

# SAPLING protocol for obtaining baseline data on value-chain performance and inclusion, as well as innovation use by service providers, applicable to the 15 SAPLING livestock value-chains

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# Abbreviations and acronyms

AHA	Animal Health Assistant
CRP	CGIAR Research Program
FGD	Focus group discussion
ICT	Information and communication technology
ILRI	International Livestock Research Institute
KASP	Knowledge, Attitude, Skills and Practice
KII	Key information interviews
MEL	Monitoring, Evaluation, Learning
MELIA	Monitoring, Evaluation, Learning and Impact Assessment
NGO	non-governmental organizations
RMG	Research Methods Group
SAPLING	CGIAR Initiative Sustainable Animal Productivity for Livelihoods, Nutrition, and Gender Inclusion
sr	Small ruminant
VC	Value chain
WP	Work package

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# Overview

This manual is a protocol developed as part of the monitoring, evaluation, and learning (MEL) activities for the One CGIAR Initiative Sustainable Animal Productivity for Livelihoods, Nutrition and Gender Inclusion (SAPLING). It describes the processes for obtaining baseline data on value chain performance and inclusion, as well as innovation use by service providers, which will be applied for each of SAPLING's 15 focal livestock value chains. The actual data collection tools are annexed.

## The SAPLING Initiative

SAPLING is one of the CGIAR Initiatives focusing on sustainable animal productivity. See here a description of the Initiative. It aims to contribute to transforming livestock sectors in target countries to make them more productive, resilient, equitable, and sustainable. This objective will be achieved through:

- Technologies and practices for sustainable livestock productivity: developing, adapting, and testing new and existing productivity- and resilience-enhancing, low-emissions, scalable technologies and practices across the three main pillars of livestock productivity: improved feeds, animal health products, and genetics. (Work package 1)
- Innovations and practices for safe consumption of livestock-derived foods as part of diverse diets: co-creating innovative models and approaches for social and behavior change communication, and testing and evaluating approaches for incentivizing market actors to enhance the supply of safe, nutritious, and affordable livestock-derived foods. (Work package 2)
- Sustainable livestock productivity for gender equity and social inclusion: understanding constraints and opportunities, identifying best-bet entry points, addressing constraints, and developing tools to measure progress. (Work package 3)
- Competitive and inclusive livestock value chains: generating evidence on institutional arrangements and technical interventions to transition towards more profitable, inclusive, and sustainable livestock value chains. (Work package 4)
- Evidence, decisions, and scaling: generating and consolidating evidence, models, and tools to support public and private decision-making for a sustainable and inclusive livestock sector. (Work package 5)

This Initiative will work in the following countries: Ethiopia, Kenya, Mali, Nepal, the United Republic of Tanzania, Uganda, and Vietnam, on 15 specific livestock value chains, as shown in Table 1 below.

Table 1. SAPLING countries and livestock value chains

	Pigs	Beef cattle	Dairy cattle	Dairy buffalo	Small ruminant	Chicken
Ethiopia			X		X	X
Kenya			X			X
Mali					X	
Nepal				X		
Tanzania			X			X
Uganda	X	X	X			
Vietnam	X	X				X

# The objective of the data collection exercise

As part of the SAPLING proposal development, numerous outcomes, both at the Initiative and work package levels, were set. These are listed in the initiative results framework (Annex 1). The SAPLING initiative will be regularly required to report on these, and thus baseline values are needed. **This protocol specifically relates to the collection of data against the outcomes listed in Table 2.**

The information collected through this exercise will provide a baseline to document changes at the value chain actor level in sites, and regarding innovations promoted by SAPLING, when compared to the endline data to be collected in 2024. The nature of the innovations (e.g., institutional arrangements) and the low number of actors involved in the geographically limited pilot sites identified by SAPLING will preclude statistical evaluation. Therefore, the analysis of the collected information, including the quantitative data, will follow qualitative approaches. For this reason, the sample sizes have not been determined by power calculations but aim to allow for the inclusion of a variety of actors while limiting data collection effort. Because it will not be attempted to determine causal relationships between the Initiative’s interventions and the documented changes, impact assessment approaches, for instance defining a counter-factual, are not considered here. Rather, detailed documentation following standard procedures will allow for a comparison across sites and value chains to determine where change has happened and will provide sufficient detail to develop hypotheses on why this may be. In addition, the documented change will be critical for engagement with partners, eager to learn about the benefits of bundled technology innovations and effective value chain interventions in livestock development.

Table 2. Baseline variables required by outcome, as well as the data collection tool they will be captured in.

Outcome number	Outcome	Indicator	Variable(s) for data collection
WP1-1	Use by public and private sector value-chain actors of promoted genetic improvement programs in smallholder systems, built on the needs and preferences of livestock keepers in 7 countries and incorporating ICT, genomic and reproductive technologies as appropriate	Number of actors (private companies and individuals, community groups) using models for genetic improvement (disaggregated by gender)	Innovation use by the genetics input service providers, gender and age disaggregated, last 12 months. As number or proportion reaching the intervention site (proportion if the number of relevant actors is large).
WP1-2	Development partners, public and private seed sector use, promote, and commercialize improved forage and food-feed crops and feed companies employ prioritization approaches to improve feed options and reduce livestock feeding gap	Number of institutions/ partners using the innovation	Innovation use by the feeds input service providers, gender and age disaggregated, last 12 months. As number or proportion reaching the intervention site (proportion if the number of relevant actors is large).
WP1-3	Animal health system actors in 7 countries promote and use tools and technologies (herd health packages and disease control) to reduce disease burden	Number of actors (AHA, vets, paravets, agrovet, government extension) using the innovation (disaggregated by gender)	Innovation use by the animal health input service providers gender and age disaggregated, last 12 months. As number or proportion reaching the intervention site (proportion if the number of relevant actors is large).

WP4-3	Market actors invest in profitable and inclusive business models promoted by SAPLING, that provide transparent and efficient markets	Number of market actors investing in the innovation, disaggregated by gender	VC process or efficiency variables on structure, conduct, and performance: nodes; number and types of actors; inclusion; product flows and value transacted; business linkages; commodity price.  Innovation use by the market actors / output service providers, gender and age disaggregated, last 12 months. As number or proportion reaching the intervention site (proportion if the number of relevant actors is large).
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## Use of existing data.

Where there is existing data, such as from similar surveys performed recently, the data will not be recollected. This is both to save the time of respondents, as well as minimize the cost of the data collection exercise. Table 3 summarizes where there is existing data, and where new data will be collected.

Table 3. Overview of which country/livestock value chains have data on the indicators given in Table 2. 'New' = new data to be collected (using the process described here). 'Existing' = existing data, meaning baseline information need not be recollected.

Indicator / linked output number	Number of actors (private companies and individuals, community groups) using models for genetic improvement (disaggregated by gender) WP1-1	Number of institutions/ partners using the innovation (innovation on feed and forages) WP1-2	Number of actors (AHA, vets, para-vets, agrovets, government extension) using the innovation (innovation on herd health) (disaggregated by gender) WP1-3	Number of market actors investing in the innovation, disaggregated by gender (innovation = profitable and inclusive business models) WP4-3
Ethiopia dairy cattle	New	New	New	New
Ethiopia small ruminant	1 site new (others existing)	1 site new (others existing)	1 site new (others existing)	1 site new (others existing)
Ethiopia chicken	New	New	New	New
Kenya dairy cattle	New	New	New	New
Kenya chicken	New	New	New	New
Mali small ruminant	New	New	New	New
Nepal dairy buffalo	New	New	New	New
Tanzania dairy cattle	Existing	Existing	Existing	Existing
Tanzania chicken	New	New	New	New
Uganda pigs	New	Existing	Existing	New
Uganda dairy cattle	New	New	New	New
Uganda beef cattle	New	New	New	New
Vietnam pigs	New	New	New	New
Vietnam beef cattle	New	New	New	New
Vietnam chicken	New	New	New	New



## Tools and consent forms.

Three data collection tools will be utilized, as follows:

1. **SAPLING baseline – innovation use by input and output service providers (key informant interviews).**  
Key informant interviews (KII) will be conducted with input service providers for genetics, feeds and forages, and animal health, as well as output service providers (market actors). This includes service providers engaged in the target sites although they are based outside of them. With this, we obtain baseline information on innovation use by the service providers, for specific innovations that SAPLING will promote which will differ by value chain (outcomes WP1-1,2,3 for input service providers; outcome WP4-3 for output service providers).
2. **SAPLING baseline – VC performance and inclusiveness (focus group discussion).**  
An initial assessment of VC performance and inclusiveness will be achieved through focus group discussions (FGD) with value chain actors, including actors reaching (or having an influence on) the value chain even if located outside of the study site. Here we obtain baseline information on the structure of the value chain, the actors involved and basic data on prices and value addition. This will allow a basic assessment of value-chain performance and inclusiveness according to the mandatory indicators as shared in Baltenweck et al.(2019) (ILRI manual 34, <https://cgspace.cgiar.org/handle/10568/103783>) (outcome WP4-3).
3. **SAPLING baseline – VC performance and inclusiveness (key informant interviews).**  
Additional information may be required from key value chain actors, identified during the focus group discussions, about specific aspects of VC performance and inclusiveness, especially regarding costs and institutional arrangements. We also obtain this information through key informant interviews (outcome WP4-3).
4. The tools and consent forms are annexed as follows:
  - **Annex 2:** SAPLING baseline – innovation use by input service providers (key informant interviews)
  - **Annex 3:** Consent form for SAPLING baseline - innovation use by input service providers (key informant interviews)
  - **Annex 4:** SAPLING baseline – VC performance and inclusiveness (focus group discussions)
  - **Annex 5:** Consent form for SAPLING baseline – VC performance and inclusiveness (focus group discussions)
  - **Annex 6:** SAPLING baseline – VC performance and inclusiveness (key informant interviews)
  - **Annex 7:** Consent form for SAPLING baseline – VC performance and inclusiveness (key informant interviews)
  - **Annex 8:** SAPLING baseline – innovation use by service providers + SAPLING baseline - VC performance and inclusiveness (combined and further refined tools of that in Annex 2 + 6 developed following pilot testing of the individual tools; key informant interviews)
  - **Annex 9:** Consent form for SAPLING baseline – innovation use by service providers + SAPLING baseline – VC performance and inclusiveness

## Sampling

All SAPLING value chains have identified specific sites (usually defined by government administrative boundaries) that they are targeting for interventions. SAPLING will also work with some actors located outside of these sites, such as decision makers within the relevant government ministries.

