

# WOCAT

WORLD OVERVIEW OF CONSERVATION APPROACHES AND TECHNOLOGIES

A Framework for  
Documentation and Evaluation of  
Sustainable Land Management

## APPROACHES

**B**  
basic

WOCAT Questionnaire  
Revised 2008

Approach Code					
QA	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
	country code			consecutive number	

# WOCAT

## A Framework for Documentation and Evaluation of Sustainable Land Management



Within the framework of sustainable land management (SLM),

**WOCAT's vision** is that land and livelihoods are improved through sharing and enhancing knowledge about sustainable land management.

**WOCAT's mission** is to support innovation and decision-making processes in sustainable land management, particularly in connection with soil and water conservation (SWC). This is done by:

- connecting stakeholders,
- analysing and synthesising experiences and setting direction,
- enhancing capacity and knowledge,
- developing and applying standardized tools for documenting, monitoring, evaluating, sharing and using knowledge

**WOCAT's target group is SLM specialists:**

- at the field level, including agricultural advisors, project implementers, land users,
- at the (sub-)national level, including planners, project designers, decision makers, researchers,
- at the regional and global levels, including international programme planners, donors.

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## Introduction to the questionnaire

**Sustainable Land Management (SLM)** in the context of WOCAT is defined as the use of land resources, including soils, water animals and plants, for the production of goods to meet changing human needs, while simultaneously ensuring the long-term productive potential of these resources and the maintenance of their environmental functions.

The ultimate goal of this exercise is to improve the effectiveness of SLM by analysing field experience. To achieve this, we need to obtain a better understanding of the reasons behind successful experience with SLM – be it introduced by projects or found in traditional systems. Within SLM WOCAT focuses mainly on efforts to prevent and reduce land degradation through conservation technologies and their implementation approaches.

It is necessary to analyse not only so-called “successful” examples, but also those which may be considered – at least partially – a failure. The reasons for failure are equally important for our analysis.

### *Three questionnaires*

WOCAT has developed a set of three questionnaires to analyse and evaluate SLM:

- *Questionnaire on SLM Technologies (QT)*
- *Questionnaire on SLM Approaches (QA)*
- *Questionnaire on the SLM Map (QM)*

**Questionnaire on SLM Technologies (QT):** QT addresses the following questions: **what** are the specifications of the Technology, and **where** is it used (natural and human environment), what impact does it have. The questionnaire consists of three main parts: 1. General information; 2. Specification of SLM Technology; 3. Analysis of SLM Technology.

A **SLM Technology** consists of one or more *conservation measures* belonging to the following categories:

- **agronomic** (eg intercropping, contour cultivation, mulching),
- **vegetative** (eg tree planting, hedge barriers, grass strips),
- **structural** (eg graded banks or bunds, level bench terrace),
- **management** (eg land use change, area closure, rotational grazing).

**Combinations** of above measures which are complimentary and thus enhance each other are part of a SLM Technology.

Criteria for identification and examples of technologies are given in the Questionnaire on SLM Technologies “basic” on page QT1 and QT7.

The **questionnaire on SLM Approaches (QA):** QA addresses the questions of **how** implementation was achieved and **who** achieved it. It is also made up of three main parts: 1. General information; 2. Specification of SLM Approach; 3. Analysis of SLM Approach

A **SLM Approach** defines the ways and means used to promote and implement a SLM Technology and to support it in achieving more sustainable soil and water use. A ‘SLM Approach’ - as defined by WOCAT - refers to a particular land conservation activity, be it an official project/programme, an indigenous system, or changes in a farming system towards more sustainable soil and water use. A SLM Approach consists of the following elements: **All participants** (policy-makers, administrators, experts, technicians, land users, i.e. actors at all levels), **inputs and means** (financial, material, legislative, etc.), and **know-how** (technical, scientific, practical). An Approach may include different **levels of intervention**, from the individual farm, through the community level, the extension / advisory system, the regional or national administration, or the policy level, to the international framework. Besides conservation activities introduced through projects or programmes, WOCAT includes indigenous conservation measures and spontaneous adoptions or adaptations of SLM Technologies. **In the case of a project, we restrict ourselves to those elements within the project that are directly or indirectly relevant to land conservation.**

The **questionnaire on SLM Mapping (QM)** addresses the question of **where** problems and their treatments occur. It is split up into 5 different steps: Contributing specialist; Land Use System; Land degradation per land use system, Land conservation per land use system; Expert recommendation

The three questionnaires (QT, QA and QM) complement each other. The information obtained from the questionnaires will provide an information base / database for the development and evaluation of SLM. The analysis and evaluation process is based on this information and on the knowledge provided by core groups of SLM specialists and the world community of conservation implementers at large.

