



Swiss Agency for Development and Cooperation SDC

Capitalisation of experiences in Rural Innovation and Advisory Services

Overview document



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Table of contents

1.	Intr	roduct	ion	2
2.	Ме	thodo	logy	2
3.	Act	tors ar	nd projects	3
	3.1.	Acto	ors	3
	3.2.	Proj	iects	3
	3.2	.1.	RAS in ARD projects of SDC	3
	3.2	.2.	Seco	5
	3.2	.3.	RAS in projects implemented by Swiss actors	6
4.	Re	sults,	lessons learned and challenges	7
	4.1.	Ger	neral trends in evolution of RAS approaches and innovations	7
	4.2.	Res	sults of applied RAS approaches	8
	4.3.	Inst	itutionalization and institution-building for RAS	. 11
	4.4.	Fina	ancing mechanisms and sustainability	. 13
	4.5.	lmp	act at farm and rural household level	. 16
5.	Ou	tlook.		18
6.	Anı	nexes		. 19
	6.1.	Ann	ex 1. Criteria for project selection	19
	6.2.	Ann	ex 2. List of projects and organizations selected for interviews	21
	6.3.	Ann	ex 3. References	23

List of abbreviations:

ARD Agriculture and Rural Deve	lopment
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- CDF Community Development Fund
- ICM Integrated Crop Management
- ICT Information and Communication Technology
- IPM Integrated Pest Management
- LSP Local Service Provider/Provision
- RAS Rural Advisory Services
- RPS Results based Payment System (also called Output based Payment System)
- SDC Swiss Agency for Development and Cooperation

1. Introduction

After the food price crisis in 2008 agriculture is back on the agenda. International donor agencies as well as stakeholders at country level recognize again the crucial role of agricultural knowledge dissemination among small farmers for enhancing productivity, resilience and food security, underlined by two key reports (IAASTED, 2007; World Development Report 2008).

In response to a this new global interest in agriculture the Agriculture and Rural Development Network (ARD-NW) of SDC has defined Rural Innovation and Advisory Services (short: RAS¹) as one of the four core thematic priorities. The topic was discussed in a first face-to-face event of the ARD-NW held in July 2010 in Cochabamba/Bolivia. As a result of these discussions participants expressed the need for an updated overview of what SDC and its partner institutions have achieved in its initiatives focussing on RAS, and the good practices and lessons learned that can be derived from these initiatives. In line with this general objective, this overview document provides the following outputs:

- i) An overview of actors and projects of Swiss stakeholders involved in RAS (public/private)
- ii) Key results achieved and lessons learned of SDC and partner projects in the field of RAS
- iii) Challenges for further in-depth discussion on selected topics
- iv) Additional selected resource base/references

2. Methodology

The generation of the above mentioned outputs is based on experiences from selected projects, and included the following steps and procedures:

- 1. Establishment of a list of actors and projects based on a list of ARD projects provided by SDC and complemented by a consultation of other Swiss based development actors engaged in RAS (see Annex 1 for selection criteria). Grouping of actors according to classification used by GFRAS (GFRAS, 2010). Analysis (mainly of SDC's) ARD project portfolio (importance of RAS, thematic clustering, geographical distribution etc.). Additional information on seco initiatives was obtained in a meeting with H.P. Egler and M. Saladin.
- 2. Conduction of 15 interviews with experience holders from key RAS projects and Swiss organisations engaged in RAS (In addition: available experience from SSMP project in Nepal; see Annex 1: selection criteria and Annex 2: list of selected projects and institutions). The interviews provided the main source of information for establishing key results achieved, lessons learned and challenges in the field of RAS.
- 3. Revision of key documents of selected projects for interviews and other relevant literature to complement information obtained from interviews².
- 4. Consultation of draft overview document with ARD-NW members and incorporation of feedback.

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¹ Rural advisory services (also called agricultural extension), are all the different activities that provide the information and services needed and demanded by farmers and other actors in rural settings to assist them in developing their own technical, organisational, and management skills and practices so as to improve their livelihoods and well-being (GFRAS, 2010)

² The revision of additional documents had the objective to complement some key information not obtained through the interviews. However, it is out of scope of this study to conduct a meta-analysis going much beyond the projects covered by the interviews.

3. Actors and projects

3.1. Actors

A total number of 22 Swiss actors engaged in international development (including link to research and private sector) are presented in Table 1. They all actively promote RAS, being NGOs, private or public sector actors. In addition, many agricultural research organizations are also involved in developing and promoting RAS.

Most of these actors are currently participating in the constitution of the Swiss Forum for Rural Advisory Services (SFRAS), an informal exchange forum intending to represent Swiss RAS actors in GFRAS.

The list may not be complete, other actors may be added, could be through SFRAS.

3.2. Projects

3.2.1. RAS in ARD projects of SDC

The current SDC portfolio contains about 130 ARD projects³ benefitting some 440'000 families with a total annual budget of 136 million CHF (or roughly 1 million/project/year). *An estimated 40 million CHF or 29% is used for RAS* (Figure 1a). Eastern and Regional cooperation have a higher proportion of budget allocated to RAS compared to Global cooperation (Figure 1b). Most (82%) ARD projects have an in-built RAS component but only 3% have a main or pure focus on RAS (i.e. estimated importance of RAS component ≥60%⁴). The latter are projects with the objective to modernize or to build up new national RAS systems (project examples: PS-ARD, Vietnam; LEAP, Laos; KSAP, Kyrgyzstan; see Annex 2).

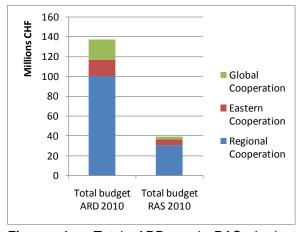


Figure 1a. Total ARD and RAS budget according to type of cooperation (SDC, 2010)

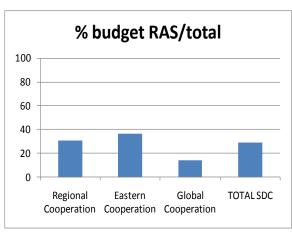


Figure 1b. Proportion (%) of RAS in total ARD budget according to type of cooperation (SDC, 2010).

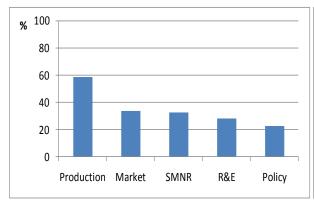
³ Projects from regional, eastern and global related to agriculture, food security and rural development under implementation as per 31.12.2010. Excluded are forestry, rural infrastructure (e.g. roads) and education projects which all together were less than 10 projects).