Sampling frameworks for the administration of each of the tools are as follows:

### **SAPLING baseline – innovation use by input and output service providers (key informant interviews).**

Key informant interviews are to be conducted with 15 service providers of a particular type, for at least two sites per value chain in each country (for cases where there are less than 15 service providers, all those existing can be

interviewed). The exact type of service providers targeted will be dependent on the specific SAPLING innovations being promoted for a specific value chain. For a service provider type where the number within a site is large (e.g., agrovets) 15 villages will be randomly selected and service providers within those villages located (e.g., by a discussion with extension officers, farmer co-operative representatives, or other knowledgeable persons). This will ensure a degree of randomness. From here, a specific service provider (or providers) can then be selected for a potential interview, ensuring that inclusiveness is considered (i.e., ensuring those interviewed represent, as far as possible, a mix of different genders, ages, and other socio-economic groups). For service providers of a particular type that are one or a few in number (e.g., national breeding centers) all will be interviewed, with no sampling.

**SAPLING baseline – VC performance and inclusiveness (focus group discussions).** Focus group discussions will be performed in at least two sites per value chain, as shown in Table 4. Depending on the variation amongst VC actors within a site, it might be necessary to conduct several group discussions per site (up to three). If these can be conducted simultaneously, the results will be compared and discussed during a plenary session, possibly reaching a consensus. Each group should comprise about 10–12 persons. The participants should represent the range of actor types across the value chain, which can be identified from snowballing and expert opinion, and should have substantial knowledge of the value chain. Examples of types of actors include input service providers on genetics, feed, and health; traders/aggregators; cooperatives; producers and/or farmer’s organizations; processors (including slaughterhouse representatives); and retailers. Additional actors with a more indirect link to the value chain sections the Initiative will be targeting (mainly linking farmers to input and output markets) may also be considered. These include extension officers; regulators; inspectors; relevant non-governmental organizations (NGOs); decision makers (e.g., from the government); researchers from universities and national agricultural research institutes. The actors included in the group discussions should include a mix of persons of different genders, ages, and other relevant socio-economic groups for inclusiveness.

**SAPLING baseline – VC performance and inclusiveness (key informant interviews).** Based on the results of the focus group discussion, key informants may be identified for follow-up interviews. These are likely to include market actors as they are often reluctant to share information regarding their business in a group setting. The number of key informant interviews per value chain and site will vary but is not expected to exceed 30.

Table 4. Overview of SAPLING sites by value chain

Country	Species (VC)	SAPLING sites	Site details
Uganda	Pig	4 sites (district) confirmed (ex-CRP); potentially 3 additional sites	Masaka, Mukono (ex-CRP intervention); Mpigi, Wakiso (ex-CRP control); Kanungu, Bukomansimbi, Kamuli – unconfirmed.
Uganda	Dairy	5 sites (district) – a subset of ADGG sites	Wakiso, Mbarara, Masaka, Ntungamo, Kiruhura
Uganda	Beef	5 sites (district) – core activities will only start in 2023	Nakasongola, Gomba, Kiboga, Nakaseke, Mayuge
Vietnam	Beef, pigs, chicken	Son La province, Mai Son district, 4 sites (communes); Hoa Binh province, Da Bac district, 3 sites (communes)	Mai Son District – Hat Lot, Co Noi; Chieng Chung, Chieng Luong (ex-CRP intervention) Da Bac district – 3 communes to be confirmed
Ethiopia	Small ruminants	6 sites (woreda) (ex-CRP); 2 new sites (regions) but focus on external actor interactions.	Bonga, Borana, Doyogena, Konso, Horro, Menz (ex-CRP). Washara, Wollo (broader VC).
Ethiopia	Dairy cattle	7 (2 starting now) – a subset of ADGG sites	Bahir Dar Zuria (in Washara, Amhara); Ada’a (in Oromia)
Ethiopia	Chicken	7 sites (woreda) – a subset of TPGS sites	Doyogena, Menz, Konso, Fitcha, Bahir Dar Zuria, Finfine Zuria, Hawassa Zuria
Tanzania	Dairy cattle	6 sites (district) confirmed (ex-CRP)	Kilimanjaro – Siha, Hai, Moshi Rural, Rombo; Tanga – Korogwe, Muheza
Tanzania	Chicken	4 sites (districts) – a subset of TPGS sites	Kilimanjaro – Siha, Hai; Lindi - Ruangwa and Lindi.

Nepal	Buffalo	8 sites (district) within 3 provinces	Lowland: Province 1 – Sunsari; Province 2 – Saptari, Siraha, Dhanusha, Mahottari, Sarlahi; Mid-hills: Province 4 – Kaski, Parbat
Mali	Small ruminants	4 sites (cercle); potential 1 more	Yolo – Macina; Fatoma – Mopti; Sikorole – Yanfolila; Sikasso
Kenya	Dairy cattle	5 sites (county)	Makueni, Kakamega, Meru, Nandi, Uasin Gishu
Kenya	Chicken	5 sites (county)	Kakamega, Meru, Uasin Gishu, Bomet, Laikipia

## Data collection, synthesis, and reporting; and feedback to respondents

Data collection will be overseen by the SAPLING country leads, with support from the SAPLING country MEL and WP4 focal persons. Within each country, a data collection team will be recruited, trained on the implementation of the applicable tools, and supported throughout the data collection activity.

Data synthesis and reporting will be led by the SAPLING country teams, with support from the SAPLING MELIA team. Briefs synthesizing the results will be shared with partners, for further dissemination to respondents. Country / value chain-level workshops with a range of stakeholders are planned annually, and results of the baseline assessment will also be shared and discussed then. The briefs will also be available online.

The collected data will be entered into ILRI’s RMG database. Public versions of the data, which will exclude any sensitive information, will be made available after the results of the assessment have been synthesized

## Closing remarks

The expectation is that this protocol will be implemented for all of SAPLING’s 15 focal livestock value chain either in late 2022 or early 2023. Corresponding end-line data will be collected at the end of the first One CGIAR Initiative phase (end-2024). This work represents an important component of SAPLING MELIA activities, and process monitoring of the exercise will also be undertaken to feed into overall learning on SAPLING’s MELIA approach.

Annex 1. SAPLING results framework showing outcomes and their indicators at the initiative and work package level. Yellow highlights are those requiring specific baseline data.

Result type (outcome or output)	Initiative / WP	Code	Level	Result (Outcome types): Policy, CapDev, Innovation, Uptake of info. Product, Other	Indicator (Indicator types): No. policies, no. beneficiaries, quantitative measure (e.g. area), CapDev, Altmetric score (papers), Other	Unit of measurement	Geographic scope	Data source	Data collection method	Frequency of data collection	Baseline value (outcome) TBC = to be confirmed	The target value for the year 2024
Outcome (Initiative)	Initiative	Outcome II	VC	Co-created, demand-driven innovation packages of productivity- and resilience-enhancing, low emissions technologies and the institutional arrangements (including markets) necessary for their adoption are being used by 800,000 people (male and female), including at least 100,000 people using SAPLING promoted improved forage and food feed crops, in households keeping cattle, chickens, small ruminants, pigs and buffalo in Ethiopia, Kenya, Tanzania, Uganda, Mali, Nepal, and Vietnam, resulting in a 30-50% increase in livestock productivity	Number of beneficiaries using the packages and change in productivity, disaggregated by gender; 3rd indicator on number of innovation packages (to ensure they are captured) - target 15	Number	7 SAPLING countries	Primary and Secondary	TBC - Household questionnaires, KIs, secondary sources; Productivity - MELIA studies, KI, SAPLING research studies; IP - Info products	Baseline and end of Initiative	TBC	800,000

Result type (outcome or output)	Initiative / WP	Code	Level	Result (Outcome types): Policy, CapDev, Innovation, Uptake of info. Product, Other	Indicator (Indicator types): No. policies, no. beneficiaries, quantitative measure (e.g. area), CapDev, Altmetric score (papers), Other	Unit of measurement	Geographic scope	Data source	Data collection method	Frequency of data collection	Baseline value (outcome) TBC = to be confirmed	The target value for the year 2024
Outcome (Initiative)	Initiative	Outcome I2	VC	Private and public sector partners invest at least USD30M in co-creation and delivery of novel, low emissions, demand-driven, gender and youth inclusive, and productivity enhancing technologies and practices for genetics, feed/forages, and health	USD invested	USD	Global	Primary	KII; partner data; Knowledge, Attitude, Skills and Practice (KASP) surveys	Midterm and end of Initiative	TBC - 0	30 Million
Outcome (Initiative)	Initiative	Outcome I3	VC	6 public and private sector organizations utilize Initiative-developed social behavior change communication strategies, tools or campaigns targeted at incorporating safe LDFs into diverse diets to inform nutrition education strategies and/or campaigns	Number of strategies and/or campaigns modified in design or implemented, informed by CGIAR research	Number	National: 2 countries (Uganda, Vietnam)	Primary	KII; KASP surveys; MELIA studies	Midterm and end of Initiative	0	6

Result type (outcome or output)	Initiative / WP	Code	Level	Result (Outcome types): Policy, CapDev, Innovation, Uptake of info. Product, Other	Indicator (Indicator types): No. policies, no. beneficiaries, quantitative measure (e.g. area), CapDev, Altmetric score (papers), Other	Unit of measurement	Geographic scope	Data source	Data collection method	Frequency of data collection	Baseline value (outcome) TBC = to be confirmed	The target value for the year 2024
Outcome (Initiative)	Initiative	Outcome I4	VC	Public and private decision makers utilize the Initiative innovation packages to inform policies and investments in Ethiopia, Kenya, Tanzania, Uganda, Mali, Nepal and Vietnam towards an inclusive and sustainable livestock system, including progress towards equity and inclusion	Number of policies/investments modified in design or implementation, informed by CGIAR research	Number	National: 7 countries	Primary	KI; KASP surveys; MELIA studies	Midterm and end of Initiative	TBC-0	7
Outcome (WPI)	WPI	Outcome WPI-1	WP / VC	<b>Use</b> by public and private sector value-chain actors of promoted <b>genetic improvement programs in smallholder systems</b> , built on the needs and preferences of livestock keepers in 7 countries and incorporating ICT, genomic and reproductive technologies as appropriate	<b>Number of actors</b> (private companies and individuals, community groups) <b>using models for genetic improvement</b> (disaggregated by gender)	Number	National: 7 countries	Primary	KI; KASP	Baseline, midline, end of Initiative	TBC	20