***The basic questionnaire and the modules***

WOCAT has developed a modular questionnaire system in order to meet the needs of different user groups. The “basic questionnaires” on Technologies and Approaches contain the key questions on sustainable land management (SLM), they are the foundation of the WOCAT methodology.

The framework is flexible and open for additional topics (not covered in the standardised WOCAT questionnaires): further modules can thus be added according to specific interests and needs, e.g. modules on “Biodiversity”, “Carbon sequestration”, etc. The realisation of additional modules depends on the initiative of interested partners, who can count on the collaboration of WOCAT.



## Please read these notes before filling out the questionnaire!

- It is recommended that the questionnaire be filled in by a **team of SLM specialists** with different backgrounds and experiences who are familiar with the details of the SLM Technology (technical, financial, socio-economic).
- **Don't let the number of pages in this questionnaire discourage you!** In some places the information will be simple to obtain, but in other sections there may be no hard data available. In this latter case, we ask you to provide a best estimate, based on your professional judgment.
- **Shaded parts** in the questionnaire are questions to be filled in, **not shaded parts** are explanations or examples.
- Fill all questions. If information is not available or if certain questions are not applicable always indicate "n/a". Please note that throughout the document the following is valid:

**Square boxes must be ticked!** If 'Several answers possible' is not indicated tick only one box!  
**Make use of the specify/remark/comments column or line as much as possible!**

**Circles always require ranking!** It is possible to give more than one option the same rank, but not necessarily all circles need to be given a number. Use only ranks 1, 2 or 3!

1 = very important / large extent  
 2 = important / medium extent  
 3 = less important / little extent

- **Make use of existing documents and seek advice from other SLM specialists and land users as much as possible in order to improve the quality of the data. Use this questionnaire as an evaluation tool for your SLM activities. Remember that the quality of the results entirely depends on the quality of your answers.**
- Use the definitions given in this document, even when they deviate from your own/national definitions (e.g. land use, slope classes, etc.)
- If you do not have enough space for answers, use the empty pages at the end of the questionnaire. Please make a footnote in the questionnaire to indicate the exact question number. Please also attach good technical **drawings, photographs descriptions**, references, etc.
- One questionnaire has to be filled out for each Approach and for each Technology. Do not forget to give this questionnaire a code (see cover page of this document and page QA 1).
- The questionnaire was designed to document SLM technologies. However, it can also be used for any land use management practice which may not be declared as a SLM practice. If the objective is to compare situation x (after or with SLM measures) with y (before or without SLM measures), fill in two separate questionnaires. The questionnaire on x has to be filled completely. In the questionnaire on y only the answers that are different from x need to be filled. Indicate through the coding that the technologies are related (eg SWI05a and SWI05b).
- An Approach should be linked with one (or several) SLM Technology (ies).
- A Questionnaire on Technologies and a corresponding Questionnaire on Approaches together describe a case study within a selected area
- Please fill out the questionnaire **carefully and legibly**.
- **Please enter the information in the WOCAT online database**, see [www.wocat.net/databs.asp](http://www.wocat.net/databs.asp)

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# PART 1: GENERAL INFORMATION

Part 1 is designed to obtain information about the area where the sustainable land management Approach was used, and about the people who used the Approach.

## 1.1 Contributing SLM specialist(s)

Fill in the Questionnaire Code on the first page of this document.

If several SLM specialists are involved, write the name of the main person and his / her institution below and add the other person(s) details in Annex1

Last name / surname: .....	First name(s): .....	female <input type="checkbox"/> male <input type="checkbox"/>
<b>Current institution and address:</b>		
Name of institution: .....		
Address of institution: .....		
Postal Code: .....	City: .....	
State or District: .....	Country: .....	
Tel: .....	Fax: .....	E-mail: .....
<b>Permanent address:</b> .....		
Postal Code: .....	City: .....	
State or District: .....	Country: .....	

**Please confirm that institutions, projects, etc. referred to, have no objections to the use and dissemination of this information by WOCAT.**

Date: ..... Signature: .....

## 1.2 Brief identification of SLM Approach (see definition on page i)

Country: .....

Approach code: 

--	--	--	--	--	--

Approach code: boxes 1-3: country code; boxes 4-6: consecutive number; will be assigned automatically when entering questionnaire information in the database

**1.2.1 Common name of SLM Approach:** .....

.....

*Do not use exactly same name as used for the corresponding Technology (QT), try to name the main characteristic of the Approach (name of project/programme/initiative, name of implementation / extension / promotion method used, etc.)*

**1.2.2 Local or other name(s)** (with language) .....

.....

