

# Humidtropics CGIAR Research Program

## Strategic Research Theme on Systems analysis and global synthesis

### How to organize an action site situational analysis launch meeting – a practical guide

This is a living document, which will be updated according to the lessons learned from successive situational analysis launch meetings in various action sites across Humidtropics.

This version is dated 25 June 2014

Lessons learned from action sites: Central Mekong Northwest Vietnam and North Thailand, East and Central Highlands Uganda and West Kenya, West Africa Cameroon

#### Contributors:

Jo Cadilhon (ILRI)

Keith Child (ILRI)

Chris Okafor (IITA)

Jessica Raneri (Bioversity)

Steve Staal (ILRI)

Tim Robinson (ILRI)

Nils Teufel (ILRI)

Yurdi Yasmi (ex-ICRAF)

## **Introduction**

The Humidtropics program aims to help poor farm families, particularly those led by women, in tropical Africa, Asia and the Americas, to boost their income from integrated agricultural systems' intensification while preserving their land for future generations.

The situational analysis is one of the first field activities of the research program in the various action sites. It has three primary objectives. The first is to characterize broadly all important system aspects that are relevant to the CRP within the target Action Sites and, through that, generate information to inform all other Program activities to better attain the Intermediate Development Outcomes (IDOs), as well as to inform ongoing field site selection. The second objective is harness the various partner skills and experiences to develop a common and shared understanding of the issues that need to be addressed and potential solutions, particularly between international and national partners, allowing local and global expertise to play complementary roles. The third objective is to initiate and facilitate engagement with stakeholders and partners as part of the R4D platform development that is needed for the long-term success and scalability of the Program.

The situational analysis is a short exercise, which should not last more than five months. It involves gathering and analysing already available data and complementing this with key informant interviews and focus group discussions in the field. The situational analysis launch meeting is meant to build a consortium of CGIAR, international and local institutional partners in order to develop common understanding of issues and potential solutions between international and national partners, to form a nucleus of a research-for-development (R4D) platform which will constitute a supervisory committee to implement the situational analysis before further research is carried out by these same partners within other activities of SRT1 and SRT2.

### **Objective of the situational analysis launch meeting**

The main objectives of the situational analysis launch meeting on a given action site are to develop a shared understanding of:

1. Develop a shared understanding of:
  - The Humidtropics CGIAR research program;
  - The Humidtropics action area in which the meeting is being held;
  - The Humidtropics action site for which a situational analysis is being launched.
2. Identify data and human resources available within the R4D platform and possible consultants, who will all be involved in undertaking the situational analysis in the Humidtropics action site.

### **Expected outputs of the situational analysis launch meeting**

The situational analysis launch meeting is expected to achieve the following key outputs:

1. A (tentative) work plan for situational analysis in the action site
2. Roles and responsibilities defined for partners involved
3. A rough estimate of the cost for a situational analysis

If the meeting is paired with the launch of the action site R4D platform, the meeting should also come up with a (tentative) work plan for R4D platform implementation in the action site.

Notes to organizers: duration of meeting, things to prepare in advance

The Humidtropics action area coordinator and his or her institution seem to be the most appropriate organizer of an action site situational analysis launch meeting. Alternatively, the preidentified coordinator of a situational analysis on a given action site and his or her institution may also organize this meeting with the funds allocated from the action area flagship program. As an indicator, the Northwest Vietnam meeting cost US\$9 000 to organize with the 20 local participants travelling to the field site area for the meeting. The West Kenya meeting cost US\$4000 with 10 local participants travelling to West Kenya. Collaborating CGIAR centres and other Humidtropics international partners are expected to join the meeting using their own Humidtropics budget allocation.

You need to set aside 1 day to run a Humidtropics situational analysis launch meeting. If this is concurrent with an action site R4D platform launch meeting, then add 2-4 hours to the meeting to cover the R4D platform work, e.g. developing an action plan.

Start by identifying 10 national participants and 5 additional international partners and by inviting to the meeting approximately one month before the meeting. They must be people who are active in the action site and should reflect diversity of fields. Ask all participants to fill in the form identifying how their institution can collaborate to Humidtropics and send it back to you before the meeting (see annex 1).

Organize the travel logistics of the participants to a suitable venue for this workshop.

Collect all the presentations you will need from Humidtropics colleagues at least a week before the meeting (Humidtropics program presentation, Humidtropics in the Action area presentation, Results from the first action area workshop presentation, Presentation on R4D platforms in Humidtropics).

