



# Participatory Baseline Survey Methods of Implementation

Type the name of your organization here.



1

#### WHERE ARE WE?: Participatory Baseline Survey in SHEP's 4 Steps

4 Steps	Activities					
1. Share goal with farmers.	Sensitization Workshop					
	Participatory Baseline Survey					
2. Farmers' awareness is raised.	Baseline Survey as a way to raise farmers' awareness.					
	(optional) Stakeholder Forum Market Survey					
3. Farmers make decisions.	Target Crop Selection Crop Calendar Making					
4. Farmers acquire skills.	In-field trainings					

Follow-up and monitoring (including Participatory Endline Survey)

#### PART 1: CONCEPT

## WHY?: Objectives of Participatory Baseline Survey

- Baseline Survey has dual purposes.
  - 1. For the farmers
    - Understanding their current situations to identify areas for improvement
    - Understanding the importance of record keeping
  - 2. For the implementers
    - Gathering data on the target farmers' situations in order to assess improvements after SHEP activities (Comparison between "before" and "after")

#### WHAT?: Outline of Participatory Baseline Survey

- Ask the farmers to fill out two kinds of survey sheets
  (1) Baseline Survey Part 1- Production, Income and Cost
  (2) Baseline Survey Part 2- Agricultural Techniques
- The farmers themselves fill out the forms (Offer help where necessary)
- Data is collected and analyzed by the implementers
- Feedback is given to the farmers at a later day

### **FORMAT: Baseline Survey Questionnaire Forms**

#### • Baseline Survey Part 1- Production, Income and Cost

1.Crop	2.Area unde	ər the	3. Production	sold at	4.	5.Production	6. Averag	е	7. Average	8.Total	9.Total Cost of	10.Net		
Name	Crop in		market in various unit		Production	sold at market	Price per		Price per kg	Income	Production in	Income		
and	meter x me	ter	(e.g. bags, cra	ates,	sold at	in kg per ha	various		(converted	in local	local currency	(profit)		
Variety	(m <sup>2</sup> ) or in ha	a	bundles, bush	els, etc.)	market		unit		into kg) in	currency	(incl. inputs,	in local		
	$100m^2 = 0.$	.01ha			in kg		(local		(local local current		local currency		transportation,	currency
	1,000m <sup>2</sup> =0	0. <b>1</b> ha			(converted		currency				labor, etc.)			
	10,000m <sup>2</sup>	²=1ha			into kg)		per unit)							
									6./unit	(3. x 6.)				
1	2 a.	2 b.	3		4	(4./2 b.	6		conversion in	or	9	8. – 9.		
									box	(4. x7.)				
1 <sup>st</sup> Crop:	M x M (m <sup>2</sup> )	ha	(unit:	)	kg	kg	(unit:	)						
2 <sup>nd</sup> Crop:	M x M (m <sup>2</sup> )	ha	(unit:	)	kg	kg	(unit:	)						
3 <sup>rd</sup> Crop	$M \times M (m^2)$	ha	(unit:	)	kg	kg	(unit:	)						
4 <sup>th</sup> Crop	M x M (m <sup>2</sup> )	ha	(unit:	)	kg	kg	(unit:	)						

Please indicate unit conversions in the box below. (e.g.) 1 bag of Irish Potato = 110 kg, 1 head of Cabbage = 2 kg

### **FORMAT:** Baseline Survey Questionnaire Forms

#### • Baseline Survey Part 2- Agricultural Techniques

Pre Sta	e to Post Cultivation ages	Items	Horticultural Techniques Advocated for Adoption	Yes	No
		Q 1	Do you undertake a market survey to determine the crop(s) to cultivate each season?		
		Q 2	Do you prepare and use crop calendar(s) based on the market survey results?		
	1 Pre-Cultivation Preparation	Q 3	Do you undertake soil testing at least once in two years for vegetables/annual flowers; or before the planting for fruit trees/perennial flowers?		
1		Q 4	Do you use recommended composting practices by using different organic materials to supply major nutrients: Nitrogen (N), Phosphorus (P), and Potassium (K) in preparing compost/manure?		
		Q 5	Do you use recommended quality planting material(s) with one or more of the following characteristics: disease resistance and tolerance, high yield, early maturity, better tastes, size, and longer shelf life?		
		Q 6	Do you use with one or more following recommended land preparation practices in management of pests & diseases: solarization, timely ploughing, appropriate depth of ploughing, and minimizing movement of soil to check possible spread soil borne pests & diseases?		
2	Land Preparation	Q 7	Do you incorporate crop residue at least two months before planting into the farm during		

