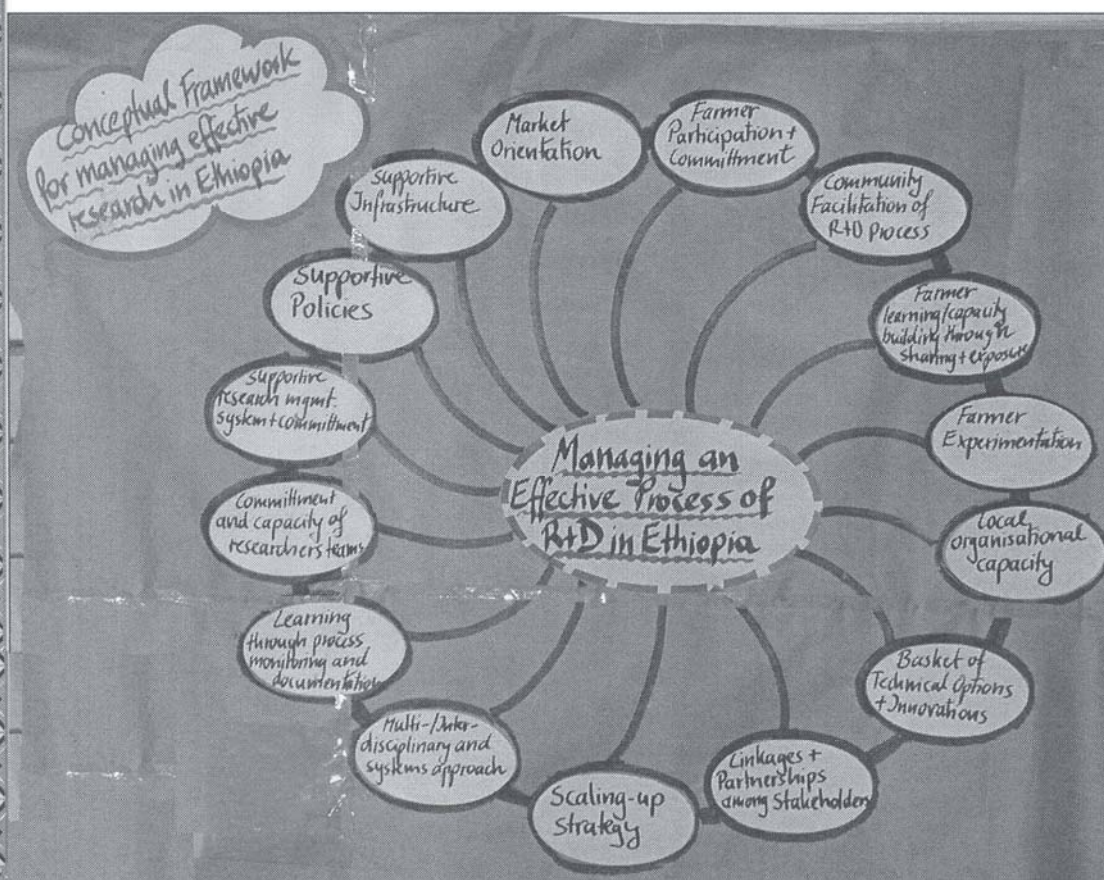


Analysis and Processing of the Field Assessment of Participatory Research

Held at EARO in Addis Ababa, Ethiopia,

June 17-21 2002

Workshop Documentation



compiled by: Dr. Ann Stroud (AHI) and Dr. Jürgen Hagmann (Workshop Facilitator) June 2002

This report documents the workshop that took place in June 17-21 2002 in Addis Ababa. This report is not a final synthesized report, but tries to capture the crude output of the workshop in a non-interpreted way and serves as a base for shaping the final report. This documentation is MEANT TO BE A REFERENCE DOCUMENT for all participants and intends to provide the desired transparency. Almost all results of the working groups and plenary sessions are documented here.

It comprises TWO PARTS of the WORKSHOP: the first part is about the processing of the field assessment by the group who carried out the assessment. The second workshop part was feedback of the assessment results to managers (including senior EARO managers) by the assessment group. The whole group identified ways to move forward.

THIS WORKSHOP WAS A THIRD STEP IN THE PROCESS of assessing the potential of participatory research. The first step was a workshop held in April 2001 and the second was fieldwork completed in the interim. A complete documentation and synthesis will be compiled at the end of the study.

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Foreword of the Facilitators

The second workshop, step 3 of the process of the assessment of participatory research, took place after the field assessment. The fieldwork and the second workshop were delayed by some months compared to the schedule elaborated in April 2001 when the assessment frame was developed. It was good however, to see that the momentum, energy and ownership created in the first workshop did not suffer due to the delay. The group did a tremendous work in the field and brought all the rich experiences into this workshop.

In the end an innovative and quality product in form of ***a conceptual framework for managing effective research processes in Ethiopia*** was developed – something to be proud of! This was a major step which hopefully will be taken further as it provides a useful framework that can be potentially applied by EARO as well as by others. It assists in providing a guide toward good management and as such, ties up many loose ends that often make research efforts ineffective.

As facilitators of the process, we were very happy to see the energy of the group and the enthusiasm of all individuals in this joint endeavour. It showed the relevance of looking back and evaluating on one's own terms and criteria the strengths and weaknesses of one's own work. We would like to wish you great success in further developing this initiative towards making research more effective. Perhaps there will be other stages in which we could willingly support you in future.

Besides the professional highlights, we also enjoyed the personal interaction with the group, the great atmosphere of openness and trust that made it a pleasure to work with you. Thanks you very much to all of you for the support we got and the fun we had.

We wish you all the best!

Dr. Jürgen Hagmann

Dr. Ann Stroud

Executive Summary

The participatory research assessment initiative started in early 2001 when there was an agreement on shared objectives with EARO management. This was followed by the design of an assessment frame (workshop in April 2001), a field assessment of case studies (in March 2002), and a subsequent analysis of field assessment information (part 1 of this workshop), and then feedback to EARO management which resulted in decisions on next steps and the way forward (part 2 of this workshop reported here).

The 8 case studies for the field assessment were chosen to compare different types of research that were conventional to those using different degrees of farmer participation and associated techniques and methods. The selection of cases were also set up so as to make a comparison between NRM and variety selection types of research, and to provide practical examples that could be analysed using the performance indicators related to effective research (the impact framework designed in the first workshop.) The overall general expectations at the onset of the assessment process were to understand the potentials and constraints of participatory research in the Ethiopian context, to produce a framework and guidelines for best practice and for impact assessment of research, and formulate a strategy for operationalizing participatory research using our knowledge of success factors in Ethiopia as part of implementing effective research. The overall hypothesis that was that participation of farmers and stakeholders makes research more effective.

More specifically, the 2-part workshop reported here was organized to deepen the analysis of participatory research (PR) using a synthetic assessment of a range of field experiences against the impact framework that is indicative of good general research practice (Part 1). Part 1 had the following outputs: a summary of the impacts, benefits, gaps, challenges and constraints of the approaches used; identification of best practices in existing work and reflections on the assessment, the guiding principles and lessons arising – which we called success factors. These results were then shared in Part 2, a second workshop session that invited a wider group of EARO managers from headquarters and research stations. This management group provided further reactions, impressions and recommendations as well as a strategy to move forward to improve the efficiency of research in Ethiopia.

Some guiding values and principles for effective, impact-oriented research were identified in the first workshop and shared with managers during Part 2 – and these were felt to be very important.

Some of the important impact areas and contributions of PR identified in the synthesis included:

- Enhances the development of appropriate technologies
- Enhances relevance of research approach
- Establishes linkages among farmers, between farmers and institutions
- Engages farmers in actively searching for their own solutions to problems
- Builds farmers capacity in managing their resources
- Changes attitudes of researchers and institutions towards farmers

Some of the weak areas identified in current application of PR included:

- Inadequate competency in PR of implementing agents
- Limited commitment and engagement by research staff in fieldwork with farmers
- Inadequate documentation of the PR process
- Limited technology options for farmers

- Weak systematic involvement and exchange among farmer research groups, research and extension.
- Inadequate approach that involves farmers and farmer organizations
- Lack of clear dissemination and scaling up strategy
- Inadequate addressing of income generating and market issues

As many of the projects or cases are fostered by specific projects, there are dispersed efforts in PR that are de-linked, not adequately documented and shared, and are not supported by a more holistic incorporation within the overall research system. This state of affairs is leading to weak understanding of PR, to weak linkages and synergies with on-station research, and generally inconsistent organizational arrangements. This constraints analysis then led to earmarking the major challenges faced – and to ideas of how to improve the situation.

Finally, the following 15 areas were identified as being the 'cornerstones' for managing effective research and development processes in Ethiopia (cover and page 30):

- market orientation
- farmer participation and commitment
- community facilitation of R&D process
- farmer learning / capacity building through sharing and exposure
- farmer experimentation
- local organizational capacity
- basket of technical options and innovations
- linkages and partnerships among stakeholders
- scaling up strategy
- multi- / inter-disciplinary and systems approach
- learning through process monitoring and documentation
- commitment and capacity of research teams
- supportive research management system and commitment
- supportive policies
- support infrastructure

This framework provides an excellent basis for further work towards making the research processes more effective. Ultimately, a manual could be developed with associated modules that could be used to build the capacities of researchers, research managers and also partners of research.

Major implications for EARO to incorporate the areas for effective research management were that they would need to:

- Need for revisiting linkages and partnership strategy including strengthening farmer-researcher linking and interactions.
- Development of values, understand, commitment of researchers as well as their capacity to carry out PR and effective research
- Align priorities, resources, policies and structure including incentive and reward system
- Align research planning, M&E system and research approaches
- Match technology supply with demands by farmers

Various ideas were generated on some of these areas to further the potential institutional change required. It was finally decided however, that the first step was to share the output from the assessment more widely throughout EARO and with the new Director of the EARO in order to have the buy-in and agreement on the way forward for future. It was suggested to have various committees established to look into organizational re-alignment to be more effective and to establish one community-based and/or integrated watershed management team at each major research institute that currently does not have one. This would provide on-hands experience in conducting integrated, participatory research.

PART I: Processing the Field Assessment of Participatory Research

Held at EARO, 16-18 June 2002

1 Workshop Opening and Introduction

Dr Aberra Debelo, DDG of EARO, opened the workshop with the following speech:

"This workshop was planned some time ago, however due to certain delays and many commitments we had to postpone it until now. Nevertheless, we are here together today to deliberate further on participatory research and the various different approaches. There are a number of schools of thought - for example - some say that farmers can do it and others say that scientists need to do it - and then again others say we need to combine both. Without the participation of our clients, dissemination and adoption would be delayed. We would like the third option - the science has to be there and farmer participation needs to be there. The question then is "How do we do it?" In principle we have accepted PR, and it exists in various projects around the country."

A big challenge is how to institutionalise this... which is not easy or straightforward. We hope to join experiences from here and from different cultures. We are now dealing with people - not just science in isolation. We need to understand people, bring our ideas down to earth and we need to understand social factors. This type of research takes into account the contribution of social scientists - which we are deficient in. We can generate the technology, but when it comes to adoption we need to know about the human factor and breeders will not be able to do this. Social scientists are trained in this - therefore we need to work in partnership (within and outside the country) to get this done. Given your assessment and observations, we hope you can now consolidate the assessments and synthesize the ideas - then we will share with a bigger group - where centre managers will participate. It is then that we will see some recommendations on a way forward. EARO is committed to moving forward on this line.

Dr Demil Teketay is now assigned to be the new DG of EARO as of 12 June. We will be building upon what has happened so far, because he is from EARO itself and therefore committed to moving forward. Thanks for coming - Dr Ann and Jurgen - and we hope for a good deliberation in the following days."

Dr. Ann Stroud gave a few words of welcome and encouraged the participants to bring their energy to follow through on the process this week. Then the program was handed over the facilitator of the workshop, Dr. Jürgen Hagmann, who was tasked to manage the workshop as a professional facilitator. Dr Jurgen reminded the participants that this is their process, their reflections and that the agenda and outcome should be EAROs. We have seen that in Ethiopia people are very thorough in their analysis and work hard to deeply understand various concepts. We are hoping to create wider ownership of the broader set of directors to see how we can better integrate the recommendations and ideas coming out.

1.1 Participants' Introduction

The facilitator first briefly explained his task as an independent, neutral moderator and asked the participants to tell us about their nickname used when they were growing up and explain why they were called this. Then to discuss the most exciting thing that happened (professional or personal) since we last met last time. This created an open and relaxed atmosphere.

1.2 Workshop organisation

The workshop process steering group had a very important role to play. Together with the facilitator they elaborated the detailed agenda for every day based on the objectives and the general group dynamics. This ensured that the process fully considered the needs and concerns of all participants.

Workshop Process Group

1 Task

- To get feedback from participants on the workshop process
- To plan together with the facilitator for the next day, based on the desired outputs and participants feedback.

2 Members: Tilahun Amede, Ann Stroud, Habtu Assefa, Jurgen Hagmann

Documentation

- All case study presentations and impact frame were distributed
- Workshop documentation was the responsibility of Dr Ann & Jurgen
- A final full report will be done by the assessment team

1.3 Workshop Programme

Programme Overview for both Parts / Workshops

Monday	Analysis and sharing of field experiences
Tuesday	Synthesis and implications further "framing"
Wednesday	Preparation of report back to large group
Thursday	Presentations of findings and discussions
Friday	<ul style="list-style-type: none"> • Implications for EARO • Future steps to further develop PR in Ethiopia

Detailed Workshop Programme - Part 1

	Monday	Tuesday	Wednesday
Session 1	Opening / Warm-up Overview: assessment process	Analysis of gaps, challenges, impacts	"Best" practices Analysis
Session 2	Presentation of the field experiences	Analysis of gaps, challenges, impacts	"Best" practices Analysis Success factors
Session 3	Presentation of group results and discussion	Analysis of gaps, challenges, impacts	Cornerstones Operationalizing
Session 4	Presentation of group results and discussion	"Best" practices analysis	Design program of Thurs / Friday

A sound recapping of the first workshop where the whole assessment study was designed (2001 April) was completed prior to starting on presentations of case studies.