The meeting is designed around an alternation of plenary presentations and various break-out sessions. You need to have a laptop, projector, screen or large white wall to project on, 5 flip chart stands with their flip chart paper rolls, 25 permanent markers (10 blue, 5 black, 5 green, 5 red). Masking tape to put up the posters on view.

Other items of a facilitator's kit are always useful: post-it notes, pins, etc.

More prior investigation can be done before the meeting to save time in the mapping of the local partners to supervise the situational analysis. Once you have received the completed stakeholder interview checklists (annex 1) from potential local partners:

- Use the list of their current functions and partners to map them and their partners along the outline of the situational analysis.
- Try meeting with them in advance; this will allow you to identify potentially strong partners to lead each section of the situational analysis.
- Ask CGIAR and international partners already working in the action site for an estimation of usual practices in terms of field visit costs, travel costs, consultancy costs.

- Try to agree in advance among CGIAR and international partner scientists who will be present as to what you would like to communicate to local partners in terms of methods, processes, tools, etc. The *Guidelines and outline for situational analysis* includes a list of tools and indicators for situational analysis and for tracking Humidtropics' intermediate development outcomes.

All this will save time during the meeting.

The situational analysis is meant to contribute to taking decisions on entry points before more SRT1 activities to identify entry points and SRT2 activities. If there has already been an action site meeting that has decided on entry points and commodities to focus on, these should be used to focus the sections of the report dealing with farming systems and marketing systems on the commodities and entry points already identified. If the action site meeting has not identified commodities or entry point interventions yet, you could brainstorm with CGIAR and international partners before the meeting (also building upon the list of current activities and research interests of the national partners) to suggest commodities and intervention entry points to focus the situational analysis on.

The action area coordinator should have identified an international coordinator of the situational analysis on the given action site among CGIAR and international partners. This role is to provide methodological and scientific support to guide the work of the supervisory committee, to the section leaders (who will be identified prior or during the meeting) and to the consultants of the situational analysis. With the methodological and scientific support from the scientific coordinator of Humidtropics' situational analyses (Jo Cadilhon, ILRI), and the administrative support from the action area coordinator, the international coordinator of the situational analysis will be the first point of call for the local partners and consultants during the short time line of the situational analysis until the report is finalized.

### Notes to organizers: identifying participants to the situational analysis launch meeting

Because the situational analysis is meant to be a relatively short exercise (4-5 months) that leads to proposals for more research implemented with local partners within the Humidtropics action site, it is crucial that the participants of the situational analysis launch meeting comprise the CGIAR centres and other Humidtropics international partners who have committed to work in the given action area. Just as crucial is to involve national institutional partners who are likely to work with us within SRT2 and SRT3 in the same action site.

Because the meeting is largely based on small workshops to deliver the expected outputs, the number of participants should not exceed 30, although 20 participants would be ideal.

### List of types of participants to be invited to the situational analysis launch meeting

*Up to 10 representatives of CGIAR and Humidtropics international partners* who have expressed interest in working in the action site for SRTs 1, 2 or 3.

Refer to Mapping Humidtropics staff against SRT x Action Area activities.doc to identify these colleagues.



Mapping  
Humidtropics staff ag

Remind these colleagues that they should use their own Humidtropics budget allocation to travel to the meeting. Ask them whether they already have local research and development partners in mind to implement research with them in the given action site. Or do they already know local research and development partners and consultants who are likely to deliver if involved with us in Humidtropics activities in the action site.

*Up to 20 representatives of local research and development partner institutions* likely to be interested in working with us on Humidtropics activities and to launch an action site R4D platform.

Try to identify a representative for the various stakeholder types below:

2 participants from action-site level department of agriculture (administrative level encompassing the action sites envisaged)

2 participants from farmers' organization involved in linkages with R4D stakeholders

Up to 10 participants representing local research centres, universities or think-tanks active in agrifood production, marketing, rural development or natural resources management (these can have a narrow commodity or topic focus or be able to cover the whole agrifood system)

4 participants representing civil society or NGOs working in the same areas as the researchers with a specific target towards marginalized populations (women, youth, ethnic minorities)

2 participants representing any type of institution that has a strong local network of partners to undertake community-level activities

When identifying the local participants, try to target them at middle-to-high decision-making level. You need to have in the room people who can establish a work plan for the involvement of their institution within a Humidtropics situational analysis and later be able to go back to their institution to defend their workplan and have it approved.