Result type (outcome or output)	Initiative / WP	Code	Level	Result (Outcome types): Policy, CapDev, Innovation, Uptake of info. Product, Other	Indicator (Indicator types): No. policies, no. beneficiaries, quantitative measure (e.g. area), CapDev, Altmetric score (papers), Other	Unit of measurement	Geographic scope	Data source	Data collection method	Frequency of data collection	Baseline value (outcome) TBC = to be confirmed	The target value for the year 2024
Outcome (WPI)	WPI	Outcome WPI-2	WP / VC	Development partners, public and private seed sector <b>use, promote and commercialize improved forage and food-feed crops and feed companies employ prioritization approaches to improve feed options</b> and reduce livestock feeding gap	<b>Number of institutions / partners</b> using the innovation	Number	National: 7 countries	Primary	KII; KASP	Baseline, midline, End of Initiative	TBC	14
Outcome (WPI)	WPI	Outcome WPI-3	WP / VC	Animal health system actors in 7 countries <b>promote and use tools and technologies (herd health packages and disease control)</b> to reduce disease burden	<b>Number of actors</b> (Animal Health Assistants (AHA), vets, paravets, agrovet, government extension) using the innovation (disaggregated by gender)	Number	National: 7 countries	Primary	KII; KASP	Baseline, midline, end of Initiative	TBC	320
Outcome (WP2)	WP2	Outcome WP2-1	WP / VC	<b>Government and development practitioners take up the decision support tools to diagnose and prioritize LDFs</b> in food and nutrition interventions	<b>Number of actors taking up the decision support tools</b>	Number	National: 2 countries	Primary	KII; KASP surveys; MELIA studies	Midline and end of Initiative	0	4

Result type (outcome or output)	Initiative / WP	Code	Level	Result (Outcome types): Policy, CapDev, Innovation, Uptake of info. Product, Other	Indicator (Indicator types): No. policies, no. beneficiaries, quantitative measure (e.g. area), CapDev, Altmetric score (papers), Other	Unit of measurement	Geographic scope	Data source	Data collection method	Frequency of data collection	Baseline value (outcome) TBC = to be confirmed	The target value for the year 2024
Outcome (WP2)	WP2	Outcome WP2-2	WP / VC	<b>Government and developers support and promote SBCC and market-related innovations that enhance affordability and safety of LDFs.</b>	<b>Number of actors</b> supporting and promoting...	Number	National: 2 countries	Primary	KI; KASP surveys; MELIA studies	Midline and end of Initiative	0	4
Outcome (WP3)	WP3	Outcome WP3-1	WP / VC	In 4 selected countries <b>policy, private sector and the development community acknowledge gender- and youth-based discrimination</b> in livestock value chains and co-develop strategies to close the gender and age gap	<b>Number of strategies</b> co-developed	Number	National: 4 countries (Et, Tz, Ug, Vt)	Primary	Expert and desk review	Midline and end of Initiative	0	4
Outcome (WP3)	WP3	Outcome WP3-2	WP / VC	<b>Community and household members in selected livestock value chains adopt gender-transformative approaches and show more gender-equitable behavior</b> to enable participation and benefitting from livestock assets and opportunities	<b>Number of beneficiaries</b> using the gender-transformative approach (innovation), disaggregated by gender	Number	National: 4 countries (Et, Tz, Ug, Vt)	Extrapolation based on survey data and secondary data	Gender norms survey (HH level)	Baseline and End of Initiative	TBC	40,000



Result type (outcome or output)	Initiative / WP	Code	Level	Result (Outcome types): Policy, CapDev, Innovation, Uptake of info. Product, Other	Indicator (Indicator types): No. policies, no. beneficiaries, quantitative measure (e.g. area), CapDev, Altmetric score (papers), Other	Unit of measurement	Geographic scope	Data source	Data collection method	Frequency of data collection	Baseline value (outcome) TBC = to be confirmed	The target value for the year 2024
Outcome (WP3)	WP3	Outcome WP3-3	WP	<b>Scientists, practitioners and extension agents</b> in animal health, feeds and forages, genetics and environment <b>collaborate with gender scientists to generate gender- and youth-responsive livestock innovation bundles</b>	<b>Info Products - Number of publications co-authored by gender and non-gender scientists</b>	Number	Global	Primary	Publications	Yearly	0	4
Outcome (WP4)	WP4	Outcome WP4-1	WP / VC	<b>Government and development practitioners support new business models</b> and interventions that ensure improved competitiveness of the livestock value chains	Innovations - 'Business models & interventions'; Indicator - <b>number of 'business models &amp; interventions' (at least 1 per country); Indicator - No. countries with practitioners supporting</b>	Number	National: 7 countries	Primary	KI; KASP surveys	Midterm and end of Initiative	TBC	7
Outcome (WP4)	WP4	Outcome WP4-2	WP / VC	<b>Government and development practitioners promote SAPLING innovation packages</b>	Uptake of innovation packages - number of government and development practitioners, disaggregated by gender	Number	National: 7 countries	Primary	KI; KASP surveys	Midterm and end of Initiative	0	15

Result type (outcome or output)	Initiative / WP	Code	Level	Result (Outcome types): Policy, CapDev, Innovation, Uptake of info. Product, Other	Indicator (Indicator types): No. policies, no. beneficiaries, quantitative measure (e.g. area), CapDev, Altmetric score (papers), Other	Unit of measurement	Geographic scope	Data source	Data collection method	Frequency of data collection	Baseline value (outcome) TBC = to be confirmed	The target value for the year 2024
Outcome (WP4)	WP4	Outcome WP4-3	WP / VC	<b>Market actors invest in profitable and inclusive business models</b> promoted by SAPLING, that provide transparent and efficient markets	<b>Number of market actors investing in the innovation</b> , disaggregated by gender	Number	National: 7 countries	Primary	Market agent questionnaires / KASP surveys	Midterm and end Initiative	0	250
Outcome (WP5)	WP5	Outcome WP5-1	WP / VC	<b>Value chain actors are adjusting their investments and practices based on prioritization, trade-off and/or scaling readiness analysis</b>	<b>Number of investments/practices modified</b> in design or implementation, informed by CGIAR research	Number	National: 7 countries	Primary	KI; KASP surveys	Midterm and end Initiative	0	7
Outcome (WP5)	WP5	Outcome WP5-2	WP / VC	<b>Public and private decision makers utilize Initiative-developed tools and recommendations to inform policies and investments</b> in the 7 focus countries and beyond (scaling)	<b>Number of policies/investments</b> modified in design or implementation, informed by CGIAR research	Number	National: 7 countries	Primary	KI; KASP surveys	Midterm and end Initiative	0	7
Outcome (WP5)	WP5	Outcome WP5-3	WP / LMP	<b>Researchers and decision makers have access to and use improved analytical tools</b> (environmentally and gender-sensitive), <b>evidence and processes to guide livestock master plans (LMP)</b>	<b>Other - number of countries (with users)</b>	Number	National: 7 countries	Primary	KI; KASP surveys	Midterm and end Initiative	0	5

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## Annex 2. SAPLING baseline – innovation use by input service providers (key informant interviews)

### SAPLING baseline – innovation use by service providers (key informant interviews)

#### Overview

- This tool is aimed to obtain baseline information for SAPLING outcomes from WP1 (specifically WP-1, 2,3) which is around innovation use by service providers, as well as innovations from WP4 targeting output service providers / market-actors. **To this end the specific innovations need to be clearly identified before the start of the survey, as these will be monitored for adoption and performance throughout SAPLING. The tool is generic, and contextualization of questions for specific innovations will be done before tool implementation.**
- It is performed as key informant interviews, with each interview expected to take about 30 minutes. The key informants should be interviewed separately.
- Key informant interviews are to be conducted with up to 15 service providers for each of genetics, feeds, and herd health per site, for at least 2 sites per value-chain. The exact type of service providers targeted will be dependent on the specific SAPLING innovations being promoted for the input and output service providers within a specific value chain. For a service provider type where the number within a site is large (e.g., agrovets) 15 villages will be randomly selected and service providers within those villages located (e.g., by a discussion with extension officers, farmer co-operative representatives, or other knowledgeable persons). This will ensure an element of randomness. From here, the service providers can then be selected for potential interview, ensuring that inclusiveness is considered (i.e., ensuring those interviewed represent, as far as possible, a mix of different genders, ages, and other socio-economic groups). For service providers of a particular type that are one or a few in number (e.g., national breeding centers), only these need to be interviewed.
- Materials required including the contextualized tool, documentation template or tool (e.g., ODK), and consent form.
- Ensure consent for the interview is obtained first.

Service provider type (pre-fill)

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Specific innovation this survey is monitoring adoption of (pre-fill)

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## KII overview and participant recording sheet

Information on the interview	
Consent form signed (yes, no) – only proceed if yes	
Date	_____ (day) _____ (month) _____ (year)
Interviewer(s)	
Time start	
Time finish	
Location of interview (district/village or equivalent)	
Any comments on the interview?	
Information on the respondent	
Respondent name	
Respondent's contact phone number	
Name of enterprise/business	
Location of enterprise/business	
Relation of the respondent to enterprise/business (e.g., owner, permanent staff, etc.)	
Respondent gender (male, female, other – specify)	
Respondent age or classification (youth as 35 years or less, or non-youth as 36 years or more)	
Respondent's highest education level	
Any comments on the interview	

1. Overview of enterprise/business
  - a. Type of enterprise / business – value chain node (e.g., input retailer), common type (e.g., agrovet), legal type (e.g., co-op).
  - b. What year did you start operating the enterprise/business?
  - c. What types of services do you offer and/or which products do you supply?
  - d. Who are your clients? What species are they keeping, and are they small, medium, or large-scale farmers (indicate average herd or flock size)? Are they mostly young women, young men, women, and men (note youth is defined as 35 years or younger)? Any other differences by socio-economic group?
  - e. What geographic area are your clients located in?
  - f. Do you employ anyone in your business – if yes what are their roles, are they permanent or part-time, are they young women, young men, women, or men? (Note young people or youth is defined as 35 years of age or less).