1.4 Recapping of the assessment process, hypotheses and expectations (from the first workshop)

Jürgen recapped the desired objectives and outline of the whole assessment process as defined in the first workshop in 2001:

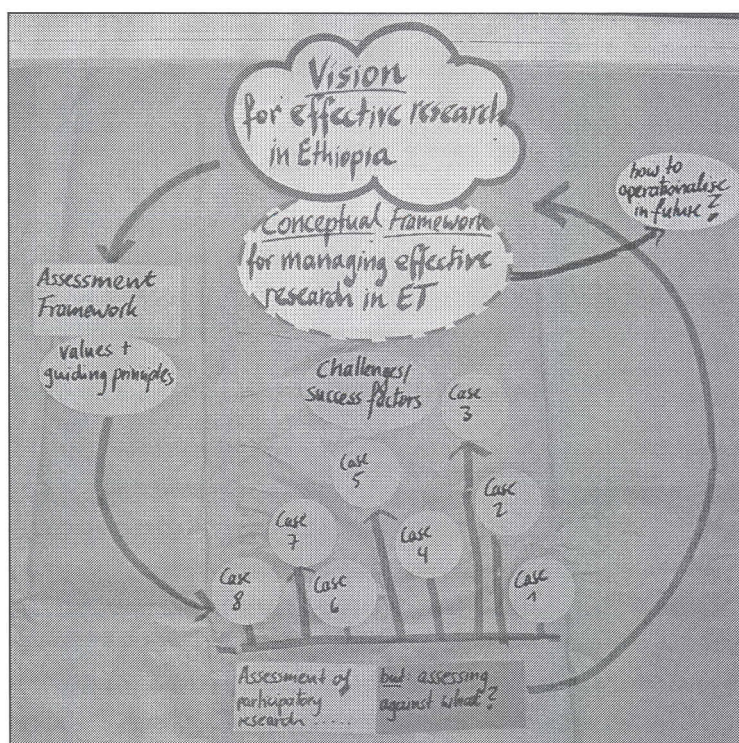
Expected outputs from the assessment	
<ul style="list-style-type: none"> • A better understanding of PR & its diversity in the context of Ethiopia regarding its current status with its limitations, successes, opportunities 	<ul style="list-style-type: none"> • An identification of the main conceptual elements required for the design of PR approaches including conditions for success and failure
<ul style="list-style-type: none"> • A methodology and expertise for assessing PR through criteria and indicators for impact and quality of PR 	<ul style="list-style-type: none"> • Possible options for the way forward in PR in Ethiopia, addressed to EARO
<ul style="list-style-type: none"> • Skills and conducive attitudes of the researchers involved in the evaluation 	<ul style="list-style-type: none"> • A better understanding of the way PR developed and has evolved in the country.
<ul style="list-style-type: none"> • A synthesis report 	

The design of the assessment process

The following is an outline of the steps in the assessment process as agreed by EARO management in an earlier pre-workshop meeting. This was shared with the participants to give them a view of the general plan. Part 1 of this workshop is step 4 and Part 2 is step 5.

1. Agreement on shared objective with management
2. Design of the assessment frame (workshop)
3. Field assessment of case studies
4. Analysis of information
5. Feedback of results to management and staff of EARO
6. Decision on next steps / way forward

This process was visualised in the chart:



The pillars of the assessment

1. Baseline: Compare ongoing PR and conventional research using the impact assessment frame for effective research to define the threshold conditions for successes of PR
2. Focus on -- how to make research more effective
3. Analysis of the research processes and methodologies
4. Analysis of the performance indicators

The Working Hypothesis for the assessment:

Participatory of farmers and other stakeholders makes research more effective

- Potentials - limitations
- Opportunities - challenges
- Good / bad practices, approaches, methods
- Improvements / new directions in the future towards more effective research
- Factors for success and failure

The cases chosen and why they were chosen

Each team will assess 2 cases of PR and 2 cases of "conventional research" in similar research topics. It was noted in hindsight that the conventional were not that conventional.

Team 1: Taye Bekele, Agaje Tesfaye, Bekele, Kindu Mekonen, Teklu Tesfaye	PPB and IPM
Team 2: Habtu Assefa, Mohammed, Amanuel, Mengistu, Tesfaye	AHI and Nile Valley - Forage legumes
Team 3: Asgelil, Gemechu, Hussein, Fasil, Teklu Erkosa	Farm Africa & PPB Awassa
Team 4: (Tilahun, Daniel, Legesse, Ejigu)	PRIAM Nazareth and Vertisol Project (JVP)

The Vision for Effective Research (as defined in 2001)

What would farmers do differently?

• Farmers and researchers are partners in technology development	• Farmers manage their own resources more adaptively
• Farmers make a profit from their production	• Farmers actively participate in research planning and finance
• Farmers share knowledge actively with others	

What would farmers organizations do differently?

• Farmer organizations manage themselves effectively and solve their conflicts	• Farmers organizations invest in research capacity building
• Farmers organizations influence agricultural policies	• Create links with other organizations
• Farmer organizations facilitate sharing for adoption and dissemination	• Farmer organizations are mobilizing resources

What would researchers do differently?

• Monitor farmers progress to measure researchers effectiveness	• Researchers document farmers experience and innovations
• Researchers carry out policy related research	• Researchers assist farmers in experimentation
• Researchers assist farmers to organize themselves	• Researchers understand and value farmers knowledge
• Researchers support farmer capacity building in support - services marketing	• Researchers involve farmers/farmer organizations in planning and implementation
• Researchers facilitate fora and linkages	• Researchers actively build partnerships
• Researchers generate technical options	• Follow a multi-disciplinary approach
• Researchers change their attitudes	

Principles & Values in Effective Research

1. Inlusiveness - choice of farmers: consider whose problem, wealth strata; equal opportunity
2. Problem differentiation: rich: poor and/or men:women and/or old:young, etc
3. Understanding of farmers' situation / life world and value farmers knowledge
4. Relevance to the farmers/users
5. Building genuine partnerships with farmers and other stakeholders
6. Build farmers' capacities to manage their own affairs → self reliance
7. Problem driven and demand oriented
8. Access to technologies → create flexibility and options
9. Stakeholder participation (dialogue, interactive, multiple ways, have a "voice")
10. Quality of facilitation
11. Joint ownership (role clarification, trust, transparency, confidence)
12. Trust in farmers potentials and capabilities
13. Recognition that farmers are their own experts in their situation
14. Experiential learning - a way of learning based on experiences that is both for researchers and farmers
15. Continuous improvement of one's approach / strategy by monitoring progress at farmer's level and reflecting in a systematic way

From these cards we synthesized the objectives for the last 2 days:

Objectives for last 2 days (feedback to & from management):

- to develop a shared perspective on the potentials and limitations of PR methods and approaches
- to develop an agreed-upon strategy to improving the application of PR methods and approaches
- to design a way forward for operationalization of PR

What should not happen in the workshop is:

• PR and CR should not co-exist (e.g. they should co-exist)	• Unnecessary dialogue but facilitator to get consensus whenever possible
• Doing other business	• Coming late
• Lengthy discussions	• Not sharing opinions
• Downfall of PR	• Defensiveness
• Subjectivity should not be reflected	• Disappearance of participants

1.6 Process steps for the workshop

Once the objectives were clear, the facilitator suggested a process how to reach the objectives:

Steps in the workshop process

1. Share the case studies and their assessments
2. Synthesis: ranking case study impacts; identify major impacts and contributions, weaknesses, strengths, constraints and challenges
3. Identify cornerstones (major success factors for effective research) derived from impact areas, strengths
4. Identify / synthesize the best practices associated with the various cornerstones

Participants agreed to this procedure and as a first move, the experiences from the field assessment were to be shared.

2 Presentation of group field assessment work

2.1 Presentations and Discussion

The elaborate presentations are in the Annex of this report

2.1.1 Discussion on PRIAM & Vertisol presentation

- Group leadership is a very important ingredient. Farmer-to-farmer visit was key and led to championship (e.g. gets others involved).
- Only a certain segment is included in the PR - what about the others. The lead farmer takes the initial risk - and shows the others that it is working. The lead farmer took the lead in discussing with researchers - which gave researchers feedback.
- The participating farmers in one village did not share information, but it was felt that this was due to the characteristic of technology (an implement) that made its spread difficult. It was costly and not available in large numbers. Farmers gave it to a few people who were important to them.
- Often the participating farmers are members of a "club" and do not want to share with others. When they make alliance with outsiders they benefit a lot. It is important to look into how to get inclusivity so there is no alienation. When a project comes in to work the whole community is usually approached to get their buy-in and set up accountability with all of the community first. Then the smaller group working with the project will be accountable to share with others. If this is not done, there is a danger that project will marginalize the group they are working with, they become special and may not share with the others. You have to consider and take into account the social dynamics. Otherwise, we will always remain with the 10% adoption rate.
- Clarification/discussion on vertisol (JVP) was extensive by the participants. The JVP started out rather traditional but later integrated PR (in second phase) so as to improve its uptake and feedback from farmers. Researchers were responding to farmers stated problems.

2.1.2 Discussion on AHI and Food Legume Research Project

- What are the conditions under which PR works best? What are they and how does one handle these? Consistent personnel, resource levels, and other aspects.
- How do we measure efficiency? Time spent, financial requirement vs output. We need to see this together. Cannot cost pilot tests and development stages but see benefits later when it gets scaled up.

2.1.3 Discussion on Farm Africa & PPB (Awassa)

- Many of the PR projects came about because they argue that conventional research has not actively involved farmers therefore, adoption is less than desired and it would improve if participation were increased. This is the hypothesis that we are testing.

- Discussion on the "legal" evaluation criteria by release committee may not be important from perspective of FPR (e.g. distinctiveness of variety). Farmers do take varieties and adopt and spread them without the formal release process!

2.1.4 Discussion on PPB (Nazareth) and IPM on vegetables (Nazareth)

- Time to expect impact? Is 3 years too soon? Does PR take more time given the intensity of the process? What about manpower, money, etc? If you don't have PR in place after 3 years with tangible things in place – then something must have gone wrong. It is important to know what are the things that should be in place. After 3 years, farmers also need to see a benefit!! Why is one case faster than others?
- Another point is that FFS was not following the principles. If this is the case, then it was not really the FFS – It is important to know what principles should be behind this in order to properly assess it.

3 Analysis and synthesis of the case study assessments

The groups were asked to analyse across cases (to find commonalities) in view towards making research more effective.

Compare PR with conventional research:

1. What are the 5-8 most important contributions / impact areas / benefits of PR towards the vision of effective research in Ethiopia? (based on the presently available information)
2. What are the 5-8 major gaps (missing impact and opportunities, critical weaknesses...) of the present PR initiatives?
3. What are the 5-8 most important challenges and constraints that PR is facing in improving PR towards the vision?

3.1 What are the 5-8 most important contributions / impact areas / benefits of PR?

Enhanced interest in PR among different stakeholders	Farmers capacity building: research-ability, decision making, knowledge / skill	Adoption potential (proxy indicator) improves adoption potential
Learning process – capacity building	More technological options	Understanding farmers ITK
Farmers became better managers of land resource	Multi-disciplinarity / interdisciplinarity enhanced	More understanding of production system
Farmers develop sense of ownership (conducive for	Interdisciplinary and system approach in dealing	Diverse interests of different farmers addressed

future work)	with research problems	different priorities
Attitudinal changes towards farmers role improved	Farmers developed confidence and trust	Communal resource mobilization
Farmers income is enhanced	Change in attitude	Friendly working environment
Sustainability of PR recognized: farmers bear risk, farmers cost sharing, genuine participation, institutionalisation initiatives	Farmers innovativeness and able to experiment on their own	Linkage channels established - among farmers, with new projects, farmer-researcher

In summary the following points came out as the most important impacts / contributions of PR towards the vision

Enhances development of appropriate technologies

- more technological options responding to farmers' problems available
- more technologies based on ITK
- technologies compatible to local knowledge and systems (low cost)
- improves adoption and adoption potential

Enhances relevancy of research approach

- enhances interdisciplinarity among researchers plus systems research
- needs and interests of different farmers can be addressed
- working together enhances the understanding of the production system

Establishes linkages among farmers, between farmers and institutions

Engages farmers in actively searching for their own solutions to problems

- farmers experiment on their own
- farmers are more innovative and creative
- farmers bear the risk and cost of experimentation
- farmers are confident and trust is built
- farmers develop a sense of ownership

Builds farmers capacity in managing their resources

- builds farmers knowledge and skills in land and resource management
- improves farmers decision making
- improves communal resource mobilization
- improves farmers income generating capacity

Changes attitudes of researchers and institutions towards farmers

- attitudinal change towards farmers' role
- enhanced interest in participatory research among stakeholders
- more collaborative (friendly working environment)

Discussion:

- Dissemination & scaling up - does research have a role in dissemination? Is this a policy issue only? Is dissemination a separate project in itself? Historically, research saw the need and created a department on linkages - but the role of research and dissemination seen to be in different organizations each with their own mandates. Therefore making inter-institutional linkages is a needed by research through fora, etc.
- PR cases were weak in having a scaling up strategy. This is a major weakness and PR will fail if not solved. This is a central issue when designing PR in future.