Estimation based mainly on project document, especially components of logical framework.

Table 1. Swiss actors with international engagement in Rural Advisory Services (RAS)

Type (#)	: 1	2	3	4	5	6	7	8	9	10	11
					Privat				National		
	F	D	/ Dublis	Debeata	sector input	Į.	Agric.	Agric.	policy		Networks,
Actor (Nama)	Farmers	Processors traders		Private S sector RAS	supply &	NGOs	Research	Training	makers/imp lementers	Donors	exchange fora
Actor (Name) Agridea	organizations	liadeis	X	S SECIOI RAS	marketing	NGOS	Org.	Org.	X	DONOIS	IUIA
Agroscope							Х	^	X		
Bio Suisse	Х		Х	X			^				
						V					
Biovision						X					
CABI Caritas			X			V	Х	X			
						X	V				
CDE (Univ. of Bern)							X				
FiBL				Х			X				
HEKS						X					
Helvetas Swiss Intercooperation						X					
Internatiional Potash Institute (IPI)				X							
Nestlé		X		X	Х						
SDC										X	
Seco										X	
SF-RAS (forming, relates to GFRAS)											X
SHL			X				X	X			
Swissaid						X					
Swisscontact						Χ					
Syngenta Foundation for Sustainable Ag	riculture (SFS)	A)		X							
Syngenta				Χ	X						
Terres des Hommes						Χ					
World Vision						Χ					

Most (59%) projects have a focus on production, followed by other domains, i.e. markets, sustainable management of natural resources, research, innovation, advice, training, policy (Figure 2a, see also legend). However, 85% of the projects cover two or three thematic domains (Figure 2a includes up to triple thematic allocation per project). The geographical distribution of ARD projects shows a major focus on Africa and Asia (Figure 2b).



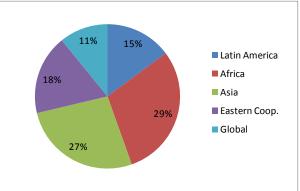


Figure 2a. Thematic clustering of ARD projects (SDC, 2010)

Figure 2b. Geographical distribution of ARD projects (SDC, 2010).

Legend o thematic cluster in Figure 2a (source: SDC):

Abbreviation	Explanation of Thematic Cluster
Production	Production, increase of production and/or yields, improvement of production techniques, sustainable production systems
Market	Access to markets, market- and income related services, processing, marketing
SMNR	Sustainable Management of Natural Resources (soils, water sources, pastures and rangelands, forests, biodiversity, erosion control,)
R&E	Agricultural research, innovation, training, advice
Policy	Global, regional, national policies, regulatory frameworks, policy making

3.2.2. Seco

SECO seeks to reduce poverty by helping partner countries to gain access to world markets and achieve sustainable growth. Seco promotes various initiatives focusing on the promotion of sustainable trade for different commodities (mainly cash crops; see examples given in Table 2). Domains supported are organic and fair trade (value chain development), trade promotion, harmonization of standards, and monitoring and impact assessment of use of private voluntary standards.

The overall annual budget for support to agricultural commodity projects is estimated to be about 6 million CHF. Most projects have a RAS component with an overall estimation of 50% of the project budgets used for RAS.

Table 2. Overview of some initiatives promoted by seco which include RAS

Domain	Commodity	Country / reference			
Organic and Fair Trade /	Cotton	Burkina Faso, Benin,			
Value Chain Development		Kyrgyzstan			
	Various products, mainly horticulture.	Nicaragua, Honduras			
	Cacao	Honduras, Ghana, Indonesia			
	Cashew	Mozambique			
	Coffee	Tanzania			
Organic certification and	Various commodities	India, Ukraine, Albania,			
market development		Bulgaria, Rumania, Macedonia			
Trade promotion	Various initiatives: Fair Trade, better	Global			
	cotton initiative, common code coffee				
	community, sustainable soybeans,				
	palm oil, biofuels.				
Development and	Coffee	Peru, Vietnam			
harmonization of standards					
	Global Gap	Serbia			
	Private voluntary standards (COSA)	Global			

3.2.3. RAS in projects implemented by Swiss actors

A complete overview of all RAS projects implemented by Swiss actors engaged in development is difficult (not always all information provided, overlap of own and donor funded projects etc.). However, information provided by 10 Swiss actors⁵ shows that they implement together about 260 ARD projects of which 130 (50%) include RAS. The annual budget for these RAS projects is estimated to amount to 70 million CHF or on average about half a million per project. To note that SDC funds of about 30 million are included herein. *This means that about 40 million CHF for RAS come from the private sector. Consequently, combined (private sector, SDC and seco) funds for RAS are in the range of 83 million CHF per year.*

The geographical distribution of the RAS projects shows a major focus on Asia (33%) and Africa (30%). Overall, the geographical distribution is similar to that of SDC, with the exception of a smaller share (8%) of projects in Eastern Europe/CIS states.

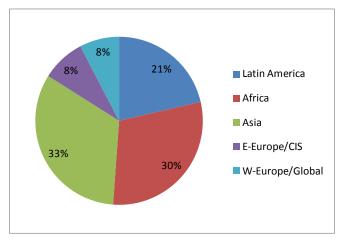


Figure 3. Geographical distribution of RAS projects implemented by Swiss actors.

⁵ Biovision, CABI, CDE, FiBL, HEKS, Helvetas Swiss Intercooperation, Nestlé, Swissaid, Swisscontact, Syngenta Foundation for Sustainable Agriculture.

4. Results, lessons learned and challenges

The analysis of the information derived from the interviews was conducted differentiating the following aspects:

- i. General trends in evolution of RAS approaches and innovations
- ii. Results of applied RAS approaches
- iii. Institutionalization and institution-building for RAS
- iv. Financing mechanisms and sustainability
- v. Impact at farm and rural household level

Aspects i) to iv) are more at institutional level (organizations involved in RAS, e.g. public and private RAS providers, training institutes etc.; also policy level) where as aspect v. is – self-speaking – at the direct beneficiary level.

<u>Remark:</u> The studied cases reflect a wide range of projects integrating various RAS approaches and methods. A few programmes have as their main goal to contribute to the improvement of service delivery at national or provincial level (i.e. reform of national extension system and related policies = "pure" RAS projects: e.g. LEAP, Laos; PS-ARD, Vietnam; KSAP, Kyrgyzstan; see project list Annex 2) while most others integrate RAS as a one of other project components contributing to achieving the project goal (mainly improvement of rural livelihoods).