#### Notes on facilitation and the facilitator

- It is important to have a person as a key facilitator and that person should be identified prior to the meeting
- If different from the action area coordinator, he or she needs to discuss with the action area coordinator and SRT1 lead for that action area about the meeting, the process, expected outputs, etc.
- He or she will have the responsibility to ensure the smooth process of the meeting, keep time and keep participants enthusiastic throughout the process
- The facilitator should ensure prior to the meeting that all equipment are in place; that the meeting room is set in such a way that provides a relaxed environment as the meeting should not be formal

#### **Agenda at a glance of an action site situational analysis launch meeting (including launch of R4D platform)**

Day 1	
09.00 – 09.30	Registration
09.30 – 10.00	Introduction and workshop objectives
10.00 – 10.45	Introduction to Humidtropics Research program and Action Area
10.45 – 11.00	Coffee break
11.00 – 11.15	Presentation of results of previous Action Area, Action Site or RAAIS workshops ( <i>if relevant</i> )
11.15 – 12.00	Introduction to situational analysis
12.00 – 13.30	Lunch
13.30 – 14.45	Break out into groups for World Café to discuss partner contributions and sources of data and information for Situational Analysis
14.45 – 15.00	Coffee break
15.00 – 16.30	Plenary discussion in Samoan Circle of Fish Bowl to agree on implementation process of the situational analysis
16.30 – 17.00	Conclusions from the day and wrap up

## Registration

Objective: to count and identify the participants.

Notes to organizers: Make sure you provide name tags to all participants. If no stationary is available to prepare name tags in advance, consider asking participants to write the name they want to be called by with a permanent marker on a strip of masking tape, tear off the strip of tape and stick that on their shirt lapel.

## Introduction and workshop objectives

Objective: to get to know all participants and come to a common understanding of the objectives of the meeting.

Notes to organizers: Refer to the objectives listed at the beginning of this guide to project them on the screen or write them down on a flip chart that can stay displayed throughout the meeting.

Take a few minutes to allow all participants to introduce themselves: name and institution. The facilitator can think of a creative way for participants to know each other.

To allow all the participants to get used to Humidtropics jargon, it may be useful to use a flip chart to list and define all Humidtropics and CGIAR jargon and acronyms as they come up during the discussion.

## Introduction to Humidtropics Research program and Action Area

Objective: to provide a common understanding of the Humidtropics research program and the agrifood development issues for the action area.

Notes to organizers: Use the Powerpoint presentations prepared by Humidtropics Directorate and Action area coordinators to present the Humidtropics research program and the issues for agrifood systems development in the action area.

Some key points to mention: the program is based on partnerships between CGIAR centres and others; it is meant to undertake research and extend its results to the stakeholders in the system; it tackles the agrifood system in all its multidisciplinary complexity; we have agreed to deliver tangible intermediate development outcomes.

Make sure you allow enough time for partners to ask questions for clarification.

## Results of previous Action Area, Action Site or RAAIS workshops

Objective: to brief participants on previous activities in the action area.

Notes to organizers: There should have been a prior workshop to present the Humidtropics program in the action area or action site and to map key actors and their interests in collaborating in research activities. Perhaps there has also been a previous Rapid Appraisal for Agricultural Innovation Systems (RAAIS) workshop to pinpoint possible entry points for further interventions. Present the main results coming out of these previous Humidtropics meetings so that participants know at which point they stand in the program.

Make sure you allow enough time for partners to ask questions for clarification.

## Introduction to situational analysis

Objective: to provide an overview of the scope and content of a Humidtropics action site situational analysis

The three main objectives of the situation analysis are:

1. To characterize broadly all important system aspects that are relevant to the CRP within the target Action Sites and, through that, generate information to inform all other Program activities to better attain the Intermediate Development Outcomes (IDOs), as well as to inform ongoing field site selection.
2. To harness the various partner skills and experiences to develop a common and shared understanding of the issues that need to be addressed and potential solutions, particularly between international and national partners, allowing local and global expertise to play complementary roles.
3. To initiate and facilitate engagement with stakeholders and partners as part of the R4D platform development that is needed for the long-term success and scalability of the Program.

It is a relatively quick exercise (4-5 months) involving several Humidtropics CGIAR and international research centres with the national partners. The data to be collected comes mainly from already existing statistics, government and industry reports and past research. The analysis of this secondary data is complemented by some targeted field visits to conduct focus group discussions with some of the stakeholders of the agrifood system under study and key stakeholder interviews. The report expected should not be more than 100 pages long.

