RESEARCH PROGRAM ON Integrated Systems for the Humid Tropics

CGIAR

# Situation Analysis Phase I
# Organizational Analysis Report

## Nicanorte Action Site
## Central America and the Caribbean Action Area
## Humidtropics

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# Contents

# Acronyms

| | | |
|---|---|---|
| ADAA | Área de Desarrollo Agrario y Rural | Agrarian and Rural Development Area |
| ADDAC | Asociación para la Diversificación y el Desarrollo Agrícola Comunal | Association for Diversification and Community Agricultural Development |
| AECID | Agencia Española de Cooperación | Spanish Agency for International Development Cooperation |
| ANACAFE | Asociación Nacional del Café | National Coffee Association |
| ANAR | Asociación Nicaragüense de Arroceros | Nicaraguan Rice Association |
| APEN | Asociación de Productores y Exportadores de Nicaragua | Producer and Exporter Association of Nicaragua |
| ATC | Asociación de Trabajadores del Campo | Rural Workers Union |
| BCIE | Banco Centroamericano de Integración Económica | Central American Bank for Economic Integration |
| BICU | Universidad Indígena de Caribe Bluefields | Bluefields Indian and Caribbean University |
| BID | Banco Interamericano de Desarrollo | Inter-American Development bank |
| CAC | Centroamérica y el Caribe | Central America and Caribbean |
| CADIN | Cámera de Industrias de Nicaragua | Nicaraguan Chamber of Industry |
| CATIE | Centro Agronómico Tropical de Investigación y Enseñanza | Tropical Agriculture Research and Higher Education Center |
| CCAFS | Cambio Climático y Seguridad Alimentaria | Climate Change and Food Security |
| CECOCAFEN | Central de Cooperativas Cafetaleras del Norte | Central Association of Northern Coffee Cooperatives |
| CENICAFE | Centro Nacional de Investigación de Café | National Coffee Research Center |
| CGAT | Centro de Gestión Ambiental y Tecnológica | Center for Environmental and Technological Management |
| CGIAR | Grupo Consultivo para la Investigación Agrícola Internacional | Consultative Group on International Agricultural Research |
| CIAT | Centro Internacional de Agricultural Tropical | International Center for Tropical Agriculture |
| CIC-BATA | Bata Centro de Iniciativos para la Cooperación | Batá Center for Cooperation Initiatives |
| CIDEA | Instituto de Capacitación, Investigación, y Desarrollo Ambiental | Institute for Environmental Training, Research and Development |
| CIPAV | Centro para la Investigación en Sistemas Sostenibles de Producción Agropecuaria | Foundation Center for Research on Sustainable Farming Systems |
| CIPRES | Centro para la Investigación, la Promoción, y el Desarrollo Rural y Social | Center for Rural and Social Promotion, Research, and Development |
| CIRAD | --- | Agricultural Research for Development |
| COMUSSAN | Comisión Municipal de Soberanía y Seguridad Alimentaria y Nutricional | Municipal Committees for Food and Nutritional Sovereignty and Security |
| CONCAFE | Consejo Nacional de Café | National Coffee Council |
| CONYCIT | Comisión Nacional de Investigación Científica y Tecnológica | National Commission of Science and Technology of Nicaragua |

| | | |
|---|---|---|
| COSATIN | Unión de Cooperativas Tierra Nueva | New Land Union of Cooperatives |
| COSUDE | --- | Swiss Agency for Development and Cooperation |
| CNP | Comisión Nacional de la Papa | National Potato Council |
| CNU | Consejo Nacional de Universidades | National University Commission |
| CRS | --- | Catholic Relief Services |
| DED | Servicio Alemán de Cooperación Social-Técnica | German Development Service |
| DGRV | Confederación de Cooperativas de Alemania | German Confederation of Cooperatives |
| EED | Fondo Europeo para la Democracia | European Endowment for Democracy |
| EIRENE | Servicio Cristiano Internacional por la Paz | International Christian Service for Peace |
| EMBRAPA | Empresa Brasileña de Pesquisa Agropecuaria | Brazilian Agricultural Research Corporation |
| EU | Unión Europea | European Union |
| FADCANIC | Fundación para la Autonomía y el Desarrollo de la Costa Atlántica de Nicaragua | Foundation for the Autonomy and Development of the Atlantic Coast of Nicaragua |
| FAO | Organización de Alimentos y Agricultura de las Naciones Unidas | Food and Agriculture Organization of the United Nations |
| FAO-PESA | Programa Especial de Seguridad Alimentaria de la FAO | FAO Special Program for Food Security |
| FDL | Fondo de Desarrollo Local | Local Development Fund |
| FHIA | Fundación Hondureña de Investigación Agrícola | Honduran Foundation of Agricultural Research |
| FSLN | Frente Sandinista de Liberación Nacional | Sandinista National Liberation Front |
| FUNICA | La Fundación para el Desarrollo Tecnológico Agropecuario y Forestal de Nicaragua | Foundation for Technological Development in Agriculture and Forestry |
| GEF | Facilitador Ambiental Mundial | Global Environmental Facility |
| GIZ | --- | German Federal Enterprise for International Cooperation |
| GPAE | Grupo para la Promoción de Agricultura Sostenible | Group for the Promotion of Ecological Agriculture |
| GRAAN | Gobierno de la Región Autónoma de Atlántica Norte | Government of the North Atlantic Autonomous Region |
| ICI | Instituto Cooperativo Inter-Americano | Inter-American Cooperative Institute |
| IDR | Instituto para el Desarrollo Rural | Institute for Rural Development |
| IFC | Corporación Financiera Internacional | International Finance Corporation |
| IICA | Instituto Interamericano de Cooperación para la Agricultura | Inter-American Agricultural Cooperation Institute |
| INAFOR | Instituto Nacional Forestal | National Forestry Institute |
| INATEC | Instituto Nacional de Tecnológico | National Institute of Technology |
| INFOCOOP | Instituto Nicaragüense de Fomento Cooperativo | Nicaraguan Institute of Cooperatives |
| INPSA | Instituto Nicaragüense de Sanidad y Protección Agropecuaria | Nicaraguan Institute for Health and Agricultural Protection |

| | | |
|---|---|---|
| INPRHU | Instituto de Promoción Humana | Institute of Human Promotion |
| INTA | Instituto Nacional de Tecnología Agropecuaria | National Institute of Agricultural Technology |
| IPADE | Instituto para el Desarrollo y la Democracia | Institute for Development and Democracy |
| JICA | --- | Japan International Cooperation Agency |
| LIDECONIC | Liga de Defensa del Consumidor de Nicaragua | Consumer Defense League of Nicaragua |
| LWR | --- | Lutheran World Relief |
| MAGFOR | Ministerio Agropecuario y Forestal | Ministry of Agriculture and Forestry |
| MAONIC | Movimiento de Productoras y Productores Agroecológicos y Orgánicos de Nicaragua | Nicaraguan Movement of Agroecological and Organic Producers |
| MARENA | Ministerio del Ambiente y Recursos Naturales | Ministry of the Environment and Natural Resources |
| MASRENACE | --- | Sustainable Management of Natural Resources and Promotion of Competitive Enterprise |
| MEDA | Menonitas Asociados para el Desarrollo Económico | Mennonite Economic Development Associates |
| MEFCCA | Ministerio de la Economía Familiar, Comunitaria, Cooperativa, and Asociativa | Ministry of Family, Communal, Cooperative, and Associative Economy |
| MEM | Ministerio de Energía y Minas | Ministry of Energy and Mines |
| MIFIC | Ministerio de Fomento, Industria, and Comercio | Ministry of Industry and Trade Promotion |
| MIPYMES | Micro, Pequeña y Mediana Empresa | Micro, Small, and Medium Business Program |
| MITRAB | Ministerio de Trabajo | Ministry of Labor |
| OCIA | Asociación para el Mejoramiento de Producción Orgánica | Organic Crop Improvement Association |
| ODESAR | Organización de Desarrollo Económico y Social y Área Urbana y Rural | Organization for Economic and Social Development in Rural and Urban Areas |
| OIRSA | Organización Internacional Regional de Sanidad Agropecuaria | Regional International Organization for Agricultural Health |
| PCAC | Programa Campesino a Campesino | Farmer-to-Farmer Program |
| PCI | --- | Project Concern International |
| PRODECOOP | Central de Cooperativas de Servicios Multiples | Central Multi-Service Cooperative |
| RAAN | Región Autónoma Atlántico Norte | North Atlantic Autonomous Region |
| Red-SICTA | Red Nacional de Innovación Tecnológica de Nicaragua | Agricultural Innovation Network Project of Nicaragua |
| SCAA | Asociación de Cafés Especiales de América | Special Coffee Association of America |
| SERIDAR | Sociedad Rural, Economía y Recursos Naturales | Rural Society, Economy, and Natural Resources |
| SETAB | Secretaría Técnica de Bosawás | Secretariat of Bosawás |
| SI | Solidaridad Internacional | Solidarity International |

| | | |
|---|---|---|
| SIMAS | Servicio de Información Mesoamericano sobre Agricultura Sostenible | Mesoamerican Information Service on Sustainable Agriculture |
| SMS | Servicios de Manejos Sostenibles | Sustainable Management Services |
| SNV | Servicio Holandés de Cooperación al Desarrollo | Netherlands Development Organization |
| UCA | Universidad Centroamericana | Central American University |
| UNA | Universidad Nacional Agraria | National Agrarian University |
| UNAG | Unión Nacional de Agricultores y Ganaderos | National Farmers and Ranchers Union |
| UNAN | Universidad Nacional Autónoma de Nicaragua | National Autonomous University of Nicaragua |
| UNAN-León | Universidad Nacional Autónoma de Nicaragua | National Autonomous University of Nicaragua-León |
| UNIDO | Organización de las Naciones Unidas para el Desarrollo Industrial | United Nations Industrial Development Organizations |
| UPANIC | Unión de Productores Agropecuarios de Nicaragua | Agricultural Producers Union of Nicaragua |
| URACCAN | Universidad de las Regiones Autónomas de la Costa Caribe Nicaragüense | University of the Autonomous Regions of the Nicaraguan Caribbean Coast |
| USAID | Agencia de los Estados Unidos para Desarrollo Internacional | United States Agency for International Development |
| USDA | Departamento de Agricultura de los Estados Unidos | United States Department of Agriculture |

# Introduction

As per Humidtropics' Strategic Research Theme 1, Systems Analysis and Global Synthesis, situation analysis was carried out for the Nicanorte action site, located in the Central America and the Caribbean (CAC) action area, from August to mid-November 2013. A key component of the situation analysis was the collection of primary data from organizational actors that work in the Nicanorte action site with the goal of learning more about their past and current activities, innovations, and alliances between the organizations working in this action site; the direction the organization seeks to move towards in the future; and, finally, more about where the organization sees the greatest potential for Humidtropics in Nicanorte and why. The purpose of collecting and analyzing this data was twofold: (1) it helps us to gain a deeper understanding of the current status of different activities, innovations, and future directions of organizations working in Nicanorte (and in other parts of Nicaragua) to assist in the process of making strategic and collective decisions about the direction of Humidtropics in Nicanorte and (2) it provides an important baseline data set to monitor and evaluate learning and innovation among organizations both at the level of Humidtropics territorial alliances (innovation platforms) and at the national level through the Humidtropics Research-for-Development (R4D) Platform.

This report includes the findings of the organizational analysis component of Phase I of the situation analysis of the Nicanorte action site. It first briefly discusses the methodology that was used.[1] It then continues by presenting the major findings of situation analysis organized into 10 indicators. It concludes by discussing some important lessons that were learned and recommendations for future directions.

# Methodology

In order to carry out the organizational analysis component of situation analysis, semi-structured interviews were carried out with key organizations with the objective of gathering the following information:

- General information about the organization
- Organizational human resources in the Nicanorte action site
- Projects and initiatives in the Nicanorte action site
- Organizational impacts most relevant to the desired outcomes of Humidtropics achieved in recent years
- Any innovations or changes in which the organization participated in the last five years, who they collaborated with, principle limitations, and most important sources of learning
- Innovations or changes that the organization would like to foster in the next five years, who they envision collaborating with, what limitations they expect to encounter, and potential sources of learning
- Three work sites in the Nicanorte region where Humidtropics should work and why these sites were chosen

[1] A more detailed description of the first phase of situation analysis, including organizational analysis, of the Nicanorte action site can be found in the report *Situation Analysis Phase I Methodology and Process*.

