decisions.

Basic Concepts of Project Scoping

Teamwork - Project scoping is a collaborative effort involving teamwork and consensus building among stakeholders concerning the nature of a project (i.e. type, scale, major features, issues, etc.) and what it is intended to accomplish. The project team plays a critical role in identifying and evaluating these issues and concerns to the appropriate depth and detail.

Public and Stakeholder Involvement - Public and stakeholder involvement is the cornerstone of successful project scoping and design. The start of the scoping stage (and earlier if possible) is the proper time to reach out to the public and project stakeholders so that issues of concern may be raised, put in their proper perspective, and given ample consideration/discussion.

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Informed Decision Making - Projects require a level of scoping commensurate with the type of proposed work. Project data requirements depend on a projects' problems and needs, complexity, significance of related issues, and the scope and scale of alternatives to be evaluated. Sufficient data needs to be gathered and analyzed to ensure that:

- Project area needs can be clearly understood
- Community and stakeholders issues can be identified
- Clear project objectives can be established
- Feasible alternatives can be outlined
- Reasonable comparison of alternatives can be performed
- Project cost and schedule can be estimated

Establish Consensus - The goal is to establish consensus among stakeholders concerning the proper scope of a project. This includes a consensus on at least the following four technical products of scoping: project objective(s), design criteria, feasible alternative(s), and project cost estimate.

ANNEX II: GLOSSARY OF TERMS

Innovation: The process of application of new or existing knowledge in new ways and contexts to do something better.

Innovations: Products arising of innovation process and may be technological, social or institutional. This may be a new production method, a new working modality of an institution to enhance effectiveness, or new ways of organisation by stakeholders or stakeholder group.

Innovation platform: A forum that consists of a broad range of stakeholders who share a common interest and come together to solve problems and develop mutually beneficial solutions.

Stakeholders/Actor/Players: All individuals and organisations that have an interest in the issue at stake.

Champion: Representative of local stakeholders who specializes and plays a leading role in an InP. Such people are not appointed but emerge spontaneously

Broker/Leader/Initiator: These terms are used interchangeably to refer to a person or organisation who mediates interaction between stakeholders in an innovation platform

Facilitator: A person who stimulates and assists the interactive process between stakeholders with the objective of improved quality of interaction. Facilitators remain neutral to the regular business process and restrict themselves to creating awareness, facilitating joint strategy building and action and the coordination of support activities.

Technical Backstopping: Providing technical advice and training in order to ensure that opportunities discussed are economically, technically and socially viable.

Scoping: The initial effort to narrow down the platform's topic, and to better understand it and also the context where the platform is to be established.

Mobilisation: Lobbying essential stakeholders to join a platform or local level organisation.

Mediation: Conflict resolution.

Advocacy: Promoting the network and ensuring support of and buy-in into the network by those individuals and organisations that matter.

Problem Solving: Identifying, proposing and providing practical solutions for bottlenecks hindering progress of multi-stakeholder action.

ANNEX III: RESOURCE MATERIALS

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The guide is not prescriptive but meant to inspire practitioners into exploring by using applicable combinations of tools and methods

12. Lucas Mugendi 2013. Tanzania SIMLESA innovation platform in Karatu District

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15. Richard Stirzaker 2013. The special challenge an innovation systems perspective brings to biophysical scientists

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About KARI

The Kenya Agricultural Research Institute (KARI) is a premier national research institution that was established in 1979 as a semi-autonomous government institution through the amendment of the Science and Technology Act Cap 250, following the collapse of the East African Community (EAC) in 1977. The Institute promotes sound agricultural research and technology generation to ensure food security through improved productivity and environmental conservation. Links with National and International collaborators are managed through the Outreach and Partnerships department.

Research Centre Network

The Institute has a network of 23 research centres spread out in various agro-ecological zones in Kenya.

KARI Vision

KARI envisions a vibrant commercially oriented agricultural sector, propelled by Science Technology and Innovation.

KARI Mission

To contribute to increased productivity, commercialization and competitiveness of the agricultural sector through generation and promotion of knowledge, information and technologies that respond to client demands and opportunities.

Research Programmes

- Food crops research on cereals, root and tuber crops, legumes and pulses
- Horticultural and industrial crops research on flowers, vegetables, fruits, fibre crops, herbs and spices
- Animal production and range research on dairy, beef, small ruminants, poultry, pigs, pastures and fodder crops, and range

- Animal health research on livestock diseases
- Socioeconomics and applied statistics for crop, livestock and natural resources
- Natural Resource Management including land, soil and water management and climate change.
- Biotechnology research for crops and livestock improvement
- Adaptive Research and Outreach
- Technology Packaging and Transfer

Cross-Cutting Non-Research Programmes

- Foundations seed and germplasm conservation, KARI Seed Unit.
- Agricultural Research and Investment Services (ARIS)
- Information Management and Communication Technology focusing on information technology and content delivery, organisation, repackaging, marketing, maintenance and archiving.

For more details see **www.kari.org**

The Australian Centre for International Agricultural Research

ACIAR was established by an act of parliament and operates as part of Australia's international development cooperation programme. Its mission was to achieve more productive and sustainable agricultural systems, for the benefit of developing countries and Australia. It commissions collaborative research between Australia and developing country researchers in areas where Australia has special research competence. Mr George Mburathi, the ACIAR consultant assisted the KARI team in the whole process while Dr John Dixon, Principal Regional Coordinator, South Asia & Africa, ACIAR, both facilitated, supported and commissioned the process. AusAID through ACIAR provided the funding.

For more details see **aciar.gov.au**

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