The Situational Analysis is proposed to have the following structure

- i. Development overview
- ii. Production systems
- iii. Markets and institutions
- iv. Natural resources management (NRM) and the environment
- v. Summary of opportunities, constraints, risks and vulnerabilities
- vi. Recommendations

Annex 2 presents a broad outline for the situational analysis. Annex 3 presents a detailed outline with possible tools, methods and indicators to be gathered.

Possible sources of information for situational analysis:

- Secondary data, including detailed World Bank indicators, if feasible



- GIS data on production system characterization, NRM, etc.
- Local grey literature, project reports
- Key informant interviews with public, private, research and civil society/community actors
- Focus group discussions at community level

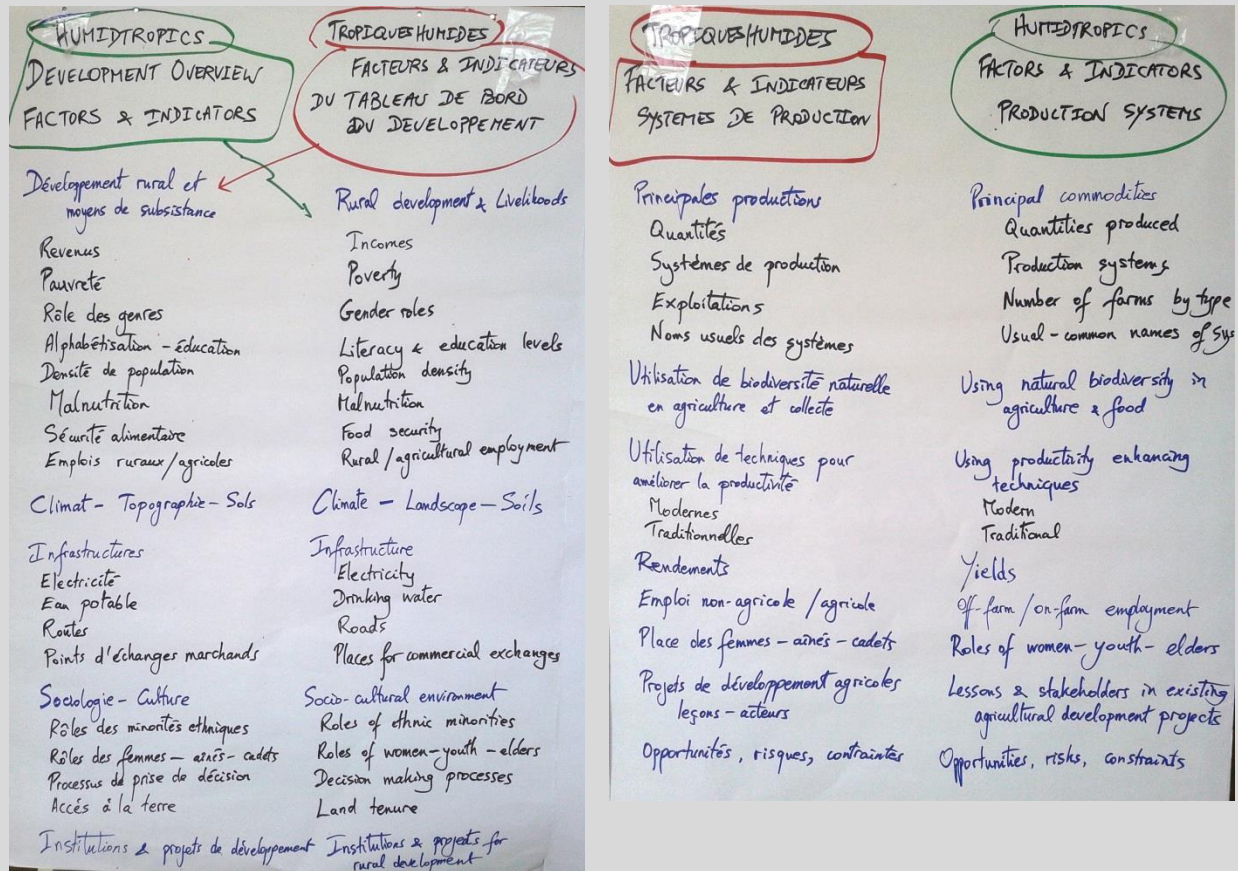
Activities with regard to situational analysis include:

- Identify consultants to implement data collection and analysis
- Select implementation partners and assign roles for the supervising committee and focus group discussions
- Form a supervisory committee of national and international partners to guide and implement the situational analysis.
- Collection and first analysis of secondary data, grey literature, project reports by consultants
- GIS analysis of Action Sites using data collected by consultants
- 1<sup>st</sup> action site meeting by supervisory committee for validation and feedback from action site stakeholders on the first analysis by the consultants
- Key informant interviews at multiple levels of community, market, decision makers conducted by members of the supervisory committee
- Targeted focus group discussions at multiple levels conducted by members of the supervisory committee
- Preliminary analysis and writing (the budget set aside for the situational analysis should allow the organization of a separate three-day write-shop with the consultants and the section leaders and situational analysis and action area coordinators to stimulate the writing process)
- Final analysis and deliverable, including process documentation, and some process for sharing and communication with other Program partners

Notes to organizers: Prepare four blank flip charts and summarize the main components of the situational analysis detailed in Annex 2 along those four flip charts.

The result can look something like this (bilingual French-English for Cameroon launch meeting):

## Components of situational analysis



TROPICSHUMIDES FACTEURS & INDICATEURS SYSTEMES DE COMMERCIALISATION	HUMIDTROPICS FACTORS & INDICATORS MARKETS & INSTITUTIONS	TROPICSHUMIDES FACTEURS & INDICATEURS GESTION DES RESSOURCES NATURELLES	HUMIDTROPICS FACTORS & INDICATORS NATURAL RESOURCES MANAGE
STRUCTURE DES MARCHES Production Demande Import / Export Prix à la ferme - détail Organisation des filières	Market Structure Production Demand Import / Export Farm - retail prices Value Chain Organisation	Tendances environnementales Déforestation Dégradation des sols Qualité de l'eau Biodiversité	Environmental trends Deforestation Soil degradation Water quality Biodiversity
MARCHÉS DES INTRANTS & SERVICES Production Acteurs impliqués Import / Export	Inputs & Services to agriculture Production Number of stakeholders Import - export	Tendances à la monoculture grandes plantations Utilisation de techniques de gestion des ressources naturelles Modernes Traditionnelles	Monocropping trends Large plantation Using techniques for NRM Modern Traditional
LOIS & RÈGLEMENTS SUR COMMERCE	Markets rules & regulations	Action collective et groupements	Collective action & groups
GROUPEMENTS & ACTION COLLECTIVE	Collective action & groups	Projets de développement et gestion des ressources naturelles Lessons Acteurs impliqués	NRM development projects Lessons learned Stakeholders
PROJETS DE DEV. DES MARCHÉS Lessons Acteurs impliqués	Market development projects Lessons learned Stakeholders	Opportunités, risques, contraintes	Opportunities, risks, threats
OPPORTUNITÉS, RISQUES, CONTRAINTES	Opportunities, Risks, Constraints		

Present the outline of the situational analysis

using the flip charts.

Insist on the relatively rapid nature of the exercise: 4-5 months; most of the data comes from already existing research and data sources, government or industry reports; use work already being implemented by partners to gather the information and analyse it. This first part could be implemented by two local consultants under the guidance of the supervisory committee meeting once a month to follow-up on their work. One consultant to work on development overview and marketing systems; the second consultant to work on production systems and natural resources management systems.

The supervisory committee itself provides data and sources of expertise that will be useful for the consultants; it conducts limited field activities to undertake focus group discussions and key stakeholder interviews which validate the first analysis by the consultants during an action site meeting where the key stakeholders have been invited.

In parallel R4D platform facilitation can be launched to validate the results of the situational analysis

The final output expected is a 100-page report, to be written during a 2-day writeshop by the consultants and amended by the section leaders of the supervisory committee considering the feedback from key stakeholders visited during field activities.

Funds permitting, more elaborate research and capacity development activities contributing to the objectives of the situational analysis can also be implemented by Humidtropics CGIAR and international partners in the action site.

As an example, partners involved in **the situational analysis in Northwest Vietnam agreed:**

- It will cover the four provinces of Northwest Vietnam: Son La, Dien Bien, Lao Cai and Lai Chau
- It will mainly use existing secondary data which can be gathered through desktop review and literature study
- Primary data will only be collected to the extent necessary in two provinces where we expect to have field sites: Son La and Dien Bien

**Break out into groups to discuss sources of information for components of the situational analysis**

Objectives: to identify the partners who possess data, reports and expertise for each component of the different sections of the situational analysis; to allow leaders to emerge to take responsibility in leading a section of the situational analysis.