#### **FORMAT: Baseline Survey Questionnaire Forms**

- The two forms are just examples. Questions can be modified (deleted, added, changed, etc.) in accordance with local situations.
- When modifying, especially when adding questions, carefully consider farmers' capacity levels (their memory, literacy skills, etc.) and required time. Do not make it too demanding.

#### **HOW**?: Key Implementation Tips

 The survey should be more for farmers' benefit than for implementers' benefit

Intervention to be avoided

#### Extension Staff

"The survey is necessary for us to know the effect of SHEP intervention."

#### **Preferred intervention**

#### Extension Staff

"Keeping a record on what you buy and sell is important for farm management. The baseline survey can help you manage your farming business."

> Farmercentered

#### Farmers "We didn' t know record-keeping was so beneficial to us. Let's practice bookkeeping from today. It's for our benefit."

#### Farmers "OK.... We are giving data for them to help

them do a good job. It's for their benefit."

### **HOW?**: Key Implementation Tips

• The target farmers should be the main actors of the survey, rather than the extension staff.

**Raising Motivation** 

We are not just providing data to the government. We are doing it for improving our business.

Support for Autonomy

• The extension staff help farmers calculate basic figures such as crop yield, cost, profit, etc. which are important for farm management.



#### **Raising Motivation**

We are now able to calculate various figures. We have never done that before. Support for Competence

#### PART 2: PRACTICE

### STEP: Implementation Procedures

1. Prepare a conversion table (local units into kilograms).

Malawi's conversion table with pictures

- 2. Organize a meeting and instruct the farmers how to fill out the two forms.
- 3. Let the farmers fill out the forms by themselves. Let them take the forms home and complete them with their family members if necessary. [Tip!] Ask literate farmers to assist illiterate farmers.



#### **STEP:** Implementation Procedures

- 4. After completing the forms, discuss new findings.
  - ✓ How can record keeping help us (farmers) manage our farming business?
  - ✓ Are we making enough profits as we have hoped?
  - ✓ Do we have sufficient cultivation skills? What are our weaknesses?
- 5. Submit the completed forms to the designated office. (Change this to an appropriate section -e.g. Project Unit, central ministry office, etc. where analysis will be made) [Note] Make sure to correct obvious mistakes and errors before submitting.
- 6. Give feedback to the farmers when analyzed data is sent back to the extension staff.