3.2 What are the major 5-8 major gaps (missing impact, opportunities, critical weaknesses)

Limited farmers involvement in PM&E process	Inadequate representation of stakeholders	Isolation of FRG members from other communities
Lack of organized fora among FRGs, research and extension teams	Weak involvement of farmer organizations (silence of non-participating farmers)	Different levels of PR understanding among different stakeholders
Limited technology options for farmers	Documentation of PR process inadequate	Needs strong commitment and patience
Lack of capacity to PR requirements	Researchers engagement in many other commitments	Absence of proper documentation at all levels
Weak link between extension system and local institutions	Engagement of DAs in other activities which effects their relationships	Inadequate addressing of marketing problem and income generation
Weak farmer organizations	Weak institutional linkage	Lack of clear dissemination / scaling up strategy

In summary, the most important gaps and critical weaknesses

- Inadequate competency in PR in implementing agents
- Limited commitment and engagement by research staff in field work with farmers
 - researchers engaged in many competing activities
 - commitment and patience limited
 - engagement of DAs in other activities which effects relationships
- Inadequate documentation of PR process
- Limited technology options for farmers
- Weak systematic involvement and exchange among FRGs, research and extension
 - inadequate representation of the various stakeholders in the process

- different levels of PR understanding among different stakeholders
- Inadequate approach that involves farmers and farmer organizations
 - limited involvement of farmers in PM&E
 - isolation of FRG members from other community members
 - weak involvement of farmer organizations
 - silence of non-participating farmers
- Lack of clear dissemination and scaling up strategy
- Inadequate addressing of income generating and market issues

3.3 What are the most important challenges and constraints?

Absence of formal farmer organizations	Unfavorable policy for PR in the research system	Sustainability: follow up and institutional arrangements
Lack of formal sharing of responsibilities – roles not clear	Mismatch between problems identified and technologies available	Existing research management system incompatible
Difficulty related to farmers empowerment (non-researchable problems)	Create fora for non-researchable problems to be raised by farmers	Trade-off between data quality and technology adoption
Inadequate documentation skills	Difficulty to address diverse needs of farmers	Scaling up of the technologies
There is no incentive (reward system) for PR	Incompatible with existing policy (variety release)	PR is resource demanding
		Poor exit strategy

In summary, the most important challenges and constraints faced in implementing participatory research

How to design and ensure sustainability of PR initiatives

- Follow up
- Institutional arrangements
- Exit strategy

How to reach sharing of responsibility among stakeholders

- Role clarification
- Commitment and ownership

How to handle the communities non-agricultural priority issues

- Mis-match between problems identified and technologies available
- Fora for non-researchable problems to be raised by farmers
- Difficulty to address diverse needs

How to document the PR processes in a systematic way

How to scale up technologies and processes

- Striking a balance between research (data quality) and technology adoption

How to deal with local organizational involvement in the research process

- Absence of formal farmer organizations
- Dealing with farmer empowerment issues

How to build farmers capacity

How to avail the resources and the commitment for PR

- Problem with time splitting between initiatives and projects

3.4 Cases and impact areas and “best practices”

The group was asked to:

1. Identify the cases that were successful in achieving in the impact area
2. Identify the “best practice” / methodology ... they used to be effective

Texts marked in green in the following are examples of the best practices that were identified in the cases.

Impact on farmers

Impact areas	PPB Nazaret	IPM	Farm Africa	PPB Awassa	JVP	Nile Valley	AHI	PRIAM
Farmers and researchers are partners in technology development	Farmers did technology evaluation & allocation of land, labor, time Selection criteria	Farmers contributed time, labor, irrigation Farmers shared research costs	Farmers contribution on IK (botanicals) Farmers sharing research costs	Farmers made decision on fertilizer use Farmers shared research costs Selection criteria	Feedback to researcher Provision of resources	Feedback to researcher Provision of resources	Feedback to researcher Provision of resources Planning together	Feedback to researcher Provision of resources Asked for sharpening of results
Farmers manage their own resources more adaptively	Farmers adapted to row planting, weeding, tillage frequency Training & visits (exposure)	Farmers appropriately used chemicals Training & exposure visits (local & foreign)			Farmers experimented & innovated "shaga"	Determined fertilizer rates for soil types as classified by farmers Farmers experimented & selected treatments according to their soil typology	Combined ITK with improved technologies Farmers experimented	Modified research based technology to local made implement
Farmers Make A Profit From Their Production		Increased income from sales of veg. Efficient use of inputs, improve crop management practices Training on practices			Introduction of improved wheat variety Dual crops were harvested instead of 1	Increased income through selling pulse crops Improved highland pulse variety	Improved tef & coffee Reduced cost of production (composting instead of inorganics) Experiential learning Exposure	Decreased labor Improved soil & water conservation

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Impact on farmer organizations

Impact areas	PPB Nazaret	IPM	Farm Africa	PPB Awassa	JVP	Nile Valley	AHI	PRIAM
Farmer organizations manage themselves effectively and solve their conflicts	No specific	focus	on farmer	community	organization			
Farmers organizations influence agricultural policies								
Farmer organizations facilitate sharing for adoption and dissemination								
Farmers organizations invest in research capacity building							Sharing planting materials	Sharing implements
Create links with other organizations					ILRI, ICRISAT, MOA, AU	ICARDA, MOA	TSBF, ILRI, CIAT, MOA, SOS, Debube Univ, Awassa College	CIAT, RELMA, MOA
Farmer organizations are mobilizing resources								

Impact on researchers

Impact areas	PPB Nazaret	IPM	Farm Africa	PPB Awassa	JVP	Nile Valley	AHI	PRIAM
Monitor farmers progress to measure researchers effectiveness	Individual discussions Researcher weekly visit to farmers fields	Joint evaluation of technology	Periodical meetings PM&E Strong linkage with DAs		Evaluation fora Field visits Farmers & DAs feedback		Field visits Farmers & DAs feedback Human nutrition monitoring Community facilitator Self-initiated experiments	Field visits Farmers & DAs feedback Farmer evaluation in groups
Researchers document farmers experience and innovations	Researcher developed monitoring format			Researchers documentation Farmers anecdotes				
Researchers carry out policy related research								
Researchers assist farmers in experimentation		Treatments set with farmers Joint design & evaluation			Helping in designing Training in data collection measurements of parameters		Training in research methods	
Researchers assist farmers to organize themselves			FRGs established		FRG	FRG	FRG Thematic groups	FRG
Researchers understand and value farmers knowledge	Researchers learned selection criteria and	Researcher incorporated pest & disease control options	Researchers learned ITK of farmers (botanicals) used ITK as		Understand ITK Incorporation	Incorporation of feedback Understood	Extended research themes of farmers	

Impact areas	PPB Nazaret	IPM	Farm Africa	PPB Awassa	JVP	Nile Valley	AHI	PRIAM
	documentation		starting point		of feedback	ITK		
Researchers support farmer capacity building in support - services marketing	Training on bookkeeping Training on skill (germplasm evaluation)	Market information Liaise with authorities	PRA		Training	Training	Training & credit research	Training Linkage to producers of technologies
Researchers change their attitudes	Documentation of farmers criteria Training Conducive environment towards PR	Incorporation of ITK Training	Incorporation of ITK Training	Ability of farmers to make decisions on technologies	Sensitization workshops Training of farmers & researchers Field days, Meetings, Symposium	Sensitization workshop Training of farmers & researchers Travelling workshops, Fields days	Training Field days Annual meetings Cross-regional meetings	Training Field days Annual meetings
Researchers actively build partnerships	Technology options Researchers planning workshops Give & take	Provision of extension materials	Training		Working with farmers Feedback to farmers Invite stakeholders to meetings	Working with farmers & DAs Feedback to farmers	Working with farmers, DAs Feedback to farmers Invite experts to solve special problems	Working with farmers & DAs Feedback to farmers
Researchers generate technical options	Exposure to diverse germplasm	Exposure to different options		Exposure to diverse germplasm	Varieties, Implements, Fertilizer	Varieties Fertilizers	Draft decision guide Varieties, Physical SWC, ISFM	Varieties Implements
Researchers involve farmers/farmer organizations in planning and implementation	Joint annual planning workshops	Joint annual planning workshops	FRG involvement in diagnostic surveys		Problem identification prioritisation Planning & implementation	Problem identification prioritisation Planning & implementation	Problem identification & prioritisation Planning & implementation,	Planning & implementation Evaluation

Impact areas	PPB Nazaret	IPM	Farm Africa	PPB Awassa	JVP	Nile Valley	AHI	PRIAM
Follow a multi-disciplinary approach		Good leadership Resources			Evaluation Watershed management Involve disciplines	Evaluation Involve disciplines	Evaluation Involved disciplines Win-win "integrated" technologies	
Researchers facilitate fora and linkages		Training Field days	Cross-visits Training Multi-stakeholder workshops	Field days	Field days Planning & evaluation FRGs	Planning & evaluation fora Field days, FRGs	Planning & evaluation fora Field days, FRGs	Planning & evaluation fora Field days, FRGs
Joint ownership (role clarification, trust, transparency, confidence)	Farmer selectors & evaluators	Benefits working together	Values	Involvement of stakeholders	Confidence			
Access to technologies → create flexibility and options					Variety Implement	Variety fertilizer	Variety, integrate SFM options, credit options, FFS	
Problem <u>driven</u> and demand <u>oriented</u>		Misuse of pesticides Joint problem ID & implem.			BBM	Fertilizer rate varieties	Forage for dry season SC measures	Implements for dry planting
Build farmers' capacities to manage their own affairs			FRG training		Shaga		Resource reallocation Research endowment ranking	Blacksmith exposure
Problem differentiation: rich: poor and/or men/ women and/or old/young,			PRA				Different entry points for different farmers	

3.5 Critical issues from the field assessment and "best practice" discussion

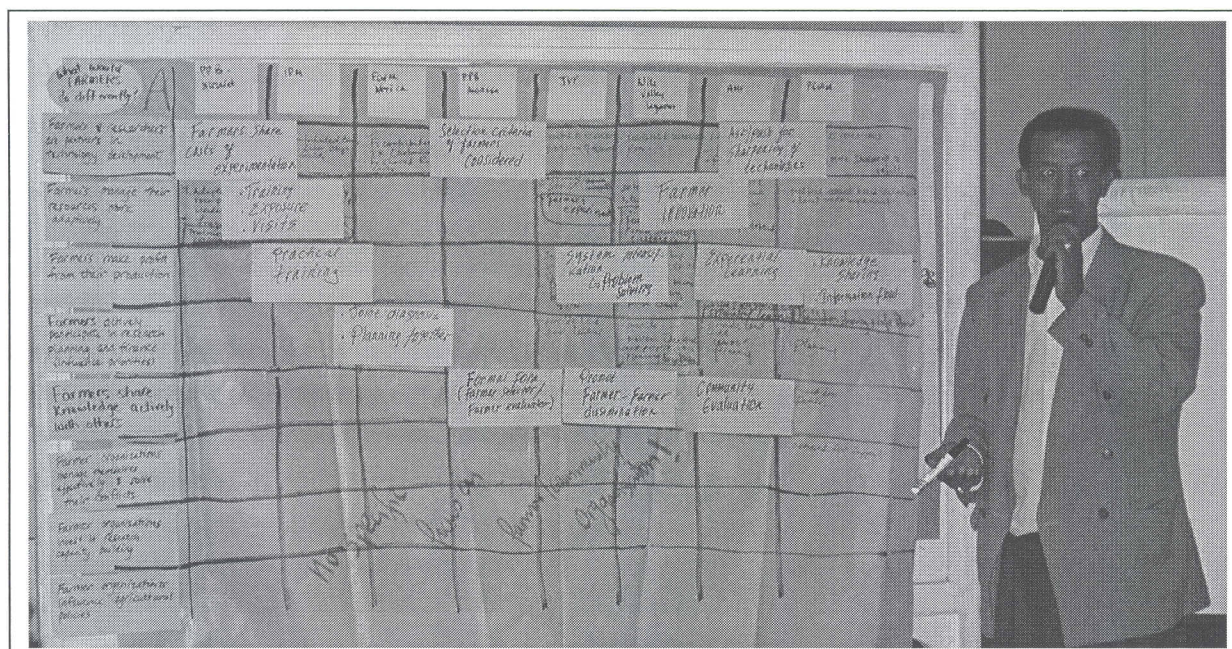
Various issues came out of the presentations and the discussion following the ranking. They were discussed during the presentation and many of these were later incorporated into the challenges for effective research.

- It was noted that there has been a limited focus on farmer organizations and the group discussed why this is the case. One suggestion was that there are farmer organizations but these are socially oriented ("sider") - not so much organized for development activities. Perhaps we are too "research oriented" when we work with farmers and do not involve other stakeholders that might have strengths in this area. There is some historical background - e.g. there are formal structures such as cooperative movement and PAs which are government driven, but there is limited promotion of bottom-up organization. There are also few supporting facilitation entities having the specific skills that can do this. In research there is almost no sociological expertise. It was noted that these circumstances are not unique to Ethiopia. It was also noted that facilitation is not that easy - there are local politics, local interests and power relationships, and need for negotiation of conflicts. Nevertheless, it was agreed that we need farmer organizations that are facilitated and supported in a bottom-up way for effective research and development.
- The point that social learning is important in our interaction and methods used when working with farmers was highlighted. Social learning means that people learn together in fora, group meetings, training sessions, and other informal discussions. When we talk about methodologies, we want to know "how" farmers' capacity is built, "how" farmers are enabled to better manage their resources and to experiment is the main issue behind "best practices".
- The practice of using a community facilitator was raised for monitoring and feedback management. It was noted that this does foster more consistent and timely follow-up particularly since the researchers cannot be there on a frequent basis, but the issue of sustainability beyond a project-mode was raised. Thought needs to be given to this challenge. It was also pointed out that a facilitator from the community can not easily facilitate their OWN community because of potential conflict of interest. It was also pointed out that not all work should be done with groups but that it is important to also get feedback and talk to individuals.
- Documentation was a weak area. Jurgen shared the idea of using a sheet of paper with key words on it that is filled in after discussion with farmers (in the car - not in front of farmers). This helped to capture lots of information.
- Building farmers capacity to do more systematic comparisons was not very common. Training farmers in research methods is sometimes controversial - concerning formal and informal methods. But, the point is to train farmers in making more systematic comparisons.
- Most PR experiences reviewed used an FRG approach to organize farmers for the work. Sometimes the members volunteered and in one case the community picked the

farmers. Jurgen shared his experience with us – he had used FGs versus involving the whole community. He found that FGs in the end made it very difficult to scale up and to get buy-in from the chief. There was sometimes conflict that arose given the self-interests and non-representativeness of the members. FG workshops made decisions but those not there had no input and this sometimes backfired. The question is "how representative are those who are involved?" This hindered expansion and dissemination. On the other hand the community-based approach was slower in starting but later faster vis a vis scaling up. The community established a criteria that determined who should be chosen as representatives to participate.