Thirty-eight organizations were identified by the Humidtropics research team and consultants as actively working in the Nicanorte action site. These organizations were categorized into six groups: public institutions, producer organizations, national civil society organizations, universities/university research institutes, private sector organizations, and international non-government organizations (INGOs) and international cooperation agencies. The guidelines for categorizing the organizations into these groups were as follows:

- Public institutions: state institutions, such as ministries and other government programs or agencies

- Producer organizations: agricultural producer associations, networks, cooperatives, and unions.

- National civil society organizations: nongovernment organizations (NGOs) (excluding producer organizations) that are based in Nicaragua and serve the nation's communities.

- Universities/university research institutes: includes universities at the national and international levels and research institutes that are either associated with or are part of a specific university.

- Private sector organizations: private enterprises and businesses and business and commerce associations (e.g., chamber of commerce).

- INGOs and cooperation agencies: the wide range of nongovernment and government organizations and agencies that provide support (including but not limited to material and financial) for development and include those that provide international aid, research organizations, implement development projects and programs, etc.

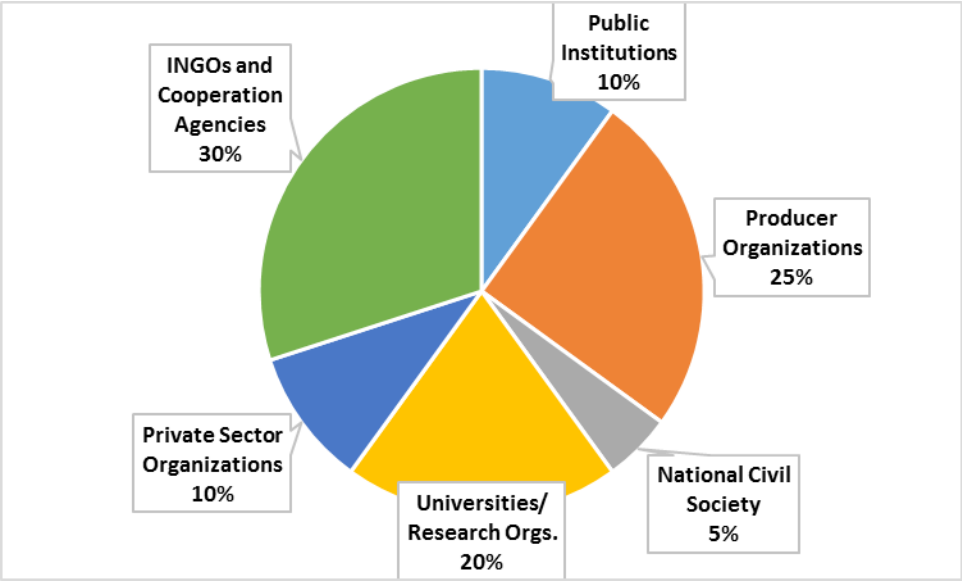
While efforts were made to arrange interviews with all identified organizations, the team succeeded in conducting semi-structured interviews with 20 of the identified organizations in September and early October of 2013.[2] These organizations are listed in Table 1 (below) according to organizational group. As depicted in Figure 1 (below), INGOs/cooperation agencies had the highest rates of participation, followed by producer organizations, universities, and finally private sector organizations, public institutions, and national civil society with more marginal participation rates.

[2] See Annex 1 for a list of the organizations that were invited to participate in the interviews. MAGFOR opted not to participate in a formal interview but did meet with members of the Humidtropics team. The minutes from this meeting are available in Annex 2. Finally, it should be noted that this report and the accompanying analysis is only based on data compiled through semi-structured interviews and does not include other data collected on key organizational actors that was compiled at other stages of the situational analysis. This data is available in the situation analysis report referenced above.

**Table 1. Organizations Participating in Semi-Structured Interviews**

| National Civil Society | INGOs/ Cooperation Agencies | Universities/ Research Organizations | Private Sector Organizations | Public Sector Organizations | Producer Organizations |
|---|---|---|---|---|---|
| ADDAC | Bioversity<br>CATIE<br>CRS<br>FAO<br>Fundación Solidaridad Network<br>GIZ | CGAT<br>Nitlapan<br>UNAN-FAREM Matagalpa<br>UNAN-León | Exportadora Atlantic<br>Ritter Sport | INATEC<br>DGPSA | CONACAFE<br>MAONIC<br>PCAC<br>UCA<br>Soppexcca<br>UPANIC |

**Figure 1. Distribution of Interview Participation by Group**




Interviews were conducted in Spanish by members of the Humidtropics' team and local consultants. An interview protocol[3] was used with the interviewers recording the responses of the interviewee(s) by hand. In addition to answering questions, interviewees were also asked to identify sites where they thought Humidtropics should work on a map of Nicaragua. The information collected during the interviews was then processed and preliminary findings and results were recorded. The processed data was later transcribed into narratives written in English.[4]

[3] See Annex 3 for a copy of the interview protocol.
[4] See Annex 13 for the narratives.

Using the information compiled from the interviews and presented in the narratives, more extensive organizational analysis proceeded, focusing on 10 principle indicators:

1. Overview of current projects and initiatives reported by the organizations
2. The relationship between organizational impacts and the desired outcomes of Humidtropics
3. Recent innovations and changes fostered by the organizations
4. Alliances between organizations
5. Common themes in the work of the organizations
6. Innovations and changes desired by the organizations
7. Current innovation/change partners and collaborators and potential innovation/change partners and collaborators
8. Sources of learning for innovations/changes
9. Information needed to carry out desired innovations
10. Actual limitations and potential limitations for carrying out innovations/changes

In order to examine how organizational projects/intiatives, impacts, innovations/changes, and desired innovations/changes compared with the intermediate development objectives (IDOs) of Humidtropics, 11 thematic areas were selected that reflect elements of the Humidtropics IDOs. (Using these thematic areas for analysis permitted Table 2 below lists these 11 thematic areas and shows how they are linked to Humidtropics IDOs.

**Table 2. Relationship of Thematic Areas to Humidtropics IDOs**

| IDO | Sustainable Productivity | Conservation/Natural Resources | Access to Markets | Access to Capital/Innovations to increase Commercialization and | Poverty/Increase Income/Reduce | Security/Food and Nutritional | Women, Marg. Grp. Empowerment/Equity/Youth | Learning/Innovation, Knowledge | Policies + Institutions | Community Health | Organizations/ Alliances/Strengthening |
|---|---|---|---|---|---|---|---|---|---|---|---|
| IDO 1 – **Income**: Increased and more equitable income from agriculture for rural poor farm families, with special focus on rural women. | | | **X** | | **X** | | | | **X** | | |
| IDO 2 – **Nutrition**: Increased consumption of safe, nutritious foods by the poor, especially among nutritionally vulnerable women and children. | | | | | | **X** | | | | | |
| IDO 3 – **Productivity/Yield**: Increased total factor productivity of integrated systems. | **X** | | | **X** | | | | | | **X** | |
| IDO 4 – **Environment**: Reduced adverse environmental effects of integrated systems intensification and diversification. | **X** | **X** | | | | | | | | | |
| IDO 5 – **Gender**: Increased control by women and other marginalized groups over integrated systems *assets, inputs, decision-making and benefits. | | | | | | | **X** | | | | |
| IDO 6 – **Innovation**: Increased capacity for integrated systems to innovate and bring social and technical solutions to scale. | | | | **X** | | | | **X** | **X** | | **X** |

In coding organizational projects/initiatives, impacts, innovations/changes, and desired innovations/changes using the 11 thematic areas, the following guidelines were applied for each thematic area:

- **Sustainable production**: Includes actions that related to production, diversity, and sustainability.
- **Natural resource conservation**: Includes actions that are focused on conserving or preserving natural resources, including environmental sustainability, water management, and climate change.
- **Commercialization and access to markets**: Includes actions focused on value chains, value-added, markets, commercialization, marketing, and certification.
- **Innovations to increase access to capital**: Includes actions focused on expanding access to credit and other resources to assist producers/others in expanding their production and commecialization/access to markets.
- **Increase income/reduce poverty**: Includes actions that seek to increase income and reduce poverty.
- **Food and nutritional security**: Includes actions aimed at foster food security and better nutrition.
- **Gender equity/empowering youth, women, and marginalized groups**: Includes actions that seek to channel resources (economic, social, educational, etc.) to women, youth, or other marginalized groups (e.g., indigenous communities).
- **Innovation, knowledge, and learning**: Includes a broad range of actions that touch on processes of learning and knowledge production, including research, training/formal and information education, capacity building, and the creation of tools that serve to more deeply understand some phenomenon or are used to teach others.
- **Policies and institutions**: Includes actions that relate specifically to public policy and institutions at multiple scales.
- **Community health**: Includes actions that relate to the health of communities.
- **Strengthening organizations/alliances**: Includes actions that seek to strengthen organizations, alliances, and the relationships between them.

The nature of some projects/initiatives, impacts, innovations/changes, and/or desired innovations/changes reflected more than one thematic area, and they were coded as such. As per the indicators, data was processed and analyzed. A multiple spreadsheet Excel database was created for the processing of several indicators. Finally, conclusions were drawn as well as some lessons learned.

# Findings

The findings from organizational analysis are organized below by indicator and are based on interviews with the 20 organizations listed above.

## Current Projects and Initiatives of the Organizations

The organizations identified different projects and initiatives they are carrying out in the territory encompassed by the Nicanorte action site. In some cases, they reported other projects and initiatives in regions outside of Nicanorte, which were included in the findings. Annex 4 includes a list of all the projects/initiatives by organization, as well as the desired outcomes, partners, and locations of the project/initiative, if specified.

Seventy-three (73) projects were identified by the organizations and two project proposals (which were not included in the analysis of projects and initiatives). Table 3 below shows the number of projects and initiatives for each organizational group as well as the project median value.[5] Figure 2 below shows the distribution of projects by organizational type. As to be expected, more projects and initiatives were reported for the organizational types that were more represented in the study (see Figure 1 above). Producer organizations reported the most projects, followed by INGOs/cooperation and universities/research institutes, private sector organizations, and the public sector; and, finally, the fewest projects were reported for the national civil society group.

**Table 3. Project/Initiatives by Organizational Group**

| Organizational Group | Number of Projects/Initiatives | Median Value |
|---|---|---|
| National Civil Society | 4 | -- |
| INGOs and Cooperation | 17 | 2.5 |
| Universities/University Research Institutes | 17 | 3 |
| Private Sector | 8 | 4 |
| Public Sector | 5 | 2.5 |
| Producer Organizations | 22 | 5 |
| **Overall** | 73 | 3 |

[5] This study chose to use median value because of asymmetry in the data set and to reduce the influence of outlying values.

**Figure 2. Distribution of Projects by Organizational Type**

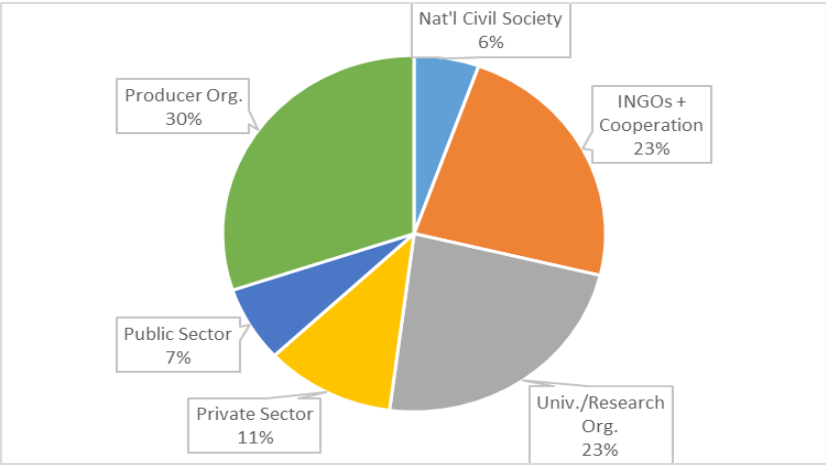



Table 4 shows the distribution of projects/initiatives by thematic area. It need be mentioned here that data was not collected on the nature of five (5) of the projects reported by INGOs/cooperation agencies, so this information could not be included in the analysis of the thematic areas of projects and initiatives. From the results of the analysis of the available data, it is seen that most projects were strongly oriented towards sustainable productivity, followed by innovation, knowledge and learning and commercialization and access to markets. The thematic areas with the least number of projects included those to increase income/reduce poverty; gender equity/empowering women, youth, and marginalized groups; and community health.