Name o Name o	of District: of the Farmer G	roup:		Name	of Sub-District:	له		+	of the f	armor	
Name o	of Farmer:			Male/Female:	Tel. No.:	_	ل <u>م</u>	J	UT the la	aimei	
Please i	indicate the info	ormation of 1	norticultural crops	(do not include	other crops such a	s maize and sugarca	ne) in the last crop	ping season.↓	07.10.0	10.37	
Crop Name ad Variety₽	2.Area under th meter x meter (i 10 1,00 10,00	e Crop In+ <sup>3</sup> m <sup>2</sup> ) or in ha+ <sup>3</sup> 00m <sup>2</sup> =0.01ha+ <sup>3</sup> 00m <sup>2</sup> =0.1ha+ <sup>3</sup> 0m <sup>2</sup> =1ha+ <sup>3</sup>	3. Production sold at market in various unite <sup>1</sup> (e.g. bags, crates, bundles, bushels, etc.)+ <sup>3</sup>	4. Production sold at market in kg (converted into kg)+ <sup>3</sup>	5.Production sold at market in kg per ha <sup>40</sup>	6. Average Price per various unit+) (local currency per unit)+)	<ol> <li>Average Price per kg (converted into kg) in local currency<sup>43</sup></li> </ol>	8. Iotal Income in local currency43	9. lotal Cost of Production in local currency <sup>4,1</sup> (incl. inputs, transportation, labor, etc.) <sup>4,3</sup>	10.Net 43 Income (profit) in local currency43	
10	2 a.+?	2 b.¢	3⇔	44⊃	4./2 b.⇔	6.47	6./unit conversion in box⊕	(3. x 6.)or↓ (4. x7.)↓	9¢2	<sup>ي</sup> 99	
'Crop: ↓ omato+'	M x M (M <sup>2</sup> )+ <sup>j</sup> 20X100=+ <sup>j</sup>	0.2ha÷	<b>100+</b> ب	2,000kg+	10,000kg+	<b>\$20</b> +	\$14	\$2,000+	\$700+	\$1,300¢¢	
l j₽	2,000m <sup>2</sup> +		(unit: crate)+			(unit: crate)+ <sup>3</sup>	-			-	Production
- Crop:⊷	M x M (m²)↔	na←	(unit: )~	kg+	ĸg∢	ਦ ਦ (unit: )ਦ	÷	÷.	÷.	ч р	- income 8
<sup>I</sup> Crop₄ <sup>J</sup>	M x M (m <sup>2</sup> )+ <sup>3</sup>	ha₊	ਜ ਜ (unit: )ਦ	kg₊	kg≁	له له: (unit: که	C.	ę	C <sup>4</sup>	م م	cost
Crop↩	M x M (m²)+ <sup>3</sup>	ha⊷	ر <u>ساند )،</u> ب دسانه که	kg∗	kg∢	لية لها لاستغنا كرة	сь. С	сь С	¢	م م	
Please	indicate unit c	onversions i	in the box below.	(eg) 1 bag of Ir	ish Potato = 110 k	(unit: )₽ σ 1 head of Cabbaσ	e = 2. kor⊬			-	
1 crate	e of tomatoes =	20kg+	in the set seton.	(c.g.) 1 oug of 1	MITCHIC IICK	5, I nead of caloug				¢	Unit

Please indicate the information of horticultural crops (do not include other crops such as maize and sugarcane) in the last cropping season.

_												
Γ	1.Crop Name	2	Arez under th.	e Crop m√	<ol><li>Production sold</li></ol>	<ol><li>Production</li></ol>	5.Production sold	<ol><li>Average Price per</li></ol>	7. Average Price	8.Total Income	9.Total Cost of	10.Net 4
	and Variety₽	r	neter x meter (1	m²) or in ha≁	at market in	sold at market	at market in kg	various unit∉	per kg (converted	in local	Production in	Income
			10	0m <sup>2</sup> =0.01ha	various unit⊷	in kg	per ha∉	(local currency per	into kg) in local	currency∉	local currencv↩	(profit) in
		L	1.00	00m²=0.1ha 🔸	(e.g. bags, crates,	(converted into	•	unit)+?	currency₽	, i	(incl. inputs,	local
		N	10.00	0m²=1ha ↔	bundles, bushels,	kg)+0			-		transportation.	currencv↩
		IV	,		etc.)⊮	-0-					labor, etc.)+2	
H		╋							A 1 1 1	(3 x 6) or 4	,	
I	1₽		2 a.≁	2 b.+⊃	3≁2	4∻	4./2 b.↔	6.₽	6./unit conversion in hos∉	(3. x 0.)01∓ (4 x7)⊮	9₽	89.~
Η	1≝ Cron: 러	٦	$V = M (M^2) \omega$	0.01	100	2,0001	10,0001	t an		t2.000 -	£700 -	£1.000 -
	i Ciop. +	1	~~ ( IVI ) IVI A	U.Zha-	+001	Z,000kg+	IU,000kg+	\$20+	ֆ1≁	\$2,000+	\$700+	\$1,300++
	Tomato+'	12	20X100=+'		4			4				
	Calj₽	â	2,000m <sup>2</sup> +2		(unit: crate )+			(unit: crate)₽				
_												

#### 1 Crop Name and Variety

→Indicate name of the horticultural crop and variety grown in the last cropping season.

2 (2a. & 2b.) Area under the Crop in meter X meter (m<sup>2</sup>) or ha

 $\rightarrow$  Pacing can be used to estimate area under the crop

Please indicate the information of horticultural crops (do not include other crops such as maize and sugarcane) in the last cropping season.