**1.2.3 The major SLM Technologies promoted by this Approach need to be described in separate WOCAT questionnaires. Indicate these SLM Technologies and the authors.**

*WOCAT recommends that you first fill in the Technology questionnaire and that you focus the description of the Approach to the Technology/-ies documented.*

Name of Technology:	Author:	Questionnaire code:
1. ....	.....	QT ___   ___
2. ....	.....	QT ___   ___
3. ....	.....	QT ___   ___

**1.2.4 Did the Approach concentrate / focus:**

on conservation only  mainly on conservation with other activities  mainly on other activities

Give keywords for the other activities: .....

.....

**Square boxes must be ticked!** If 'Several answers possible' is not indicated tick only one box!  
**Make use of specify/remark/comments as much as possible**

*WOCAT restricts itself to those elements within the Approach that are relevant to SLM (see Introduction on page i).*

**1.3 Area information**

*If you have already filled out questionnaires on SLM Technologies that were implemented under this Approach, refer to the information given there on page QT3.*

**1.3.1 Define the area in which the SLM Approach has been applied**

State / Province: ..... District / Commune: .....

Total SLM Approach area: .....km2

If precise area is not known, indicate approximately.

- |                   |                          |                          |                          |
|-------------------|--------------------------|--------------------------|--------------------------|
| < 0.1 km2 (10 ha) | <input type="checkbox"/> | 100 km2 - 1,000 km2      | <input type="checkbox"/> |
| 0.1 - 1 km2       | <input type="checkbox"/> | 1,000 km2 - 10,000 km2 - | <input type="checkbox"/> |
| 1 - 10 km2        | <input type="checkbox"/> | > 10,000 km2             | <input type="checkbox"/> |
| 10 - 100 km2      | <input type="checkbox"/> |                          |                          |

Comments: .....

.....

.....

.....



**SLM Approach area:**

*The area where the SLM Approach including its SLM Technology (ies) is already used and implemented. Approach area often is defined based on administrative units, catchments boundaries, land use types, social groups, etc. thus it differs from Technology area (defined as the area where a particular Technology is actually applied, see QT3).*

**1.3.2 Provide the coordinates in latitude and longitude of the center of the Approach area.**

It is also possible to indicate boundary points to delineate the Approach area or provide a GoogleEarth .kmz file (containing a 'placemark' or a 'polygon').

Centre latitude: \_\_\_\_\_ Centre longitude: \_\_\_\_\_

Outline boundary points or GoogleEarth file: \_\_\_\_\_

\_\_\_\_\_

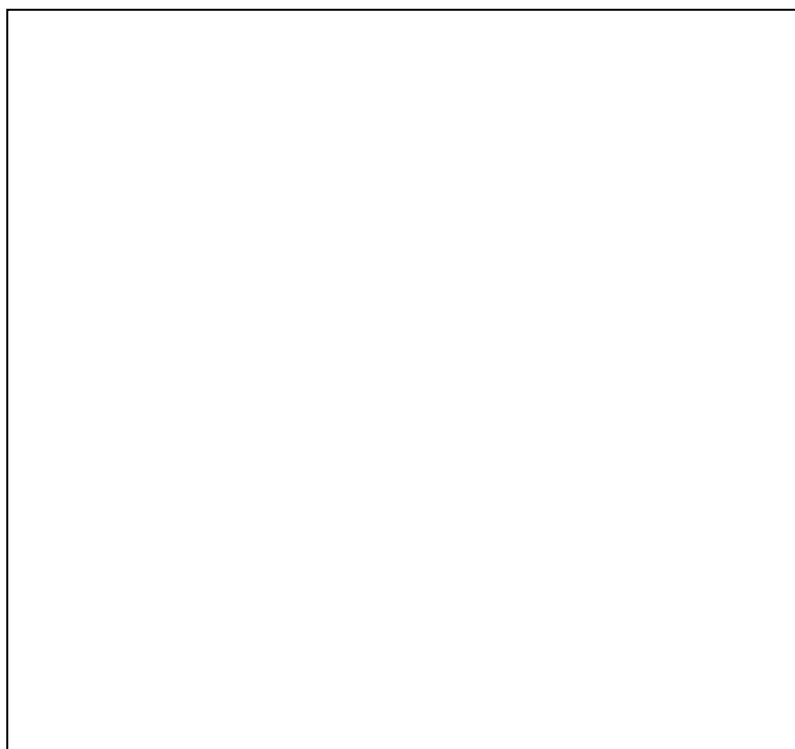
GoogleEarth: download free version from <http://earth.google.com/>

**1.3.3 Provide photos showing impressions of the Approach**

*Show stakeholders interacting with each other / implementing / in training, etc...*

*Provide at least two photos. Explanation (description) is required for each photo submitted!*

*Photos should be of high quality. Highest possible resolution is required for digital photos.*



**Explanation of photo:**

Description: .....