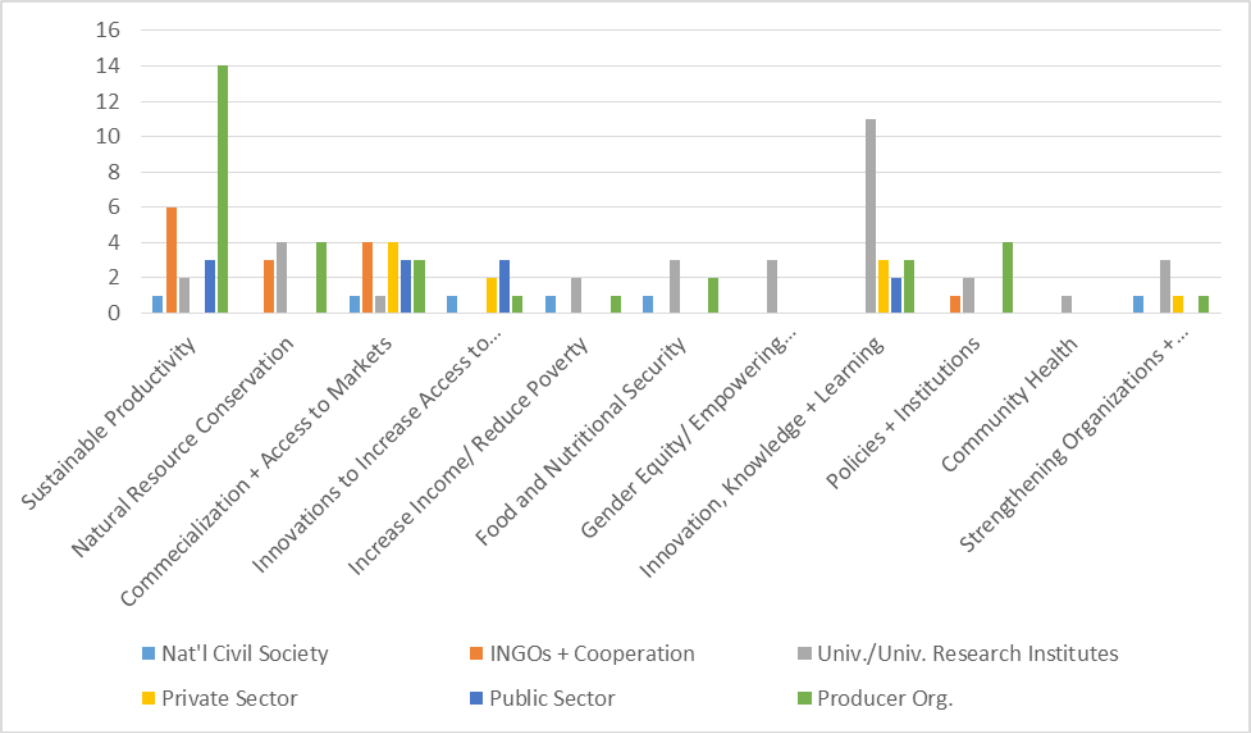
**Table 4. Distribution of Projects/Initiatives by Thematic Area**

| Thematic Area | Number of Projects/Initiatives |
|---|---|
| Sustainable productivity | 26 |
| Natural resource conservation | 11 |
| Commercialization and access to markets | 16 |
| Innovations to increase access to capital | 7 |
| Increase income/reduce poverty | 4 |
| Food and nutritional security | 6 |
| Gender equity/ empowering women, youth, and marginal groups | 3 |
| Innovation, knowledge, and learning | 19 |
| Policies and institutions | 7 |
| Community health | 1 |
| Strengthening organizations/ alliances | 6 |

Figure 3 shows the distribution of projects and initiatives by thematic group and organization type. Unsurprisingly, most of the projects with a strong sustainable productivity orientation were

implemented by producer organizations followed by INGOs/cooperation with 6 projects. Most of the projects with a strong innovation, knowledge, and learning component were implemented by universities and research organizations. It also should be noted that projects/initiative implemented by producer organizations and universities/university research institutes spanned the greatest range of thematic areas (9 and 10, respectively).

**Figure 3. Number of Projects by Thematic Area and Organizational Type**




## Organizational Impacts and Humidtropics Desired Outcomes

This indicator analyzed the reported organizational impacts by each organization over the last five years and their relationship to the Humidtropics IDOs in the form of thematic areas. The organizations identified different impacts they have made in the territory encompassed by the Nicanorte action site and, in some case, in other parts of the country. Annex 5 includes a list of all the impacts reported by organizations, as well as the location of the impact, if specified.

Ninety (90) different organizational impacts were reported by the organizations. Table 5 below shows the number of impacts reported for each organizational group as well as the median value for the number of impacts for each organizational group. Figure 4 below shows the distribution of impacts by organizational type. As to be expected, more impacts were reported for INGOs/cooperation, universities/university research institutes, and producers, since organizations belonging to these groups were more represented in the study (see Figure 1 above). INGOs/cooperation agencies reported the most impacts, followed by producer organizations, and universities/university research institutes. The results of the calculation of the median value shows that INGOs/cooperation agencies and organizations had the same median value of 5 for

the number of impacts per organization, and universities were slightly lower than the overall median value for the data set (4) with a median value of 3.5. The public sector had the lowest median value for number of organizational impacts.

**Table 5. Number of Impacts by Organizational Group**

| Organizational Group | Number of Impacts | Median Value |
|---|---|---|
| National Civil Society | 3 | -- |
| INGOs and Cooperation | 34 | 5 |
| Universities/University Research Institutes | 13 | 3.5 |
| Private Sector | 8 | 4 |
| Public Sector | 5 | 2.5 |
| Producer Organizations | 27 | 5 |
| **Overall** | 90 | 4 |

**Figure 4. Distribution of Impacts by Organizational Type**

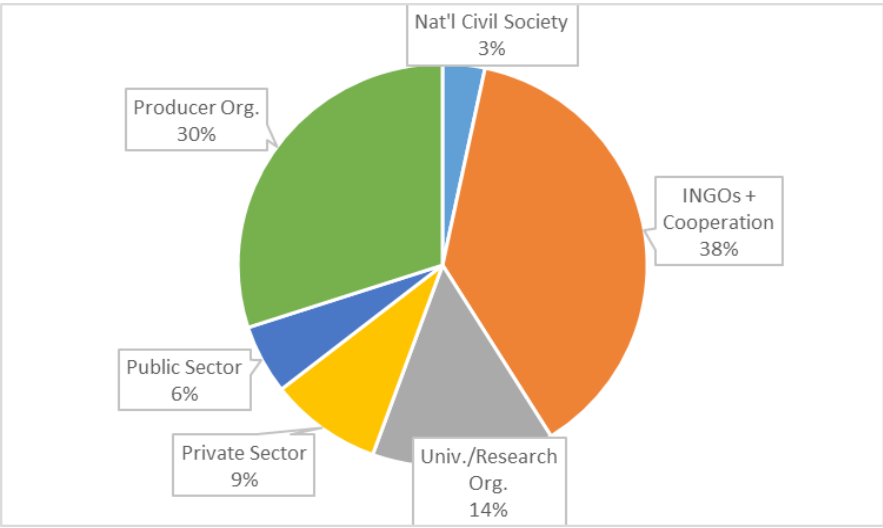


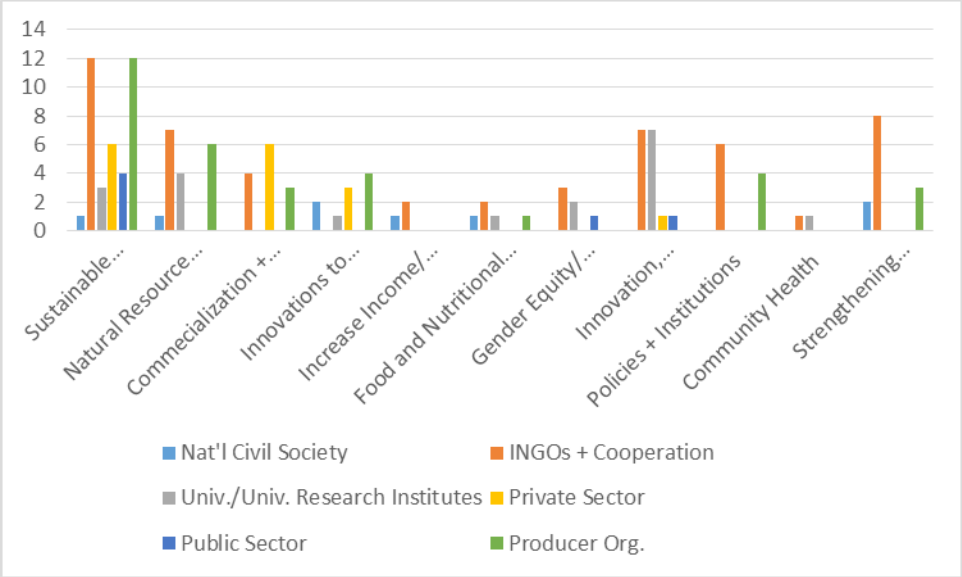

Table 6 shows the distribution of organizational impacts by thematic area. Like with projects and initiatives, impacts were coded for those thematic areas they addressed, and this could be more than one depending on the nature of the impact (see Annex 5). The results indicate that most organizational impacts addressed sustainable productivity. This was followed by natural resource conservation, innovation, knowledge, and learning, and commercialization and access to markets. The thematic areas that were least addressed by the impacts included those to increase income/reduce poverty, community health, and food and nutritional security.

**Table 6. Distribution of Projects/Initiatives by Thematic Area**

| Thematic Area | Number of Impacts |
|---|---|
| Sustainable productivity | 38 |
| Natural resource conservation | 18 |
| Commercialization and access to markets | 13 |
| Innovations to increase access to capital | 10 |
| Increase income/reduce poverty | 3 |
| Food and nutritional security | 5 |
| Gender equity/ empowering women, youth, and marginal groups | 6 |
| Innovation, knowledge, and learning | 16 |
| Policies and institutions | 10 |
| Community health | 2 |
| Strengthening organizations/ alliances | 13 |

Figure 5 shows the distribution of impacts by thematic and organizational groups. The impacts reported by INGOs/cooperation agencies spanned the greatest range of thematic areas, followed by universities/university research institutes, producer organizations, and national civil society. The impacts of the public and private sectors addressed the fewest thematic areas. Most of the impacts reported by INGOs/cooperation agencies addressed sustainable productivity and strengthening organizations and alliances. Most of the impacts reported by producer organizations also reported addressing sustainable productivity as well as natural resources conservation. Impacts of universities/university research centers mostly addressed innovation, knowledge, and learning. Private sector impacts mostly addressed sustainable productivity and commercialization and access to markets. The impacts of the public sector and national civil society were more evenly distributed among those thematic areas that their impacts addressed.

**Figure 5. Number of Impacts by Thematic Area and Organizational Type**



## Recent Organizational Innovations and Changes

In the interviews, interviewees identified innovations and changes that their organizations had participated in over the last five years. A list of these innovations is available in Annex 6, which also includes innovation/change partners, sources of learning, and the primary thematic area(s) to which the innovation/change corresponded.

Eighty-five (85) innovations and changes were reported by the 20 organizations that participated in this study. Table 7 below shows the distribution of innovations/changes across the six organizations groups, including number of and the median value for innovations/changes for each organizational group. Every organization reported at least 2 innovations and one private sector organization, Ritter Sport reported the most innovations (9) in the sample. Figure 6, also below, shows the percentage of reported projects/innovations for each organizational group. As per the data shown below, INGOs and cooperation agencies reported the most innovations and changes, followed by producer organizations and universities/university research institutes, and this correlates with the extent to which these organizations predominate in the sample; however, in looking at the median values in Table 7, the overall median value for the sample was 4 with the median value for private organizations and INGOs/cooperation agencies being slightly higher with 5.5 and 5, respectively.