4.1. General trends in evolution of RAS approaches and innovations

The following general trends can be observed:

➤ A shift from the "linear" public research-extension-farmer extension model (e.g. Train & Visit model promoted by World Bank) that focussed mainly on technology transfer towards a decentralized and **pluralistic service provision**⁶, combing different modalities of public and

private service provision and applying more participatory and bottom up approaches.

➤ A shift from supply driven approaches towards more **demand oriented RAS**, with increasing importance given to **market-oriented RAS**.

Understanding RAS as part of a larger Agricultural Information and Knowledge System (AKIS) and increasing importance of ICT in RAS. New tools allow farmers' access to "Critical success factors for a sustainable RAS systems are i) strengthening of farmer organizations in order to effectively demand a critical mass and make best use of quality RAS, ii) make RAS profitable for farmers by bringing them to a certain commercial level; iii) build trust and accountability between RAS providers and farmers".

Robert Berlin, SFSA

information and knowledge which is no longer restricted to "personalized advice" through direct interaction with service providers.

⁶ A pluralistic service provision system is one in which there is more than one service provider involved in the provision of RAS (Okorley et al., 2010). It specifies the variety of service providers that have emerged in recent years, including private-public partnerships and outsourcing to the private sector and non-governmental organizations (Birner et al., 2006).

Challenge 1: ICT in RAS

The introduction of new ICT related communication tools allows farmers to get quick and updated access to relevant information and services e.g. cash/credit through phone, from one-way communication (radio, TV) to two way communication (text message, hot-lines) etc.. It is important that farmers get affordable access to these new tools and where required also get capacity-building how to use them most effectively. Open questions are: who covers the development costs? What works, what not? And again the sustainability question arises. (See also: "Mobile applications in agriculture", in: Ferroni and Zhou, 2011, page 25-35).

- ➤ Development and use of **group based approaches** (e.g. Farmer Field Schools FFS). The principles of the FFS approach, which combines training, innovation development through farmer-led experimentation, group formation and empowerment has become the standard approach in many Swiss supported RAS projects.
- Establishment and integration of **local service provision** schemes into existing RAS systems. Local services are provided by e.g. trained lead/expert farmers who have more in-depth understanding of the local context and problems of fellow farmers compared to external service providers.
- Development of **new models of RAS institutions and financing schemes**. The general trend is towards pluralistic service provision implies that governments are (at least partially) funding but not necessarily also providing services that are in the public interest. Services are increasingly outsourced to civil society organisations which act on behalf of or in the absence of the government. On the other hand private sector organisations assure services (mainly in the private interest) most often provided in form of "embedded services".

4.2. Results of applied RAS approaches

Achievements:

➤ Development of integrated approaches to improve public service delivery including RAS entailing organisational reforms, strengthening of service delivery mechanisms and improved financial management at community level (e.g. PS-ARD, Vietnam; LEAP, Laos).

- Building up of a decentralised, farmer-steered and demand-responsive RAS system with diversified funding sources including government (KSAP, Kyrgyzstan; PS-ARD, Vietnam; SSMP, Nepal). Stakeholders (donors, government) from the beginning decided to go for a decentralised, semi-autonomous structure with strong emphasis on the steering of the system by farmers (not very common, at least not in a post-Soviet system like in the case of Kyrgyzstan!).
- Successful establishment of local service provision schemes for RAS (e.g. Samriddhi, Bangladesh; MASAL Peru). An unintended impact was a shift towards embedded services (e.g. Samriddhi Bangladesh).
- > Successful use of FFS approach mainly in the field of IPM/ICM and organic production, e.g. ICM Miru Hills, DPR Korea; Organic Cotton, West Africa; PROMIPAC, Central America).

⁷ Defined as advisory services are linked to a value chain, either on the input side (e.g. advisory service related to the sale of seeds, fertilizers or pesticides) or on the output side (e.g. advisory services paid through the margin from the processing / sale of a product).

- Stimulation of farmer innovation and experimentation (e.g. ADELE, Burkina Faso; MASAL, Peru) fostering empowerment of farmers. Empowerment in turn enables farmers to formulate demands and ask for quality services and voice their concerns thereby increasing the accountability of RAS providers towards famers treated as clients.
- ➤ Increased private service provision, often integrated in the product streams along value chains (e.g. Nestlé; Katalyst, Bangladesh).
- Targeting women in RAS: Active participation of women in training and advice (e.g. Vietnam: 133'000 women or 50% of beneficiaries are women); integration of women in FFS and/or FFS for women; active engagement of women in decision-making (e.g. livestock management); creation of income generating activities for

"Through awareness and capacity building, farmers get new tools to better voice their concerns and demands up to the at the political level. This was reflected in the municipal elections in 2007 in which many farmers supported by the project participated successfully".

Alain Bidaux, ADELE, Burkina Faso

"Access for farmers to markets is a win — win situation for farmers and the company. RAS are therefore integrated/embedded in the product streams and RAS follow the value chains (milk, coffee, cocoa). Advice is free of costs (covered through Nestlé's margin) but inputs are provided at cost base. We see the farmer as entrepreneur and do not want to create dependencies". Jürg Zaugg, Nestlé

women (e.g. poultry production and marketing); training and supporting women as RAS providers.

➤ Contribution to policy formulation (e.g. LEAP programme has been asked to draft a new extension policy for Laos). Under the specific context in Laos, the project considers this as an achievement by itself...

Difficulties:

Despite efforts to design and implement RAS approaches that provide access to services for the poor and marginalized groups this aim was not always achieved (e.g. PS-ARD, Vietnam).

Challenge 2: Reaching the poor and marginalized with appropriate RAS....

... remains a major challenge. Most projects indicated that despite efforts undertaken it was seldom possible to reach these target groups as planned. The search for successful approaches to overcome this constraint is still on. Some experiences (e.g. SSMP, Nepal) show that recruiting and training local service providers increases the likelihood of reaching the poor and marginalized.

➤ In the same line, only a few projects claimed to have achieved mainstreaming gender in RAS. While many projects report an acceptable outreach of RAS to women the share of female clients seldom exceeds one third. In general, service providers are still male dominated.