- 
2. Use of innovation – note here that innovation refers to that which has been pre-defined. Rather than use the term innovation, describe what it is (e.g., herd-health package, etc.)
    - a. Have you heard of the innovation? Are you currently, or have you previously, used the innovation?
      - i. Has heard of innovation and is currently using it - go to b
      - ii. Has heard of innovation but has not used it - go to c
      - iii. Has heard of innovation and has used it previously, but stopped using it (dis-adopter) – go to d
      - iv. Has not heard of innovation - go to e
    - b. Has heard of innovation and is currently using it:
      - i. From where did you hear of the innovation?
      - ii. Have you received any training on the innovation – if yes, for how long, and from whom?
      - iii. What year did you start using the innovation?
      - iv. Why did you decide to start using the innovation?
      - v. What was required to start using the innovation (infrastructure, equipment, additional staff, etc.)? How did you access these (purchase from own funds, given by NGO, a gift from a relative/friend, etc.)?
      - vi. Did you take out a loan to start using the innovation? If yes – amount of loan, repayment period, interest rate, and from whom?
      - vii. Frequency/depth of use of innovation and change since the start of use?
      - viii. If the innovation is associated with a product or service that is sold:
        1. Is the demand consistent year-round or seasonal (if seasonal, what are the high /low seasons)?
        2. How many units are sold per day/week/month (as appropriate), considering high and low seasons separately?
        3. What is the sale or service provision price?
        4. Who are the main clients – describe, are they small, medium, or large-scale farmers? young women, young men, women, or men; more of any particular socio-economic group; what geographic area are they located in?
        5. Any agreement or contractual arrangements on the sale of products or services
      - ix. Do you require inputs (besides start-up infrastructure/equipment) to use this innovation? If yes:
        1. What type of inputs?
        2. What is the cost of inputs per unit?
        3. Where do you source these inputs from?
        4. Any agreement or contractual arrangements on acquiring inputs?
        5. Any issues with sourcing the inputs?
      - x. Do you provide training for your clients on the use of the innovation? If yes, describe. Who mainly attends the training – young women, young men, women, or men? small, medium, or large-scale farmers?

- 
- xii. Who provides labour for use of the innovation within your business/enterprise? (if not self, probe whether young women, young men, women, men)
  - xiii. How has the use of the innovation changed your business (if needed, probe on client numbers and type, profit, labour, ease of accessing inputs or selling products or services, etc.)?
  - xiv. Would you recommend the use of this innovation to other service providers similar to you? Why or why not?
  - xv. Are there other service providers similar to you in the geographic area that you serve? If yes, how many? Of these, how many are also using this innovation?
- c. Has heard of innovation but has not used it:
- i. From where did you hear of the innovation?
  - ii. Are you interested in using the innovation? Why or why not?
  - iii. If interested in using the innovation, what is preventing you from using it?
  - iv. If capital is a constraint to using the innovation - would you be interested in taking out a loan to use the innovation? Why or why not?
  - v. How do you think the use of the innovation would change your business (if needed, probe on client numbers and type, profit, labour, ease of accessing inputs or selling products or services, etc.)?
  - vi. Are there other service providers similar to you in the geographic area that you serve? If yes, how many? Of these, how many are using this innovation?
- d. Has heard of innovation, has used it previously, but stopped using it (dis-adopter)
- i. From where did you hear of the innovation?
  - ii. What years did you start and stop using the innovation?
  - iii. Why did you stop using the innovation? Expand on reasons (e.g., not just 'it was not making money')
  - iv. Did you receive any training on the innovation – if yes, for how long, and from whom?
  - v. What was required to start using the innovation (infrastructure, equipment, additional staff, etc.)? How did you access these (purchase from own funds, given by NGO, a gift from a relative/friend, etc.)?
  - vi. Did you take out a loan to start using the innovation? If yes – amount of loan, repayment period, interest rate, and from whom?
  - vii. Over the period of using the innovation, how frequently were you using it?
  - viii. If the innovation was associated with a product or service that was sold:
    - 1. Was the demand consistent year-round or seasonal (if seasonal, what were the high/low seasons)?
    - 2. How many units were sold per day/week /month (as appropriate), considering high and low seasons separately?
    - 3. What was the sale or service provision price?
    - 4. Who were the main clients – describe, are they young women, young men, women, or men; more of any particular socio-economic group; what geographic area are they located in?

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5. Did you have any agreement or contractual arrangements on the sale of products or services
- ix. Did you require inputs (besides start-up infrastructure/equipment) to use this innovation? If yes:
    1. What were the type of inputs?
    2. What was the cost of inputs per unit sold?
    3. Where did you source these inputs from?
    4. Did you have an agreement or contractual arrangements on acquiring inputs?
    5. Were there any issues with sourcing the inputs?
  - x. Who provided labour within your enterprise/business for use of the innovation? (if not self, probe whether young women, young men, women, men)
  - xi. Did the use of the innovation (over the time you were using it) have any impact on your business (if needed, probe on client numbers and type, profit, labour, ease of accessing inputs or selling products or services, etc.)?
  - xii. Are there other service providers similar to you in the geographic area that you serve? If yes, how many? Of these, how many are also using this innovation?
  - xiii. Are there any conditions under which you would start using the innovation again?
- e. Has not heard of the innovation;
    - i. Describe the innovation to the person being interviewed.
    - ii. Would you be interested in using the innovation? Why or why not? (if not interested, probe in-depth on why not interested and go to question vi)
    - iii. What would you need to start using it? Are you able to access these?
    - iv. How do you think the use of the innovation could change your business? (if needed, probe on client numbers and type, profit, labour, ease of accessing inputs or selling products or services, etc.)?
    - v. Who do you imagine would provide the labour for the use of the innovation? (if not self, probe whether young women, young men, women, men)
    - vi. Are there other service providers similar to you in the geographic area that you serve? If yes, how many?

## Annex 3. Consent form for SAPLING baseline – innovation use by service providers (key informant interviews).

All information **in red** will be customized for specific countries and livestock value chains. The forms will be translated into the appropriate local language(s)

### **SAPLING baseline - innovation use by service providers, key informant interviews**

The **lead CGIAR centre(s)** in collaboration with **local partner(s)** is undertaking a project termed **local project name**. This project will work with those involved in the **species** sector to increase **species** productivity, increase the income of women and men involved in the **species** sector, and ensure the **species** sector is sustainable. Within the country, the project will be operating in the sites of **...list sites...**

Do your involvement in the **species** sector as a **type of service provider**, we would like to interview you. During the interview, we will ask you questions about your operations as a **type of service provider** for the **species** sector. In particular, we are interested to know what technologies or innovations you are currently using. The interview is expected to take about 30 minutes. The discussion will be recorded (audio only) to help us recall what was said to aid our analysis.

Any information you provide will remain strictly confidential. Results of the overall assessment will be reported and made available to everyone, but you will not be named or identified in any way. You are also free to stop the interview at any time if you do not wish to continue and can withdraw your participation from this project even after the interview if you wish. Participating or not in this survey will not affect your relationship with the **CGIAR centre and partners**, now or in the future.

You will not be paid for the interview but will be reimbursed for your transport cost to attend and a refreshment.

Please feel free to contact the project lead, **...name...**, at any time, on the phone number of **...phone number...** should you require additional information on this project or have concerns following the interview.

Do you have any questions about this? Please let me know if you give consent to your participation.

### **Consent**

I have understood the purpose of this study and how I am expected to be involved. I voluntarily accept to participate in this study and confirm my acceptance by signing my name below.

Participant's name.....

Signature .....

Date .....

Name of the person administering consent .....

Contacts

Name of main researcher: **....name....**

Institution: **...institution....**

Telephone: **....number....**

Email address: **....email....**



## Annex 4. SAPLING baseline – VC performance and inclusiveness (focus group discussions).

### Overview

- This tool is in two parts:
  - Part 1 is aimed to rapidly gain information on value chain performance and inclusiveness, as required for monitoring of outcomes given in the SAPLING results framework (particularly outcome WP4-3) - this is mandatory for all value chains. It collects data on the mandatory indicators in the 'Protocol to guide the testing and evaluation of innovations for improved value chain performance within the CGIAR Research Program on Livestock (<https://hdl.handle.net/10568/103783>)'
  - Part 2 is a further exploration of the value chain, including power relations, constraints and opportunities, and identification of best-bet interventions - this is optional. It has components drawn from the 'Livestock and Fish value chain assessment toolkit, version 2 (<https://hdl.handle.net/10568/105608>)'
- It is implemented as a focus group discussion. The time required is half to a full day, depending on whether the optional activities are included
- Focus group discussions will be performed in at least 2 sites per value chain, but preferably all sites. Depending on the variation among VC actors within a site, it might be necessary to conduct several group discussions per site (up to 3). If these can be conducted simultaneously, the results will be compared and discussed during a plenary session, possibly reaching a consensus. Each group should comprise about 10-12 persons.
- The participants should represent the range of actor types across the value chain, which can be identified from snowballing and expert opinion, and should have substantial knowledge of the value chain. Examples of types of actors include input service providers on genetics, feed, and health; traders/aggregators or other market actors; cooperative representatives; producers and/or farmer's organization representatives; processors (including slaughterhouse representatives); retailers. Other actor types that may also be considered include, for example, extension officer, regulators, inspectors, relevant NGOs, decision makers (e.g., from the government), and researchers from Universities and National Agricultural Research Institutes. The actors included in the group discussions should include a mix of persons of different genders, ages, and other relevant socio-economic groups for inclusiveness.
- The team supporting the focus group discussion should include at least one overall facilitator, one facilitator for each group (one of whom can overlap with the overall facilitator), and one note-taker for each group.
- Materials required include large space (wall or white-board) to conduct the value chain mapping exercise, different colour cards, sticky notes, pre-cut arrows that can be written on; means of attaching cards and arrows to the board (e.g. scotch-tape), white-board markers for writing on cards, flip-chart for the keeping of explanatory notes, camera for photographing the value-chain map, consent forms, participant register, this tools, and the documentation template.
- Ensure consent for each person to participate in the focus group discussion is obtained first.

### Focus group discussion overview

Date	_____(day) _____(month) _____(year)
Location	
Names of those implementing the focus group discussion	Lead facilitator: Others:
Time start	
Time finish	
Participant numbers	Number total: Number of females 35 years or less: Number of males 35 years or less: Number of females 35 years or more: Number of males 35 years or more
Any comments on the process	

### Participant register (add rows as needed)

Name	Phone number	Female or male	Age category = 1 = 35 years or less; 2 = more than 35 years	Actor type	Institute represented (if any)

### PART 1 - Mandatory

#### 1. Value chain definition and boundaries

- a. Clearly define the value chain that you will be mapping in this exercise, including any sub-value chains (such as input provision on health, feed, and genetics), that will be part of the mapping activity. Record.
- b. Discuss and agree on the focal geographic area (site) that will be under discussion as part of the value chain exercise, which in most cases will be the same as the project site where the focus group discussion is being held (we will discuss actors both internal and external to this site). Record.