**Table 7. Innovations/Changes by Organizational Group**

| Organizational Group | Number of Innovations/Changes | Median Value |
|---|---|---|
| National Civil Society | 3 | 3 |
| INGOs and Cooperation | 29 | 5 |
| Universities/University Research Institutes | 17 | 4 |
| Private Sector | 11 | 5.5 |
| Public Sector | 7 | 3.5 |
| Producer Organizations | 18 | 3 |
| **Overall** | **85** | **4** |

**Figure 6. Distribution of Innovations/Changes across Organizational Group**

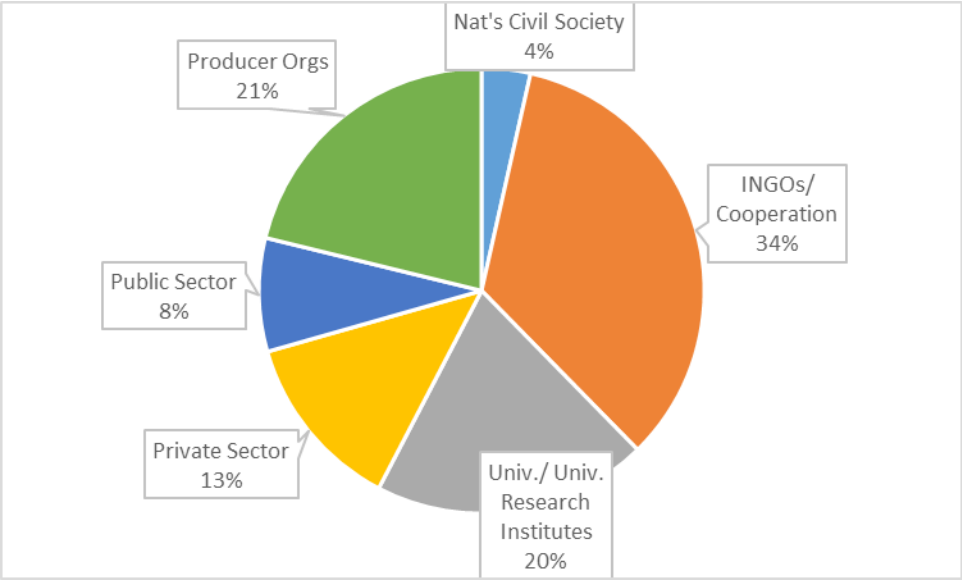


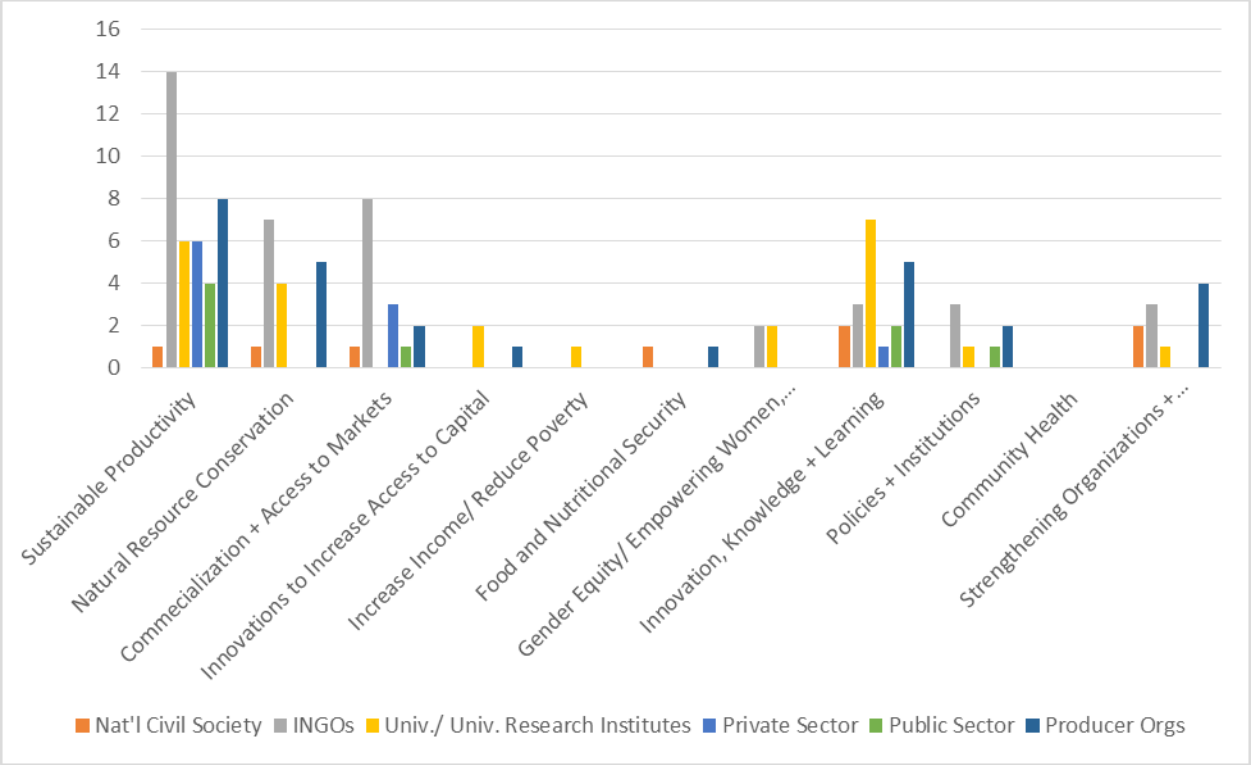

Table 8 lists the innovations and changes reported by the organizations according to the thematic area(s) to which the innovation/change corresponded. Like projects and initiatives, most innovations and changes addressed sustainable productivity. This was followed by innovations/changes involving innovation, knowledge and learning; natural resource conservation; commercialization and access to markets, and strengthening organizations and alliances. There were few innovations that corresponded to the areas of policies and institutions, and very few that involved innovations for increasing capital, food and nutritional security, increasing income and reduce poverty, gender equity and empowering women/youth/marginalized youth, and community health.

**Table 8. Distribution of Innovations/Changes by Thematic Area**

| Thematic Area | Number of Innovations/Changes |
|---|---|
| Sustainable productivity | 39 |
| Natural resource conservation | 17 |
| Commercialization and access to markets | 15 |
| Innovations to increase access to capital | 3 |
| Increase income/reduce poverty | 1 |
| Food and nutritional security | 2 |
| Gender equity/empowering women, youth, and marginal groups | 4 |
| Innovation, knowledge, and learning | 20 |
| Policies and institutions | 7 |
| Community health | 0 |
| Strengthening organizations/alliances | 10 |

Figure 7 below shows the distribution of innovations and changes by thematic area and organizational group, and it serves to depict the extent to which the different groups of organizations have participated in certain kinds of innovations/changes. As seen, INGOs/cooperation, universities/university research institutes, and producer organizations reported working on the broadest range of innovations, with the bulk of INGOs/cooperation and producer organization innovations/changes having a strong sustainable productivity component and most of the universities/university research institutes unsurprisingly participating on innovations that addressed innovation, knowledge, and learning. This being said, the innovations for these three groups as well as national civil society spanned multiple thematic areas. The private and public sectors were more limited as far as the range of thematic areas that the innovations they worked on addressed. Predictably, the private sector mostly participated in innovations/changes that addressed sustainable productivity and commercialization/access to markets, while the public sector mostly worked on sustainable productivity. For gender equity and empowerment of women, youth, and marginalized groups, only INGOs/cooperation and universities/university research institutes reported working on innovations that addressed these areas.

**Figure 7. Distribution of Innovations/Changes by Organizational Group & Thematic Area**




## Alliances between the Organizations

This indicator examined organizational alliances reported by the 20 organizations included in the sample. For this study, an alliance was defined as a working relationship that an organization included in the sample had with another organization, whether it be through collaboration on

projects and/or the provision of another kind of support (e.g., financial, material, staff-related, and so on). Organizations in the sample reported having alliances with organization within the sample as well as outside the sample.

In order to determine the existing alliances between the organizations, information on project/ initiative partners and innovation/change partners reported in the interview was considered. It is important to mention here that with respect to project/initiative partners, not all organizations reported this information since it was not included on the interview protocol. Furthermore, with respect to innovation/change partners, as per the interview protocol, this information was asked only for two innovations/changes that were prioritized by the representative(s) of the organization interviewed. Thus, this information was not collected for all innovations/changes. Finally, some organizations did not specifically identify their partners but rather mentioned an organizational sector or group of individuals (i.e., "cooperatives," "universities, "promoters," etc.). It is for this reason that both named organizations and more general groups/sectors is presented in the data set (see Excel database), but, importantly, only specifically named organizations were included in the analysis. As such, it was anticipated that the findings reported here would not completely represent all of the existing alliances for the 20 organizations included in this sample; however, based on what was reported in the interviews, at least a basic profile of such alliances was achieved.

The results of the analysis reveal the organizations included in the sample reported working with 99 organizations, nine of which are part of the sample and 90 of which did not participate in this study. The distribution of these 99 organizations according to organizational group is shown in Figure 8 below. INGOs and cooperation agencies make up the bulk of the partner organizations, followed by the public sector, producer organizations, and universities/university research institutes. Civil society and private sector organizations are least represented among those organizations with which the sample organizations have alliances. Table 9 below presents a list of partner organizations aside from those in the sample by organizational type.

**Figure 8. Distribution of Partner Organizations**

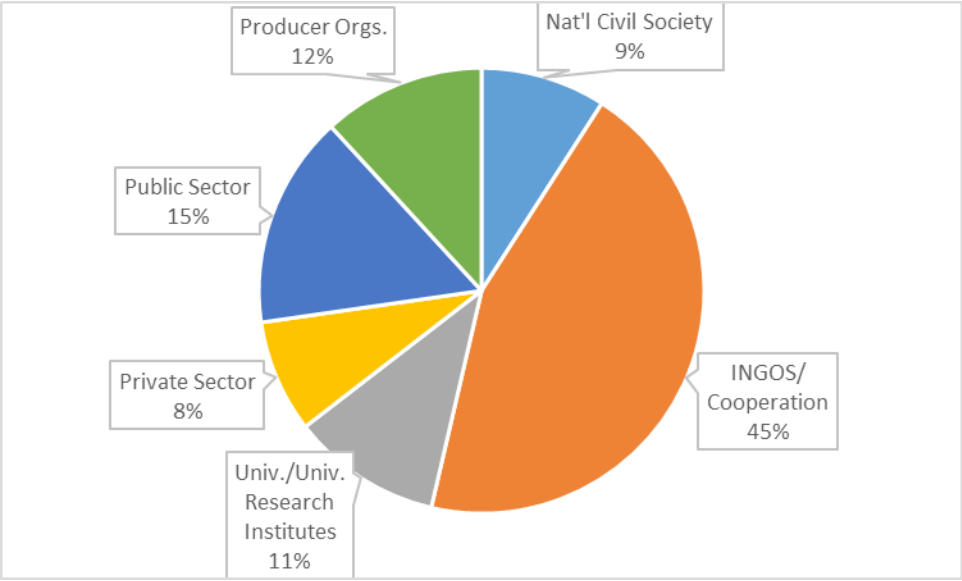


**Table 9. Partner Organizations for Projects/Initiatives and Innovations/Changes by Sector (*** *indicates organizations belonging to the sample*)

| Public Sector (15) | Producer Organizations (10) | National Civil Society (10) | Universities/ Univ. Research Institutes (10) | Private Sector (9) | INGOs/ Cooperation (45) | |
|---|---|---|---|---|---|---|
| CNP | Association of Plantain Growers | ADDAC* | ADAA | APEN | Action Aid Denmark | GIZ |
| CONYCIT | Association of Pitaya Growers | CIPRES | BCIE | Biolatina | AECID | Green Mountain Coffee |
| GRAAN | ATC | FUNICA | CIDEA | Exportadora Atlantic/Ecom* | ALFA III | IFC |
| IDR | CACAONICA | GPAE | CNU | HENTCO | Ayuda en Acción | IICA |
| INAFOR | CAFENICA | IPADE | Colegio Posgrado (Mexico) | Mayacert | BCIE | JICA |
| INTA | CECOCAFEN | Juventud Sandinista | FDL | Nespresso | BID | LWR |
| MAGFOR | Central de Cooperativas de Sébaco | LIDECONIC | UNA | Ritter Sport* | Bread for the World | MEDA |
| MARENA | Soppexcca* | Native Seed Network | UNAN-FAREM (Matagalpa)* | Starbucks | Bruck Le Pont | OCIA |
| MEFCCA | UNAG* | Semilla de Identidad Criolla Alliance | UNAN-León* | Valuelink | Catholic Church | OIRSA |
| MEF | UPANIC | SIMAS | URACCAN | | Christian Aid | Oxfam |
| MEM | | | | | CATIE* | PCI |
| MIFIC | | | | | CIAT | Red Cross International |
| MIPYME | | | | | CIC-Bata | Red-SICTA |
| MITRAB | | | | | CIRAD | Root Capital |
| SETAB | | | | | CISA | SERIDAR |
| | | | | | CONSUDE | SI |
| | | | | | DED | SNV |
| | | | | | DGRV | SWISSAID |
| | | | | | EIRENE | TROCAIRE |
| | | | | | EED | UNIDO |
| | | | | | EU | USDA |
| | | | | | FAO* | VECO |
| | | | | | French Embassy | |

Table 10 below lists the median value for the number of partners for each organizational group as well as for the entire sample. As far as the number of organization partners reported by the organizations in the sample, producer organizations as a whole reported the most alliances, followed by universities/university research institutes, INGOs/cooperation agencies, the private sector, and the public sector. The least number of partners was reported for national civil society organizations. In considering the median value of the number of partners, the overall median value for the sample was 7.5 with producer organizations, universities/university research institutes, and the private sector all registering median values that exceeded the overall, with 10, 9, and 9, respectively. Despite the high overall number of reported organizational partners, some INGOs/cooperation agencies did not report nearly the number of partners as others.