"Gender issues got apparently much attention early in the project. Now in most of the RAS providers about 30% of the advisors are female and about 60% of the clients are female. A substantial range of services in their portfolio specifically address the needs of women. However, in the leading positions women are still underrepresented – so far we had no female manager in a RAS provider". Elisabeth Katz, KSAP, Kyrgyzstan.

Challenge 3: Targeting women in RAS

Despite many efforts undertaken the challenge of men and women equally being *reached by* and benefit from RAS remains. There are many cases where RAS reached women effectively but they did not get an equal share of the benefits (e.g. higher income). Women are still underrepresented in RAS systems. (see also issue paper ARD-SDC: Targeting women in Rural Advisory Services (forthcoming).

➤ Local service provision schemes do not always work. E.g. village extension system in Laos failed (farmer to farmer exchange did not happen) because scaling-up was intended too early without understanding enough the dynamics of social interactions and local power dynamics.

Challenge 4: Sustainability of Local Service Provision (LSP) schemes

LSP schemes are often seen as a way to fill gaps left behind by public RAS and to complement other existing RAS. Many LSP schemes have been successfully introduced with project support and then face some difficulties to persist after the support ends. LSP schemes must be designed from the beginning with a view of sustainability which includes organisational strengthening and continuous capacity building by backup institutions.

FFS methodology is not always applied appropriately due to difficulties to change attitude from top-down teaching towards real facilitation (e.g. Vietnam, DPR Korea). Sometimes "short-cuts" are applied to save costs and/or time. Critique of limited outreach and impact (as indicated by Davis, 2006).

"FFS got well accepted and is fully institutionalised in Hoa Binh, it is included in the government budgets. However, FFS has become diluted and empowerment got partly lost. It is a question of attitude change of trainers, they often teach and do not facilitate".

Kim Yen, PS-ARD, Vietnam.

➤ The change from more production to market oriented RAS is not always successful because of lack of RAS providers working in market systems and value chains. Project often undertake single efforts focusing on marketing of a product rather than working towards sustainable access to markets by farmers.

Challenge 5: Market oriented RAS

The change from more production to market oriented RAS towards market oriented RAS requires a change in content and in the competences of service providers. RAS staff providing market oriented RAS need to have a business mind set and different skills (e.g. deep understanding of functioning of value chains/market systems). This in turn calls for substantial backing from training and knowledge institutions, private sector and government for continuous capacity building of service providers.

<u>Example:</u> In Nepal (SSMP project), experienced micro-entrepreneurs are trained as service providers who then work to deliver business advisory services to micro-entrepreneurs. This scheme has proven very successful. So, why not recruit village traders and train them to provide services related to agricultural marketing?

Lessons learned and good practices:

- Promotion of entrepreneurship of farmers by applying the principle of subsidiarity.
- innovation bγ RAS Fostering projects/institutions acting as facilitators/catalysts addressing issues of common interest (e.g. land issues) and promoting new technologies (e.g. ICT in RAS)
- Embedded services providing specialized advice and can contribute to sustainability of RAS systems. Care must be taken that advice is not focussing on maximising sales of inputs.

"We were surprised to see that the government (of DPR Korea) used ICT on their initiative to communicate to people for disseminating knowledge on IPM".

Manfred Grossrieder, CABI.

"Input supply combined with RAS is not bad in principle (e.g. feeds/ hey analysis in Switzerland). Advice can become highly specific while public RAS often remains more general. However, the "dilemma" that input related RAS is in contradiction to low external input supply agriculture remains".

Fritz Schneider, SHL

Challenge 6: Independency and quality of advice in embedded services

Embedded services are often linked to commercial interests and can lead to lack of "objective advice" (i.e. RAS biased towards maximising sales of inputs). In addition, service providers need appropriate training enabling them to provide quality advice beyond simple selling and giving indications of how to use inputs.

- ✓ RAS approaches that include market oriented RAS are more attractive to farmers if they generate additional income. In turn, farmers are more willing to pay (at least partially) for market oriented RAS.
- ✓ Local service provision schemes can be established fast and are effective and efficient if designed appropriately. They substantially contribute to diversification and sustainability of RAS systems but they need longer-term organisational strengthening and back-up training.
- Approaches and methods like farmer contests and FFS are effective for farmer motivation and innovation, and mobilization of own resources. Dilemma of limited outreach: Longer-term processes aiming at real empowerment of a relatively smaller number of farmers vs. simply achieving a high number of farmers trained (E.G. PROMIPAC)

"Drop the mere immediate concern over the number of people trained, and instead (or in addition) aim for empowerment as part of a sustainable process". Ernesto Garay, PROMIPAC, Central America.

4.3. Institutionalization and institution-building for RAS

Institutionalizing RAS refers to making RAS part of already established systems thereby improving its service delivery. Institution-building for RAS refers to establishment and strengthening institutions involved in RAS (at all levels: public and private; local and national etc.).

Achievements:

Institutionalization: New RAS approaches and RAS contents were successfully taken up but to different degrees evidenced by the following examples:

- FFS methodology and IPM/ICM contents introduced in curricula of training institutes and universities (e.g. ICM DPR Korea; PS-ARD, Vietnam; LEAP, Laos; KSAP/RAS, Kyrgyzstan, Organic Cotton, West Africa; PROMIPAC, Central America).
- ➤ The participatory extension approach developed by the project was adopted by the government (e.g. case LEAP, Laos). The project acted as innovator (establishment of discussion groups, SMS push system, on-line library, collaboration with civil society etc.)
- ➤ Local service provision approaches successfully inserted in the RAS system (e.g. Bangladesh, Peru).
- RAS support system developed by the project was taken up by other organisations/donors (e.g. approach developed by ADELE, Burkina Faso used by FAO).
- RAS provider emerged as new profession (e.g. did not exist before Kyrgyzstan).

Institution-building for RAS: Some achievements are:

- ➤ New institution for extension was established with its own identity (e.g. National Agriculture and Forestry Extension Service NAFES, case LEAP in Laos).
- ➤ Emergence of RAS "off-springs". In Kyrgyzstan a network of six RAS providers cover about 50% of all villages and 25% of all farms in each Rayon of the country.
- ➤ Local service providers became organized into associations able to secure bigger and longerterm contracts (e.g. LSPs, Bangladesh; Kamayoqs, Peru; RAS providers in Kosovo). However, these are mostly on-going processes which are not yet concluded.