#### 2. Basic map of the value-chain – nodes, number, and types of actors

- a. Have pre-written cards indicating the various value chain nodes according to function (e.g. input service provider on genetics/health/feed/information, producers, traders, regulators, etc.) Ask the participants to position the cards according to the flow of products through the value chain. Additional cards can be written as needed.
- b. For each node, write the different types of actors onto cards (one card per actor). Place these cards below the node cards.

- c. For each actor type, obtain an estimate of the number of actors based within the site, and those based outside of the site that influence within the site (e.g. a feed manufacturer based elsewhere but who sells their product within the site). Record names of key actors where relevant.

### 3. **Inclusion within the value chain**

- a. For each actor type, also estimate the proportion of women, men, young women, and young men (young is defined as 35 years or less)
- b. Discuss if there are other relevant social differentiators – if so, estimate the proportions of the relevant groups of people for each actor-type

### 4. **Product flows and volumes transacted**

- a. Discuss the different types of products that flow along the value chain, both inputs (feeds, health, genetics, information/extension, etc.), and outputs (animals, milk, etc.). Of these, identify those that are the most important, including any others that are targets of value chain interventions, or that could be unintentionally affected by value chain interventions.
- b. For each of the selected products:
  - i. Represent the flow of the product on the value chain via the use of labeled arrows
  - ii. Indicate the volumes transacted between each of the value chain nodes (i.e., for each arrow) over a suitable time period (e.g., monthly, annually)- if seasonal, give for both the low and high season and also note when the low and high seasons occur and their duration
  - iii. Determine if there is a grading system, particularly for output products. If a grading system exists, capture the volume transacted for each grade.
  - iv. Determine if there is a policy, a current project, or an investment that either supports or constrains some products.

### 5. **Price of value chain commodities**

- a. For each of the selected products, as above:
  - i. Record the price at each node along the value chain. For example, for an input commodity (vaccines, feeds, breeding inputs, extension) you would record from the input supplier to the producer; for an output commodity (milk, animals) you would record the price along the chain from producers to consumers. If the pricing is seasonal, give for both the low and high seasons and also note when the low and high seasons occur and their duration.
- b. If a grading system exists, capture the price for each grade.

### 6. **Business linkages – numbers and types**

- a. For the product flows represented above, determine if there are any contractual arrangements (either formal or informal). Record details of these.
- b. Further discuss whether any inputs are provided on credit, whether there are any price guarantee mechanisms, or whether collective action is used. Record details of these.
- c. Probe for any other type of business linkages, and record details if these exist

## PART 2 - Optional

### 7. **Optional – changes in the value chain over the last 5 years**

- a. What have been the main changes in the value chain over the last 5 years concerning value chain nodes and actor type, number, and composition (considering women, men, young women, young men, and other socio-economic groups)? What triggered the change? any winners or losers?
- b. Compared to 5 years ago, what are the major changes in product flows and volumes? What triggered the change? any winners or losers?
- c. Compared to 5 years ago, what are the major changes in prices? What triggered the change? any winners or losers?
- d. Compared to 5 years ago, what are the major changes in business linkages? What triggered the change? any winners or losers?
- e. Any other notable changes in the value chain compared to 5 years ago?

**8. Optional – power within the value chain**

- a. Who are the most powerful actors in the value chain – are these women, men, young women, young men, from other specific socio-economic groups? What do these actors do in the value chain to make them powerful?
- b. Who are the least powerful actors in the value chain – are these women, men, young women, young men, from other specific socio-economic groups? What causes these actors to be the least powerful?

**9. Optional – constraints within the value chains**

- a. What are the key constraints in the value chain?
- b. What is being done to address the constraint, and by whom (and are these women, men, young women, young men, from other specific socio-economic groups?)
- c. What else could be done to address these constraints, and who should do this (and are these women, men, young women, young men, from other specific socio-economic groups?)

**10. Optional – opportunities within the value chain**

- a. What are the key opportunities in the value chain?
- b. What is being done to capitalize on this opportunity, and by whom (and are these women, men, young women, young men, from other specific socio-economic groups?)
- c. What else could be done to capitalize on this opportunity, and who should be doing this (and are these women, men, young women, young men, from other specific socio-economic groups?)

**11. Optional – identification of best-bet intervention**

- a. From the above discussion, short-list the top five interventions that could positively impact the entire value chain, or positively on a large number of value chain actors – these are our best bets. Note - The best bet is a technology, process, institutional or social innovation that has been chosen through a rigorous, participatory, and transparent research-based selection process because of its potential for making a positive contribution to one or more development outcomes, for example, those associated with the Sustainable Development Goals, with a possible negative impact on other outcomes is clearly documented. It can be packaged as a discrete innovation or as part of an integrated bundle of related innovations.

- 
- b. Discuss criteria for scoring the best bets, using the below 5 domains as a starting point. Add or subtract criteria to develop a final set that suits the local context (keep to around 4 to 6 key criteria)
- Economic sustainability: In the absence of external funding, there must be a reasonable expectation that the best bet will not immediately collapse. Initially, the best bet need not be financially sustainable, although over time there must be sufficient evidence to suggest that it will be. The best bet must be, at least in the medium term, economically profitable for the actor using it.
  - Gender and social equity: Best bets must show the potential to contribute to enhancing gender and social equity. Interventions that show more potential to enhance gender and social equity must be given priority over those that show an increase in or reproduction of existing inequity patterns.
  - Environmental sustainability: This is about a wide spectrum of potential environmental impacts such as water use and pollution, soil health, biodiversity, and greenhouse gas emissions. It may be regarded as satisfied if the impact is regarded as low, neutral, or positive/beneficial.
  - Social sustainability: Best bets must be socially acceptable within the broader national context. Best bets that are socially accepted only in exceptional circumstances or after a substantive public education campaign are unlikely to succeed on a large scale. However, it should be noted that in some cases the best bet challenges existing norms and attitudes that perpetuate inequality. This criterion, therefore, is not always valid.
  - Political acceptability: The best bet must fit within the broader political norms of the national context. If the best bet will only work in an exceptional political context, then it cannot be expected to go to scale
- c. Score each best-bet against the agreed domains as follows: 1=major negative impact; 2 = minor negative impact; 3 = neutral; 4 = minor positive impact; 5 = very positive impact. Record any explanations for this scoring.

## Annex 5. Consent form for SAPLING baseline - VC performance and inclusiveness (focus group discussions).

All information in red will be customized for specific countries and livestock value chains. The forms will be translated into the appropriate local language(s)

### SAPLING baseline - innovation use by service providers, key informant interviews

The lead CGIAR centre(s) in collaboration with local partner(s) is undertaking a project termed local project name. This project will work with those involved in the species sector to increase species productivity, increase the income of women and men involved in the species sector, and ensure the species sector is sustainable. Within the country, the project will be operating in the sites of ...list sites...

Do your involvement in the species sector, we would like you to be part of a discussion group on the value chain. As part of a group, you will contribute to constructing a value-chain map. The session is expected to take about 3 to 4 hours. Notes of what was discussed during the session will be recorded by project staff, to help us document the final value chain.

Any information you provide will remain strictly confidential. Results of the overall assessment will be reported and made available to everyone, but you will not be named or identified in any way. You are also free to stop the interview at any time if you do not wish to continue and can withdraw your participation from this project even after the interview if you wish. Participating or not in this survey will not affect your relationship with the CGIAR centre and partners, now or in the future.

You will not be paid for the interview but will be reimbursed for your transport cost to attend and a refreshment.

Please feel free to contact the project lead, ...name..., at any time, on the phone number of ...phone number... should you require additional information on this project or have concerns following the interview.

Do you have any questions about this? Please let me know if you give consent to your participation.

### **Consent**

I have understood the purpose of this study and how I am expected to be involved. I voluntarily accept to participate in this study and confirm my acceptance by signing my name below.

Participant's name.....

Signature .....

Date .....

Name of the person administering consent .....

Contacts

Name of main researcher: ....name....

Institution: ...institution....

Telephone: ....number....

Email address: ....email....

## Annex 6. SAPLING baseline - VC performance and inclusiveness (key informant interviews).

### SAPLING baseline – VC performance and inclusiveness (key informant interviews)

#### Overview

- This tool is aimed to obtain information on VC performance and inclusiveness, from VC actors that were not obtained in sufficient detail during the focus groups discussion exercise. A decision on what type, and how many VC actors to interview using this tool should be made after the implementation of the focus group discussions. **The tool is generic, and contextualization of questions for specific actors and value chains will be done before tool implementation.**
- It is performed as key informant interviews, with each interview expected to take about 30 minutes. The key informants should be interviewed separately.
- Materials required including the contextualized tool, documentation template or tool (e.g., ODK), and consent form.
- Ensure consent for the interview is obtained first.

#### **KII overview and participant recording sheet**

Information on the interview	
Consent form signed (yes, no) – only proceed if yes	
Date	_____(day) _____(month) _____(year)
Interviewer(s)	
Time start	
Time finish	
Location of interview (district/village or equivalent)	
Any comments on the interview?	
Information on the respondent	
Respondent name	
Respondent's contact phone number	
Name of enterprise/business	
Location of enterprise/business	
Relation of respondent to enterprise/business (e.g., owner, permanent staff, etc.)	
Respondent gender (male, female, other – specify)	
Respondent age or classification (youth as 35 years or less, or non-youth as 36 years or more)	
Respondent's highest education level	

## 1. **Overview of enterprise/business**

- a. Type of enterprise / business – value chain node (e.g., input retailer), common type (e.g., agrovet), legal type (e.g., co-op)
- b. What year did you start operating the enterprise/business?
- c. Do you employ anyone in your business – if yes what are their roles, are they permanent or part-time, are they young women, young men, women, or men? (Note young people or youth is defined as 35 years of age or less).
- d. What is your annual \$ turnover (i.e., total \$ of all products and services sold, where \$ is the local currency)?

## 2. **Products and services**

- a. Which major products (or product categories) are being handled (traded/processed), or services provided? Here ensure any that are linked to SAPLING innovations are captured.
- b. What are the volumes of the major products/services provided? Is there any seasonal fluctuation – if yes, capture for both high and low seasons.
- c. What are the sales prices of the major products, or service fees? Any seasonal fluctuation – if yes, capture for both the high and low seasons.
- d. What are the purchase prices of the major products (or the purchase price of components that comprise the major product), or input costs for the services?
- e. Have any products or services been introduced in the last 12 months? If yes describe.
- f. Have any products or services been dropped in the last 12 months? If yes describe.