**Table 10. Median and Range of Alliances by Organizational Group**

| Organizational Group | Number of Reported Partners | Median |
|---|---|---|
| National Civil Society | 5 | -- |
| INGOs and Cooperation | 25 | 4 |
| Universities/University Research Institutes | 29 | 9 |
| Private Sector | 18 | 9 |
| Public Sector | 10 | 5 |
| Producer Organizations | 44 | 10 |
| | **Overall** | **7.5** |

Figure 9 shows the distribution of alliances by organizational group in terms of the number of alliances and Table 11 shows this in terms of percentage of alliances by organizational group. This information helps us to understand with which organizations the organizations included in the sample tend to work. Based on the data presented below, some of the more outstanding findings are as follows:

- As a whole, organizations comprising the sample reported working with INGOs and cooperation agencies the most. More than 50% of the working alliances reported for national civil society, private sector, and producer organizations were with INGOs and cooperation agencies.
- Alliances with public sector organizations were also prominent. All organizations in the sample apart from the one national civil society organization reported having alliances with public sector organizations with public sector organizations, universities, and INGOs/cooperation having the highest proportions of alliances with the public sector.
- INGOs/cooperation agencies and producer organizations in the sample reported working with the widest range of organizations, reporting alliances with organizations from all six organizational groups, with the private sector following with five out of six organizations.

- Of the sample, only universities/university research institutes, INGOs/cooperation agencies, and producer organizations reported working with universities/university research institutes, and of these, universities/university research institutes that were part of the sample reported the most organizational alliances with other universities.

**Figure 9. Distribution of Alliances by Organizational Group (# alliances)**

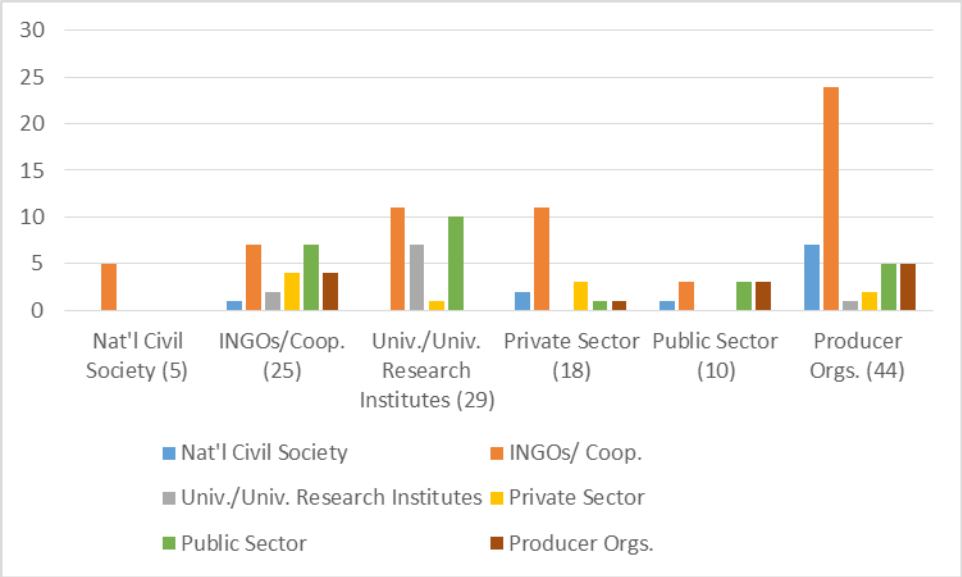



**Table 11. Distribution of Alliances for Each Organizational Group (%)**

| Organizational Group (sample) | Nat'l Civil Society | INGOs/ Cooperation | Univ./ Univ. Research Institutes | Private Sector | Public Sector | Producer Orgs. |
|---|---|---|---|---|---|---|
| **Nat'l Civil Society** | 0% | 100% | 0% | 0% | 0% | 0% |
| **INGOs/ Cooperation** | 4% | 28% | 8% | 16% | 28% | 16% |
| **Univ./ Univ. Research Institutes** | 0% | 38% | 24% | 3% | 34% | 0% |
| **Private Sector** | 11% | 61% | 0% | 17% | 6% | 6% |
| **Public Sector** | 10% | 30% | 0% | 0% | 30% | 30% |
| **Producer Orgs.** | 16% | 55% | 2% | 5% | 11% | 11% |

Finally, it is important to note that eight (8) organizations from the sample of 20 reported that they have carried out innovations with the same partners with which they have worked on projects or initatives. Of these eight organizations, three were INGOs/cooperation agencies (Bioversity, Fundación Solidaridad, and GIZ); two were universities/university research institutes (CGAT and UNAN-FAREM Matagalpa), and three were producer organizations (CONACAFE, MAONIC, and Soppexcca).

## Common Themes in Work with Partner Organizations

In order to gain a better idea of the main themes of the projects/initiatives and innovations/changes for which the organizations collaborated with other organizations, the projects and innovations for which partner organizations were reported were considered. This indicator is also useful for examining the experience of the organizations with regard to alliances with other organization and the areas of expertise. This examination went beyond the 11 thematic areas to look at the more specific topics on which organizations collaborated. To undertake the analysis for this indicator, the data was analyzed and common themes were identified based on the specific nature of the project or innovation. Twenty-one (21) themes were identified and used in the analysis. Following this part of the analysis, projects and innovations were classified based on the theme that most represented the nature of the project/innovation. It should be mentioned here that one organization (GIZ) reported collaborating with other organizations for four of their projects but the data collected did not specify the details of the projects; thus, this data was not included in the analysis. A complete list of the projects and innovations undertaken with partner organizations is available in Annex 7.

The analysis of the data found that, of the 158 reported projects/initiatives and innovations/changes, 80 projects/innovations were the result of alliances with other organizations. Table 12 lists the number of projects/innovations for each theme by organizational group. Cells were highlighted in green for themes for which only one organizational group reported a corresponding project/innovation.

Several outstanding findings regarding the common themes in the work with partner organizations reported by the organizations is that the majority of the alliances were on projects or innovations related to strengthening value chains, promoting agricultural technology, and public policy. Furthermore, while projects/innovations for which collaboration with partners was reported were fairly evenly distributed across the themes (1–4) and organizational groups (with 2–4 organizational groups having projects/innovations for each theme). Several of the most salient findings were that INGOs and cooperation agencies had the highest number of projects/innovations undertaken with partners that were related to strengthening value chains. Universities/university research institute collaborations were mostly on climate change initiatives/innovations and producer organizations heavily emphasized public policy when collaborating with other partner organizations.

**Table 12. Number of Projects/Innovations with Partner Organizations by Theme**

| Theme | Nat'l Civil Society | INGOs/ Cooperation | Univ./Univ. Research Institutes | Private Sector | Public Sector | Producer Orgs. | Total |
|---|---|---|---|---|---|---|---|
| Access to credit/ investment | 0 | 0 | 0 | 0 | 0 | 2 | 2 |
| Capacity building | 0 | 0 | 1 | 0 | 1 | 2 | 4 |
| Climate change adaption | 0 | 0 | 4 | 0 | 0 | 0 | 4 |
| Education | 0 | 1 | 2 | 0 | 0 | 1 | 4 |
| Enhancing food security | 1 | 1 | 1 | 0 | 0 | 1 | 4 |
| Environmental protection | 0 | 0 | 0 | 0 | 0 | 1 | 1 |
| Farm sustainability | 0 | 0 | 0 | 0 | 1 | 2 | 3 |
| Human development | 0 | 0 | 2 | 0 | 0 | 0 | 2 |
| Knowledge management | 0 | 1 | 0 | 0 | 0 | 0 | 1 |
| Multidimensional innovations[6] | 1 | 2 | 2 | 0 | 0 | 0 | 5 |
| Native seeds | 0 | 0 | 0 | 0 | 0 | 2 | 2 |
| Cattle production systems | 0 | 0 | 2 | 0 | 0 | 1 | 3 |
| Cocoa production systems | 0 | 0 | 0 | 1 | 0 | 2 | 3 |
| Coffee production systems | 1 | 2 | 0 | 0 | 0 | 0 | 3 |
| Promoting agricultural technology | 0 | 1 | 2 | 2 | 1 | 3 | 9 |
| Promoting business | 1 | 0 | 0 | 0 | 0 | 2 | 3 |
| Public policy | 0 | 0 | 0 | 0 | 0 | 6 | 6 |
| Research | 0 | 1 | 1 | 0 | 1 | 1 | 4 |
| Strengthening alliances | 0 | 1 | 2 | 0 | 0 | 0 | 3 |
| Strengthening local governance | 0 | 4 | 0 | 0 | 0 | 0 | 4 |
| Strengthening value chains | 0 | 6 | 2 | 2 | 1 | 0 | 11 |

## Desired Innovations and Changes

This indicator was concerned with the types of innovations and changes that the 20 organizations reported that they would like to work on over the next 5 to 10 years. A full list of desired innovations and changes appears in Annex 8 and also includes potential innovation/change partners identified by the organizations (when reported) as well as the primary thematic are(s) to which the innovation/change corresponded.

Seventy-three (73) desired innovations and changes were reported by the 20 organizations that participated in this study. Table 13 below shows the number of desired innovations/changes for each organizational group as well as the median value for each group. Organizations reported between 1 and 8 desired innovations. Figure 10, also below, shows the distribution of desired projects/innovations across the organizational groups by percentage.

[6] These are complex innovations that crossed multiple themes.

**Table 13. Desired Innovations/Changes by Organizational Group**

| Organizational Group | Number of Desired Innovations/Changes | Median Value |
|---|---|---|
| National Civil Society | 2 | -- |
| INGOs and Cooperation | 24 | 4 |
| Universities/University Research Institutes | 16 | 3.5 |
| Private Sector | 7 | 3.5 |
| Public Sector | 7 | 3.5 |
| Producer Organizations | 17 | 3 |
| **Overall** | **73** | **3.5** |

**Figure 10. Distribution of Desired Innovations/Changes across Organization Groups**

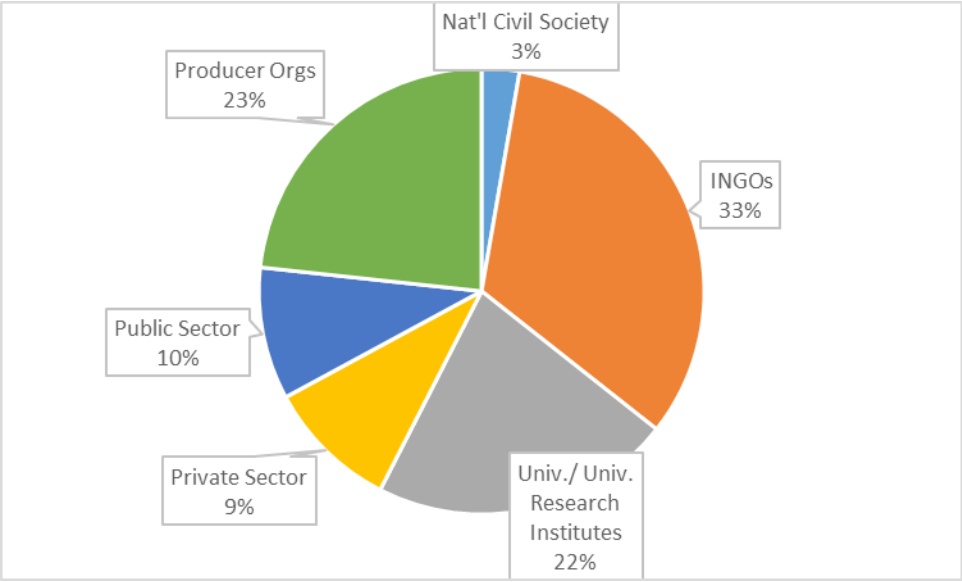



Table 14 lists the desired innovations and changes reported by the organizations according to the thematic area that the innovation/change strongly corresponded. The vast majority of the desired innovations/changes (40) reported by the sample of organizations strongly addressed sustainable productivity, followed by natural resource conservation, commercialization and access to markets, and innovation, knowledge, and learning. None of the reported desired innovations/changes explicitly addressed community health and very few of the reported desired innovations/changes explicitly addressed innovations to increase capital, the increasing of income/poverty reduction, or gender equity and empowering women/youth/marginal groups.