.....

.....

.....

.....

Location: .....

.....

Distr./Prov./State: .....

Date: .....

Author: .....

Address: .....

.....

*Provide the same information for each photo submitted!*

## PART 2: SPECIFICATION OF SLM APPROACH

In this and subsequent sections you are asked to provide precise information about the SLM Approach. This Approach utilised one or more SLM Technologies which you, or a colleague, are to describe in detail in a separate Technology Questionnaire (QT).

As not all land conservation is achieved by means of formal projects or programmes, you may also use these sections to describe an informal Approach, eg the implementation of traditional/indigenous technologies. In this case leave out 2.1.2 but try to answer the other questions.

Questions are in the past tense since WOCAT is evaluating what has been already achieved.

### 2.1 Description, objectives and operation

#### 2.1.1 Description

In 1.2.1 and 1.2.2 you indicated the name and gave key words. Below give a definition and a concise description of the Approach.

##### 2.1.1.1 Definition of the SLM Approach (in one sentence)

.....  
 .....

Definition of Approach is very important as it determines whether anyone searching the database will read further. It contains key characteristics (key words) of the Approach.

A **SLM Approach** defines the ways and means used to promote and implement a SLM Technology and to support it in achieving more sustainable soil and water use. A 'SLM Approach' - as defined by WOCAT - refers to a particular land conservation activity, be it an official project/programme, an indigenous system, or changes in a farming system towards more sustainable soil and water use. A SLM Approach consists of the following elements:

- all stakeholders/**participants** (policy-makers, administrators, experts, technicians, land users, i.e. actors at all levels)
- **inputs** and **means** (financial, material, legislative, etc.), and
- **know-how** (technical, scientific, practical and to whom the know-how belongs to)

An Approach may include different **levels of intervention**, from the individual farm, through the community level, the extension / advisory system, the regional or national administration, or the policy level, to the international framework. Besides land conservation activities introduced through projects or programmes, WOCAT includes indigenous conservation measures and spontaneous adoptions or adaptations of SLM Technologies. In the case of a project, we restrict ourselves to those elements within the project that are directly or indirectly relevant to land conservation.

##### 2.1.1.2 Provide an extended summary of the Approach with its main characteristics

Make sure that the description contains the key characteristic / distinct features of the Approach, its aims / objectives, methods used, stages of implementation, role of participants. This summary has to provide a comprehensive / concise picture of the Approach to outsiders. After having gone through the whole questionnaire come back and revise / complement this section. Try to fill the grey shaded space but do not exceed...

Aims / objectives: .....

.....  
 .....  
 .....  
 .....  
 .....  
 .....



**2.1.1.3 Indicate the type of SLM Approach**

- traditional/indigenous
- recent local initiative / innovative
- project/programme based
- other (specify):.....

**2.1.1.4 Initiation of the Approach:** ..... (year)

If the Approach was conducted through a project: **End of project:** ..... (year)

**2.1.2 Provide, if possible, an organisation chart / flow chart**

*Point out important actors within the Approach, their functions; interactions; stages / phases of implementation; etc*

Description: .....

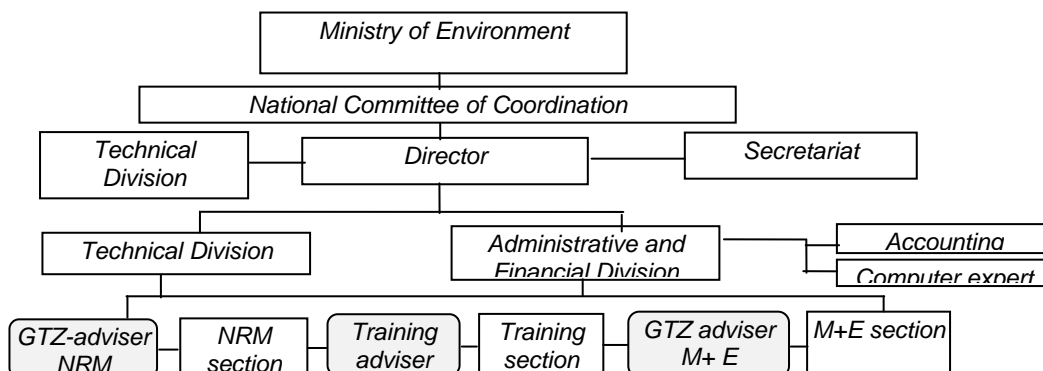
Author, Address: .....