## 3. **Suppliers**

- a. For the major products, or product categories, who are your main suppliers? How many of these? Are these young women, young men, women, men?
- b. Do you have any agreements with these suppliers? If yes, describe (including product volumes supplied under these agreements, in %). Do you have registered suppliers (members)? How many? Out of these, how many are currently supplying?
- c. Do you use credit? If yes, what proportion of providers provide credit, and what are the repayment terms (grace period, repayment period, interest)

## 4. **Customers**

- a. For the major products, product categories, or services, who are your main customers? How many of these? Are these young women, young men, women, men? And what geographic area are they located in?
- b. Do you have any agreements with these customers? If yes, describe (including product volumes supplied under these agreements (in %).
- c. Do you have registered customers (members)? How many? Out of these, how many are currently purchasing from you?



- d. Do you offer credit? If yes, what proportion of customers use credit, and what are the repayment terms (grace period, repayment period, interest)

5. **Communication**

- a. Have you received information about your products or services? If yes, for which product(s), what type of information, from whom, and through which communication methods/channels?
- b. Do you provide information about your products or services? If yes, for which product(s), what type of information, from whom, and through which communication methods/channels?

6. **Collaboration**

- a. Are you a member of a group, association, or cooperative? If so which one, and how does this assist you?
- b. Do you collaborate with, or receive support from, the public sector/government initiatives? If yes, describe.
- c. Do you collaborate with, or receive support from, other initiatives (such as through NGOs, and other projects)? If yes, describe.

7. **Business records and data management**

- a. Do you keep a register of suppliers? If yes, what technology is used to keep this?
- b. Do you keep a register of customers? If yes, what type and technology are used to keep this?
- c. Any other data management system or digital tools (incl apps) used (e.g., tracking of purchases, payment, credit, information exchange)? If yes, what technology was used? How do you use the outputs (reports) from this in your decision-making?

8. **Future**

- a. What is the aim for your business for the next 1 year? The next 5 years?
- b. Do you have any investments planned for the next year? If yes, into what, and which amount?
- c. What do you consider your biggest risk?
- d. What do you consider your biggest opportunity?

## Annex 7. Consent form for SAPLING baseline - VC performance and inclusiveness (key informant interviews).

All information in red will be customized for specific countries and livestock value chains. The forms will be translated into the appropriate local language(s)

### SAPLING baseline - VC actors' performance and inclusiveness, key informant interviews

The **lead CGIAR centre(s)** in collaboration with **local partner(s)** is undertaking a project termed **local project name**. This project will work with those involved in the **species** sector to increase **species** productivity, increase the income of women and men involved in the **species** sector, and ensure the **species** sector is sustainable. Within the country, the project will be operating in the sites of **...list sites...**

Do your involvement in the **species** sector as a **type of actor**, we would like to interview you. During the interview, we will ask you questions about your operations as a **type of actor** for the **species** sector. In particular, we are interested to know information about your business, including the costs that you pay for inputs and the revenue that you receive for the sale of goods or services. The interview is expected to take about 30 minutes. The discussion will be recorded (audio only) to help us recall what was said to aid our analysis.

Any information you provide will remain strictly confidential. Results of the overall assessment will be reported and made available to everyone, but you will not be named or identified in any way. You are also free to stop the interview at any time if you do not wish to continue and can withdraw your participation from this project even after the interview if you wish. Participating or not in this survey will not affect your relationship with the **CGIAR centre and partners**, now or in the future.

You will not be paid for the interview but will be reimbursed for your transport cost to attend and a refreshment.

Please feel free to contact the project lead, **...name...**, at any time, on the phone number of **...phone number...** should you require additional information on this project or have concerns following the interview.

Do you have any questions about this? Please let me know if you give consent to your participation.

### **Consent**

I have understood the purpose of this study and how I am expected to be involved. I voluntarily accept to participate in this study and confirm my acceptance by signing my name below.

Participant's name.....

Signature .....

Date .....

Name of the person administering consent .....

Contacts

Name of main researcher: **....name....**

Institution: **...institution....**

Telephone: **....number....**

Email address: **....email....**

## Annex 8. SAPLING baseline – innovation use by service providers plus VC performance and inclusiveness (key informant interviews).

### Overview

- This tool is a combined, and further refined, tool based on that in Annex 2 and 6. It was developed following a pilot of the individual tools where it was noted that (a) if it was the same key informant, the general information (in each of the individual tools) would be asked twice, and (b) increased use of coded answers would facilitate easier analysis, including across-value-chain comparisons. This tool version, with some contextualization, is that which is being used by the SAPLING value-chain teams, with data entered into an ODK tool.
- The tool is structured in three sections as follows:
  - Generation information – section 1
  - VC performance and inclusion – section 2
  - Innovation use by service providers – section 3
- The tool would be administered as: sections 1 and 2, if the key informant is providing information on VC performance and inclusion; sections 1 and 3, if the key informant is an input service provider and providing information on innovation use; and all of sections 1, 2, and 3 if the key informant is providing information on both of these topics.
- It is performed as key informant interviews, with each interview expected to take about 30 minutes to one hour, depending on the sections administered. The key informants should be interviewed separately.
- Section 2: Is aimed to obtain information on VC performance and inclusiveness, from VC actors that were not obtained in sufficient detail during the focus groups discussion exercise. A decision on what type, and how many VC actors to interview using this tool should be made after the implementation of the focus group discussions.
- Section 3: Key informant interviews are to be conducted with up to 15 service providers for at least 2 sites per value-chain. The exact type of service providers targeted will be dependent on the specific SAPLING innovations being promoted. For a service provider type where the number within a site is large (e.g., agrovets) 15 villages will be randomly selected and service providers within those villages located (e.g., by a discussion with extension officers, farmer co-operative representatives, or other knowledgeable persons). This will ensure an element of randomness. From here, a specific service provider (or providers) can then be selected for a potential interview, ensuring that inclusiveness is considered (i.e., ensuring those interviewed represent, as far as possible, a mix of different genders, ages, and other socio-economic groups). For service providers of a particular type that are one or a few in number (e.g., national breeding centers), only these need to be interviewed.
- Whilst the tool has been developed to cover a range of key informants, further contextualisation is likely required.
- Materials required including the contextualized tool, the contextualised ODK, and consent form.
- Ensure consent for the interview is obtained first.

### **Tool overview:**

#### **SECTION 1: GENERAL**

#### **SECTION 2: VC PERFORMANCE AND INCLUSION**

#### **SECTION 3: INNOVATION USE**

POSSIBLE SECTION COMBINATIONS:

- a. Sections 1 and 2 (e.g. if just following-up with an FGD participant)
- b. Sections 1 and 3 (e.g. if only interviewing about SAPLING innovation use)
- c. Sections 1,2 and 3

**Blue highlight** – contextualizable codes; if not highlighted it is recommended not to change unless necessary

**SECTION I: Introduction – COMPLETED FOR ALL KII**

Initial Questions Completed by the enumerator:

Country	Ethiopia, Kenya, Mali, Nepal, Tanzania, Uganda, Vietnam
Local Currency	ETB, KES, XOF, NPR, TZS, UGX, VND
Value-Chain	Dairy Cattle, Beef Cattle, Dairy Buffalo, Small Ruminants, Pig, Chicken

**Section I.1 – Setting the scene**

Interviewer's name	
Which Interview Sections will you complete (select all that apply)	Value-chain Performance (II); Innovation Use (III)
Date	
Time start	
Time end	This is completed at the end of the interview
Location of interview (District or equivalent name)	
Location of interview (Village or equivalent name)	
Respondent identification number	Customizable / optional (not in generic ODK)
Consent form signed (Yes / No) – proceed if yes	Yes / No
Any comments on the interview?	This is completed at the end of the interview

**Section I.2 – Information on the respondent**

Respondent name	
Respondent's contact phone number	
Name of enterprise/business	
Location of enterprise/business	
Position of respondent within the enterprise/business (e.g., owner, permanent staff, etc.)	Investor (no direct involvement in running business); Owner (directly involved in running business); Executive (only strategic decisions, supervision of managers); Manager (daily decisions and supervision of workers); Workers; Other specify
Respondent gender (male, female, prefer not to say)	
Respondent age (in years)	Customisable – can put this as categories but use 35 years as threshold for youth (e.g., 35 years or less; 36 years or more)
Has respondent received any formal education (attended school)?	Yes / No
If yes, what is the respondent's highest education level	Pre-primary, primary incomplete, primary complete, secondary (year 1 – 4) incomplete, secondary (year 1 – 4) complete, college/tertiary incomplete, college/tertiary complete, university incomplete, university complete, adult education incomplete, adult education complete, don't know.
If the highest education level was not completed, how many years did respondent complete?	

## Section 1.3 – Overview of enterprise/business

### 1.3.1 Which value chain functions does your enterprise conduct (actor type)? (multiple select)

- Feed supplier (incl. forage seed)
- Health supplier (inputs and services)
- Genetics supplier (AI, animals and services)
- Livestock buyer (for trade and processing)
- Meat buyer (for trade and processing)
- Milk buyer (for trade and processing)
- Egg buyer (for trade and processing)

### 1.3.2 Type of enterprise / business [ ] (the options below depend on the VC and the actor type)

Type of enterprise / business	Relevant VC*	Relevant function
Feed shop	Dairy, beef, sr, pig, poultry	Feed
Fodder seed supplier (incl. producer)	Dairy, beef, sr	Feed
Agrovet	Dairy, beef, sr, pig, poultry	Feed
Vet practice, private	Dairy, beef, sr, pig, poultry	Health
Vet clinic, government	Dairy, beef, sr, pig, poultry	Health
AI provider, private	Dairy, beef, sr, pig	Genetics
Ai provider, government	Dairy, beef, sr, pig	Genetics
Trader in improved animals	Dairy, beef, sr, pig, poultry	Genetics
Dairy cooperative	Dairy	Milk
Private dairy company	Dairy	Milk
Private milk trader	Dairy	Milk
Trader buying livestock	Dairy, beef, sr, pig, poultry	Livestock
Processor buying livestock (incl butcher, restaurants)	Dairy, beef, sr, pig, poultry	Livestock
Processor buying meat (incl. butcher, retailer)	Dairy, beef, sr, pig, poultry	Meat
Trader buying eggs	Poultry	Egg
Processor buying eggs (incl restaurants)	Poultry	Egg
Other	Dairy, beef, sr, pig, poultry	Other

\* sr = small ruminant

### 1.3.3 What is the (legal) status of the business?

- Sole proprietorship (one man/woman business)
- Partnership
- Private company
- Cooperative/association
- Government
- Other (specify)

1.3.4 What year did you start operating the enterprise/business? [\_\_\_\_\_]

1.3.5 Do any family members of the owner work in the business? [\_\_\_\_\_] Yes/No

If yes, how many family members of the owner work in the business? [\_\_\_\_\_]

1.3.6 Are there any employees (excluding family members) in your business? [\_\_\_\_\_] Yes / No

If yes, provide details on total employed (not including family labour), are they young women, young men, women, or men? (Note young people or youth is defined as 35 years of age or less)

Total Employed and Total permanent (> 1 year continuous)	No. of young men (35 years and less)	No. of young women (35 years and less)	No. of men (more than 35 years)	No. of women (more than 35 years)

1.3.7 What is your total annual local currency turnover (i.e., total local currency of all products and services sold) [\_\_\_\_\_]

1.3.8 Out of the total annual turnover, how much of this (percentage, %) is linked to the 'value-chain'? [\_\_\_\_\_]%

Hint: Total turnover: [\_\_\_\_\_] local currency (generated from above)

1.3.9 Out of the total annual turnover, how much of this do you use to pay your employees, in percent? [\_\_\_\_\_]%

Hint: Total turnover: [\_\_\_\_\_] local currency (generated from above)

## Section 1.4 – Products and services

1.4.1 Within the business' value chain activities, what are the **\*\*output\*\*** products (or product categories) or services being sold?