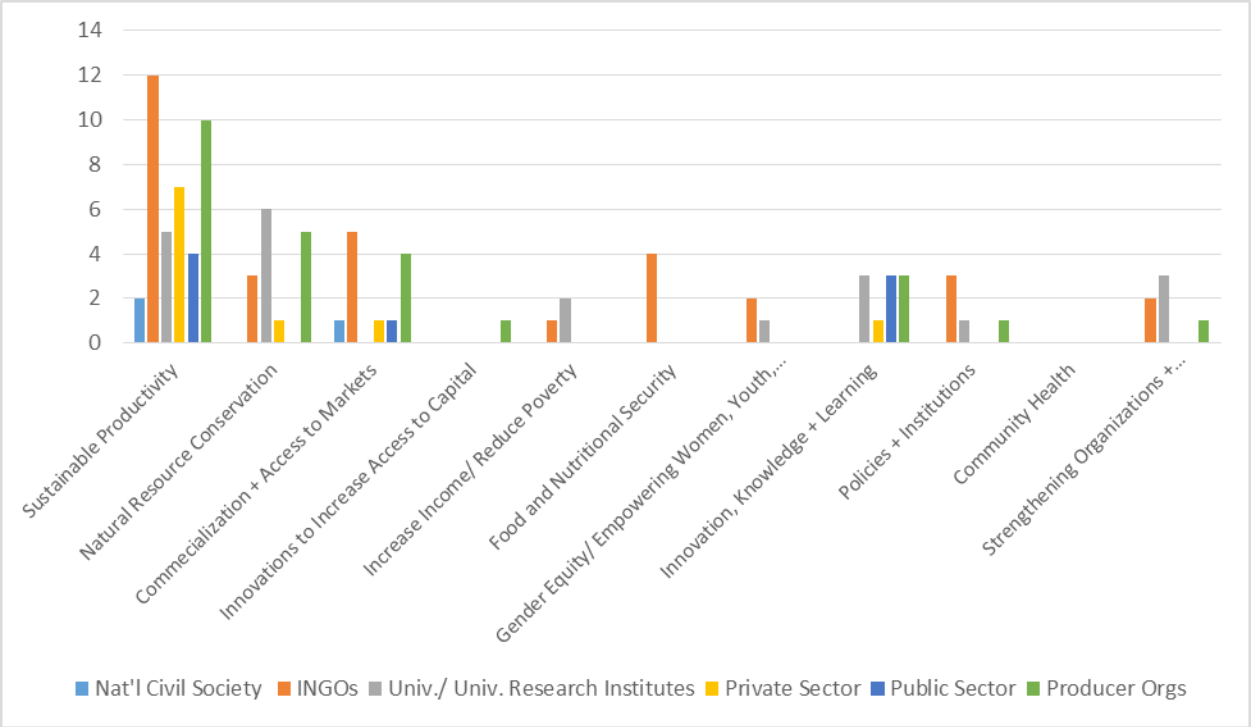
**Table 14. Distribution of Desired Innovations/Changes by Thematic Area**

| Thematic Area | Number of Desired Innovations/Changes |
|---|---|
| Sustainable productivity | 40 |
| Natural resource conservation | 15 |
| Commercialization and access to markets | 12 |
| Innovations to increase access to capital | 1 |
| Increase income/reduce poverty | 3 |
| Food and nutritional security | 4 |
| Gender equity/empowering women, youth, and marginal groups | 3 |
| Innovation, knowledge, and learning | 10 |
| Policies and institutions | 5 |
| Community health | 0 |
| Strengthening organizations/alliances | 6 |

Figure 11 below shows the distribution of desired innovations and changes by thematic area and organizational group, and it serves to depict the thematic areas for which the organizations seek to foster innovation and change in coming years according to the results for each organizational group. Similar to reported innovations/changes over the last five years (see above), the reported innovations and changes desired by INGOs/cooperation, universities/university research institutes, and producer organizations spanned the greatest range of thematic areas (7 to 8). Innovations and changes desired by national civil society, the private sector, and the public sector were more limited as far as the range of thematic areas they addressed (2–4). Most of the desired innovations/changes reported by national civil society, INGOs/cooperation agencies, the private sector, the public sector, and producer organizations addressed sustainable productivity, while universities/university research institutes focused slightly more on natural resource conservation. Few organizations reported interest in pursuing innovations/changes that addressed the areas of:

- Innovations to increase access to capital (producer organizations only);
- Increase income and reduce poverty (INGOs/cooperation and universities/university research institutes only);
- Food and nutritional security (INGOs/cooperation only);
- Gender equity/empowering women, youth, and marginal groups (INGOs/cooperation and universities/university research centers only); and
- Community health (none).

**Figure 11. Distribution of Desired Innovations/Changes by Organizational Group & Thematic Area**




## Current Innovation/Change Partners vs. Potential Innovation/Change Partners

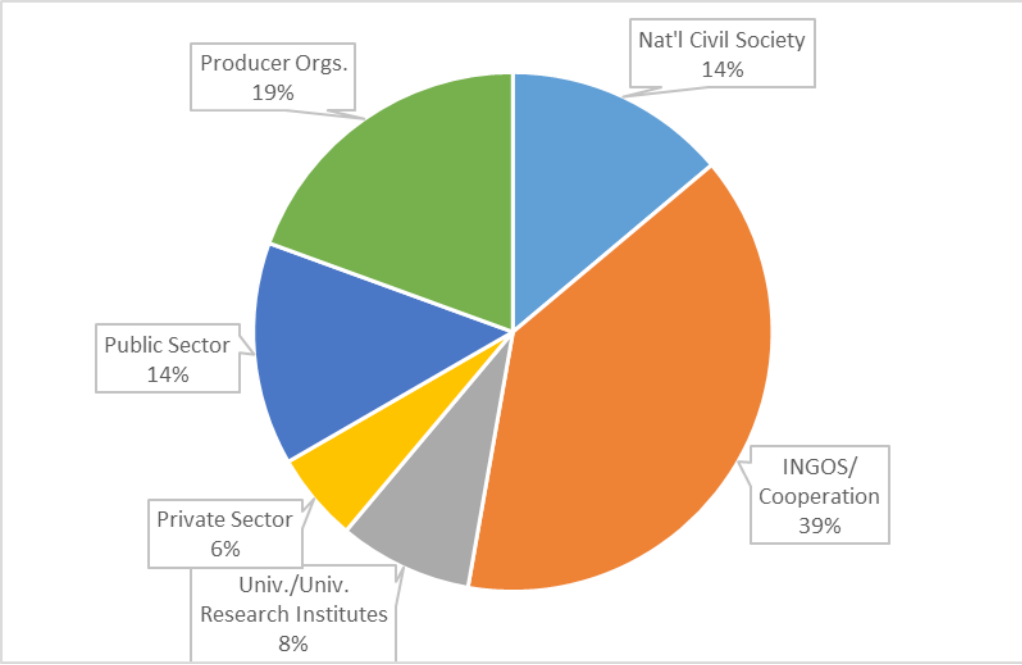
This indicator examined alliances between the organizations and partners (as per those reported for projects/initiatives and innovations/changes) versus the potential partners the organizations identified during the interview with which they would consider working to carry out desired innovations and changes. It is important for assessing the extent to which organizations are considering continuing their work with current or past partners and/or are interested in possibly branching out to work with new partners. Two dimensions were explored: the main organizations with which organizations in the sample have collaborated and those with which they expressed interest in collaborating.

It cannot be guaranteed with certainty that the potential partners identified by the organizations were not past partners/collaborators since this analysis is only considering the data collected via the interviews. However, as with organizational alliances (see above), a basic profile can be obtained of the similarities and differences between actual and potential organizational alliances. Furthermore, organizations were only asked to identify potential partners for two prioritized desired innovations. As such, the information collected about potential partners only reflects those identified for up to two of the desired innovations/changes the organization expressed interest in carrying out. Finally, like with organizational alliances, some organizations did not specifically identify potential partners by name but rather mentioned an organizational sector or group of individuals (i.e., “cooperatives,” “universities, “promoters,” etc.). It is for this reason

that both named organizations and more general groups/sectors is presented in the data set (see Excel database), but, importantly, only specifically named organizations were included in the analysis. Thus, no data was used in the analysis on potential partners for six organizations (CRS, CGAT, Exportadora Atlantic/Ecom, INATEC, DGPSA, and UPANIC) because these organizations did not specifically name potential partners but rather only general groups. Potential innovation partners are listed by organization and desired innovation/change in Annex 8.

A total of 42 organizations were identified as potential innovation/change partners. Figure 12 (below) shows the distribution of potential innovation partners by organizational group. As shown INGOs/cooperation agencies made up the bulk of the identified potential partners, followed by producer organizations, national civil society, and public sector organizations, the latter two of which were equal in number. Universities/university research institutes and the private sector were the least represented in the organizations identified as potential innovation partners. This distribution is slightly different from that of actual project/innovation partners in that, although INGOs/cooperation continue to make up the bulk of partners, producer organizations and national civil society organizations are slightly more represented as potential partners, public sector and private sector organizations are more or less in the same proportion, and universities/university research centers make up a smaller proportion in the distribution of potential partners.

**Figure 12. Distribution of Potential Partners by Organizational Group**




Ten (10) of the potential partner organizations were members of the sample of 20 organizations that participated in this study and 32 of the identified potential partners were not part of the sample. Sixteen of the 42 organizations (three belonging to the sample and 13 not belonging to

the sample) were organizations with which members of the sample did not report carrying out projects or innovations. To clarify further, 13 organizations did not belong to the sample nor were they cited as organizations with which the sample reported to have had carried out previous projects or innovations. Table 15 lists all the organizations identified as potential innovation/change partners and distinguished members of the sample and previous project/innovation partners from organizations not previously named in reported alliances.