- A point was raised concerning time implications for strong research participation and cost effectiveness. Now the research policy environment does not support this commitment – in their reward structure nor in the assignment of duties. There are obvious trade-offs between following a conventional approach versus incorporation of participatory approaches in relation to time and resources to impact. This needs analysis and reflection by management. Are we being rewarded for writing papers or for the number of people using our technologies? Which has the most impact?
- Given some of the experiences reviewed, we discussed the best way to change people's attitudes. They were:
 - To prove that PR is scientific and that you can publish PR papers in refereed journals.
 - To discuss with our colleagues on an ethics basis – if we work in a top-down fashion without involving our clients this should be considered unethical. We should be required to make an impact.
 - Show success stories and compare to the conventional methods
 - Help to understand the methodologies through capacity building
 - "Seeing is believing"
 - Exposure and interactions with different stakeholders
 - Create a learning group
- Partnerships were discussed and some guiding factors were identified:
 - Clarify what should be achieved together and ensure value added $1+1=3$
 - Clarify roles and expectations on the way and learn to play the roles together. An analogy was made to a soccer team. People can know their positions (roles) but if they do not play together as a team – it will not work.
 - Give and take is a must. "Free-loaders" destroy.
 - Honesty is needed
 - Commitment at all levels is needed
 - Share credit
 - Good attitude is not an MOU

- A "coach" is needed - that is a facilitator who is empowered to manage the partnership
- How do we know that we have real joint ownership?
 - We would see investment in the technology development (=good indicator)
 - Farmers see as their problem and willing to work on a solution
 - Get personnel gain (knowledge) from the experience which propels them to continue on their own elsewhere and on other topics
 - Working together led to benefits - e.g. involvement of stakeholders
 - Created trust and confidence - technology and interaction effective and positive
- The learning approach is important but often not built in. We need to have reflection in order to critically review and make adjustments. Approach development should be an integral part of the project. It was asked if the review process currently in place was sufficient for this. It was suggested however that one needs to sit with stakeholders to do an assessment, that the "impact areas" could be used as indicators and that it is important to put up standards, that is the envisioned impact that may be beyond a trial but that leads to the impact areas. A culture of reflection should be in everyone even the research assistants. There should be a culture of continual improvement.



4 Towards a new Framework for Effective Research

The discussion and the analysis were very rich and provided a good basis for defining now critical success factors for effective research on a well-informed basis. Building on these success factors a new framework for effective research in ET was developed.

4.1 Critical Factors for Success Towards Effective Research

Following the discussion on best practices, challenges, gaps and impacts the group was asked to come up with major factors for success for effective research in Ethiopia as well as to consider factors for failure.

The following task was given to individuals:

What are the major factors for success for effective research in Ethiopia?
What are the factors for failure?

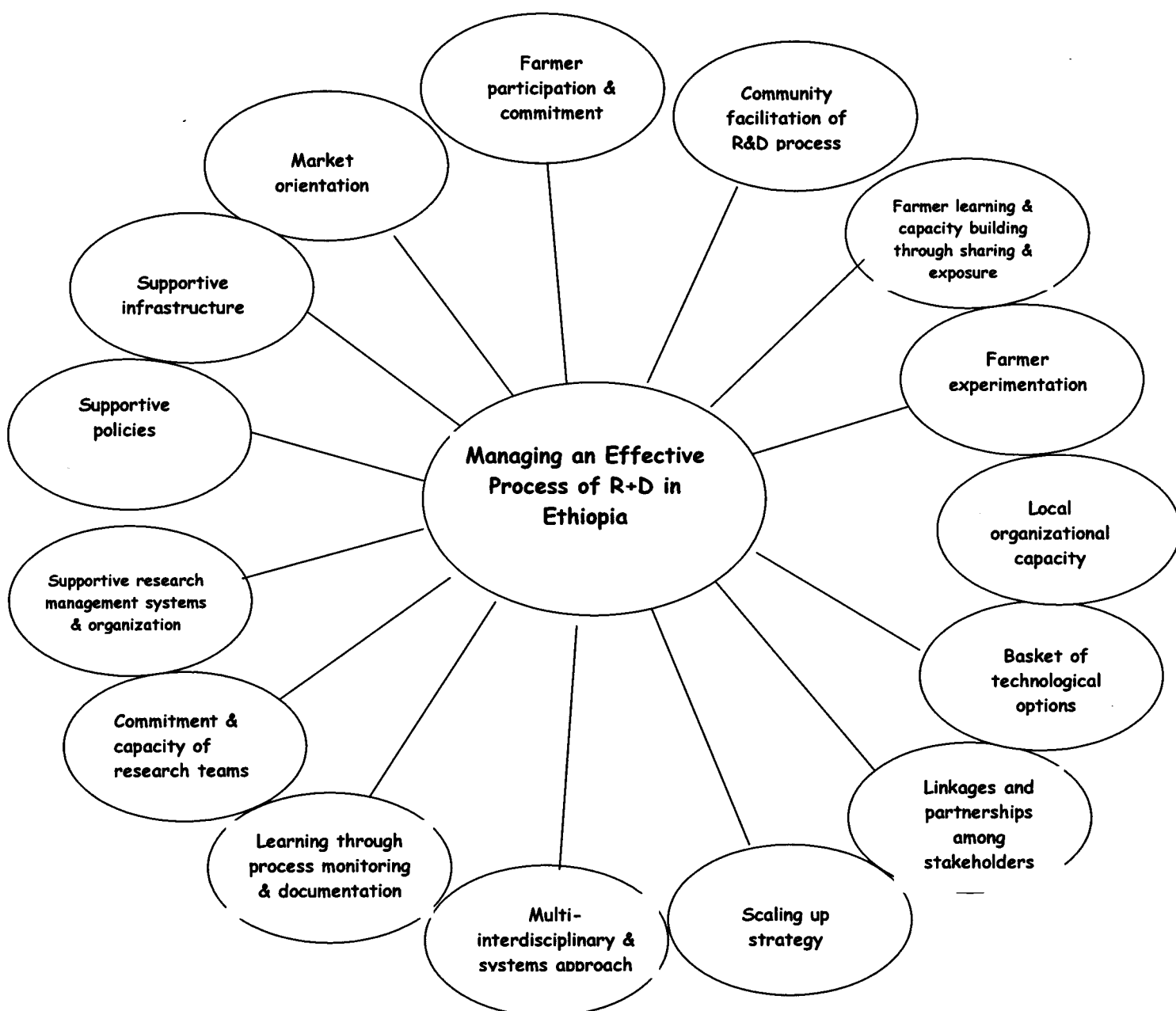
The success factors were clustered:

<i>Farmer participation and commitment</i>	<i>Linkages & partnerships among stakeholders</i>	<i>Supportive research management systems and organization</i>
<ul style="list-style-type: none"> • A community with hope to get out of poverty • Presence of lead / risk taking farmers • Involving farmers in problem identification, planning, implementation and evaluation • Deal with priority problems • Build trust, confidence and honesty with farmers • Farmers involvement in: problem identification, implementation and evaluation • Self-reliance • Farmer participation and commitment 	<ul style="list-style-type: none"> • Linkage to other actors / institutions to bring more options • Periodic stakeholder meetings/workshops (fora) • Common understanding of vision, goal, and objectives • Build genuine partnership with farmers and related organizations • Link relevant development actors (MoA, input supply, local organizations, market) • Different stakeholders understand and fulfil their responsibility • Working together / strong leadership (researchers, farmers, BoA) • Commitment and clear responsibility sharing • Working clearly with stakeholders • Continuous training of stakeholders • Strong linkages among stakeholders 	<ul style="list-style-type: none"> • Be able to value research work with farmers in incentive and reward systems • Favourable policy (support and recognition) • Conducive working environment • Adequate resources • Availability of resources • Good leadership • Frequent reorganization disturbing

<i>Basket of technological options</i> <ul style="list-style-type: none"> • Availability of technology / access to technology • Provide technological options and ensure access • Availability of technological options • Appropriate technologies available • Availability of technology options 	<i>Local organizational capacity</i> <ul style="list-style-type: none"> • Strong local leadership • Good leadership • Having strong farmer organizations • Organizing farmer groups • Strong FRGs • Farmers organized in groups / villages 	<i>Market orientation</i> <ul style="list-style-type: none"> • Market as factor for investment / participation • Understand real production and marketing problems and seek solutions
<i>Supportive infrastructure</i> <ul style="list-style-type: none"> • A supportive infrastructure / access to community • Weak infrastructure development • Good infrastructure 	<i>Community facilitation</i> <ul style="list-style-type: none"> • Existence of community facilitator • Facilitate and link with farmer organizations 	<i>Multi-disciplinary systems approach</i> <ul style="list-style-type: none"> • Interdisciplinarity within individual researchers • Integrated (interdisciplinary) approach • Strengthen interdisciplinary research approach • Understanding production systems • Understand farmers existing conditions • Use a systems approach
<i>Farmer experimentation</i> <ul style="list-style-type: none"> • Entry points for each stratification: land quality, socio-economic, duration • Achievements in the first season / experiment • Strong entry point • Include farmer experimentation. • Build upon farmers ITK 	<i>Commitment and capacity of researchers</i> <ul style="list-style-type: none"> • Capacity building • Researcher commitment • Experience and patience to work with farmers / communities • Respect for the farmers/communities / social affairs 	<i>Farmer learning and capacity building through exposure and sharing</i> <ul style="list-style-type: none"> • Build farmer capacity through training, exposure, visits, discussion • Farmers training and meetings • Capacity building and training • Enhance farmers capacity (training, financial)
<i>Supportive policies</i> <ul style="list-style-type: none"> • Conducive policy (release mechanisms, incentives) • Lack of supportive policies (e.g. marketing, subsidy, • Having favourable policy 	<i>Scaling up strategy</i> <ul style="list-style-type: none"> • Mechanisms for dissemination and scaling up • Mode of dissemination / channels created 	<i>Learning through process monitoring & documentation</i> <ul style="list-style-type: none"> • Appropriate documentation process • Monitoring and evaluation • Lack of proper monitoring and evaluation mechanisms

4.2 Emerging Conceptual Framework for Managing an Effective R&D Process in Ethiopia

The clusters of success factors are considered as "cornerstones" or necessary ingredients for research to operate effectively. The conceptual framework built on 'cornerstones' for an effective research process was a milestone in the analysis and synthesis of the results of the assessment. It is a framework that is applicable in the Ethiopian context which can help to design, monitor and evaluate research processes, which includes but goes beyond participatory research.



However, the frame is not yet complete. The content of each of the cornerstones needs to be worked out well - that is in terms of the issues to be dealt with, the crucial questions and

PART II: Feedback Workshop to the EARO Management: The Assessment of the Potential of Participatory Research

Held at EARO, 20-21 June 2002

1 Workshop Opening and Warm up

Dr Habtu Assefa welcomed us to the workshop on behalf of the team of researchers that embarked upon an assessment of research approaches.

Dr Aberra (DDG) gave a welcoming to the participants on behalf of the management. He introduced us to the new DG, Dr Demil - who is part of the team but with a different hat now.

"I am sure we will move forward on our strategy for the next years. As in the past, we have been working together - the effort of everybody will continue to be drawn upon by the new DG. We have been putting our strategy together for 3 years. The first thing we did was to set a vision, then developed a strategy in all sectors (dryland, forestry, crops, soils, livestock etc.), and we have identified constraints. We built upon the government development policy. What was different was that everyone participated and it was client oriented. From the clients we got priority constraints upon which we developed programs and projects. We are now implementing the strategy but this does not mean it is finished. As we implement, we encounter need to change and revise as need arises according to the changing environment. The multi-disciplinary approach is important at the grassroots-level to solve grassroots problems. Across-sectoral approach is also there - particularly when looking into the farming system.

In the process of implementing research there are different approaches and schools of thought. Participatory approach is included in our strategy - and means that different views must be incorporated. PR is coming frequently to our ears. We hear about PPB, farming systems, etc. Some say there are different schools of thought - farmers can do it alone, researchers can do it alone but we say we combine scientists and farmers knowledge to address the problem of the clients. "How do we go about it?" We have started in Nazareth, Alemaya, and other centres. There is no way we can solve problems alone and need to link with others.

We are interested in institutionalising it - but we need to know how to go about it and what has been done before. Therefore we embarked upon a task to do this. In April 2001, with the assistance of AHI and Dr Jurgen a group was formed to set up an assessment framework and to use it to look at various experiences in the country. They have come back and have been synthesizing their findings. A similar pilot project is also being done in Tanzania. There is expectation on our side. We want some recommendations and then decide a way forward. We will move step-by-step and according to our capacity. The most important thing is to

understand things. If we need outside help, like AHI, we will ask them to help us to move forward. We will try to move forward on the recommendations. The centre managers are here today because you are the implementers. You need to know, you need to grasp and to share your ideas and experiences with us. Thank you very much and we hope this is a successful workshop."

Habtu then handed over to the workshop facilitator (Jürgen Hagmann) who set the tone. "We want to have an active dialogue, your feedback and your perspective. In this way we sit so we can see each other's faces and we will use cards for visualization. It is a way for everyone to have a "say" by putting up his or her points. It is not a ZOPP session."

Jurgen wrote up: "If you always do what you always did you will always get what you always got!" He made the point that we should be interested in getting into a new way to interact. The assessment team will share with you how they processed and arrived at the outcome of the work. At the end of the workshop, there will be an evaluation to get an assessment of the session.

For a warm up, Jurgen asked the participants to form a group of 3 people that you do not know very well. Find out from each other (10 minutes): Who you are and where your roots are?; Where you want to be in 10 years from now? What is special/unique about you? Introduce each other in plenary and write on cards. (The details are in the annex of this report).