Date: .....

**Organisation chart (organogramme):** a chart showing graded arrangement of personnel in an organisation

**Flow chart:** A pictorial summary that shows with symbols and words the steps, sequence, and relationship of the various operations involved in the Approach ([www.jcaho.org/accredited+organizations/sentinel+event/glossary.htm](http://www.jcaho.org/accredited+organizations/sentinel+event/glossary.htm); adapted)

**Example:** Organogramme of the project 'Natural Resource Management' (Mali) at the national level



**2.1.3 Problems / constraints**

**2.1.3.1 What were the main problems to be addressed by the Approach (low agricultural production, lack of technical knowledge, lack of cash to invest in SLM, conflicts over resource use, poverty, social equity, etc)?**

.....

.....

.....

.....

**2.1.3.2 List the main constraints hindering implementation of the Technology and how they were treated through the Approach**

		Specify:
social / cultural / religious	<input type="radio"/> constraint:	.....
	treatment:	.....
financial	<input type="radio"/> constraint:	.....
	treatment:	.....
institutional	<input type="radio"/> constraint:	.....
	treatment:	.....
legal / land use and water rights	<input type="radio"/> constraint:	.....
	treatment:	.....
technical	<input type="radio"/> constraint:	.....
	treatment:	.....
workload	<input type="radio"/> constraint:	.....
	treatment:	.....
other	<input type="radio"/> constraint:	.....
	treatment:	.....

<input type="radio"/>	other	constraint:	.....
			.....
		treatment:	.....
			.....

**Circles always require ranking!** It is possible to give more than one option the same rank, but not necessarily all circles need to be given a number. Use only ranks 1, 2 or 3!

1 = very important / large extent  
 2 = important / medium extent  
 3 = less important / little extent

**Make use of specify/remark/comments as much as possible**

**2.1.4 Objectives and targets**

**2.1.4.1 What were the main aims / objectives of the Approach?**

.....

.....

.....

.....

.....

*Aims/objectives: not only project objectives, but also aims of individual initiatives*

**2.1.5 Decision making**

**2.1.5.1 How were decisions on the choice of SLM Technology made?**

- by land users\* alone (self-initiative / bottom-up)
- mainly by land users supported by SLM specialists
- mainly by SLM specialists with consultation of land users
- by SLM specialists alone (top-down)
- by politicians / leaders
- other (specify) .....

Explain: .....

.....

.....

.....

\* **Land user:** the person / entity who implements / maintains land conservation, including individual small/large scale farmers, groups (gender, age, status, interest), cooperatives, industrial companies (eg mining), government institutions (eg state forest), etc

**Square boxes must be ticked!** If 'Several answers possible' is not indicated tick only one box!

**Make use of specify/remark/comments as much as possible**

**2.1.5.2 How were decisions made on the method of implementing the SLM Technology?**

- by land users\* alone (self-initiative / bottom-up)
- mainly by land users supported by SLM specialists
- mainly by SLM specialists with consultation of land users
- by SLM specialists alone (top-down)
- by politicians / leaders
- other (specify) .....

Explain .....

.....

.....

.....

**2.1.6 Operations of the SLM Approach**

**2.1.6.1 Who designed the Approach?**

- national specialists  international specialists  land users  other:  .....

If several actors were involved, specify (if relevant also gender, age, status, ethnicity etc) who designed what: .....

.....

.....

**2.1.6.2 Which were the implementing bodies?**

- international  specify .....
- government  specify .....
- international non-government  specify .....
- national non-government  specify .....
- private sector  specify .....
- local government (district, county, municipality, village etc)  specify .....
- local community / land users  specify .....
- other  specify .....

*Where there are different bodies operating at different levels, explain roles at different levels.*

**community/local:** land users themselves without international agencies, government and non-governmental interventions

**2.2 Participation**

**2.2.1 Stakeholders / target groups**

**2.2.1.1 What specific stakeholders / target groups were involved?**

land users, individual	<input type="radio"/>	Specify (if relevant also gender, age, status, ethnicity etc)
land users, groups	<input type="radio"/>	.....
SLM specialists / agricultural advisors	<input type="radio"/>	.....
planners	<input type="radio"/>	.....
politicians / decision makers	<input type="radio"/>	.....
teachers / school children / students	<input type="radio"/>	.....
other (specify) .....	<input type="radio"/>	.....

**2.2.2 Land user involvement**

**2.2.2.1 For the various phases of the Approach as listed below, what was the main type of involvement of land users / local communities?**

phase	Involvement					Specify who was involved and describe activities
	none	passive	active			
			payment / external support	interactive	self-mobilisation	
initiation/motivation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	..... ..... .....
planning	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	..... ..... .....
implementation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	..... ..... .....
monitoring / evaluation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	..... ..... .....
research	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	..... ..... .....