Difficulties:

> Trade off between scale and quality: Up-scaling RAS often difficult if projects applied approach as a pilot action and then intensity is lost when scaled up (e.g. FFS, village extension system Vietnam)

Challenge 7: Scaling-up

When scaling-up, a trade off between scale and quality occurs. Many pilot interventions are implemented by projects but fail to be scaled up because of loss of the tailing to local conditions (e.g. loss of intensity and proximity).

<u>Example Laos</u>: Up-scaling RAS through Village Extension System VES failed because assumptions about social interactions were made too fast. High intensity of interactions is needed to create relationships based on trust. This implies less coverage. When scaling up you risk losing discovery, closeness of observation.

- The research-extension interface remained a problem (e.g. LEAP, Laos; ICM, DPR Korea). Little motivation for researchers to work with farmers (PS-ARD, Vietnam).
- ➤ Institution-building was difficult and poorly effective due to lack of consistency on the side of public RAS institutions, too frequent change of leadership and reorganisations (case NAFES in Laos). Public extension actors often show resistance towards pluralistic RAS (fear to lose control)

Challenge 8: Institution building for RAS

Institution building for RAS is difficult and requires firm commitment and support from all involved actors. New institutional arrangements are needed for provision of pluralistic RAS. Particular attention needs to be given to institutions providing backup to RAS (content, methods, and organisational support).

Lessons learned and good practices

- ✓ **Long-term engagement, consistency and flexibility** allowing to build relationship and trust which is indispensable for institutionalization and institution building for RAS.
- ✓ Linking RAS with agricultural education as a key strategy to institutionalize RAS methods and contents. Promote RAS resource centres (e.g. like Agridea Switzerland, ZOKI Kyrgyzstan) for capacity building for RAS providers and similar organisations.
- ✓ Inclusion of local authorities from the beginning is essential when building decentralized RAS structures.

"Long-term investments in education, training and development of innovative RAS tools pay off! Training must include sufficient follow-up and organizational strengthening".

Ernst Gabathuler, CDE (see also: Gabathuler et al., 2011. Reshaping rural Extension. Lfor S)

✓ Link **public and private RAS and promote** mixed models of RAS delivery schemes (i.e. towards pluralistic RAS). Private sector plays an important role in extension with a focus on training, inputs and marketing. Important is not to blur the line between private and public sector extension i.e. public extension should not work on behalf of the private sector.

4.4. Financing mechanisms and sustainability

Financing mechanisms are often seen as *the* key factor for achieving sustainability of RAS systems. After the collapse of public extension systems in many countries, new models and mechanisms of shared RAS financing with different funding sources from the public (governments, donor agencies) and private sector have been tried out. On the side of service delivery, Results-based Payment Systems (also called Output-based Payment System) have been developed with the aim to increase the accountability or RAS providers towards the clients (farmers) with the effect of more need based and higher quality service provision (see Box 1).

Box 1: Cornerstones of the Results-based Payment System (RPS) in RAS (KSAP, Kyrgyzstan)

- RPS is based on the principle that the RAS are paid an agreed price for achieved results, instead
 of getting a budget for salaries, office supplies, transport etc.
- The mandate agreements were concluded between KSAP and each RAS provider. A list of services resp. their outputs (e.g. simple demonstration, farmers trained, farmers got access to new variety or breeding animal, farmer completed FFS) with prices and clear definitions what each of these services has to include provides the basis for the mandate agreements.
- The mandate is defined in the form of a list of Expected Results, plus a quantitative target (e.g. 10 demos), plus a list of quality indicators (consistent with the definitions)
- Cycle: RAS planning, draft mandate list (Sept/Oct.), RAS-KSAP negotiations, agreeing on mandate list, signing agreement (Nov./Dec.), KSAP first payment (Jan./Feb.); RAS implementation (Feb-Nov), KSAP monitoring through externally contracted and trained monitors), payment of remaining amount in accordance with monitoring results (July and Nov.)
- Payment principles: Of the total price of the mandate, about 50% are paid as flat rate, the remaining 50% are paid fully if the monitors accepted the work done to 100%. If less than 100% accepted, accordingly less was paid. Until 2007, it was possible to over-fulfill the mandate up to 120% (more payment in accordance with additional accepted work).
- If the RAS provider is able to achieve the results with less expenditure than the amount received under the mandate contract, the difference remains with them as profit. This motivates to work efficiently.

(Source: Elisabeth. Katz)

On the other hand, many models for cost participation by farmers for RAS have been developed and tested. The same time the debate whether farmers should at least partially pay for RAS is an ongoing one (see "Free of fee", Farming Matters, March 2010).

Achievements:

- > Successful introduction of RPS resulting in increased RAS performance (e.g. Kyrgyzstan).
- Fee based RAS works if services are affordable and of high quality, i.e. farmers are willing to pay at least part of RAS costs if they are convinced that RAS provide added value. In some cases (e.g. horticulture in Kosovo) farmers pay fully for highly specialized RAS. Willingness of farmers to pay is often higher for veterinary services (high risk of total loss).

"An apple farmer (1500 trees) did not have the knowledge how to prune his trees and therefore hired a worker to do it for 1200 Euros. Then he got convinced to hire and pay for a trained advisor who showed him how to prune. Now he does it himself. In addition, he saved costs because he got advice on how to reduce the pesticide applications from 17 to 8". Basri Pulaj, HPK, Kosovo.

> RAS services can generate a high return on investment as demostrated in the case of Kyrgyzstan: The value generated for farmers is estimated to be 23.5 USD per USD invested in RAS in the case animal production.

Difficulties:

Public financing for RAS has often remained a problem and is becoming increasingly difficult. Governments often assume that RAS remains to be financed by donor agencies or private sector. Lack of public funding is sometimes also based on the misconception between flows and sources of financing (funds put at disposal of farmers and flowing to private service providers still require substantial public financing for non-state delivery of RAS).

Financial sustainability of RAS systems remains a challenge. As long as we work as donors, we "falsify" the whole systemic setting and leave the question of who will pay once the donor funding stops unsolved. It seems better to design projects that are not too costly and to work with a donor committed to long-term support. RAS funding will always have to be at least partially subsidized (as in the case of Switzerland)".

Ernst Bolliger, Agridea

Challenge 9: The search of new mixed models for funding RAS

Even if the private sector financing of RAS is likely to increase in the future the public sector must maintain financing RAS for themes in the public interest, and for geographical zones and groups not attractive for private sector RAS. New models of financial flows including results-based payment system, public sector financing private RAS providers and cost contribution by farmers show promising results but need to be further developed and adapted to specific contexts.