1.1 Objectives of the Feedback Workshop

- to develop a shared perspective on the potentials and limitations of participatory research to make research more effective
- to develop an agreed upon strategy to integrate different methods to make research more effective
- to design a way forward for operationalization of a framework for effective research (steps, draft plan)

1.2 Exploring expectations

Each person was asked to write a card that was posted up on the board. A review of some of the points made indicated: Clear understanding of participatory research methods, strategy to institutionalise participatory research is developed, a clear, practical proposal with the way forward.

1.3 Detailed programme

	Thursday	Friday
Session 1	1. Opening: Introductions, Expectations Objectives	4. Review of the process and outcomes 5. Group work - implications for EARO
Session 2	2. Presentations: <ul style="list-style-type: none"> • The Process • Assessment frame 	<ul style="list-style-type: none"> • Discussion on implications

Session 3	<ul style="list-style-type: none"> • Vision, guiding principles • Impacts, gaps, challenges of PR 	5. Way forward
Session 4	<ul style="list-style-type: none"> • Success factors • Conceptual framework 	Way forward continued

Jurgen led the participants in an exercise called "Standpoint" - He provided some provocative statements and asked the participants to take a stand on whether they: strongly agree, agree a bit, are indifferent, disagree a bit and strongly disagree. The statements were:

- Participatory research is like extension it is not really quality research.
- The technologies that research has generated are good. The problem is with extension and dissemination.
- It is not really possible to do research with people / farmers who are illiterate.
- If you really want to be serious in enhancing production, you need to adopt a technology package.

Very interesting discussions emerged as a result of the provocative statements. It revealed that the perspectives among staff differed quite substantially - which was a good starting point for the feedback workshop as it helped to clarify the positions.

2 Presentation of the finding and the analysis of the study to the management

2.1 Objectives and Overview of the study

Habtu presented to overview of the anticipated outputs of the assessment and evaluation of PR in Ethiopia.

The following outputs were envisaged by the group:

- A better understanding of PR in the context of Ethiopia regarding its current status with its limitations, success and opportunities
- An identification of the main conceptual elements required for the design of PR approaches including conditions for success and failure
- A methodology and expertise for assessing PR through criteria and indicators for impact and quality of PR
- Skills and conducive attitudes of the researchers involved in the evaluation
- Possible options for the way forward in PR in Ethiopia addressed to EARO
- A synthesis report

In order to arrive at our desired outputs...

- A comparative study: ongoing activities compared against the frame for effective research to define the threshold/conditions for success of PR.

Hypothesis:

Participation of stakeholders (→ farmers) makes research more effective.

Discussion:

- We have not looked yet into efficiency - because you need longer experience - we concentrated on effectiveness and impact
- We did not look at experiences from elsewhere - but took stock of some examples in Ethiopia and assessed this against the impact framework that we developed. The framework is a visionary frame that shows what needs to happen to get impact.

The Process we used: (Amanuel Gorfufu)

1. Agree on shared objectives with management
2. Design of the assessment frame (first workshop)
3. Field work
4. Analysis of information
5. Feedback of results to management and staff
6. Decision on next steps / way forward

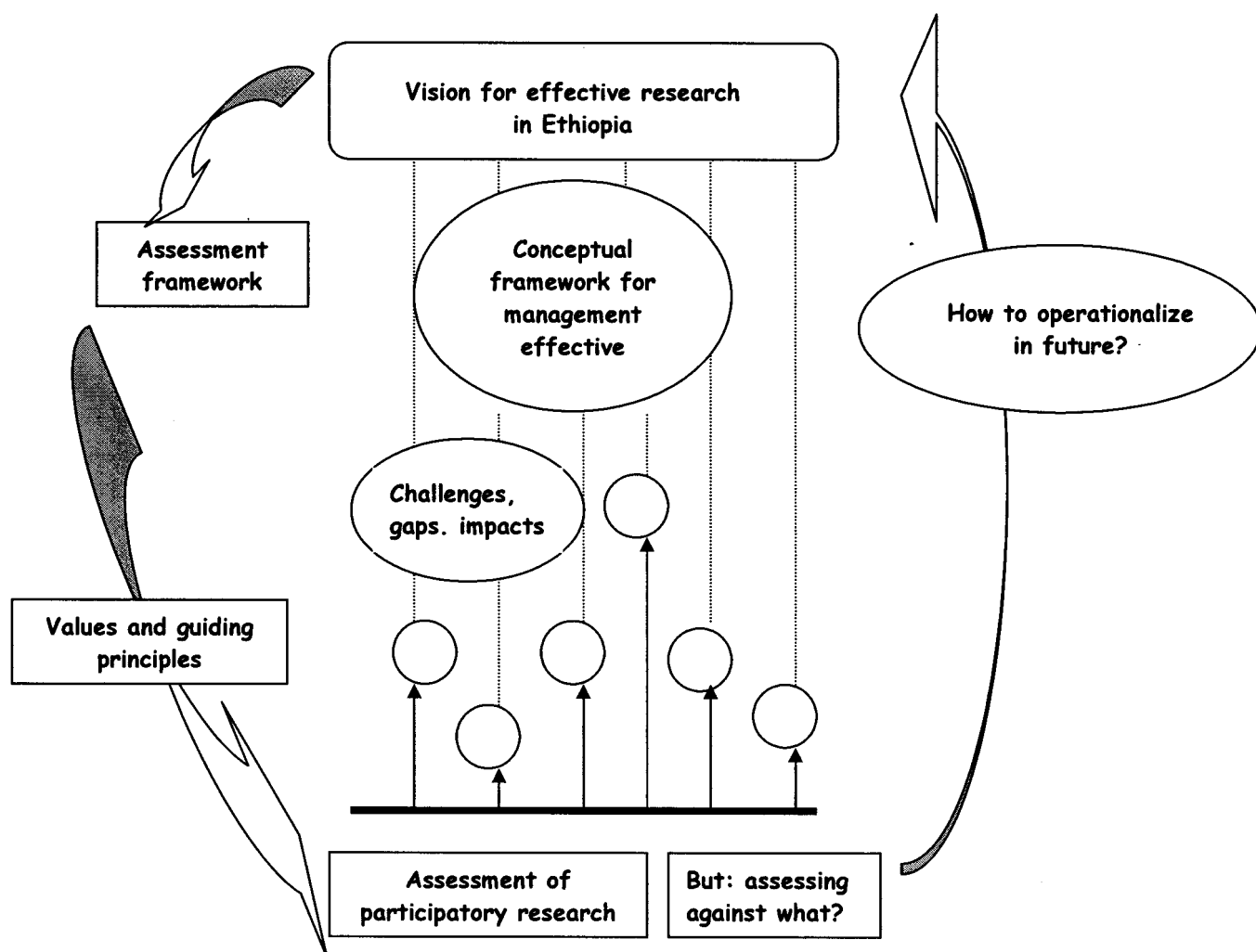
2.2 The assessment process was presented

The assessment process is the methodology and logical process we used to make the assessment (see diagram next page). The assessment teams compared what they saw with the desired the outcome - e.g. if everything was perfect and research was making an excellent contribution (=vision for effective research). From this vision, we identified various principles and values that guide the work - that is where we are going and how. The desired outcome and principles/values served as the criteria used to assess field practices. Eight cases were picked for field assessment. They were compared to each other and to more conventional approaches. Through looking into each one we identified impacts (related to the impact framework), gaps, challenges and success factors and synthesized these. The success and impact could be attributed to certain methodologies (best practices) that had been used. Based on this analysis, a conceptual framework was developed which identifies the factors one has to consider to get effective research.

Discussion:

- Many of the experiences currently reside in pilot projects. How do we make this more systemic and what are the implications to EARO as a whole? We can use these pilots to identify key factors that might be taken into the system at large - and then what is seen in the projects might take a different form. At the first stage, Dr Seyfu and Aberra were interested to find out more about PR and how this could be applied to the system.
- PR is much more than problem identification - but involves farmers in many more research stages. This is what makes PR different than conventional research. We are getting feedback from farmers saying that blanket recommendations are not useful to their variable conditions (e.g. soil types for example).
- Was PR defined before you started? Did the vision incorporate it? No, participation was not defined. The point is that we can now define it - but if you start off on types

Process of the assessment study



of PR first it narrows the thinking. We decided to define desired outcomes - where PR is a means to an end. Once the outcome is envisioned - then one can look at how to get it.

- There are different levels and types of participation, so is it possible to a common understanding? In the cases, what aspects were more identified with the impact? We can then take the best of the best to adopt. One case will not be adopted or used as a guide - but we can get lessons from each case that can be used. This is where the synthesis assisted us and brought together the best practices.
- For which research types are we applying participatory research? e.g. adaptive versus basic? It depends upon the need, the problem and the best way to solve it. We can arrive at certain principles / points that can help us to move towards better practice. The type of research (basic, applied, etc.) depends upon the level of development. We want to do research to solve problems, not to advance science per se.
- It is important to compare to a benchmark (e.g. conventional) to identify the added value of PR. One could then categorize types and levels of participation. However, there are

various factors that come in: structural factors, linkage issues, institutional and capacity questions - that need to be addressed. This is what is being talked about - the needed elements to make the system work. We saw that linkages and organizational aspects are major factors and these are not normally included in PR. We saw these as critical in making PR effective. If roles of the actors are not defined, then PR may not have an impact. We therefore did not use a narrow definition of PR.

- Research must lead to impact and resource levels are declining. This is a driving force to make a practical contribution.

2.3 Presentation of the Vision and Impact Framework (Kindu Mekonnen)

The management was exposed to the assessment frame that was developed in April 2001 workshop. (see table in the Annex 1).

Discussion:

- Was social capital considered as an impact area? It was clarified that farmer organizations are a form of this, and that this was a weak area - as it is not seen in the field. We are thinking of this as being different from *debbo*, *ider* groups, which are social in nature and not development oriented in a broader sense. These do play a role, but are not being used by the PR cases we looked at. We concluded that a better job should be done in working with and building upon farmer organizations.
- When looking at researchers - a question was raised on whether farmers conduct their own research and it was clarified that "yes this is the case".
- A concern was expressed that R&D are put together. Can research do all of this? e.g. farmer organization, etc. Can we use linkages to do some of this and then research can focus? If we stand with our hands folded and say that this is the job of extension, then maybe nothing will happen with research after we have put in a lot of resources. Then we go back to square one. Therefore, research should make an effort here if there is a missing link. This is not to say that extension and others do not have a role in this. Likewise, farmers can do research particularly for the variable conditions that are out there. Research cannot do everything and must rely on farmers.
- To accept these indicators, we need to understand what is research... a continuous process from discovery to delivery. We developed the impact frame on our idea of what should be happening - our vision - not from theory. But after we looked at the cases, we are coming back to the same elements that are needed and this brings us to the conceptual framework.
- We have to consider scaling up. Part of this is linkages - using partnerships, linking and working with farmer organizations. Pilots are useful in finding out methods and processes that can be used more widely. PR is a means to make technologies more adapted but also to spread it.

2.4 Guiding values and principles for effective, impact-oriented research (Tilahun Amede)

1. Inlusiveness - choice of farmers: consider whose problem, wealth strata; equal opportunity
2. Problem differentiation: rich: poor and/or men:women and/or old:young, etc
3. Understanding of farmers' situation / life world and value farmers knowledge
4. Relevance to the farmers/users
5. Building genuine partnerships with farmers and other stakeholders
6. Build farmers' capacities to manage their own affairs → self reliance
7. Problem driven and demand oriented
8. Access to technologies → create flexibility and options
9. Stakeholder participation (dialogue, interactive, multiple ways, have a "voice")
10. Quality of facilitation
11. Joint ownership (role clarification, trust, transparency, confidence)
12. Trust in farmers potentials and capabilities
13. Recognition that farmers are their own experts in their situation
14. Experiential learning - a way of learning based on experiences that is both for researchers and farmers
15. Continuous improvement of one's approach / strategy by monitoring progress at farmers level and reflecting in a systematic way

We also used these areas as indicators as quality of participation.

Discussion:

- Can you combine social and biophysical sciences? An example was given showing how it can be integrated and biophysical scientists can do this.
- Historical perspectives can affect adoption (example of pastures into Ginchi area). One might consider changes over time - and methods of introduction. For example, soil degradation and animal population might have changed which might change perspectives of people. Therefore, should not be discouraged from introducing change.
- What are the indicators? Consider the human being related indicators such as health as also important.
- A concern was raised about addressing differentiating technology development. How can one take into account all the needs? One can do this through working directly with farmers and harnessing their input in conducting research under different circumstances.

2.5 Presentation of assessment findings (Taye Bekele)

2.5.1 The field assessment methodology

1. Establish the team: from different institutions and with different disciplines
2. Inform the cases: time and logistics
3. Steps of the assessment
4. Preparation: refinement of checklist, logistics, materials
5. Data collection: meeting, discussion with team, collected documentation, field visits, in depth discussions with BoA, researchers and farmers
6. Report writing: team meetings to structure and synthesize
7. Mini-workshop to share results and improve synthesis areas

Cases: PRIAM, AHI, PPB in Nazareth and Awassa, IPM, Nile Valley, Farm Africa, Joint vertisol project (JVP). Criteria used: we selected projects that could give us an insight. We wanted to have NRM that requires management intensive as well as knowledge intensive - variety work. Also, we wanted to have different stages, conventional and participatory, so we can get diversity.

Four teams with 2 cases each.

2.5.2 Assessment results (Fasile Kelemework)

These were synthesized from the field observations.