**Involvement of local communities**

**Passive:** people participate by being informed what will happen or has already happened. They also participate by being consulted or by answering questions, but they do not decide.

**Active: Payment / external support:** people participate in return for food, cash or other material support and / or by forming groups to carry out predetermined objectives.

**Interactive:** people participate in joint (people and project) analysis, in development of action plans and institutional formation, and in joint decisions on the use of resources.



**Self-mobilisation:** people participate by taking initiatives independently of external institutions. They develop contacts with external institutions for resources and technical advice they need, but retain control over how resources are used.

**2.2.2.2 Were there differences between the participation of men and women?**

no       yes, little       yes, moderate       yes, great

If yes, why? .....

Specify differences: .....

**2.2.2.3 Did the Approach involve socially and economically disadvantaged groups?**

no       yes, little       yes, moderate       yes, great

If yes, specify group (gender, age, status, ethnicity etc) and how: .....

.....  
 .....

**2.3 Financing**

*This part considers all costs of the SLM Approach including the implementation of the Technology.*

**2.3.1 Source**

**2.3.1.1 What percentages of Approach costs were met by the following contributors / donors?**

	Specify:	
international	.....	..... %
government	.....	..... %
international non-government	.....	..... %
national non-government	.....	..... %
private sector	.....	..... %
local government (district, county, municipality, village etc)	.....	..... %
local community / land user(s)	.....	..... %
other	.....	..... %
		100 %

*Source: in kind contributions often apply to community / local level contributions*

**2.3.2 Budget**

*Note: Some projects / programmes include many activities other than SLM. Please calculate / estimate only the amount that was used for SLM Approach as described here.*

**2.3.2.1 Indicate the annual budget for the SLM component of the Approach (training and extension, research, as well as for the implementation) (in US\$)**

< 2,000     2,000-10,000     10,000-100,000     100,000-1,000,000     > 1,000,000

**2.4 Technical support and promotion**

**2.4.1 Training / awareness raising**

**2.4.1.1 Did the Approach provide training / awareness raising?**

no  yes  if yes, for whom:

land user  field staff/agricultural advisor  other (specify)  .....

If relevant specify gender, age, status, ethnicity etc: .....

If yes, briefly describe what subjects were treated: .....

.....  
.....

*If no, go to question 2.4.2*

**2.4.1.2 What form of training was provided for land users?**

on-the-job  site visits / farmer to farmer  demonstration areas  public meetings

courses  other (specify)  .....

**2.4.2 Advisory service**

**2.4.2.1 Give the name of the method used for advisory service and describe key elements:**

name: .....

key elements: 1. ....

2. ....

3. ....

Comments: .....

.....

**2.4.2.2 Is government or other advisory service now adequate to ensure the continuation of land conservation activities?**

totally inadequate  inadequate  quite adequate  very adequate

Explain: .....

.....

**2.4.3 Research**

**2.4.3.1 Was research part of the Approach?**

no  yes, little  yes, moderate  yes, great

If yes, what kind of research was undertaken?

*Several answers possible*

sociology  economics / marketing  ecology  technology

other (specify)  .....

Give details and indicate by whom: .....

.....

**2.4.3.2 Was research:**

on station  on-farm  both

**2.5 External material support / subsidies**

**2.5.1 Inputs**

*Subsidy: a subsidy is an instrument used by the state or by private actors to reduce the costs of a product or increase the returns from a particular activity (Kerr, 1994). It may be provided in cash or in kind and usually serves a specific purpose.*

*External material support: In this context external material support also includes financial support from government or private organisations.*

**2.5.1.1 Were contributions per area provided by state, private sector etc (eg EU subsidies, compensations)?**

no  yes  If yes, specify: .....

.....

**2.5.1.2 If labour by land users was a substantial input, was it:**

voluntary  food-for-work  paid in cash  rewarded with other material support

Specify: .....

**2.5.1.3 What was financed under the Approach, and under which conditions?**

no inputs  In case of no inputs go to 2.5.2

Several answers possible

Inputs	specify inputs	not financed <sup>1</sup>	partly financed	fully financed <sup>2</sup>	other (specify)
equipment	machinery	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/> .....
	tools	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/> .....
	other: .....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/> .....
agricultural	seeds	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/> .....
	fertilizers	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/> .....
	other: .....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/> .....
construction material	stone	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/> .....
	wood	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/> .....
	other: .....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/> .....
infrastructure	roads	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/> .....
	schools	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/> .....
	other: .....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/> .....
other (specify):.....	other: .....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/> .....