*Here ensure any that are linked to SAPLING innovations are captured (where Section 3 is also being included).*

Products & Services	List the products and services you provide in your business for this value-chain
	VC provide list, include 'other' (check generic ODK for current lists before adding more – products_services_list and products_services_list2 on choices sheet)

Note the lists of products and services indicated as being used above are used again in both Section 2 and Section 3.

1.4.2 Select the 3 products/services most important to your business.

1.4.3. Collecting data on the revenue (income) and expenses of the 3 major products/services provided

Indicate product or service (from B.1.1 top 3)	Total revenue (last 12 months), local currency	Seasonal Fluctuation? Yes / No	Average revenue per month during high season	Average revenue per month during low season	OR Average revenue per month if no to seasonal fluctuation	Average total monthly expenses, local currency

1.4.4 Have any products or services been introduced in the last 12 months? [\_\_\_\_\_] Yes / No

If yes describe what and why, \_\_\_\_\_

1.4.5 Have any products or services been dropped (for any reason) in the last 12 months? [\_\_\_\_] Yes / No

If yes describe what and why, \_\_\_\_\_

## SECTION 2: VC PERFORMANCE AND INCLUSION

### 2.1. Customers

2.1.1 For your products, product categories, or services, within your value chain activities, what are your main customer types? How many of these? Are these young women, young men, women, men?

Customer type (multiple select) Consumer households, Retail (shops, butchers, restaurants), traders distributors or wholesalers, Small scale farmers, large scale farmers, other specify	How many customers in total?	Approximate number of these customers in each age group? young men (<35 years), young women (<35 years), women (above 35 years), men (above 35 years)	Geographic location	Other special characteristics (or none)

2.1.2 Do you have a register / list of these customers? [ \_\_\_\_ ] Yes / No

2.1.3 If yes, what percentage of these customers are registered? [\_\_\_\_]%

2.1.4 If yes, what percentage of these customers are currently purchasing from you? [ \_\_\_\_]%

2.1.5 What technology is used to keep the register of customers? [\_\_\_\_] (paper, computer text document, computer excel, database on local computer, database online, mobile app, other specify)

2.1.6 Do you have any agreements with these customers? [\_\_\_\_] Yes (formal / documented), Yes (informal), No

2.1.7 If yes (formal or informal) please describe the type of agreement and what aspects it covers: \_\_\_\_\_

2.1.8 If yes, what percentage (%) of customers under these agreements? [\_\_\_\_]%

2.1.9 Do you offer credit? [ \_\_\_\_] Yes / No

2.1.10 If yes, what percentage (%) of customers do you provide with credit? [ \_\_\_\_ ] %

2.1.11 If yes, what are the repayment terms (repayment period, interest)? *(if no interest enter 0%; include grace period in repayment period)*

Repayment terms (repayment period, interest)	
Interest rate (%)?	How long? (in months)

### 2.2. Suppliers

2.2.1 For your products, product categories, or services, within your value chain activities, what are your main supplier types? How many of these? Are these young women, young men, women, men?

Suppliers (multiple select) Wholesalers, Retailers Government, Cooperative, Farmer, Private company, Other specify	How many suppliers in total?	Approximate number of these suppliers in each age group? young men (<35 years), young women (<35 years), women (above 35 years), men (above 35 years)

2.2.2 Do you maintain a register / list of your suppliers? [\_\_\_\_] Yes / No

2.2.3 If yes, what percentage of these do you register? [\_\_\_\_] %

2.2.4 What percentage of these suppliers are you currently purchasing from? [\_\_\_\_]%

2.2.5 What technology is used to keep the register of suppliers? [\_\_\_\_] (paper, computer text document, computer excel, database on local computer, database online, mobile app, other specify)

2.2.6 Do you have any agreements with these suppliers? [\_\_\_\_] Yes (formal / documented), Yes (informal), No

2.2.7 If yes (formal or informal) please describe the type of agreement and what aspects it covers: \_\_\_\_\_  
\_\_\_\_\_

2.2.8 If yes, what is the percentage (%) of the suppliers provided above under these agreements? [\_\_]%

2.2.9 Do you use credit? [\_\_\_\_] Yes / No

2.2.10 If yes, from what percentage of suppliers? [\_\_\_\_] %

2.2.11 If yes C.4, What are the repayment terms (repayment period, interest rate) (*if no interest enter 0%; include grace period in repayment period*)

Repayment terms (repayment period, interest)	
Interest rate (%)?	How long? (in months)

2.3. Communication

2.3.1 Have you received information about your products or services? [\_\_\_\_] Yes / No

2.3.2 If yes, what type of information, from whom, and through which communication methods/channels?

Product list from B.1 (multiple select)	Type of information (Text field)	To whom (Text field)	Which communication methods/channels (multiple select) WhatsApp/telegram/signal, mobile phone / SMS, radio/ Tv, social media (Facebook, Twitter, TikTok), manuals, flyers/ leaflets, workshops, other specify

2.3.3 Do you provide information about your products or services? [\_\_\_\_] Yes / No

2.3.4 If yes, what type of information, to whom, and through which communication methods/channels?

Product list from B.1 (multiple select)	Type of information (Text field)	To whom (Text field)	Which communication methods/channels (multiple select) WhatsApp/telegram/signal, mobile phone / SMS, radio/ Tv, social media (Facebook, Twitter, TikTok), manuals, flyers/ leaflets, workshops, other specify

2.4. Collaboration

2.4.1 Are you a member of a group, association, or cooperative? [\_\_\_\_] Yes / No

2.4.2 If yes, which one(s), and how does this / do these assist you?



Name of association(s)    Benefits

Name of association(s)	Benefits

2.4.3 Do you collaborate with, or receive support from, the public sector/government initiatives?

[\_\_\_\_] Yes / No

2.4.4 If yes, which public sector/government.

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2.4.5 If yes, how do these public sector/government assist you?

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2.4.6 Do you collaborate with, or receive support from, other initiatives (such as through NGOs, and other projects)?

[\_\_\_\_] Yes / No

2.4.7 If yes, which NGOs/projects.

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2.4.8 If yes, how do these NGOs/projects assist you?

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## 2.5. Business records and data management

2.5.1 Any management system or digital tools (including apps) used (e.g., tracking of purchases, payment, credit, information exchange) apart from supplier/customer registers? [\_\_\_\_] Yes / No

2.5.2 If yes, what technology was used (multiple select)? [\_\_\_\_]

Options: Text document (computer), Excel tables, Database on local computer, Database, online, Mobile app, Other (specify)

2.5.3 For which area(s) of your business do you use these data management systems (multiple select)? [\_\_\_\_]

Options: Sales, Payments (for products and services), Salaries, Tax, Inventory, Product quality, Marketing, Other (specify)

2.5.4 For which business decisions do you use the outputs (reports) from this data management systems?

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## 2.6. Future

2.6.1 What is the aim for your business for the next 1 year?

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What is the aim for your business in the next 5 years?

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2.6.2 Do you have any investments planned for the next year? [\_\_\_\_] Yes / No

2.6.3 If yes, where do you want to increase investment? e.g., equipment, infrastructure, activities

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Which amount of investment (local currency)? [\_\_\_\_]

2.6.4 What do you consider your biggest risk?

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2.6.5 What do you consider your biggest opportunity?

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## END OF SECTION 2

## SECTION 3: INNOVATION USE

Use of innovation – note here that innovation refers to that which has been pre-defined. Rather than use the term INNOVATION, describe what it is (e.g., herd-health package, etc.)

List of Innovations will be provided – selected from a filter on the Country and Value-chain. Check in the ODK choice list (innovation\_list) that the correct innovations are shown for your value-chain.

Innovation: (Select 1st INNOVATION)

### 3.1. Adoption status

**Have you heard of the INNOVATION? Are you currently using, or have you used it in the last 12 months?**

	Tick the ONE that is applicable
Has heard of innovation and is currently using it or has used it in the last 12 months - go to 1.B)	
Has heard of innovation but has not used it - go to 1.C)	
Has heard of innovation and has used it previously (more than 12 months ago), but stopped using it (dis-adopter) – go to 1.D)	
Has not heard of innovation - go to 1.E)	

3.2. Has heard of innovation and is currently using it (or has used it in the last 12 months)

3.2.1 From where did you hear of the INNOVATION? \_\_\_\_\_

3.2.2. What year did you start using the INNOVATION? [\_\_\_]

3.2.3 Why did you decide to start using the INNOVATION? \_\_\_\_\_

[For innovations with components and the need to ask for adoption of components there will be a further list of components for the respondent to indicate if they adopted yes / no]

3.2.4 Have you received any training on the INNOVATION? [\_\_\_] Yes / No

If yes, for how long (duration of training), and from whom?

Training received from whom	Duration of training? (days)

3.2.6 What was required to start using the INNOVATION (infrastructure, equipment, additional staff, etc.)? How did you access these?

Requirements (multiple select) Infrastructure, Equipment, Additional staff, Capital, Training, Nothing, Other specify	How accessed (multiple select) used own funds, taken loan, received from NGO, received from government, received from friend/relative, Other specify

3.2.7 If took a loan – amount of loan, repayment period, interest rate, and from whom? (if no interest enter 0%; include grace period in repayment period)

Loan amount (in local currency)	Interest rate (%)	Repayment period (months)	Received from whom? (multiple select) Bank, Micro-financing institution, informal lender, savings group, friend/relative, NGO, government, other specify

3.2.8 How often (frequency) do you use the INNOVATION? [\_\_\_]

Options: Daily, Weekly, Twice per month, Monthly, Quarterly, Yearly, Less than once a year

3.2.9 Is there any change in frequency of use of the INNOVATION since the time you started using it? [\_\_\_]

Options: Strong decrease, Weak decrease, Constant, Weak increase, Strong increase

3.2.10 How has the use of the innovation changed your business within the value-chain activities (if needed, probe on client numbers and type, profit, labour, ease of accessing inputs or selling products or services, etc.)?