**Table 15. Potential Innovation/Change Partners by Organizational Group**

| Public Sector (5) | Producer Organizations (7) | Nat'l Civil Society (5) | Universities/ Univ. Research Institutes (9) | Private Sector (2) | INGOs/ Cooperation (14) |
|---|---|---|---|---|---|
| CNP | CACAONICA | ADDAC | BICU* | Exportadora Atlantic/Ecom | Bioversity* |
| INTA | CAFENICA | FADCANIC* | EARTH University (Costa Rica)* | Ritter Sport | CATIE |
| MAGFOR | CECOCAFEN | FUNICA | FDL | | CIAT |
| MARENA | PCAC* | National Popular Education Program* | UCA* | | CIAT-CATIE Learning Alliance* |
| SETAB | MAONIC* | Red GESCON* | UNA | | CIPAV* |
| | Soppexcca | | UNAN-León | | CIRAD |
| | UNAG | | University of Wageningen (The Netherlands)* | | FAO |
| | | | URACCAN | | EMBRAPA* |
| | | | Zamora Agricultural University (Honduras)* | | FHIA* |
| | | | | | IICA |
| | | | | | IITA* |
| | | | | | LWR |
| | | | | | SNV |
| | | | | | SWISSAID |

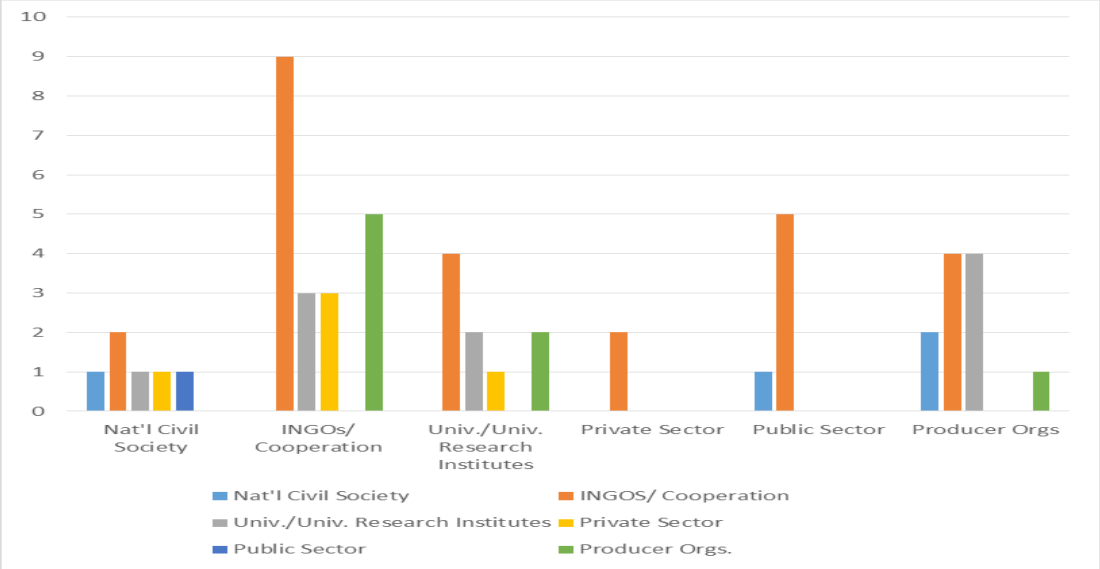
*Highlighted purple: organizations belonging to the sample; * indicates organizations that were not identified as project/innovation partners.*

Figure 13 shows the number of potential innovation partners by organizational group. Some of the salient findings of this analysis show that:

- Like the results of the analysis of organizational alliances, the organizations most commonly identified as potenital innovation partners were INGOs/cooperation agencies, followed by producer organizations and universities/university research institutes.
- INGOs/cooperation organizations as a whole identified the broadest range of potenital partners (from all six organizational groups) followed by universities and university/research institutes (organizatiosn from 4 of the organizational groups).
- Private sector organizations were the least identified potential partners (only INGOs/cooperation organizations identified them), followed by the public sector and civil society, both of which were cited slightly more. It is worth noting that several organizations from differen organizational sectors cited civil society organizations as

potenital partners, where as they were not highly represented in the analysis of organizational alliances.

**Figure 13. Distribution of Potential Innovation Partners by Organizational Group (# per group)**




Finally, as shown in Table 16, organizations reported interest in carrying out innovations with organizations they named as project/innovation partners as well as organizations they did not name as project/innovation partners. Of the 20 organizations in the sample, 9 reported that they were interested in carrying out desired innovations with organizations with whom they had undertaken projects and/or innovations and 13 of the organizations reported interest in carrying out desired innovations with organizations they did not report working with on projects and innovations.

**Table 16. Reported Potential Partners for Desired Innovations**

| Organizational Group | Organization | Identified desired innovation partners with whom they reported undertaking projects and innovations? | Identified desired innovation partners with whom they did not undertake projects and innovations? |
|---|---|---|---|
| National Civil Society | ADDAC | No | Yes |
| INGOs/ Cooperation | Bioversity | Yes | Yes |
| | CATIE | No | Yes |
| | CRS | Inadequate data. | |
| | FAO | No | No |
| | GIZ | Yes | Yes |
| | Fundación Solidaridad | Yes | Yes |
| Universities/ University Research Institutes | CGAT | Yes | Inadequate data. |
| | Nitlapan | No | Yes |
| | UNAN-León | No | Yes |
| | UNAN-FAREM Matagalpa | Yes | Yes |
| Private Sector | Exportadora Atlantic/ Ecom | Inadequate data. | |
| | Ritter Sport | Yes | Yes |
| Public Sector | INATEC | Inadequate data. | |
| | DGPSA | Inadequate data. | |
| Producer Organizations | CONACAFE | Yes | Yes |
| | MAONIC | Yes | Yes |
| | PCAC | No | Yes |
| | Soppexcca | Yes | Yes |
| | UPANIC | Inadequate data. | |

## Sources of Learning to Carry Out Innovations

This indicator was concerned with exploring how and from where organizations access information to carry out innovations. In the interviews, organizations were asked about sources of learning and consultation for undertaking the prioritized innovations they identified Examining the responses of the organizations to this question enabled understanding more about how organizations have been and are currently learning.

In order to assess how the organizations learn, data on the sources of learning for innovations and changes that the organizations participated in carrying out was analyzed for all but two organizations (CATIE and UNAN-León) for both of which no data was available on this indicator). Similar to the themes of work alliances, common sources of learning were identified from the data. In total, 21 sources of learning were identified. Table 17 provides a summary of the ways of learning for each organizations group (see Annex 9 for complete information for each organization).

**Table 17. Number of Reported Sources of Learning to Carry Out Innovations (# /median value by organizational group)**

| Organizational Group | Number of Sources of Learning Utilized | Median Value |
|---|---|---|
| National Civil Society | 3 | -- |
| INGOs and Cooperation | 12 | 3 |
| Universities/University Research Institutes | 9 | 4 |
| Private Sector | 6 | 3.5 |
| Public Sector | 3 | 1.5 |
| Producer Organizations | 11 | 4 |
| | **Overall** | **3** |

Table 18 shows the different sources of learning and the number of organizations that reported learning from these sources. As seen, the most frequently reported sources of learning were businesses (including exporters, buyers, certifiers, etc.), internal experience and teamwork, and international research organizations/INGOs (i.e., CATIE, CIAT, CIRAD, etc.). Very few organizations reported learning from clients/customers, international partnerships/alliances, political alliances, producers, or from national/international training.

**Table 18. Sources of Learning for Carrying Out Innovations (# of organizations)**

| Number of Organizations Reporting Learning from Each Source | Businesses (exporters, buyers, certifiers, etc.) | Clients/Customers | Exchange with international actors | Experience of other programs/ projects | Foreign governments/ministries/agencies (laws, etc.) | Foreign universities | Internal Experiences/ Teamwork/Exchange | International partnerships/ alliances | Learning trips to other countries | Local/national/international platforms/ alliances/supporting | Local/national producer organizations | Methodological approaches (literature) | National NGOs/CSOS | Political alliances | Producers | Research organization (int. nations) INGOs) | Research organization (national universities/research institutes) | Regional Producer Associations Organizations | Reports and Studies | Specialists/Experts | National/International Training |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| **Less than 2 organizations** | | x | | | | | | x | | | | | | x | x | | | | | | x |
| **2 – 4 organizations** | | | x | x | x | x | | | x | x | x | x | x | | | | x | x | x | x | |
| **5 – 7 organizations** | x | | | | | | x | | | | | | | | | x | | | | | |

## Information Needed to Carry Out Desired Innovations

This indicator was concerned with the kinds of information that organizations foresee needing in order to carry out desired innovations. This information is important because it provides an idea as to what kinds of knowledge organizations need to carry out future changes. In the interviews,

organizations were asked to identify key types information they need to undertake desired innovations and changes. Data was analyzed from 14 organizations of the sample (data concerning this indicator was not specified in the interviews for six organizations, which were CATIE, CGAT, CRS, Exportadora Atlantic/Ecom, FAO, and Nitlapan). Of the 73 desired innovations and changes reported by the organizations, data on the kinds of information needed to carry out the innovations was collected for 29 desired innovations.

In order to analyze the types of information needed by the organizations, the 29 desired innovations were analyzed and 12 common themes were identified. The 29 innovations were then coded according which theme the desired innovation most represented (see Annex 10 for a list of coded desired innovations by organization and theme, as well as the reported information needed to carry out the innovation). Table 19 provides a summary of the information needed to carry out desired innovations as per data collected by the organizations.

As seen in Table X below, the types of information the organizations reported needing to carry out desired innovations is very broad and, in certain cases, quite specific to the desired innovations. This being said, some overarching observations can be made from the data, and these are as follows:

- The importance of technical knowledge in order to make changes and foster innovation at different stages of value chains was emphasized (production to agroindustry/processing to commercialization).
- Accessing genetic material (plants, seeds, etc.) that is adapted to local and changing climate conditions was another issue that was stressed in the findings.
- A cross-cutting need is for studies to determine current conditions (baselines) and identify opportunities and challenges (particularly for local territories, markets at multiple scales, and public policies).
- Techniques to build capacity and strengthen producer associations and the production sector as a whole are reported to be needed.

**Table 19. Themes of Desired Innovations and Information Needed to Carry Them Out**

| Theme of Desired Innovation | Information Needed |
|---|---|
| Agricultural Research for Productivity | Technical knowledge on production and commercialization systems; knowledge of training farm personnel |
| Capacity Building and Knowledge Enhancement | Methodologies for uniting and monitoring sectors and actors within sectors; general baseline studies on distinct territories and challenges they face |
| Energy/Infrastructure Development | Trained human resources to provide necessary skills and services |
| Enhancing Food and Nutritional Security | Technical knowledge on crops and germoplasm to diversify diets and redesign food production systems; cultural perspectives on change |
| Fighting Pests and Diseases | Trained human resources on diagnostic molecular biology; causal agents of pests/disease and agents to control them; applying technological control |
| Genetic (Plant) Resources for Production | Technical training; management of soil and genetic resources (i.e., seeds); diversification and adaption of genetic resources to local climates |
| Public Policy | Baseline on current regulations and their impacts |
| Soil Fertility | Soil diagnostics, nutrient recycling and plant use; evolution of soil fertility |
| Strengthening Agroindustry/ Value Added Products | Financing and investment for projects; technology; existing products, markets, and services |
| Strengthening Commercialization/ Value Chains | Genetic origin of plant material and germoplasm (i.e., from CATIE or FHIA); markets and demand; functioning of value chains; processing goods for the market |
| Strengthening Organizations + Alliances | Methods of strengthening sectorial alliances and encouraging participation and unity (especially among producers); general baseline studies on distinct territories and challenges they face |
| Strengthening Sustainable Production | Genetic material/origin; improving soil fertility and management; diversified production; improving quality; commercialization; training programs for farm personnel; local water and mineral properties and implications for production; fertilizer quality; pest management; plant nutrition; demand of producers for inoculants and how inoculants work under different climate and soil conditions |

## Actual and Perceived Limitations for Fostering Innovation and Change

Organizations were also asked to identify limitations to carrying out the two prioritized innovations/changes they reported in the interviews as well as potential limitations for carrying out desired innovations and changes. Examining the two is an initial step towards understanding obstacles to innovation and facilitating change as well as the perceptions of organizations in terms of foreseeable limitations. In effect, it is an indicator that serves to inform about considerations that need to be taken into account in planning future innovations and changes.

Analysis of actual and potential limitations was carried out by examining the data for both limitations to carrying out innovations and changes and foreseen limitations to carrying out

desired innovations. Out of the 85 innovations/changes reported by the organizations in the sample, data on limitations encountered in carrying out this innovations/changes was available for 32 (38%) and for 24 of the 73 (33%) desired innovations and changes that were reported. Based on the available data, the limitations were coded and grouped into general categories. Annexes 11 and 12 list the limitations identified by the organizations for carrying out innovations and changes and potential limitations for carrying out desired innovations, respectively.[7]

Table 20 lists general limitations and the number of organizations that identified these limitations as either actual limitations they encountered in carrying out innovations or foreseen limitations in carrying out their reported desired innovations/changes. The general limitations were further coded into 8 categories: productive, economic, technical, commercialization, institutional, attitude/cultural, human capacity, and alliance/partnership limitations, as well as factors related to the process of carrying out the innovations (other limitations).

As the data shows in this table, the most common limitations reported by the organizations in carrying out innovations and changes were those related to economic, human capacity, and attitude/cultural limitations. Economic and human capacity limitations were also the most cited potential limitations to carrying out desired innovations. Also noteworthy here is that while limitations regarding alliances/partnerships were not cited as limitations to carrying out innovations, they were cited as potential limitations to carrying out future changes.