**Comments:** .....

- <sup>1</sup> full costs to land users
- <sup>2</sup> no costs to land users

**2.5.2 Credit**

**2.5.2.1 Was credit provided under the Approach for land conservation activities?**

no       yes

If yes, indicate interest rate charged .....% per annum and repayment conditions: .....

If yes, also indicate if interest was equal to  or lower than  market rate.

Specify credit receiver: .....

**2.5.3 Were local institutions supported under the Approach?**

*Several answers possible*

no       yes, little       yes, moderate       yes, great

If yes, is this financial       training       equipment       other  .....

Specify:.....

*After completing Part 2, please check whether you wish to add anything to the summary you provided in 2.1.1.2.*

## PART 3: ANALYSIS OF THE SLM APPROACH

### 3.1 Methods for monitoring and evaluation

#### 3.1.1 Monitoring procedures and reporting

##### 3.1.1.1 Describe monitoring procedures:

Several answers possible

aspect	type		frequency		by whom?				specify indicators
	observations	measurements	ad hoc	regular	project staff	government	land users	other	
bio-physical	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	.....
technical	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	.....
socio-cultural	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	.....
economic / production	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	.....
area treated	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	.....
no. of land users involved	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	.....
management of Approach	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	.....
other.....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	.....
other.....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	.....

Indicators (examples):

- bio-physical: runoff, erosion rate
- technical: performance/functionality of conservation measure
- socio-cultural: attitude, health, gender, age, status, etc
- economic: yield, income
- management of Approach: allocation of project activities

#### 3.1.2 Changes due to monitoring and evaluation

##### 3.1.2.1 Were there changes in the Approach as a result of monitoring and evaluation?

no       few       several       many

Explain and give examples where possible: .....

.....

**3.1.2.2 Were there changes in the Technology as a result of monitoring and evaluation?**

no       few       several       many

Explain and give examples where possible: .....  
 .....

**3.2 Impact analysis**

*More details need to be further described in the questionnaire(s) on SLM Technologies promoted by this Approach. Impact analysis is crucial to assess investments made in SLM, however often poorly assessed and documented; please provide as much information as possible*

**3.2.1 Land management**

**3.2.1.1 Did the Approach help land users to improve sustainable land management?**

no       yes, little       yes, moderately       yes, greatly

If yes, specify improvements? .....  
 .....  
 .....

If no, why? .....  
 .....

*The term Approach refers to the implementation of a conservation activity, be it introduced through a project / programme, be it an indigenous system or be it a spontaneous adoption / adaptation based on individual initiative (see definition page i).*

**3.2.2 Socio-economic**

**3.2.2.1 Did other land users / projects adopt the Approach?**

no       yes, few       yes, some       yes, many

Specify (eg. where and which projects/land users?); quantify (how many?) and explain: .....  
 .....

**3.2.2.2 Did the Approach lead to improved livelihoods / human well-being?**

no       yes, little       yes, moderately       yes, greatly

If yes, specify improvements? .....  
 .....  
 .....

If no, why? .....  
 .....

**3.2.2.3 Did the Approach improve the situation of socially and economically disadvantaged groups?**

no       yes, little       yes, moderately       yes, greatly

If yes, specify group (gender, age, status, ethnicity etc) and improvements? .....

.....  
 .....  
 If no, why? .....

**3.2.2.4 Did the Approach help to alleviate poverty?**

no       yes, little       yes, moderately       yes, greatly

If yes, specify improvements? .....

.....

.....

If no, why? .....

**3.2.3 Training, advisory service and research**

**3.2.3.1 How effective was training for the different target groups?**

*In 2.4.1 you have described training provided*

Target group	poor	fair	good	excellent
land users*	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
SLM specialists	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
agricultural advisor / trainers	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
teachers	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
school children / students	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
planners	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
politicians / decision makers	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
other (specify) .....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Explain: .....

.....

.....

\* **Land user:** the person / entity who implements / maintains land conservation, including individual small/large scale farmers, groups (gender, age, status, interest), cooperatives, industrial companies (eg mining), government institutions (eg state forest), etc

**3.2.3.2 How effective was the advisory service for the different target groups?**

*In 2.4.2 you have described the extension / agricultural advice*

target group	poor	fair	good	excellent
land users*	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
SLM specialists	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
teachers	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
school children / students	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
planners	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
politicians / decision makers	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
other (specify) .....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Explain: .....

.....

.....

**3.2.3.3 How effective was research in contributing to the Approach's effectiveness?**

not at all       little       moderately       greatly

Explain: .....

.....