1.Crop Name and Variety↔	2.Area under th meter x meter ( 10 1,00 10,00	e Crop in+' m <sup>2</sup> ) or in ha+' 00m <sup>2</sup> =0.01ha+' 00m <sup>2</sup> =0.1ha +' 00m <sup>2</sup> =1ha +'	3. Production s at market in various unite <sup>1</sup> (e.g. bags, crate bundles, bushel etc.)+ <sup>2</sup>	old es, s,	4. Production sold at market in kg (converted into kg)+ <sup>3</sup>	5.Production sold at market in kg per ha∉	6. Average Price per various unit↓ (local currency per unit)↓?	7. Average Price per kg (converted into kg) in local currency <sup>42</sup>	8.Total Income in local currency+ <sup>3</sup>	9.Total Cost of Production in local currency (incl. inputs, transportation, labor, etc.)	10.Net Income (profit) in local currency4 <sup>3</sup>
1₽	2 a.₄⊃	2 b.∢⊃	340		4₽	4./2 b.√	6.+2	6/unit conversion in box⊄	(3. x 6.)or↔ (4. x7.)↔	9₽	89.¢
1≝ Crop: ↓ Tomato↓ Calj¢	M x M (M <sup>2</sup> )↓ 20X100=↓ 2,000m <sup>2</sup> ↓	0.2ha↔	ا (unit: crate )	00+	2,000kg4	10,000kg+	\$20+ +' (unit: crate)+'	\$1 <del></del> ₽	\$2,000 <b></b> €	\$700÷	\$1,300 <b></b> ++

3 Production sold at market in various unit (e.g. bags, crates, bundles, bushels, etc.)

 $\rightarrow$  Total quantity sold at markets.

4 [Automatic calculation- no need to write in this column <u>as long as</u> <u>conversion is indicated</u>] Production sold at market in kg

→Farmers can write in kg in this column instead of writing in column 3.

Please indicate the information of horticultural crop	)s (	do not include other	crop	s suci	h as maize	e and su	garcane	) in the last cropping se	ason.⊷

1.Crop Name and Variety₽	me y+ <sup>2</sup> 2.Area under the Crop in+ <sup>2</sup> meter x meter (m <sup>2</sup> ) or in ha+ <sup>2</sup> 100m <sup>2</sup> =0.01ha 1,000m <sup>2</sup> =0.1ha 10 000m <sup>2</sup> =1ha		3. Production sold at market in various unite <sup>1</sup> (e.g. bags, crates,	<ol> <li>Production sold at market in kg (converted into</li> </ol>	5.Production sold at market in kg per ha∉	6. Average Price per various unit↔ (local currency per unit)↔	7. Average Price per kg (converted into kg) in local currencv. <sup>2</sup>	8.Total Income in local currency⊄	9.Total Cost of Production in local currency (incl. inputs.	10.Net Income (profit) in local
	10,00	0m²=1ha ↔	bundles, bushels, etc.)⊬	kg)¢			,		transportation, labor, etc.)⊬	currency₄⊃
140	2 a.4 <sup>2</sup>	2 b.⇔	342	4₽	4./2 b.⇔	6.+2	6./unit conversion in box₽	(3. x 6.)or↔ (4. x7.)↔	9₽	89.≁
1st Crop: ↔	M x M (M <sup>2</sup> )↔	0.2ha↔	100+	2,000kg∉	10,000kg	\$20+	<b>\$1</b> ₽	\$2,000	\$700€	\$1,300+
Tomato₽	20X100=+ <sup>J</sup>		4			4				
Cal j₽	2,000m <sup>2</sup> ₽		(unit: crate)@			(unit: crate)+ <sup>2</sup>				

5 (4/2b.) [Automatic calculation- no need to write in this column] Production sold at market in kg per ha

→Analyzing productivity. Farmers do not need to write in this column.