Example SSMP, Nepal: The district-based and jointly managed "demand-responsive Service Provider" (drSP) Fund: The district administration, different line agencies, development agencies and private sector (in case of micro-enterprise development fund) contribute to a district-based extension fund. This system includes a considerable degree of accountability. Service recipients need to request the service and confirm that the service was provided at a decent quality. To make it meaningful it requires that service recipients have a choice of different service providers. Source: Martin Dietz, former advisor, Helvetas Nepal.

- RPS and fee based systems did not always increase the accountability of RAS providers towards the clients (farmers) due to their weak user voice. In addition RPS resulted in giving preference to "simple services" with low risk for non-achievement. (e.g. KSAP, Kyrgyzstan).
- RPS introduction failed so far in Vietnam because existing policies are not conducive; there is resistance within the system due to fear of control over the extensionists. Importance of advocacy and lobbying work to influence policies.

With the introduction of RPS in RAS in Kyrgyzstan, a positive development of RAS performance could be observed. The reorientation of RAS management had a positive effect on RAS organizational performance but it left Government in a weak position to adequately govern and manage armlength relationship with RAS. One side reform of service supply and weak user voice (clients/farmers) tended to direct RAS accountability more towards the donor agency than towards the clients".

From: Vögtli, F., 2009.

- Provision of free inputs and services by other programmes has jeopardized the introduction of fees and output-based payment systems.
- Weaknesses in fund management of local/farmer organizations hampers the introduction of new financing schemes for reverse flow of funds in RAS. There is a general trend to try funding mechanisms for RAS in the public interest through the lowest administrative unit (or similar bodies) (e.g. Vietnam, Kyrgyzstan). Experiences are mixed. A tremendous capacity building effort is needed.

Challenge 10: Local management of funds for RAS

Funding mechanisms for RAS in the public interest through the lowest administrative unit (e.g. through Community Development Funds) requires high capacity and above all legitimacy often not found in local authorities. Efforts for capacity-building are very high. And if not part of a proper democratic system the accountability question often remains unsolved. Experiences are mixed, an area for further research.

Lessons learned and good practices

- ✓ Farmer's cost contribution to RAS is an effective way to increase demand orientation, accountability and financial sustainability of RAS systems. Farmers are willing to pay RAS if the service is available, affordable, resolves immediate problems and creates new income generating opportunities. Importance of designing effective mechanisms for cost contribution by farmers based on a sound understanding what farmers are willing and able to pay for.
- ✓ On the other hand, subsidies are required for RAS, farmers seldom pay full cost. Donors, governments, etc. should be willing to subsidize RAS differentiating public and private goods and services. Differentiated cost contribution must be applied through proper stratification of farmers (which is not always easy!).
- ✓ Results-based Payment Systems (RPS) are effective in improving RAS performance but additional efforts are required to achieve a change accountability of RAS providers towards clients.
- ✓ Community Development Funds are effective to change the financial flow between service providers and farmers (or community) leading to higher demand orientation of the RAS providers. However, local fund management is demanding and requires capacity-building.

4.5. Impact at farm and rural household level

Improvement of production systems

Historically agricultural extension aimed primarily at improving agricultural production and productivity through the introduction of new seeds, inputs and production techniques at the same time increasing the knowledge of farmers about how to apply and to integrate the new technologies into their production systems. The interviews revealed the following results/impacts of RAS projects in terms of improved production systems:

- ➤ Yield increases in crop and animal production vary greatly, and are typically in the range of 10-100%. In some cases yields have doubled or tripled (usually the case when initial yields were at a very low level). Fastest yield increases are obtained through introduction of new seeds (e.g. hybrid maize), new breeds and inputs (especially fertilizer/manure).
- > Yield increases in animal production (especially poultry and pigs) are usually achieved faster compared to crops and are somewhat higher, mainly attributed to introduction of veterinary services/vaccination and improved feeding practices.
- > Improved quality of produce leading to better marketing opportunities.
- ➤ More sustainable production methods, especially IPM/ICM, organic production, soil and water conservation measures.
- ➤ **Higher crop diversification and crop rotation** leading to improvement of soil fertility and soil and water conservation (e.g. introduction of soya, application of organic manure).
- ➤ Increased motivation of farmers to experiment with new production techniques (indigenous/endogenous).

Increase in farm income

Increased average farm income is reported for most projects, typically in the **range of 20-30% per year**. In particular cases high increases are mentioned e.g. up to 2000 US \$ per year for hybrid maize in Vietnam or 2600 € per season for horticulture in Kosovo.

Increased income is linked with better marketing opportunities for agricultural produce. RAS is mentioned as key aspect for improving the quality of products in order to sell them at higher prices. RAS is also important for meeting certification standards (e.g. in organic and/or fair-trade production).

"Communities are receiving high quality services from local service providers (LSP) at their doorsteps at an affordable cost. Monitoring data revealed that about 90% of the LSP clients could increase their income by 20% as a result of receiving the services from LSP".

Adwyait Roy, Samriddhi, Bangladesh.

- However, it is not clear in every case whether the achieved increase in income is sustainable, i.e. whether farmers just had a "one off" selling opportunities (sometimes assisted by the project) or whether they have themselves achieved to have better and longer-term access to markets (referring to the challenge to integrate farmers into market systems, M4P approach etc.).
- > Consequently, in most projects effective and efficient market-oriented agriculture advisory services are still considered as a weakness (see challenges).
- Additional income generated by farmers acting as local service providers (e.g. 250 Kamayoqs in Peru earning 30% more than survival minimum).