**3.2.4 Land ownership, land use rights / water rights and legislation**

**3.2.4.1 To what degree did the existing land ownership, land use rights / water rights help or hinder the Approach implementation\*?**

help:      low       moderately       greatly   
 hinder:    low       moderately       greatly   
 neither

Explain: .....

.....

.....

*\* make sure this information is captured in 2.1.3.2*

**3.2.4.2 If the land ownership or land use rights / water rights hindered conservation activities, to what degree did the Approach reduce the problem?**

not at all       low       moderately       greatly

Explain: .....

.....

If "not at all" or "low", could the problem be overcome in the near future?      likely       unlikely

Explain: .....

.....



**3.2.5 Subsidies**

**3.2.5.1 If subsidies were used, are they likely to have a long-term impact on the implementation of SLM?**

Positive long-term impact

none  low  moderately  greatly

Negative long-term impact

none  low  moderately  greatly

Explain (eg on whom): .....  
.....  
.....

**Subsidy:** *a subsidy is an instrument used by the state or by private actors to reduce the costs of a product or increase the returns from a particular activity (Kerr, 1994). It may be provided in cash or in kind and usually serves a specific purpose.*

### 3.3 Concluding statements

The concluding statements should concentrate on the Approach you described in this document. Concluding statements for the SLM Technologies associated with this Approach are to be made in separate questionnaire on SLM Technologies.

#### 3.3.1 General

##### 3.3.1.1 What was the main motivation of the land user to implement SLM?

- production  Comment: .....
- increased profit(ability), improved cost-benefit-ratio  Comment: .....
- rules and regulations (fines) / enforcement  Comment: .....
- prestige / social pressure  Comment: .....
- payments / subsidies  Comment: .....
- reduced workload  Comment: .....
- affiliation to movement / project / group / networks  Comment: .....
- environmental consciousness, moral, health  Comment: .....
- well-being and livelihoods improvement  Comment: .....
- aesthetic  Comment: .....
- other (specify): .....  Comment: .....
- other (specify): .....  Comment: .....

##### 3.3.1.2 Can the land users continue the Approach activities without support (sustainability)?

no       yes       uncertain

if no or uncertain, specify and comment: .....

.....

.....

.....

.....

.....

.....

.....

.....

.....

.....

If yes, describe how:.....

.....

.....

.....

.....

.....

**3.3.2 List the major strengths / advantages of the Approach and how can they be sustained / enhanced?**

Strengths / advantages	How can they be sustained / enhanced?
in your opinion	
1)..... ..... .....	..... ..... .....
2)..... ..... .....	..... ..... .....
3)..... ..... .....	..... ..... .....
4)..... ..... .....	..... ..... .....
5)..... ..... .....	..... ..... .....
in the land users' view*	
1)..... ..... .....	..... ..... .....
2)..... ..... .....	..... ..... .....
3)..... ..... .....	..... ..... .....
4)..... ..... .....	..... ..... .....
5)..... ..... .....	..... ..... .....

\* **Land user:** the person / entity who implements / maintains land conservation, including individual small/large scale farmers, groups (gender, age, status, interest), cooperatives, industrial companies (eg mining), government institutions (eg state forest), etc

**3.3.3 List the major weaknesses / disadvantages of the Approach and ways of how they could be overcome.**

Weaknesses / disadvantages	How can they be overcome?
in your opinion	
1)..... ..... .....	..... ..... .....
2)..... ..... .....	..... ..... .....
3)..... ..... .....	..... ..... .....
4)..... ..... .....	..... ..... .....
5)..... ..... .....	..... ..... .....
in the land users' view*	
1)..... ..... .....	..... ..... .....
2)..... ..... .....	..... ..... .....
3)..... ..... .....	..... ..... .....
4)..... ..... .....	..... ..... .....
5)..... ..... .....	..... ..... .....

# ANNEX 1

List the names of other contributing SLM specialists who assisted in filling out this questionnaire. Note that on QA 1 the main responsible person needs to be indicated.

Last name / surname	First name(s)	Institution, address, fax, tel., e-mail
.....	.....	.....
.....	.....	.....
.....	.....	.....
.....	.....	.....

### Available documentation

List all useful *references, reports, technical manuals, videos, training materials, etc.* and *contacts* (individuals or projects with address) that relate to the Approach you have described:

References / reports: title, author, year	where available / costs
.....	.....
.....	.....
.....	.....
.....	.....
.....	.....
.....	.....

### Contact person / institution involved in this Approach:

Last name / surname	First name(s)	Institution, address, fax, tel., e-mail
.....	.....	.....
.....	.....	.....
.....	.....	.....
.....	.....	.....