- 1) The most important impacts / contributions of PR towards the vision

Enhances development of appropriate technologies

- more technological options responding to farmers' problems available
- more technologies based on ITK
- technologies compatible to local knowledge and systems (low cost)
- improves adoption and adoption potential

Enhances relevancy of research approach

- enhances interdisciplinarity among researchers plus systems research
- needs and interests of different farmers can be addressed
- working together enhances the understanding of the production system

Establishes linkages among farmers, between farmers and institutions

Engages farmers in actively searching for their own solutions to problems

- farmers experiment on their own
- farmers are more innovative and creative
- farmers bear the risk and cost of experimentation
- farmers are confident and trust is built
- farmers develop a sense of ownership

Builds farmers capacity in managing their resources

- builds farmers knowledge and skills in land and resource management
- improves farmers decision making
- improves communal resource mobilization
- improves farmers income generating capacity

Changes attitudes of researchers and institutions towards farmers

- attitudinal change towards farmers' role
- enhanced interest in participatory research among stakeholders
- more collaborative (friendly working environment)

2) The most important gaps and critical weaknesses

Inadequate competency in PR in implementing agents

Limited commitment and engagement by research staff in field work with farmers

- researchers engaged in many competing activities
- commitment and patience limited
- engagement of DAs in other activities which effects relationships

Inadequate documentation of PR process

Limited technology options for farmers

Weak systematic involvement and exchange among FRGs, research and extension

- inadequate representation of the various stakeholders in the process
- different levels of PR understanding among different stakeholders

Inadequate approach that involves farmers and farmer organizations

- limited involvement of farmers in PM&E
- isolation of FRG members from other community members
- weak involvement of farmer organizations
- silence of non-participating farmers

Lack of clear dissemination and scaling up strategy

Inadequate addressing of income generating and market issues

3) The most important challenges and constraints faced in implementing participatory research

How to design and ensure sustainability of PR initiatives

- Follow up
- Institutional arrangements

- Exit strategy

How to reach sharing of responsibility among stakeholders

- Role clarification
- Commitment and ownership

How to handle the communities non-agricultural priority issues

- Mis-match between problems identified and technologies available
- Fora for non-researchable problems to be raised by farmers
- Difficulty to address diverse needs

How to document the PR processes in a systematic way

How to scale up technologies and processes

- Striking a balance between research (data quality) and technology adoption

How to deal with local organizational involvement in the research process

- Absence of formal farmer organizations
- Dealing with farmer empowerment issues

How to build farmers capacity

How to avail the resources and the commitment for PR

- Problem with time splitting between initiatives and projects

Discussion:

- It is important to know who (farmer) is being selected to do the research. This was an issue picked up in several cases.
- There are different projects and programs involved in a given area. We run into conflicts of interests and need to look at how to manage the whole system. For example, handouts provided by some organizations are a problem. How can we get better synergies?
- There was one case of scaling up with the Farm Africa case. Otherwise, it was scarce because strategies to spread beyond had not been developed. This strategy should be in place starting day 1.
- It is important how we develop the linkages and alliances and for research this is more challenging when it is for the whole system. It is easier to do this when it is part of a project - which we can use as a model. This is not necessarily just for PR but for other aspects of research.

Jurgen asked: "What is new here - anything surprise you?"

- It seems like there are more challenges and weaknesses than benefits (referring to the charts). What we have brought out are weaknesses and challenges for the whole system - not just PR. What is more interesting, are the gaps and challenges - you see the potential but what is more important is how do we deal with these gaps. The presentation

is critical and gives an honest assessment that is useful and does not just dwell on the good points.

- In the past, the problem was identified by farmers and based on this the researchers changed their selection criteria. (Example was short-maturing maize varieties - Bako) PR is more than just collecting feedback from farmers.
- Cost implications between NGOs and GOs for PR? What we are discussing is not very quantitative e.g. cost:benefit analysis, but there was the case of PPB where we tried to look at the cost in time. It was found that you could get a variety selected in 3-4 years versus 9 years using the traditional system. If you reduce time to user, then you reduce cost. You also avoid risk that farmers would not accept the variety developed. Should we not start at the beginning with farmers so be efficient?
- If we want to start from the successes, what kind of activities would you suggest us to start with from a research system standpoint? There is no case where it is perfect and where everything works. We need to identify starting point (tomorrow) and to develop the approach further - we do not have all the solutions. The second point is how to integrate this into the organization.

2.5.4 "Best practices" identified in the cases (Tilahun Amede)

IMPACT AREAS	Some Best Practices
Farmers share their knowledge actively with others	<ul style="list-style-type: none"> • formal fora (farmer selector/farmer evaluator) • promote farmer-to-farmer dissemination • community evaluation
Farmers actively participate in research priority setting, planning & implementation	<ul style="list-style-type: none"> • joint diagnosis • planning together
Farmers make a profit from their production	<ul style="list-style-type: none"> • practical training • system intensification: problem solving • experiential learning • knowledge sharing • information flow
Farmers manage their resources more adaptively	<ul style="list-style-type: none"> • training • exposure visits • farmer innovation
Farmers & researchers are partners in technology development	<ul style="list-style-type: none"> • farmers share costs of experimentation • selection criteria of farmers considered • ask/push for sharpening of technologies
Farmer organizations are mobilizing resources	<ul style="list-style-type: none"> • not seen in cases
Farmer organizations facilitate sharing for adoption and dissemination	<ul style="list-style-type: none"> • not seen in cases
Farmer organizations increase their linkages with other organizations	<ul style="list-style-type: none"> • international centers and national partners involved • involvement of NGOs

IMPACT AREAS	Some Best Practices
Farmer organizations influence agricultural policies	<ul style="list-style-type: none"> • not seen in cases
Farmer organizations invest in research capacity building	<ul style="list-style-type: none"> • not seen in cases
Farmer organizations manage themselves effectively and solve their conflicts	<ul style="list-style-type: none"> • not seen in cases
Researchers involve farmers/farmers organizations in planning and implementation	<ul style="list-style-type: none"> • joint annual planning meetings
Researchers generate technical options	<ul style="list-style-type: none"> • exposure to wide germplasm • draft decision guide
Monitor farmers progress to measure researchers effectiveness	<ul style="list-style-type: none"> • individual discussion • weekly visits • periodical evaluation fora • community facilitator • farmers evaluation in groups • joint evaluation of technology • PM&E • Strong links with DAs • Self-initiated experiments
Researchers actively build partnerships	<ul style="list-style-type: none"> • Researchers planning workshops • Give and take • Feedback to farmers • Invite stakeholders to meetings • Invite institutions to solve specific problems
Researchers change their attitudes	<ul style="list-style-type: none"> • Document farmers criteria • Conducive environment towards PR • Incorporate ITK • Training • Ability of farmers to make decision on technologies • Cross-regional meetings
Researchers facilitate fora and linkages	<ul style="list-style-type: none"> • Multi-stakeholder workshops
Researchers support farmer capacity building in support-services / marketing	<ul style="list-style-type: none"> • market information • liase with authorities • best credit schemes identified • PRA • Credit research • Links to producers of technologies (implements)
Researchers understand and value farmers knowledge	<ul style="list-style-type: none"> • Use selection criteria of farmers • documentation • use ITK as starting point • researchers accepted feedback from farmers
Researchers assist farmers to organize themselves	<ul style="list-style-type: none"> • thematic groups
Researchers assist farmers in experimentation	<ul style="list-style-type: none"> • Researcher set treatments with farmers • joint design and evaluation (treatments) • training in data collection and measurement of parameters • training in research methods
Researchers carry out policy related	<ul style="list-style-type: none"> • not seen in cases

IMPACT AREAS	Some Best Practices
research	
Researchers document farmers experiences and innovations	<ul style="list-style-type: none"> researchers developed monitoring formats researchers documented farmers anecdotes
Researchers follow a multi-disciplinary approach	<ul style="list-style-type: none"> good leadership resources available integrated watershed management, win-win integrated technologies
Access technology - flexible options	<ul style="list-style-type: none"> varieties, integrated SFM options, credit options, farmer field schools (FFS)
Joint ownership (trust, role clarification, confidence)	<ul style="list-style-type: none"> benefits working together, values, involvement of stakeholders, confidence
Problem differentiation	<ul style="list-style-type: none"> resource endowment ranking different entry points for different farmers
Build farmer capacity to manage own affairs	<ul style="list-style-type: none"> farmer field school (FFS)

Discussion:

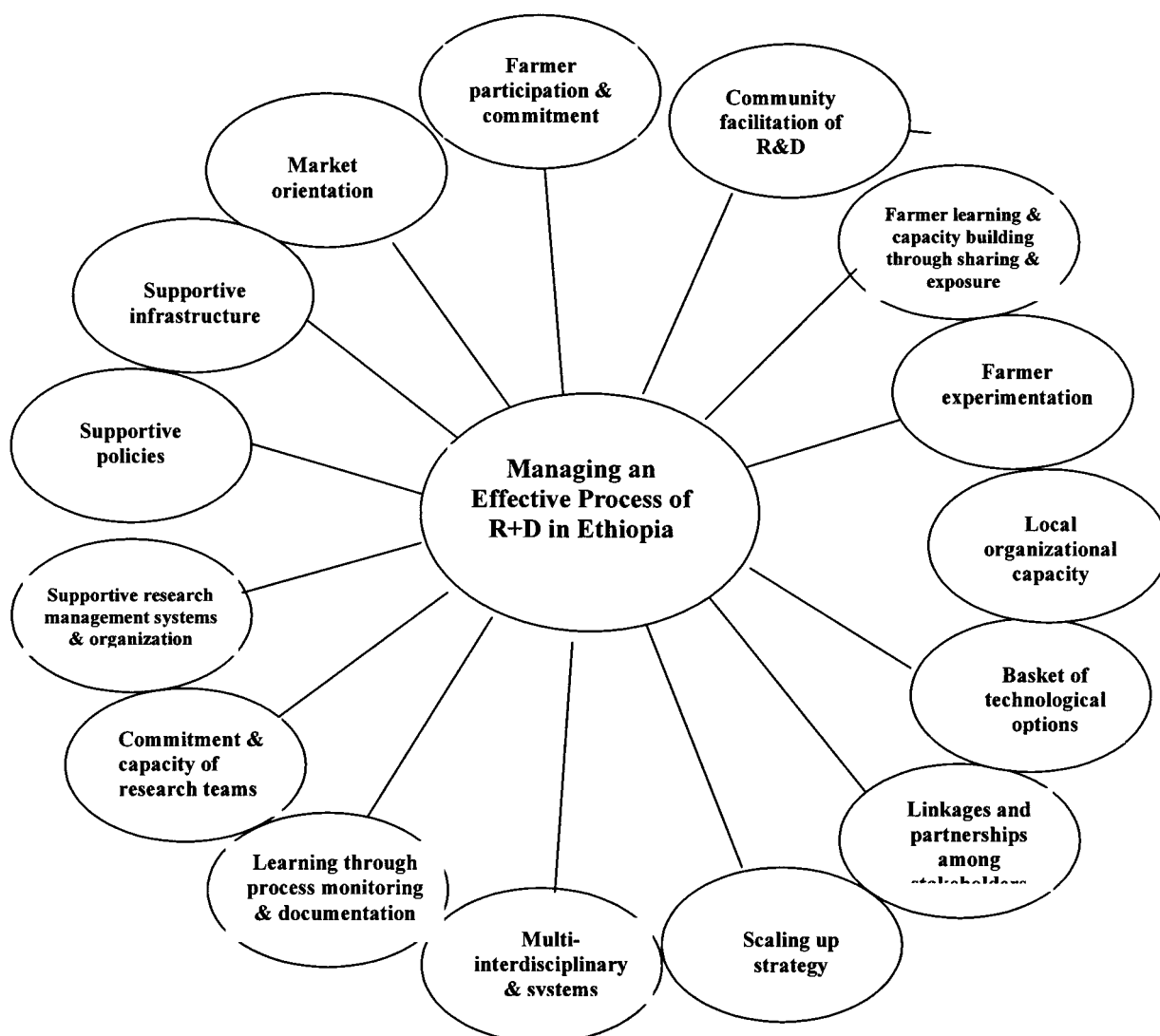
Behind these best practices are methodologies. What we saw in the field assessment is that they are scattered.

- At what stage (of the breeding program) should we expose the farmer? When there are 100 varieties or after research has selected from these to "best bets"? If there were fewer lines, then evaluation would be simpler and easier. Farmers can contribute knowledge to the selection criteria and later expose them to our selections. However, we may throw out lines that are useful to farmers. Maybe the researchers select varieties for high yield - but farmers know more precisely what they are looking for in their condition. In Syria, farmers selected from 200 varieties - the farmers breed for diversity, not uniformity. Normally you breed and narrow down but in this case, they made a much broader number of selections.
- Perhaps our worry as researchers, is it really possible for farmers to identify one from the other? In the Nazerth case 273 and similar in Awassa and Alemaya. In Alemaya, researchers were using few selection criteria and farmers used 39 criteria. This has to tell us something about researcher's attitudes towards farmers. We look at them as though they have a reduced capacity. Exposing them to germplasm is their right. You cannot assume that they do not have the capacity to select. What happens if a variety is selected by farmers but is not accepted by researchers? This is a major concern. We need to see how we are clearly going to proceed and what methodology we are going to use. If farmers take the variety before release, then this should tell us something about our methods and policies. The policies may need to be adjusted.
- What do you want to release the variety for? e.g. pure variety, no disease, etc. So, what are other ways to ensure quality? Maybe farmers can do it if correct structures in place.
- In PPB, there is group and individual approach. The former might narrow down selection. The project did this on purpose to understand the limitations and benefits from the two approaches. There is a trade-off - with individuals you get a better understanding of

criteria, but practically, how does a wide number of selections be scale up? The breeder should be a good facilitator and handle the different groups and characters in the groups.

- PR leads to site-specific recommendations. For varieties, the variety release committee has to take care and see how to manage diversity. "The fish has to like the worm, not the fisherman"
- Selection of farmers - what criteria/method is good, what challenges were faced. Most cases took interested farmers. But some had some stratification (for example, AHI - resource endowment). In Nile Valley, the farmers selected the farmer group members. The problem of the farmers selected by extension - get the "good boys" and when you want to scale up this becomes a problem. You need to see the social set-up - and think about representativeness, reputation, etc. Then, you need a good facilitator. Farmer selection is a critical issue and need to find ways to link to local organizations. This is important in scaling up.