Improvement of food security and livelihoods

Measuring the direct effect of RAS on changes in food security and livelihood conditions of rural households is even more difficult as compared to income as many other factors than RAS are intervening. Statements on RAS effect on livelihood improvement remain generally at qualitative level indicating contributions of RAS to changes such as:

- New farming practices adopted benefitted farmers and contributed consistently to improvement of livelihoods (e.g. LEAP project, Laos). An impact study conducted in the organic cotton project in Burkina Faso reports livelihood improvements in terms of higher income, reduced debts, improved health, and improved nutrition.
- More stable yields contributing to improved food security (e.g. avoiding total crop loss by applying effective IPM practices in Central America and DPR Korea)
- Improved food safety (i.e. more healthy food if organic production or IPM)
- Households improved assets and level of nutrition (e.g. 36% or 5600 participating households in Peru)
- Contribution to poverty reduction (e.g. case Vietnam: poverty in Ngo Luong commune, Hoa Binh province dropped from 49% in 2007 to 34% due to support for infrastructure, new seeds, access to markets etc.). However, the implementation of a Community Development Fund is thought to have made a more direct contribution than RAS.
- Labour demand for new production technologies: Both cases of increased and decreased demand are reported. The same holds true for organic production where usually higher labour input is required.

stated impacts need to interpreted considering the following: Since the introduction of new technologies usually went along with advice to farmers how to use them it is nearly impossible to differentiate between the effects caused by the introduction of new technologies as such from those created through agricultural advice alone (see challenge below: also: Anderson, 2007). However, leaving aside the difficulties in quantifying the effect of RAS on improved production systems, it is important to consider qualitative information (e.g. client satisfaction reflecting the perception of farmers on usefulness of RAS). In most projects a high percentage of farmers were generally satisfied with the quality of RAS provided by the project.

""A recent impact study carried out under my own project [LEAP] in Laos showed that approximately 40% of the farmers who attended extension training subsequently changed their practices. However, about 20% of the farmers who did not attend training also changed their practices. It would be convenient for me to conclude that our extension activities succeeded in introducing new practices to a 'significant' number of farmers, but it may be equally valid to conclude that these activities had merely accelerated changes that would have taken place in anv case...."

from: Bartlett, A., 2010. An introduction to real-world extension.

5. Outlook

The results confirm the relevance of RAS for agricultural knowledge dissemination among small farmers for enhancing productivity, resilience and food security. Nevertheless, many challenges remain. It seems that none of them is really new and it is rather a matter of tackling the different aspects in a coherent manner with the ultimate aim to build functioning pluralistic RAS systems that address not only the needs of farmers but the whole agricultural production and marketing systems. RAS need to be seen as part of a wider agricultural knowledge and information system for rural development which integrates agricultural research, extension, education and marketing and increasingly also information and communication systems.

New policies should support the building of pluralistic RAS. This requires a new understanding of government role away from providing and funding public RAS only towards creating an enabling environment for pluralistic RAS development and continuing funding of RAS in the public interest.

RAS projects and programmes have relevant experiences to offer but often face difficulties to contribute effectively to policy formulation related to RAS. It is important that programmes and implementing organisations learn from each other on how to contribute effectively to policy formulation. What worked, what not? A potential area for further research as well.

"The project had a hard time advocating and lobbying for the incorporation of innovative RAS mechanisms like kamayoqs and farmers contests in the criteria applied by the fairly closed system (SNIP). But now the combination of kamayoqs and farmer contests is replicated in the wider Cusco and Apurimac region with large public investments".

Marco Sotomayor, MASAL, Peru

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6. Annexes

6.1. Annex 1. Criteria for project selection

1 Objective

- 1.1 To select from SDC's portfolio of "Agriculture, Food Security and Rural Development projects (short: ARD projects)" the ones having a major focus on "Agricultural Innovation & Rural Advisory Services- RAS" ("RAS project & actor map")
- 1.2 To select from RAS projects specific projects/actors for conduction of interviews on results, good practices and lessons learned.

2 Criteria for portfolio analysis RAS project (project map)

For the selection of projects in the field of RAS from the whole ARD project portfolio the following criteria are considered:

1.1. Relevance/importance of RAS in the project (= main criteria)

SDC's uses 5 main thematic clusters to group ARD project, i.e.:

- PROD: Production, sustainable production techniques/systems
- MARKET: Access, market- and income related services, processing, and marketing
- SMNR: Sustainable management of NR
- R&E: Agric. research, innovation, training, advice
- POLICY: Global, regional, national policies, regulatory frameworks, policy making

However, despite the fact that RAS is mentioned in the cluster R&E, the current classification system does not allow to identify all project related to RAS.

Few projects are focusing purely on RAS but many have RAS as a component. Therefore, a (subjective) allocation of the importance of RAS in each project will be done on a % scale as follows (base information: Project document, Log frame etc.):

0% = project not related with RAS

20% = project has a minor RAS component

40% = project has a substantial RAS component but RAS not the main focus

60% = project has a major RAS component (as a main focus)

80% = project almost entirely focusing on RAS (plus other minor components)

100% = project entirely focusing on RAS (no other components)

1.2. Geographical focus

While all ARD projects will be screened for RAS, preference will be given to concrete field experience, i.e. regional and eastern cooperation projects, and less to global cooperation projects. It is assumed that each continent or region is represented, i.e. Latin America, West- and East Africa, Eastern Europe, Central Asia, South and South-East Asia.

1.3. Duration and implementation stage of project

Only projects under implementation (as per 31.12.2010) are considered (difficulty to access project staff of already closed projects, continued collaboration in ARD-NW, etc.). In order to assure a minimum pool of experience projects must have been implemented for minimum period. Therefore, only projects that started before 1.1.2007 and have been implemented for at least four years are considered.

1.4. Size of project

Only substantial ARD projects are considered. All projects in the SDC project fall in this category (it implies that so called "small actions" are excluded). It terms of a budget figure, a rough guide is at least 100'000 CHF/year.

3 Criteria for selection of specific projects for interviews

A further selection of specific RAS projects for in-depths analysis including interviews will be done based on the following criteria:

3.1 Importance of RAS in project

Selected projects for interviews should have RAS at least as a substantial project component (i.e. weight of RAS in project estimated ≥40%)

3.2 Availability and interest of key experience holders

it is intended to conduct a limited number (proposed: 10-15) of interviews with key experience holders interested in providing information (i.e. on results achieved, lesson learned, good practices) through means of interview. One person (in exceptional cases: 2) per project will be interviewed.

3.3 Availability of documented information on results, good practices and lessons learned In order to complement information derived from interviews, existing documented information from projects on results achieved, lesson learned, and good practices is desirable.