	Impact Strong decrease, weak decrease, constant, weak increase, strong increase
Revenue	
Expenses	
Profits	
Customers	
Suppliers	
Labour	
Ease of input access	
Ease of product / service sales	
Client type	Text – explain how these have changed

Please add any comments to help explain the scores given above.

\_\_\_\_\_

3.2.11 Is the innovation associated with any of the products or services (list from B1) of this business, linked to this value-chain: [\_\_\_] Yes / No

If yes, select the products or services associated with this value-chain (all products / services indicated in B1 will be shown here)

3.2.12 Who are the main customers for these products and services – describe, are they small, medium, or large-scale farmers? young women, young men, women, or men; more of any particular socio-economic group; what geographic area are they located in?

<b>Customers (multiple select)</b>	<b>How many customers in total?</b>	<b>Approximate number of these customers in each age group?</b>	<b>Geographic location</b>	<b>Other special characteristics (or none)</b>
Consumer households, retail (shops, butchers, restaurants), traders distributors or wholesalers, small scale farmers, large scale farmers, other specify		young men (<35 years), young women (<35 years), women (above 35 years), men (above 35 years)		

3.2.13 To whom does the business provide training on the use of the INNOVATION. [\_\_\_\_] (multiple select)

Options: family, employed staff, customers, suppliers, other (specify), does NOT provide training

Describe the nature of the training provided by the business on the use of innovation.

---

3.2.14 Who provides the labour for use of the INNOVATION within your business / enterprise? [\_\_\_\_] (multiple select)

Options: self, family member, employed staff, other (specify)

3.2.15 Would you recommend the use of this innovation to other actors who are similar to you? [\_\_\_\_] Yes / No

Why or why not? \_\_\_\_\_

3.2.16 Are there other actors similar to you in the geographic area that you serve? [\_\_\_\_] Yes / No

If yes, how many? [\_\_\_\_]

If yes, do you know whether any of these are using the INNOVATION? [\_\_\_\_] Yes / No.

If yes, of these, how many are also using this innovation? [\_\_\_\_]

**END OF 3.2 (CURRENT USERS)**

### **3.3. Has heard of innovation but has not used it:**

3.3.1 From where did you hear of the innovation? \_\_\_\_\_

3.3.2 Are you interested in using the innovation? [\_\_\_] Yes / No

3.3.3 Why or why not? (if not interested, probe in-depth on why not interested and go to question vi)

---

3.3.4 If interested, what would you need to start using it? [\_\_\_\_] (multiple select)

Options: Infrastructure, Equipment, Additional Staff, Capital, Training, Nothing, Other (specify)

Are you able to access these? [ \_\_\_\_ ] Yes / No

3.3.5 If capital is something you would need to start using the innovation - would you be interested in taking out a loan to use the innovation? [\_\_\_\_] Yes / No

Why or why not? \_\_\_\_\_

3.3.6 Are there other actors similar to you in the geographic area that you serve? [\_\_] Yes / No

If yes, how many? [\_\_\_\_\_]

If yes, do you know whether any of these are using the INNOVATION? [\_\_\_\_] Yes / No.

If yes, of these, how many are also using this innovation? [\_\_\_\_]

**END OF 1.C (HEARD BUT NOT USED)**

**3.4. Has heard of innovation, has used it previously (more than 12 months ago), but stopped using it (dis-adopter)**

3.4.1 From where did you hear of the innovation? \_\_\_\_\_

3.4.2 What year did you start using the INNOVATION? [\_\_\_\_]

3.4.3 Why did you decide to start using the INNOVATION? \_\_\_\_\_

3.4.4 What year did you stop using the INNOVATION? [\_\_\_\_]

3.4.5 Why did you stop using the innovation? Expand on reasons (e.g., not just 'it was not making money') \_\_\_\_\_

3.4.6 Under which conditions would you restart using the INNOVATION? \_\_\_\_\_

[For innovations with components and the need to ask for adoption of components there will be a further list of components for the respondent to indicate if they adopted yes / no]

3.4.7 Did you receive any training on the innovation? [\_\_\_\_] Yes / No

If yes, for how long (duration of training), and from whom?

Training received from whom	Duration of training? (days)

3.4.8 What was required to start using the innovation (infrastructure, equipment, additional staff, etc.)? How did you access these?

Requirements (multiple select) Infrastructure, Equipment, Additional staff, Capital, Training, Nothing, Other specify	How accessed (multiple select) used own funds, taken loan, received from NGO, received from gov- ernment, received from friend/relative, Other specify

3.4.9 If took a loan – amount of loan, repayment period, interest rate, and from whom? (if no interest enter 0%; include grace period in repayment period)

Loan amount (in local currency)	Interest rate (%)	Repayment period (months)	Received from whom? Bank, Micro-financing institution, informal lender, savings group, friend/relative, NGO, government, other (specify)

3.4.10 Over the period of using the innovation, how frequently were you using it? [\_\_\_]

Options: Daily, Weekly, Twice per month, Monthly, Quarterly, Yearly, Less than once a year

3.4.11 Did the use of the innovation (over the time you were using it) have any impact on your business within the value-chain activities (if needed, probe on client numbers and type, profit, labour, ease of accessing inputs or selling products or services, etc.)?

	<b>Impact</b> Strong decrease, weak decrease, constant, weak increase, strong increase
Revenue / Income	
Expenses	
Profits	
Client numbers	
Labour	
Ease of input access	
Ease of product / service sales	
Client type	Text – explain how these have changed

Please add any comments to help explain the scores given above.

3.4.12 Was the innovation associated with any of the products or services (list from B1) that was sold: [\_\_\_] Yes / No

If yes, select the products or services associated with this value-chain (all products / services indicated in B1 will be shown here)

3.4.13 Who were the main clients – describe, are they young women, young men, women, or men; more of any particular socio-economic group; what geographic area are they located in?

Customers (multiple select) Consumer households, retail (shops, butchers, restaurants), traders distributors or wholesalers, small scale farmers, large scale farmers, other specify	How many customers in total?	Approximate number of these customers in each age group? young men (<35 years), young women (<35 years), women (above 35 years), men (above 35 years)	Geographic location	Other special characteristics (or none)

3.4.14 To whom did the business provide training on the use of the INNOVATION? [\_\_\_] (multiple select)

Options: family, employed staff, customers, suppliers, other (specify), does NOT provide training

Describe the nature of the training provided by the business on the use of innovation.

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3.4.15 Who provided the labour for use of the INNOVATION within your business / enterprise? [\_\_\_\_] (multiple select)

Options: self, family member, employed staff, other (specify)

Would you recommend the use of this innovation to other actors who are similar to you? [\_\_\_\_] Yes / No

Why or why not? \_\_\_\_\_

3.4.16 Are there other actors similar to you in the geographic area in which you work?

If yes, how many? [ \_\_\_\_\_ ]

If yes, do you know whether any of these are using the INNOVATION? [\_\_\_\_] Yes / No.

If yes, of these, how many are also using this innovation? [ \_\_\_\_\_ ]

END OF 1.D (DIS-ADOPTER)

3.5. Has not heard of the innovation

3.5.1 Describe the innovation to the person being interviewed.

3.5.2 Would you be interested in using the innovation? [\_\_\_\_] Yes / No

3.5.3 Why or why not? (if not interested, probe in-depth on why not interested and go to question vi)

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3.5.4 If interested, what would you need to start using it? [\_\_\_\_] (multiple select)

Options: Infrastructure, Equipment, Additional Staff, Capital, Training, Nothing, Other (specify)

Are you able to access these? [ \_\_\_\_ ] Yes / No

3.5.5 If capital is something you would need to start using the innovation - would you be interested in taking out a loan to use the innovation? [\_\_\_\_] Yes / No

Why or why not? \_\_\_\_\_

3.5.6 Are there other actors similar to you in the geographic area in which you work?

If yes, how many? [ \_\_\_\_\_ ]

END OF 3.5 (NOT HEARD)

I.2 Innovation: Select 2nd, 3rd etc innovation, the question format is the same as the previous innovation

**END OF SECTION III**

## Annex 9. Consent form for SAPLING baseline - innovation use by service providers plus VC performance and inclusiveness (key informant interviews).

All information in red will be customized for specific countries and livestock value chains. The forms will be translated into the appropriate local language(s)

### SAPLING baseline - VC actors' performance and inclusiveness, key informant interviews

The **lead CGIAR centre(s)** in collaboration with **local partner(s)** is undertaking a project termed **local project name**. This project will work with those involved in the **species** sector to increase **species** productivity, increase the income of women and men involved in the **species** sector, and ensure the **species** sector is sustainable. Within the country, the project will be operating in the sites of **...list sites...**

Do your involvement in the **species** sector as a **type of actor**, we would like to interview you. During the interview, we will ask you questions about your operations as a **type of actor** for the **species** sector. **In particular, we are interested to know information about your business, including the costs that you pay for inputs and the revenue that you receive for the sale of goods or services and / or which innovations or technologies that you use.** The interview is expected to take about **30 minutes to one hour**. The discussion will be recorded (audio only) to help us recall what was said to aid our analysis.

Any information you provide will remain strictly confidential. Results of the overall assessment will be reported and made available to everyone, but you will not be named or identified in any way. You are also free to stop the interview at any time if you do not wish to continue and can withdraw your participation from this project even after the interview if you wish. Participating or not in this survey will not affect your relationship with the **CGIAR centre and partners**, now or in the future.

You will not be paid for the interview but will be reimbursed for your transport cost to attend and a refreshment.

Please feel free to contact the project lead, **...name...**, at any time, on the phone number of **...phone number...** should you require additional information on this project or have concerns following the interview.

Do you have any questions about this? Please let me know if you give consent to your participation.

### **Consent**

I have understood the purpose of this study and how I am expected to be involved. I voluntarily accept to participate in this study and confirm my acceptance by signing my name below.

Participant's name.....

Signature .....

Date .....

Name of the person administering consent .....

Contacts

Name of main researcher: **....name....**

Institution: **...institution....**

Telephone: **....number....**

Email address: **....email....**