6 Average Price per various unit (local currency per unit)

 $\rightarrow$  Marketed price per unit

Please indicate the information of horticultura	1 crops	(do not include	other crop	s such as maize a	and sugarcane)	in the last	cropping s	scason.⊬	

1.Crop Name	2.Area under th	ie Crop in≁	<ol><li>Production sold</li></ol>	<ol><li>Production</li></ol>	5.Production sold	<ol><li>Average Price per</li></ol>	7. Average Price	8.Total Income	9.Total Cost of	10.Net +
and Variety₽	meter x meter (m <sup>2</sup> ) or in ha+ 100m <sup>2</sup> =0 01ha		at market in	sold at market	at market in kg	various unit∉	per kg (converted	in local	Production in	Income
_	10	00m <sup>2</sup> =0.01ha↔	various unit⊷	in kg	per ha∉	(local currency per	into kg) in local	currency₽	local currency⊎	(profit) in
	1,0	00m²=0.1ha ↔	(e.g. bags, crates,	(converted into		unit)∉"	currency₽		(incl. inputs,	local
	10,00	)0m²=1ha ↔	bundles, bushels,	kg)+⊃					transportation,	currency↩
			etc.)+ <sup>2</sup>						labor, etc.)₽	
1₽	2 a.₄⊃	2 b.↩	34∂	4₽	4./2 b.¢	6.4	6./unit conversion in box⊕	(3. x 6.)or↓ (4. x7.)₽	تہو	89.¢
1 <sup>st</sup> Crop: + <sup>j</sup>	M x M (M <sup>2</sup> )↔	0.2ha∻	100+	2,000kg+	10,000kg↔	\$20+	\$14	\$2,000↔	\$7004	\$1,300++
Tomato₽	20X100=+ <sup>j</sup>		ц.	-	-	4				
Cal j₽	2,000m <sup>2</sup> + <sup>3</sup>		(unit: crate )+			(unit: crate)₽				

7 (6/unit conversion in box) [Automatic calculation- no need to write in this column] Average Price per kg in local currency

→Farmers do not need to write in this column if they do not know the price per kg.

- 8 (3X6) or (4X7) [Automatic calculation- no need to write in this column] Total Income in local currency
- $\rightarrow$  This is the total income from the crop.

Please i	ndicate the info	ormation of l	norticultural crops	(do not include o	other crops such as	s maize and sugarca	ne) in the last crop	ping season.↔	$\frown$	
1.Crop Name and Variety↔	2.Area under th meter x meter († 10 1,00 10,00	e Crop in+) m <sup>2</sup> ) or in ha+) 0m <sup>2</sup> =0.01ha+) 0m <sup>2</sup> =0.1ha+) 0m <sup>2</sup> =1ha+)	3. Production sold at market in various unite <sup>1</sup> (e.g. bags, crates, bundles, bushels, etc.)e <sup>2</sup>	4. Production sold at market in kg (converted into kg)+ <sup>3</sup>	5.Production sold at market in kg per ha4 <sup>3</sup>	6. Average Price per various unit↓ (local currency per unit)↓	7. Average Price per kg (converted into kg) in local currency⊕	8.Total Income in local currency+ <sup>3</sup>	9. Total Cost of Production in local currency <sup>4,1</sup> (incl. inputs, transportation, labor, etc.) <sup>4,2</sup>	0.Net Income (profit) in local currency₄ <sup>3</sup>
14	2 a.* <sup>2</sup>	2 b.¢	3≁2	4∉2	4./2 b.¢	6.+7	6./unit conversion in box⊕	(3. x 6.)or↔ (4. x7.)↔	9₽	89.₽
1st Crop: ↓ Tomato↓	M x M (M <sup>2</sup> )+ <sup>j</sup> 20X100=+ <sup>j</sup>	0.2ha∉	+100	2,000kg+	10,000kg÷	<b>\$20</b> +	<b>\$1</b> ₽	\$2,000	\$700	¢ \$1,300∢+
Cal j₽	2,000m <sup>2</sup> + <sup>2</sup>		(unit: crate)₽			(unit: crate)+²				

#### 9 Total Cost of Production in local currency

- →Cost of seed, planting materials, fertilizers/manures, pesticides, posts/stakes, labor costs, transportation & marketing costs, etc.
- 10 (8-9) [Automatic calculation- no need to write in this column] Net income (profit) in local currency
- $\rightarrow$  This is the total profit from the crop.



### Completing Production, Income & Cost Sheet Let's Exercise !

• Calculate cabbage production, income & cost for this farmer.