**Table 20. Reported Limitations and Perceived Limitations**

| Category | Limitation | # of Organizations Encountering Limitation | # of Organizations Reporting as Potential Limitation |
|---|---|---|---|
| Productive | Limited volume/supply, quality, or productivity of commodity | 2 | 2 |
| | Limited productive resources (inputs, genetic material, seeds, inventory, etc.) | 0 | 1 |
| | Climate restrictions | 1 | 1 |
| | Production model failure | 2 | 0 |
| | Lack of appropriate management | 1 | 1 |
| | Lack of quality or appropriate inputs | 2 | 1 |
| | Pests/Diseases | 1 | 1 |
| Economic | Lack of financing opportunities | 0 | 6 |
| | Limited economic capacity to foster change | 10 | 4 |
| | Cost of inputs | 2 | 0 |
| Technical | Methodological limitations | 0 | 1 |
| | Lack of information | 1 | 3 |
| | Limited adoption of technology | 1 | 1 |
| | Lack of industrial development | 1 | 0 |

[7] CATIE, FAO, UNAN-León, and CATIE did not report any limitations with regard to executed innovations and changes, and CATIE, CGAT, Exportadora Atlantic/Ecom, INATEC, PCAC, and UNAN-León did not report any potential limitations for carrying out desired innovations. Thus, these organizations do not appear in the lists included in Annexes 11 and 12.

| | | | |
|---|---|---|---|
| | Other technical limitation | 1 | 0 |
| Commercialization | Dependence on one buyer | 1 | 0 |
| | Marketing | 1 | 0 |
| | Limited access to markets | 1 | 0 |
| Institutional | Weak public sector | 1 | 0 |
| | Weak institutional capacity | 1 | 0 |
| | Public sector policies | 0 | 1 |
| Attitude/Cultural | Lack of will/interest/participation on the part of key actors | 3 | 3 |
| | Traditional attitudes or mentalities that limit change | 5 | 1 |
| | Disagreements/conflict | 1 | 0 |
| | Negative attitudes that hinder change | 4 | 1 |
| Human capacity | Lack of trained/experienced human resources | 10 | 5 |
| | Lack of time on the part of key actors | 0 | 1 |
| | Limited facilitation of the innovation | 3 | 0 |
| | Inability to determine appropriate practices | 2 | 1 |
| Alliance/Partnership | Limited coordination with partners | 0 | 2 |
| | Lack of strong partnerships | 0 | 3 |
| Other | Lack of immediate impact/consequences | 0 | 1 |
| | Previous negative experiences | 1 | 0 |
| | Weak infrastructure | 1 | 1 |
| | Limited M&E of innovation/change process | 1 | 0 |
| | Elements of innovation process | 2 | 2 |

# Lessons Learned

As stated in the beginning of this report, the purpose of undertaking this analysis was twofold: (1) to learn more about the current status of activities, innovations, and future directions of organizations working in the Nicanorte Humidtropics' action site and (2) it provides a starting point as a baseline study for monitoring and evaluating the changes in organizational activities, learning, and innovation. The lessons learned from this study are especially useful and important because the organizations that participated in this study are being slated to be members of the national level Humidtropics Research for Development (R4D) platform for the Nicanorte action site. While all of the organizations considered to be potential members of this platform did not participate in interviews (others attended a workshop in October 2013 that was one of the first collective and participatory steps to make strategic decisions about the direction of Humidtropics in Nicanorte), the results of this organizational analysis provides an initial baseline study of the organizations that will participate in the R4D platform. Thus, this study provides an overview of important trends in the existing nature of the work of the organizations. This information is particularly key assessing to what extent the organizations are already working towards the Humidtropics IDOs and, as such, is very useful for creating awareness whilst making future strategic decisions concerning Humidtropics.

In summing up the lessons learned from this study, this following discussion looks at the themes of organizational activity over the last five years as well as potential activities in the future based on the projects/initiatives, impacts made, innovations, and desired innovations reported by the organizations; trends in organizational alliances; ways of organizational learning; and finally limitations (read: challenges) faced by the organizations.

To assist in discussing the themes of organizational activities and trends in organizational alliances, a profile of the organizational groups is presented in Table 21. A profile of each organizational group was created by drawing on information concerning the themes of the projects and innovations the organizations participating in this study have carried out, the themes of the impacts they have made, the themes of the innovations they would like to execute, and the partners they have had and with whom they would like to work. This information is very useful for gaining a general idea about the nature of the work of the organizations as well as their past and future alliances, and it is also useful for gauging overall trends. As such, it serves to create a general baseline that can be used to assess change in organizational activities.

## Table 21. Profile of Organizations by Group

| Main findings | National Civil Society | INGOs/ Cooperation | Univ./ Univ. Research Institutes | Public Sector | Private Sector | Producer Organizations |
|---|---|---|---|---|---|---|
| Predominant thematic area(s) of projects[a] | Mixed | 1. Sustainable productivity<br>2. Commercialization + access to markets | 1. Innovation, knowledge, + learning<br>2. Natural resource conservation | Sustainable productivity, Commercialization + access to markets, Innovations to increase access to capital* | 1. Commercializa-tion + access to markets<br>2. Innovation, knowledge + learning | 1. Sustainable productivity<br>2. Policies + Institutions |
| Predominant themes of organizational impacts[b] | 1. Innovations to increase access to capital<br>2. Strengthening organizations and alliances | 1. Sustainable productivity<br>2. Strengthening organizations + alliances | 1. Innovation, knowledge + learning<br>2. Natural resource conservation | 1. Sustainable productivity | Sustainable productivity and commercialization + access to markets | 1. Sustainable productivity<br>2. Natural resource conservation |
| Types of innovations[c] | Innovation, knowledge +learning; Strengthening organizations + alliances* | 1. Sustainable productivity<br>2. Commercialization + access to markets | 1. Innovation, knowledge + learning<br>2. Sustainable productivity | 1. Sustainable productivity<br>2. Commercialization + access to markets | 1. Sustainable productivity<br>2. Innovation, knowledge + learning | 1. Sustainable productivity<br>2. Natural resource conservation and Innovation, knowledge + learning* |
| Most reported project/ innovation partners[d] | 1. INGOs/ cooperation | INGOs/ cooperation and the public sector* | 1.INGOs/ cooperation<br>2. Public sector | 1. INGOs/ cooperation<br>2. Private sector | INGOs/ cooperation, public sector, and producer organizations* | 1. INGOs/ cooperation<br>2. National civil society |
| Not partnering with on project/ innovations | National civil society, Universities/ university research institutes, private + public sectors, producer organizations | None | National civil society and producer organizations | Universities/ university research institutes and producer organizations | Universities/ university research institutes and the private sector | None |

| Main findings | National Civil Society | INGOs/ Cooperation | Univ./ Univ. Research Institutes | Public Sector | Private Sector | Producer Organizations |
|---|---|---|---|---|---|---|
| Themes of organizational alliances (predominant)[e] | No predominant | Strengthening value chains; strengthening local government | Climate change adaption | Promoting agricultural technology; strengthening value chains | No predominant. | Public policy; promoting agricultural technology |
| Areas of desired innovations[f] | 1. Sustainable productivity<br>2. Commercialization/ access to markets | 1. Sustainable productivity<br>2. Commercialization / access to markets | 1. Natural resource conservation<br>2. Sustainable productivity | 1. Sustainable productivity | 1. Sustainable productivity<br>2. Innovation, learning + knowledge | 1. Sustainable productivity<br>2. Natural resource conservation |
| Potential innovation partners[g] | 1. Producer organizations<br>2. Public sector/ national civil society | 1. INGOs/ cooperation<br>2. Public sector | 1. Producer organizations<br>2. INGOs/ cooperation | 1. INGOs/ cooperation<br>2. Civil society + universities/ university research institutes* | 1. Civil society | 1. INGOs/ cooperation<br>2. Universities/ university research institutes |

[a] *Lists the two most cited by each organizational group;* [b] *Lists the two most cited for each organizational group*; [c] *Lists the two most cited thematic groups for each organizational group*; [d] *Lists two organizational groups that the organizations most cited as project/innovation partners pertained*; [e] *Lists the two most predominant themes of organizational alliances*; [f] *Lists the two most cited by each organizational group*; [g] *Lists the two most cited by each group*; * *indicates findings that were equally cited*; [] *indicates that there was only one predominant finding*.

***Themes of Organizational Activities***

- The major themes in the projects/initiatives, impacts, and innovations that the organizations have carried out or made over the last five years have addressed three major themes: sustainable productivity, commercialization and access to markets, and innovation, knowledge, and learning. This indicates that there is ample activity already geared towards IDOs 1, 3, 4, and 6.
- Based on the findings of this study, there is far less attention being directed towards food and nutritional security and gender equity, which correlate with IDOs 2 and 5. This is a particularly noteworthy observation that needs to be evaluated further, especially because of the mainstreaming of gender components in development projects and also the importance of food and nutritional security in development work more generally in Nicaragua. Here the question arises as to whether and how organizations are conceptualizing gender equity and food/nutrition and how they are addressing these issues in their activities.
- The trend towards activities addressing sustainable productivity, in particular, remains strongly evident in the innovations desired by the organizations, with organizations from all organizational groups expressing interest in carrying out changes addressing this theme.

***Trends in Organizational Alliances***

- There is ample opportunity for innovations either introduced or emerging from the R4D platform to be shared. The wide range of organizations with which the organizations participating in this study have worked or continue to work with clearly evidences this potential, which will assist in meeting the objectives set forth in IDO 6.
- There is an overall predominance of alliances with INGOs/cooperation for all organizational groups both in terms of current project/innovation partners and potential innovation partners. However, in comparing the two, it is noted that some organizations expressed interest in working with organizations from different sectors with which they are not currently working. This suggests openness to diversifying partnerships.

***Ways Organizations Learn***

- The organizations that participated in this study learn in very diverse ways, some of which are clearly based on existing partnerships and opportunities.
- The predominance of learning occurring through internal experience and also with research organizations is promising in terms of the potential for self-reflection and partnerships with programs like Humidtropics, respectively.
- The more limited extent to which organizations are learning from other programs, local/national organizations and producers is noteworthy, as it suggests that this is an opportunity for the Humidtropics innovation platforms/territorial alliances to engage member organizations in learning from each other and empowering them to draw on each other's expertise.

***Limitations and Challenges Faced by the Organizations***

- The organizations have faced many different kinds of limitations in carrying out projects/initiatives and innovations, including productive, economic, commercialization, technical, institutional, attitude/cultural, human capacity, and alliance/partnership limitations, among others.
- Economic, human capacity, and attitude/cultural limitations have been the main source of challenges for the organization according to the findings of this study. The organizations also see these kinds of limitations as hindering future innovation and change.

# The Way Forward: Recommendations

In light of the findings of this study and the lessons learned, there are several important recommendations to consider for the future, especially in terms of raising awareness among the members of the platforms and also in terms of carrying out future studies similar to this one.

1. In terms of the work of Humidtropics as both a facilitator and member of the platforms/alliances that are being established in Nicanorte, the issues of gender equity and nutrition need to be kept in mind in order to conform to the overall vision elaborated by Humidtropics as well as work towards IDOs 2 and 5.
2. The potential for the scaling out of innovations – and scaling up – is evidenced by the wide assortment of potential receivers of such knowledge, which is important for achieving the objectives of IDO 6. Moving forward with Humidtropics, it is important to consider strategies early on for how innovations will be shared with the broader Nicaraguan community – both among members of the platforms/alliances and beyond.
3. The modes of learning and the types of limitations encountered by organizations need to be considered in planning platform/alliance activities. By bearing in mind these trends, activity planning and implementation can be strengthened, which can in turn increase potential for success. Special attention should be paid to economic limitations, as well as those regarding human capacity and attitudes/cultural constraints.
4. Keeping in mind that this was the first analysis conducted of the organizations, the data collection methods could stand revision. One of the main limitations of this study is the inconsistency with which data was collected and reported. While some interviews were completed, others had important gaps that affected the extent to which conclusions could be drawn about the organizations. Potentially valuable information failed to be collected. It is important that interviewers are on the same page with regard to their conceptualizations of key ideas and the delivery of the interview. A training session with interviewers and other individuals involved in data collection and analysis is highly suggested before conducting a future study.
5. Connecting with the previous recommendation, in the future it might be useful to administer a survey followed by a semi-structured interview informed by the results of the survey to gain deeper perspective and richer data.