2.5.5 Key success factors and the Conceptual Framework (Hussein)



3 Implications of the findings for EARO

After all the presentations and intensive discussions, small groups mixed of management staff and scientists were asked to explore what all these findings mean to EARO as an organizations. The main implications were to be identified. The results are indicated in the table below:

3.1 Major implications for EARO

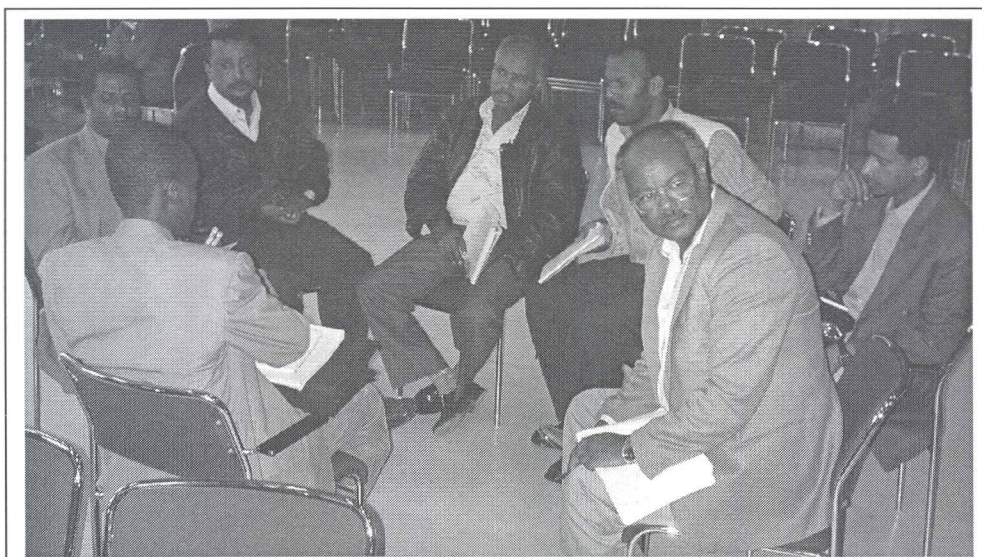
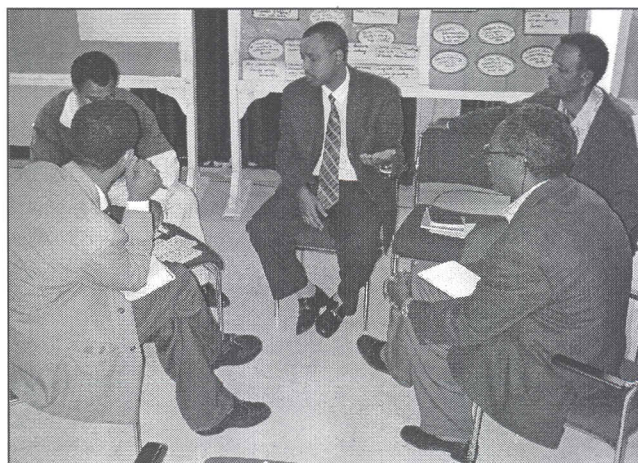
The participants were asked to deliberate the implications for EARO given the findings that had been presented and the conceptual framework that indicates what should be in place for the effective management of R&D

Capacity & methodology development	Need for revisiting linkages partnership strategy	Strengthen farmer-researcher linking / interaction
<ul style="list-style-type: none"> • Skills & capabilities to document processes • Develop methods & procedures for scaling up • Shift in research methodology for experimentation • Increased facilitation skill (local organizations) • Tailor made training for researchers • Learning for scale up from other countries • EARO should study attractive product marketing and develop network with relevant stakeholders • EARO should identify existing local institutions / organizations of farmers and study their role in technology operation and dissemination 	<ul style="list-style-type: none"> • Linkage to development organizations • Partnership should be part of policy • Linkage with NGOs & GOs scaling up • Linkage with other institutions for facilitation • Linkage to external actors (traders, exporters, etc) • Strategy for building alliances & mode of operation with accountability • Strengthen existing stakeholders platform • Effective linkage: EARO to play key role / formalizing linkages, resolution from system conflict • EARO should play a major role in making happen effective networking among all relevant stakeholders • EARO should play a leading role in facilitating genuine partnership among stakeholders • EARO should work closely with extension system to widely disseminate technologies and follow up their impacts • Information / communication infrastructure 	<ul style="list-style-type: none"> • Technical backstopping to farmers • Extra time & effort to build rapport • Strong R-E-F linkages • Farmer participation and commitment, training, strengthen FRGs • Sensitization of local organizations • EARO should enhance skills of farmers to experiment and share their ITK and experiences in the research process • EARO should enhance farmers capacities through training, exposure visits, discussion, field-days, meetings • EARO should facilitate empowerment of farmers and enhance farmers' self-reliance. • EARO should involve farmers throughout the research process where necessary • EARO should develop conducive working conditions with farmers through training, exposure visits to best practices

<p>Development of values, understanding and commitment of researchers</p> <ul style="list-style-type: none"> • Appreciation of PR by research managers & researchers • Common understanding of PR • Value shift & added training • High commitment • Supportive management committed & capable leadership. Trained agricultural research managers • EARO should be able to develop researchers code of ethics, training them and ensure their commitment to work with farmers • Commitment and capacity of researchers: training rewarding mechanisms and incentive 	<p>Aligning priorities, resources and structure</p> <ul style="list-style-type: none"> • Directorate structure of EARO • Effective system of procedures (financial arrangements) • Conflict may intensify - need to handle this • Extra resources (human, material & finance) • Contribution to effective research management • Increase researchers role and responsibilities • Critical mass of manpower • Cost - time & money • Appropriate human power deployment • EARO should develop modalities of making research strategy interdisciplinary research teams 	<p>Revise incentive and reward system</p> <ul style="list-style-type: none"> • Responsive career structure • Revise career structure • Rewarding and incentive mechanism • Recognition & award system for merits of researchers • EARO should make incentives compatible with the requirements of effective research • EARO should adequately support research activities done with farmers in terms of resource allocation, recognition and reward
<p>Aligning research planning, M&E system to requirements</p> <ul style="list-style-type: none"> • M&E system responsive to PR • Affect the current research planning process (set / trust / theme) • Basic (criteria) data collection (how, by whom, type) • Feedback from researchers • EARO should build capacity of researchers & farmers in proper monitoring and documentation of research processes 	<p>Match technology supply with demands by farmers</p> <ul style="list-style-type: none"> • Technical options for farmer experimentation • Cost effective technologies (appropriate & market oriented) • EARO should work towards appropriate & accessible options of technologies <p>Aligning existing policies with the requirements</p> <ul style="list-style-type: none"> • Better technology release system • Sustained support & policy • Supportive policy: improving existing research policy • EARO should influence technology release policies 	<p>Revisiting research approaches</p> <ul style="list-style-type: none"> • Commodity approach (incompatible) • Watershed management strategy (system & interdisciplinary approach) • Multidisciplinary (biophysical & social scientists) • Further case study by programs and projects • Learning from a small scale community based research per center • Multidisciplinary and system approach: create awareness, training • EARO should develop effective mechanism to strengthen interdisciplinary research teams

Discussion:

- Some of this is in policy and strategy documents but it needs to be operationalised (ref. Watershed approach)
- Need to stratify what is needed in the various areas so we need to know what to do in the future. For example, separating the areas that need strengthening versus those that are new.
- If we really want to incorporate the PR approach and efficient research elements, then we need to fine-tune the implications, prioritise, make an overall strategy and then implemented accordingly in a step-wise fashion.
- It would be logical to start at individual, then move to organizational and then policy levels. The individual is the most difficult to change because of values and attitudes. Training is important - what are we training people in should be adjusted in future (organizational level). Then we can start working at incentive, structural levels (policy).
- We need to look at the details and think about the implications. We might find that there will be fewer resources needed. We also need to go beyond EARO to the other parts of the system. There are management and resource implications to reorient the system into the desirable system. It would need high commitment from the EARO management and it needs initiation.
- To get commitment from management, it would be important to bring along the other managers and researchers by developing a vision. First priority would be to train the top leaders so they can believe in it and to develop a strategy in their own vision. Secondly, there are certain initiatives that we can learn from (INRM, PPB, etc.) What can we put into place so we can learn from these cases? We could identify "learning cases" that could be an impetus for capacity building and further change.



4 The way forward towards operationalization

4.1 Brainstorming on the next steps:

- Continue ongoing activities and try to improve them. Each center could start to practice PR with stakeholders
- How can we implement at practical level? For example, in different disciplines the practical application could be different. If done with each discipline, then we could form a working group that could draft a work plan.
- Need to see the practicalities at center level. At initial stage may need a national committee to facilitate implementation at center level.
- Start with organization wide training. At the same time, work on the policy on career / reward structure. EARO has changed the career structure recently - now the structure gives credit for participation and effective linkages at center level. It is drafted and submitted for some endorsement which has not taken place, but some elements of farmer organization PR is not included. How can we make sure that committees are integrating this?
- Linkages: There was a long discussion on how to strengthen this given the new structures now in place. The issue is the quality of working together - e.g. good working relationship and clear roles, not just sitting in a meeting together. In the analysis we are looking at two levels: policy level and at community/lower levels which is more related to quality working partnerships.
- There are existing fora for linkage improvement that are operating and have been reviewed recently: *Research - extension advisory council* - is a linkage committee. It was stated that what is missing here however, is a common understanding and appreciation of PR. There is the *R&D forum*. There are linkages at national, regional, zonal levels. However, as linkages were seen as a weakness in the assessment, it was discussed that this was probably because the existing structures only help in sharing information, and what is lacking is operational partnerships at grass roots levels - and knowing how to really make these effective.
- How do we know that a proposal is participatory, demand driven, etc.? Can we put some indicators? We could use ICRAF's types of trials terminology (type 1,2, etc)? We need to take this to the ground. When and how to involve farmers needs to be worked out. Need to work on these concepts. Could use the conceptual framework as key points that could be inside proposals.
- An important task is to deepen the understanding and the details of the "key factors" on the wheel and expand and explain each of these to see what it is made of.
- What is experience elsewhere? PR cannot be done after a 2-3 day training course. It is more complex. You have to know facilitation; there are value changes, etc. You have to gradually catch up and learn through experience. This is why we look at learning cases - you learn along the way. You review at intervals and see if you get closer to where you want to go and note what you learn and change on the way. Can get support to build

competence, but have to learn by ourselves. The approach will not look the same everywhere.

- Can these be put into existing projects? Yes, it is possible. If this does not exist - then have to start afresh. Can assess existing cases (using impact frame) and see where gaps are and what needs to be done.
- The idea of a guide was forwarded. This would help to document the practices and learnings and make it possible to share.

Jurgen put up this a following suggested actions. It was discussed, added to by the group and accepted.

4.2 Suggested actions for handling identified implementation areas

- Cross-centre learning: an overall steering committee - CD and centre managers (13 fed, 22 all together incl. Higher centres of learning)
- Each centre has one area where they try out these things: linkages / partnership - learning ways to work together, capacity & method development, research approaches, values, research -farmer interactions, technologies)
- Each centre has a focal point (centre manager - maybe who forms a committee) to ensure that this happens at centre level.
- Once we learn from this, we can scale up. The learning from these cases comes together in focal point - over-sight committee

IMPLEMENTATION AREAS

Linkages / partnership
Capacity & method development
Research approaches
Values
Research -farmer interactions
Technologies

Reward / incentives
Policy
Structure/resources

M&E planning

SUGGESTED ACTIONS

base on learning cases / centre-level
catchment/community

management to lead
use existing committees

use existing PM&E department to spearhead this.
Use existing meetings to discuss this; need to
strengthen national forum, take recommendations
forward; R&D forum (stakeholders represented)
which discusses various issues that need action - how
can this fit into that?

Issue	Focal point	Additional members
Learning case	Centre manager	committee
Policy	S/E	committee
Incentives/reward	Zenash	committee
Linkages	R&E link Dept	committee
Resources/structure	committee of Dir	department heads
M&E/ planning	PM&E Dept	committee
Overall SC	DG	CD and center managers (oversee various focal points & committees and ensure that cross-learning takes place)

Committee members can be from assessment team members who have seen the problems in the field, been through the analysis process and can bring in and explain recommendations. Note that the PM&E committee will be established at station level and is at HQ.

5 Immediate Next Steps

What next	When	Who
Career / reward system revisit	6/2003	Zenash
Synthesis report		Assessment team
Workshop report		Ann & Jorgen
Recommendations from analysis		Assessment group
Feed recommendations to focal points		Assessment group
Inform focal points		EARO management
Set up committees		EARO management
Sensitization plan		

Some more details were then elaborated on the next steps:

1) The Final Report and Recommendations

The results of the assessment will be written into a final report to make it available for decision makers and other researchers. This report is considered as proceedings and will be the basis for other publications.

Table of Contents

1. Introduction and Background
2. Methodology (steps ,,, case study selection)
3. Framework for assessment (vision for impact); principles & values
4. Synthesized results
 - comparisons,
 - impact areas/strengths,
 - weaknesses,

challenges

conceptual framework based on success factors (elements needs, best practices, and the wheel)

5. Implications for EARO (formulate as recommendations)

6. The way forward

Annexes: Case study reports (summaries)
Framework

2) Establishment of Steering Committee

It was considered of utmost importance that the Director of EARO takes up the matter and fully supports the process. No major decision on who to take action could be taken in the workshop as this needs clearance by the Director. As another follow-up activity, a task force was suggested who takes the process of developing further the framework and participatory research further within EARO. It was recommended to the Director of EARO to form such a task force.