3.4 Thematic representation (type of RAS projects)

- public and private RAS initiatives
- sub-sectors (agriculture, livestock)
- level (micro, meso, macro)

3.5 Geographical representation

Each continent/region shall be represented (min. 1 and max. 4 interviews/projects per continent/region)

6.2. Annex 2. List of projects and organizations selected for interviews

	Project Name	,	Partners (Implementer,	Country/ Region	Experience holders	
			Backstopper)		Function	
1	Agricultural Support Programme (ASP)	Korean partners at farm, county, province and national level are supported in developing, exploring, evaluating, and introcucing innovations for the improvement of (upland) agricultural production systems, considering the ecological, econic, and social principles of sustainability	CABI, Government of DPRK	DPR Korea	Manfred Grossrieder Programme responsible	m.grossrieder@cabi.org
2	2 Laos Extension for Agriculture Project	Contribute to the development of a decentralized, participatory, pluralistic and sustainable agricultural extension system that is capable of benefiting poorer households and communities, and reaches male and female farmers equally	l .	Lao PDR	Andrew Bartlett former advisor	andrew@seedbed.org
3	Public Service Provision Improvement Programme in agricultureand rural development (PS-ARD)	Efficient and effective decentralised public service delivery systems in agriculture and rural development ato meet the needs of male and female ethic people living in the areas are improved	Government of Vietnam, UNDP	Vietnam	Ms. Kim Yen Coordinator	kim.yen@helvetas.org
4	SAMRIDDHI (emerged from LEAF and SAAKTI)	As of 08/2010, the projects LEAF and SAAKTI have been merged to one single project named SAMRIDDHI. The project aims at strengthening market development, combined with community empowerment. Quality public and private services for small business development on one hand, and the capacity to access these services on the other hand shall lead to more diversified and productive rural livelihoods.	Helvetas Swiss Intercooperation	Bangladesh	'	adwyait.roy@intercooperation- bd.org
5	PROMIPAC - Promotion of Integrated Pest Management	associations, extension and education institutions and agency to more	EAP-Zamorano (Implementer), Ministries, NGOs, Universities	Central America (Nicaragua, Honduras, El Salvador)	Lopez, Alfredo Rueda	zamonic2@turbonett.com.ni arueda@zamorano.edu
	ressource management on steep slopes in the andes	of natural ressources (new income alternatives to indigenous farmers) -> includes water ressource management and ag production promotion	Helvetas Swiss Intercooperation (Implementer), municipalities, dept. Gov., local NGOs	Peru	Marco Sotomayor Coordinator	marco@masal.org.pe
7		l ' ' ' ' ' ' ' ' ' ' ' ' ' ' ' ' ' ' '	ARC-ACADE (implementer) Organisations paysannes Services techniques de l'Etat	Burkina Faso	Alain Bidaux backstopper	<u>abidaux@groupe-ae.ch</u>

	Project Name	Short description (Overall Objective)		Country/	Experience holders	to be interviewed
			(Implementer, Backstopper)	Region	Interview with: Name, Function	Email / Skype etc.
8		The promotion of organic cotton in West-Africa is a multi-country and multi-stakeholder initiative with multi-donor support. Interventions include optimising the production systems, initiating certification schemes, building the capacity of producer organsiations and establishing market links for organic cotton and its rotation crops.	Helvetas Swiss Intercooperation	W-Africa	Georg Felber Advisor	georg.felber@helvetas.org
9	l	sustainable and broad-based employment and income for its actors and	Helvetas Swiss Intercooperation, Kosovarian Ministry of Agriculture	Kosovo	Basri Pulaj	basri.pulaj@intercoopkos.org
10	Services System in	3 3	Helvetas Swiss Intercoooperation, Kyrgyzian Ministry of Agriculture	Kyrgyzstan	Elisabeth Katz Advisor	eka.rdconsulting@gmail.com
		mid hills have improved food security and increased income	Helvetas Swiss Intercooperation, Ministry of Agriculture and Cooperatives	Nepal		Contact: Rudriksa Raj Parajuli rudriksha.rparajuli@helvetas.org. np
Ins	titutional interviews:					
11	Agridea				Ernst Bolliger	ernst.bolliger@agridea.ch
12	SHL				Fritz Schneider	fritz.schneider@bfh.ch
13	CDE Univ. Bern			Switzerland/	Ernst Gabathuler	Ernst.Gabathuler@cde.unibe.ch
14	Syngenta Foundation for Sustainable Agriculture (SFSA)	see corresponding websites		Global	Robert Berlin	robert.berlin@syngenta.com
15	Nestlé				Jürg Zaugg	juerg.zaugg@nestle.com

6.3. Annex 3. References

Selected references from case study projects (conducted interviews):

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PS-ARD/Vietnam	Satisfaction with Public Service Delivery in the Agriculture and Rural Development Sector, local planning and financial management at commune level 2007 & 2009. SDC, MARD, Helvetas. November 2010.
	Impact Assessment of Commune Development Funds – CDF in Hoa Binh and Cao Bang Provinces. PS-ARD, October 2010. SDC, MARD, Helvetas.
	Public Service Provision Improvement Programme in Agriculture. Final Report 2008-2010. SDC, MARD, Helvetas.
SAMRIDDHI/Bangladesh	Cuvelier, A., Islam, N., Poitevin, B., 2008. Promoting Local Private Service Providers. A Sustainable Approach to Development. SAAKTI project, Bangladesh. SDC, Intercooperation.
PROMIPAC / Central America	María Verónica Gottret and Diana Marcela Córdoba (2003).Políticas y procesos de innovación tecnológica con productores de pequeña escala en Honduras y Nicaragua. El caso del programa de manejo integrado de plagas en Centroamérica PROMIPAC. CEPAL. Disponible via: http://www.eclac.org/ddpe/agenda/3/19633/centroamerica.pdf
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MASAL/Peru	Sotomayor, M., Mejía, M., and W. Choquevilca, 2010. Final Report on the End of Phase III of MASAL.
	Villafuerte, A., Berlin, R., Mejia, M., Sotomayor, M.,2007. Análisis de la oferta y demanda de servicios locales de asistencia técnica para zonas rurales de Cusco, Perú. Documento de sistematización. http://www.asocam.org/biblioteca/Portal OL Sistematizacion Kamayoq.pdf
	ASOCAM's regional thematic portal on farmer-to-farmer extension mechanisms: http://www.campesinoacampesino.info (mostly in Spanish)
ADELE/Burkina Faso	Bidaux., A., 2007. In Burkina Faso, it's the farmers who lead the way. The experience of ADELE, an unconventional rural development approach. Rural Development News 2/2007.
Organic Cotton/West Africa	Pineau, M., 2009. Etude d'impact du programme coton bio et équitable d'Helvetas au Burkina Faso. CDE, Univ. of Bern. (Summary in English available: https://zewo.tocco.ch/extranet/Dokumente/Wirkungsmessung/cotton.pdf)
HPK/Kosovo	Balliu, A., 2011. Potential development of private extension services in the Republic of Kosovo. Working document, Intercooperation.
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