Last cropping season, we grew cabbages. The name of the variety was Gloria. We set aside about 40 meters x 5 meters near here and 12 meters x 10 meters over the other side for cabbage production. We harvested 160 heads. Our family ate 10 heads and sold the rest of the cabbages to a middleman. Our cabbages were fairly big and each head weighed around 1.5kg. The middleman bought the cabbages for 40 cents per head. The total cost of production was around \$20 which included costs of tomato production. The amount of tomato production was about the same as that of cabbages. 21

### Useful Data: Productivity Comparison (Cabbages and other brassicas – Year 2014)

Country	kg/ha
South Africa	56,808
Japan	42,651
U.S.A.	39,824
Namibia	33,282
Kenya	30,917
Niger	27,914
Madagascar	21,437
D.R. Congo	17,057
Zimbabwe	12,800
Rwanda	12,134
Ethiopia	9,900
World	29,082

Source: UN Data (http://data.un.org/Data.aspx?d= FAO&f=itemCode%3A358)

#### **Completing Agricultural Techniques Sheet**

#### **Baseline Survey Part 2- Agricultural Techniques**

Date:       /       /       /         Name of District:       Name of Sub-District:       //         Name of the Farmer Group:       //       //         Name of Farmer:       Male/Female:       Tel. No.:       //					Ţ	Basic information
					, of the farmer	
ب * Please tick "YES	" or "NO	" to the following questions. Write any additional information in	the margi	n. √		
Pre to Post Cultivation Stages≓	Item s₊⊃	Horticultural Techniques Advocated for Adoption	Yes₽	No₊⊃	<b>۲</b>	
14 Pre- Cultivation Preparation43	Q 147	Do you undertake a market survey to determine the crop(s) to cultivate each season?	¢	¢	÷	Questions to
	Q 2∉2	Do you prepare and use <b>crop calendar(s)</b> based on the market survey results?42	¢	¢,	÷	
	Q 3+2	Do you undertake soil testing at least once in two years for vegetables/annual flowers; or before the planting for fruit trees/perennial flowers?	47	C.	÷	
	Q 4.2	Do you use recommended <b>composting</b> practices by using different organic materials to supply major nutrients: Nitrogen (N), Phosphorus (P), and Potassium (K) in preparing compost/manure?+ <sup>3</sup>	¢.	¢	÷ •	agricultural techniques
	Q 5₽	Do you use recommended <b>quality planting material(s)</b> with one or more of the following characteristics: disease resistance and tolerance, high yield, early maturity, better tastes, size, and longer shelf life?	¢.	¢	÷	•
24 Land Preparation43	Q 6₊∂	Do you use with one or more following recommended land preparation practices in management of pests & diseases:	¢	ę	÷	

## **Completing Agricultural Techniques Sheet**

- If the answer is "Yes", simply check (✓) the left box marked "Yes".
- If the answer is "No", simply check (✓) the left box marked "No".

- We expect that the number of "Yes" will increase after the farmers' participation in SHEP activities.
- During In-field Training, try to emphasize the techniques which had many "No" answers.

## **CHECKLIST:** Points to be Confirmed after Participatory Baseline Survey

- ✓ The target farmers understand their current production and sales situation and identify gaps that need to be filled.
- The target farmers understand their current technical levels in terms of production and marketing and identify gaps that need to be filled.
- ✓ The target farmers understand the importance of farm record keeping, both in terms of bookkeeping and farm activity records and become willing to start keeping records.
- ✓ The male-female ratio of the participants is balanced.
- ✓ Gender-disaggregated data is collected and analyzed.
- ✓ (optional) The members' spouses are involved.

#### **Participatory Baseline Survey in Action**

I thought I was making money by producing this crop. But I was actually losing money! It will be beneficial for me to keep records so that I can keep track of what is going on at my farm. That's the first step to practice "farming as a business".

Photo: Kenya

### TROUBLESHOOTING



- ✓ What if farmers do not have written records on income & expenditure? → Encourage farmers to make is a habit to keep a record from now on.
- ✓ Can illiterate farmers do it? → Yes. Assist them or ask literate farmers or family members to help them.
- ✓ What if data is not so reliable? → Usually it is difficult to obtain data accurate enough for statistical purpose. Still, encourage farmers to provide as accurate data as possible (Such data will still be a powerful tool to inform policy and decision-makers).
- ✓ What if farmers do not want to disclose/submit data? → Do
   no force them. Try to find someone who is willing to do so. 27

### Way Forward: Implementation Schedule, Reporting, add any other necessary info. here