Follow up on the operationalization of the workshop findings and the implications to EARO. List various issues/tasks that need following up. (e.g. sharing vision, planning for the way forward)

3) Feedback to and sensitisation of partners and stakeholders

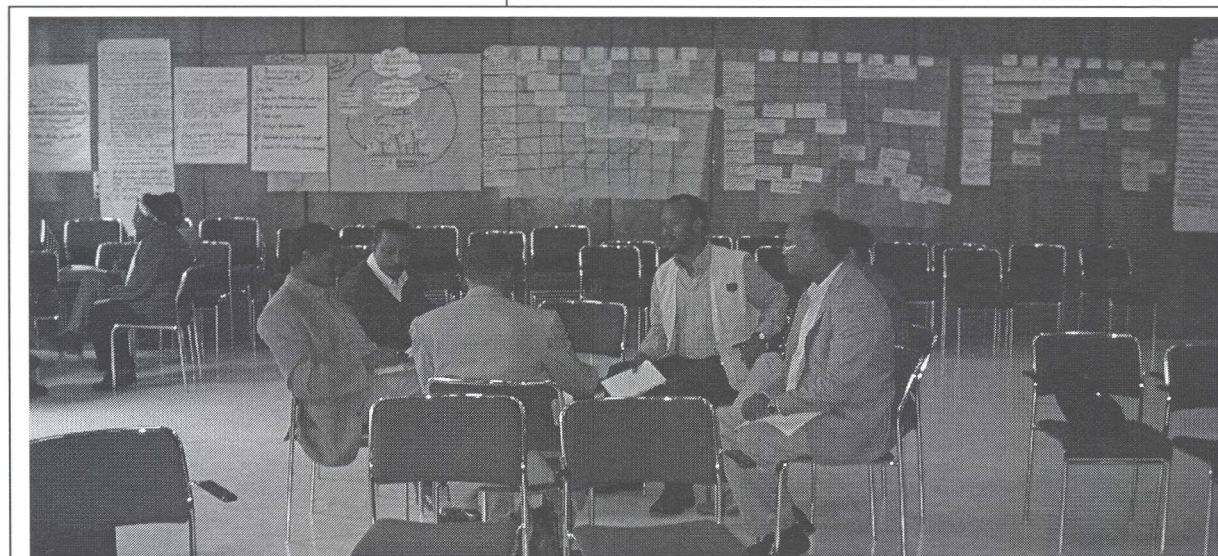
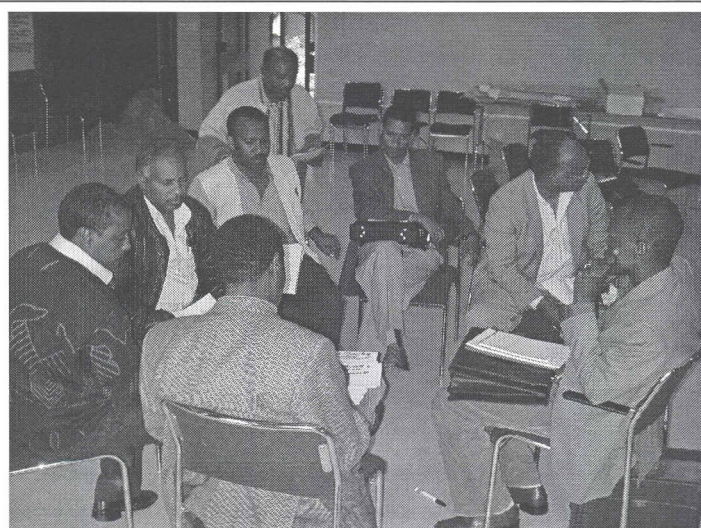
It is suggested to have fora for feedback to other researchers and managers of EARO and partners in Ethiopia. This was considered to be of very high importance as it is only few researchers right now who are involved in this process. The following steps are suggested:

1. **Research station meetings:** The managers and selected members from the assessment team would discuss effective research practices and approaches as well as technical aspects. They could appoint a team/task force to get the "model" case going at their station. It is suggested to use existing cases if they exist and build on these.
2. **Further development on conceptual and best practices:** By meeting across research zones or in clusters, there can be an exchange in experiences, an updating of best practices and the construction of a guide over time.
3. **Capacity building strategy:** Since this sort of work is very new, it requires more than just a training course. A strategy needs to be put into place on how capacities to use and develop participatory methods as well as to develop competence in new skills (facilitation, policy research etc.) EARO management needs to develop a capacity building strategy for its staff.

6 Closing remarks

Dr Aberra thanked everyone for their participation. He said that it is a complex task and a new approach. It is not easy to get consensus in a short time but he commended the group. He also thanked the assessment team for their contribution and hard work. He mentioned that there were lots of ideas, which at first look difficult but as we go along and put our minds and bodies into it, something will definitely come out of it. We have to put our minds to

it and to learn by doing so that we can achieve this. We will move forward - moving step by step and eventually scale it up and get it institutionalised. He thanked the facilitator / teacher, Jurgen, for being patient with everyone. If one assigned this to a consultant it would take along time and the ideas would not be yours. It is amazing what you can come up with in a few short days - using this sort of approach to bring ideas together. He thanked Dr Ann Stroud and AHI for providing the sponsorship and for bringing this to EARO. He thanked the organizers who took care of all the logistics, on behalf of the group.



7 Annex

Annex 1: Three Impact Tables (Summary made from first workshop)

IMPACT FRAMEWORK FOR EFFECTIVE RESEARCH

IMPACT LEVEL	IMPACT AREAS	INDICATORS OR PERFORMANCE CRITERIA
<i>Male and female farmers</i>	Farmers share their knowledge actively with others	<ul style="list-style-type: none"> • Exchange of skills among other farmers • Knowledge shared with other farmers • Better communication with development stakeholders
<i>Male and female farmers</i>	Farmers actively participate in research priority setting, planning & implementation	<ul style="list-style-type: none"> • Demand more technologies and technological options • Influence research priorities • Provide support to R&D • Help finance research
<i>Male and female farmers</i>	Farmers make a profit from their production	<ul style="list-style-type: none"> • Are commercialised & business oriented • Make money to start off-farm businesses • Start producing for markets • Have access to services and information on health, education and nutrition • Develop confidence and more able to take risks
<i>Male and female farmers</i>	Farmers manage their resources more adaptively	<ul style="list-style-type: none"> • Have the capacity to take initiative and be innovative in developing, testing and modifying technologies suiting their conditions • Are able to make informed choices concerning the usefulness of technology and management options • Have the capacity to manage natural resources and are more targeted to solve issues in specific situations • Are exposed to and are aware of resource management issues and options
<i>Male and female farmers</i>	Farmers & researchers are partners in technology development	<ul style="list-style-type: none"> • Develop confidence in and skills to conduct research • Actively participate in technology generation
<i>Farmer Organizations</i>	Farmer organizations are mobilizing resources	<ul style="list-style-type: none"> • Mobilize themselves to actively contribute to development • Mobilize resources to invest in development • Are involved in agri-business
<i>Farmer Organizations</i>	Farmer organizations facilitate sharing for adoption and dissemination	<ul style="list-style-type: none"> • Actively facilitate the dissemination of management and technological options • Actively use and demonstrate management and technological options
<i>Farmer Organizations</i>	Farmer organizations increase their linkages with other organizations	<ul style="list-style-type: none"> • Have more linkages with other organizations (NGOs, farmer organizations) • Are proactive and attend and participate in research meetings

IMPACT LEVEL	IMPACT AREAS	INDICATORS OR PERFORMANCE CRITERIA
<i>Farmer Organizations</i>	Farmer organizations influence agricultural policies	<ul style="list-style-type: none"> • Actively lobby to influence market and credit policies • Advising on agricultural policy issues
<i>Farmer Organizations</i>	Farmer organizations invest in research capacity building	
<i>Farmer Organizations</i>	Farmer organizations manage themselves effectively and solve their conflicts	<ul style="list-style-type: none"> • Have improved internal management and decision making • Improved conflict resolution evident, e.g. water and communal land
<i>Researchers</i>	Researchers involve farmers/farmers organizations in planning and implementation	<ul style="list-style-type: none"> • Know and concentrate on farmers actual problems and priorities • Involve / facilitate farmers and farmer organizations in problem identification, planning, priority setting and experimentation
<i>Researchers</i>	Researchers generate technical options	<ul style="list-style-type: none"> • Generate appropriate, cost effective technologies that are demanded by farmers and solve priority problems • Develop and provide diversified technological options (such as marketable commodities) • Generate technologies for effective resource utilization • Research on post-harvest handling (storage, processing...) • Jointly identify level of risk with farmers • Options not packages (?)
<i>Researchers</i>	Researchers actively build partnerships	<ul style="list-style-type: none"> • Create effective partnerships • Change researchers attitude towards partnerships • Recognize farmers as important stakeholders • Identify and work with innovative farmers • Hold stakeholder meetings & fora
<i>Researchers</i>	Researchers change their attitudes	<ul style="list-style-type: none"> • Organize training, seminars, • Facilitate involvement of stakeholders in research • Devise mechanisms to encourage researchers to work with farmers (promotion, facilities) • Identify local channels that inform and use two way communication • Good communication skills
<i>Researchers</i>	Researchers facilitate fora and linkages	<ul style="list-style-type: none"> • Facilitate creation of farmers' forums • Encourage the formation of FRGs • Organize farmers workshops, seminars • Establish and work with FRGs • Create experience sharing forum for farmer organizations, government and non-government organizations • Organize field days • Assist farmers in assuming technical knowledge

IMPACT LEVEL	IMPACT AREAS	INDICATORS OR PERFORMANCE CRITERIA
		<ul style="list-style-type: none"> Facilitate linkages among farmer organization Create forum for partnership
<i>Researchers</i>	Researchers support farmer capacity building in support-services / marketing	<ul style="list-style-type: none"> Facilitate savings and credit schemes Help farmers to build their capacity in bookkeeping (cost-benefit analysis) Make market information available Advise farmer organizations in resource mobilization & investment Encourage farmers in cost sharing (e.g. land, seed, labour) Conduct research on profitable commodities and marketing
<i>Researchers</i>	Researchers understand and value farmers knowledge	<ul style="list-style-type: none"> Understand farmer's way of living Recognize farmers knowledge Identify, understand, apply and use ITK Identify traditional communication organizations / channels Create friendly social relationship with farmers
<i>Researchers</i>	Researchers assist farmers to organize themselves	<ul style="list-style-type: none"> Assist farmers to be better organized Facilitate skill building in leadership and conflict resolution Provide management training for farmer organizations Identify traditional conflict resolution mechanisms Facilitate linkages among farmer organizations
<i>Researchers</i>	Researchers assist farmers in experimentation	<ul style="list-style-type: none"> Encourage and assist farmers in experimentation Assist farmers to build their capacity in acquiring technical knowledge Encourage farmers in localizing, modifying and fine tuning of technologies
<i>Researchers</i>	Researchers carry out policy related research	<ul style="list-style-type: none"> Analyse policy issues that affect long term investment Identify policy related agricultural constraints and alternatives Conduct marketing research
<i>Researchers</i>	Researchers document farmers experiences and innovations	<ul style="list-style-type: none"> Create awareness of the long-term benefits of NRM Simple training materials in local languages Assist in documentation of farmers experiences and skills

Annex 2: Address List of Participants

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Annex 3: Opening exercise

Name & station	In 10 years I want to be....	What is unique about me	What I would like to see happen in this workshop is
Gemechu Keneni Holetta ARC	Finish my PhD studies in plant breeding & become a prominent researcher	Reading more and writing hard	Pr well understood Good interaction
Fantanhum Mengistu Adet ARC	PhD horticulture, senior researcher	Wants to work in diversified discipline (versatile)	Well defined methodology about PR Methods of institutionalizing PR in EARO
Demil Tekeley DG EARO	Participating in CGIAR & facilitating PR in forestry	A quench to publish more (research results)	Constructive discussions & inputs form participants Recommendations & resolutions The way forward
Tilahun Amede AHI/CIAT	Professor and/or agricultural consultant	Impatient to do the same thing all over	PR assimilated in the research system
Hailemichael Shewayirga Sirinka ARC	Experienced researcher	honest	Learning PR experiences
Lemma Deslegne Melkassa ARC	Advisory in rural development	quiet	Practical integration of PR into the research system
Zinash Sileshi EARO HQ Res, Director Livestock	A farmer after retirement with my own farm	Infectious laugh	To believe in the vision and excited to look forward
Ann Stroud AHI Coordinator (Uganda)	Live in several different warm places, garden, do some volunteer social work and have grand children	Care about other people. Like learning everyday. Have great, creative dreams.	People get excited and energetic about new ideas. There is clarity for moving forward
Diriba Geleti Bako ARC	PhD holder in production ecology	I am not unique	See the difference between modalities of PR of the past and present
Yonas Yemshaw Forestry RC/EARO	Research development leader	Serious believer in win-win strategy to relationships	Know our SWOT and learn "power tools" to Participatory methods
Aberra Debelo DDG EARO	Managing my own firm - agricultural export oriented	accommodative	Recommendation as to how to go about institutionalizing PR Understand more about how to go about it
Kidane Giorgis Drylands Res Director EARO HQ	Research advisor / trainer	Life time dedication to people in drylands	Recommendations to participatory approaches
Amanuel Gorfu Kalumsa ARC	Research advisor on crop production	Patient to deal with hardship	Certain recommendation on PR in Ethiopia
Aberre Derese Melkassa ARC	sabbatical	Makers life easy for others	Better understanding of PR
Asgelel Dibabe Holetta ARC	Private consultant	Good interaction with colleagues	Better understanding of PR
Taye Bekele Holetta ARC	Private consultant	Makes fun with others	Better understanding of PR
Abebe Mekoya	Private farmer	nothing	Understand application of

Sheno ARC			PR in future
Endale Bekele Werer ARC	Development worker	nothing	Understand PR approach
Tesfaye Alemu Adamitulu ARC	Researcher	nothing	High participant input for PR approaches
Seyoum Bediye Holetta ARC	PhD & become a senior researcher	Endurance, observer	More clarity on PR
Fasil Kelemework Debre Zeit ARC	PhD & become a senior researcher	patience	More participation
Hussien Hamda Alemaya Univ.	PhD, development facilitator / consultant	Positive thinker, perseverance	Institutionalization of PR
Elias Zerfu Holetta ARC	Develop into a more proactive character	Patient accommodating	Where will PR be more appropriate and feasible Create agreement
Kindu Mekonnen Holetta ARC	Conduct impact oriented research; undertake PhD	Comfortable to work with people	Recommendations on PR
Asfaw Kifle Areka ARC	More knowledgeable and skillful on PR	I am quiet in meetings like this one	To clarify stages of farmers involvement in PR