This group work session is designed to cover the main four sections of the situational analysis: Development overview, Production systems, Markets & institutions, Natural resource management and Environment.

Notes to facilitator: Ask the participants to divide themselves into four equal groups, each group will start working on one of the four main sections of the situational analysis. Allow those individuals who are particularly interested in contributing to one section to join the appropriate group because we want natural section leaders to emerge from the groups in order to coordinate the work for each one of the sections of the situational analysis.

Use a [world café](#) setting with four big tables at opposite sides of the room, lots of flip charts on each table and many markers. Announce to all that they have 30 minutes to identify and list the different partners who have data, reports, and expertise to contribute to the outline for their section of the situational analysis: identify the sources of existing official, industry and academic data on the topic to complete the section of the situational analysis.

You can prepare a matrix like this one on a poster in advance:

Name of partner (in the room or still to be contacted)	Has reports	Has data	Has in-house expertise
Institute of ...	List relevant topics		List relevant topics
Ministry of agriculture		List relevant topics	
IITA		List relevant topics	
Etc.			
Etc.			

After 30 minutes, ask each group to wrap up and to identify an individual within the group who will present findings to the next group. Then ask everybody to switch table. Only the individual identified to present findings stays put at his or her table. In the next 20 minutes he or she has to explain to the newcomers at the table what has already been discussed and collect from the newcomers any additional expertise source or likely contributors of data and reports.

Replicate the change of tables two more times so that everybody has had a chance to visit all four tables and contribute to the compilation of information sources for the situational analysis. The person staying on to present findings to the next group does not need to be the same each time. Allow 15 minutes for the third set of discussions and only 10 minutes for the last round of discussion.

Throughout the exercise, allow the national partners to lead the action so that they take ownership of and responsibility for the work to be done.

NOTE: if the launch meeting covers several action sites at the same time, divide the participants by action site. You will need separate rooms for each action site collaborators to work in using the process above.



*Participants of the Northwest Vietnam action site situational analysis launch meeting split into two groups to discuss how to implement two separate sections of the situational analysis*



### **Plenary discussion on next steps to undertake situational analysis**

Objective: to share an understanding of how the situational analysis will be implemented and agree on a workplan for the situational analysis implementation

**Notes to organizers:** It is important to get the discussion going on the implementation process so as to come up with a workplan by the end of the discussion. Thus it is best to set aside from the start the issue of funding: state at the very beginning of the discussion that a budget is available from this or that Humidtropics international partner to implement situational analysis; this discussion should focus on how to implement it.

If there are many participants, consider organizing a [fish bowl](#) session and invite key actors you have identified (action area coordinator, action site facilitator, one international and one national expert) to be speakers in the inner circle. Set up three additional empty chairs for other participants to join the inner circle during the discussion.

If there are only ten to 15 participants, or working in a very vocal socio-cultural environment, consider organizing a [Samoan Circle](#) with only four speakers (action area coordinator, action site facilitator, one international and one national expert) in the inner circle to start the discussion but anybody else can replace one of the speakers during the discussion. Make sure you specify the rules of the game of the Samoan Circle before you start the discussion.

## Conclusion and wrap-up session

Objective: to sum up the decisions taken during the day to implement the situational analysis

Close the meeting by reminding to everybody: who agreed to take responsibility for each section of the situational analysis, who agreed to become part of the supervisory committee to guide the work of the consultants, who is the CGIAR coordinator of the situational analysis for the given action site, and invite all of them to exchange to agree on finalized workplans and budgets by a given date (2 weeks after the meeting) so as to allow enough time for contractual arrangements and allow the work to start.

Highlight the following division of tasks:

1. Situational analysis local consultants: under the guidance of the supervisory committee, gather all official reports and validated secondary data for the situational analysis, undertake the first analysis of these; prepare a preliminary report and presentation of these preliminary findings to present them at an action site meeting to key stakeholders; take notes during key stakeholder interviews and focus group discussions and incorporate new elements into the report; submit the first draft of the final report (minus recommendations and conclusions) to the supervisory committee at the final writeshop.
2. Members of the supervisory committee: meet regularly to interview and select two consultants from shortlist agreed upon during the meeting; follow-up on the work of the consultants; provide reports and data to the consultants; provide contacts to sources of further reports or data useful for the situational analysis; provide feedback to the work of the consultants; suggest interpretations to the analyses; review and validate the final report of the situational analysis.
3. Section leaders of the situational analysis report: provide assistance and guidance to the consultant in charge of collecting reports and data on their section of the report; lead the identification of questions to be asked in key stakeholder interviews and focus group discussions so as to complete information needed to complete their section of the report; work from the first draft of the final report to finalize the report and write up the conclusions and recommendations with other section leaders and coordinators during the final writeshop.
4. Action site situational analysis coordinator: scientific and administrative leadership to implement the situational analysis; hold secretariat of supervisory committee meetings; prepare contracts for the consultants; take the lead in organizing action site meeting, key stakeholder interviews and focus group discussions; organize the final writeshop and take the lead in writing up the recommendations of the report along with the action area coordinator; oversee the final review of the report.
5. Humidtropics scientific coordinator of situational analyses (Jo Cadilhon, ILRI): provide methodological and technical support to the action site situational analysis coordinator and the supervision committee on how to undertake the situational analysis; participate in the final writeshop to make sure the output is in line with the general outline of Humidtropics situational analyses.
6. Humidtropics action area coordinator: provide administrative support to facilitate field activities and linkages with R4D platform activities; participate in the final writeshop to make sure the output is in line with the intermediate development outcomes of Humidtropics in the action area.

Highlight the following immediate action points:

1. Section leaders and action site coordinator of the situational analysis: Finalize workplans for the supervisory committee, shortlist of possible consultants and TORs for the consultants of the

situational analysis in the given action site and send those to the action area coordinator and to Jo Cadilhon (scientific coordinator of Humidtropics situational analyses) within one week.

2. Supervisory committee meets to interview and select consultants within one month after the meeting ends.
3. Contracts signed and start execution of activities two months after the meeting ends.
4. 1<sup>st</sup> action site meeting to validate the preliminary findings of the situational analysis, conduct key stakeholder interviews and focus group discussions in month 4 after the consultants start work – date and place to be defined.
5. Writeshop for section leaders and coordinators in month 5 after the consultants start work – date and place to be defined.

### **Optional: Introduction to R4D platform**

Objective: to obtain a common understanding of what an R4D platform is and how it can be used to achieve the objectives of the Humidtropics Research program in the given action site; to discuss the implementation of an R4D platform in the action site.

Notes to organizers: Present the powerpoint from Wageningen University on R4D platforms within Humidtropics.



20130703 -  
Presentation R4D.ppt

Allow enough time for participants to ask questions for clarification on the concept of R4D platforms.

### **Break out into groups to discuss workplan for 4RD platform**

Objective: to identify the key stakeholders to include in the action site R4D platform; to determine a workplan and a facilitator for the R4D platform.

Notes to facilitator: If this has not yet been covered by another group work session, separate the participants into two groups and have them discuss the following questions:

- Who are key actors and stakeholder groups in the action site?
- Who will represent them in the R4D platform?
- Who will facilitate the platform?
- What will be the platform core roles and how will it function?
- What tools, resources and modalities you will use/need to make the platform work?

For example, in Northwest Vietnam action site, the discussion on the above questions resulted in an overview of platforms that are already active in the action site. There are several platforms already and the challenge for Humidtropics is how to make use and link to those platforms in order to maximize impacts. The following figure depicts the thinking of the platform for Northwest Vietnam action site, based on break-out group discussions.

Members, structure and functioning mode for Humidtropics Northwest Vietnam action site R4D platform

Group 1. R4D networks.

Representatives of  
Who are stakeholders to involve in NW  
region? PVC vice chairman  
Researchers of Humid Tropics (X)  
Department of agriculture of Province (X)  
MARD Focal point for NW Region  
Provincial Extension Centre  
Vice <sup>Head</sup> District People's Committee in  
charge of Agriculture  
NW University  
Women's Union  
Youth Union  
Farmers' Association } Provincial level  
Local research centre from the Region  
Provincial Department of Health  
Local NGOs active in the region - Agriculture  
Rural Dev, Ethnic devel, water

Facilitator, NGO. (NORMAFST)

Platform core roles

Identify issues, challenges, opportunities,  
constraints.  
Make recommendations to policy makers  
& researchers  
Knowledge dissemination & capacity  
development  
Frequency of meetings. All meet 1/year  
Sub-committees on special topics or  
commodities 2/year  
Funds/resources needed  
Engage with private sector to get  
Resources  
2 day meeting, 1 night & transport, lunch.  
meeting room for 45 people: \$400/pax  
= \$18 000 for 1<sup>st</sup> meeting



## Annex 1. Stakeholder Interview Checklist

### Humidtropics Stakeholder Characterization and Network Identification

1. Stake Holder or Organization name.....
2. Area of operation: District..... Location/parish.....,
3. In operation since: Month..... Year.....,
4. Source of funding.....
5. Number of Employees: 1 to 10 ☐ 11 to 30 ☐ , 31 to 50 ☐ , 50 to 100 ☐ >100 ☐
6. Target beneficiaries: Preschool children only ☐ School children only ☐ Adolescents only ☐  
 Women only ☐ Men only ☐ Children & women ☐ Men & women ☐  
 Whole household ☐ Other ☐ (Specify).....
7. What are is some of the information you need for your projects to run and what are your sources?
  1. ....
  2. ....
  3. ....
  4. ....
  5. ....

8. Are you involved in any training activities for your staff members?

Yes ☐ No ☐

8b, I Yes, what kind of trainings do you carry out, what materials you use and what is the source of the training materials

Type of training	Training materials	Source of training material

9. Is your project involved in any training/capacity building activities directed towards the community members?

Yes ☐ No ☐

- 9b. If yes, what are your target groups, what are the key messages and what training tools do you use?

Target group	Key messages	Training tools	Source of tools

10. Is your project involved in activities related to Agriculture and food production?

Yes ☐ No ☐

10b. If yes, what are the types of crops/livestock that you work on and what aspect are you dealing with?

1. ....
2. ....
3. ....
4. ....
5. ....

10. Is your project involved in activities related to human nutrition and dietary practices?

Yes ☐ No ☐

11b. If yes, what are the activities and who are they specifically directed to?

1. ....
2. ....
3. ....
4. ....
5. ....

12. Functions of the stakeholder to Humidtropics objectives in the field site:

Function to Objective	Involvement in function		Collaboration		
	Yes=1 No=0	Involvement level (1-5 <sup>1</sup> )	Yes=1 No=0	If yes who is the collaborator	Level (1-5 <sup>2</sup> )
Growth Monitoring					
Breastfeeding & Complementary feeding					
Immunisation/childhood mortality					
Water and sanitation					
Food safety and hygiene					
Education and communication to poor households					
Post harvest handling					
Combined strategies to health/nutrition & agriculture					
Crop diversity					
Mixed farming					
Kitchen gardens					
Seed production					
Small animal keeping/breeding					
Animal feed production					
Financial support to programs of poor households					
Sources of information					
Gender in food production					
Gender in HHs resource allocation					
Natural resources management					
Other:					
Other:					

<sup>1</sup> 1= not aware, 2= involved a little bit, 3= involved, 4= among organisation objectives, 5= main focus of organisation/institution

<sup>2</sup> 1=not aware of the other actor, 2=aware but do not collaborate, 3= occasionally collaborate, 4=frequently collaborate, 5=collaborate all the time

Other:					
Other:					
Other:					
Other:					
Other:					
Other:					
Other:					
Other:					
Other:					
Other:					
Other:					
Other:					
Other:					
Other:					
Total scores					

## **Annex 2. Situational Analysis Outline**

### **1. Introduction**

### **2. Development overview.**

- Rural development.
- Data bases.
- Trends.
- Ethnic & cultural diversity.
- Policy environment.
- Land tenure.
- Decision making processes, institutional NGO civil society, government, infrastructure.
- Women and youth.
- Constraints and opportunities

### **3. Production systems.**

- Production technologies used.
- Production structure.
- Labour.
- Gender roles.
- Rural livelihoods.
- Yield data.
- Research for development
- Constraints and opportunities

### **4. Markets and institutions.**

- Market demand structure.
- Supply of input services.
- Farmer groups and collective action.
- Policy and regulatory environment.
- Research for development
- Constraints and opportunities

### **5. Natural resource management.**

- Deforestation.
- Degradation.
- Water quality and availability.
- Monoculture trends and plantations.
- Risks to NRM and environment.
- Traditional and new practices for NRM
- Research for development
- Constraints and opportunities

### **6. Conclusion.**

- Summary opportunities and constraints.
- Recommendations and findings.

**Annex 3. Detailed outline of situational analysis with list of possible tools, methods and indicators available to collect relevant information and analyse it**

**Contributors to this annex:**

***Jo Cadilhon\*, Keith Child\*, Jessica Raneri<sup>‡</sup>, Tim Robinson\*, Steve Staal\*, Nils Teufel\****

***\* International Livestock Research Institute***

***<sup>‡</sup> Bioversity***



Microsoft Word  
Document