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Organización
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DRAFT GUIDELINES ON PHENOTYPIC CHARACTERIZATION

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DRAFT GUIDELINES ON PHENOTYPIC CHARACTERIZATION

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The preparation of these guidelines began in 2008 under the supervision of Badi Besbes. Initial work was undertaken by Manuel Luque Cuesta. Workneh Ayalew produced a new draft version of the guidelines, which was presented and discussed at workshops held in Argentina, Senegal and Italy. These workshops were attended by 100 scientists, technicians and policy-makers. A revised and updated draft was prepared by Badi Besbes, Workneh Ayalew and Dafydd Pilling. FAO would like to express its thanks to all these individuals and to all those not mentioned here who generously contributed their time, energy and expertise.

PREAMBLE

These guidelines are part of a series of guideline publications (either in preparation or already published) produced by FAO to support countries in the implementation of the *Global Plan of Action for Animal Genetic Resources*. While each of these publications addresses a different aspect of the management of animal genetic resources for food and agriculture (AnGR), they should be utilized in conjunction.¹ The guidelines on phenotypic characterization fall within Strategic Priority Area 1 of the *Global Plan of Action* which is also being addressed by two other guideline publications: one focusing on surveying and monitoring of AnGR and the other on molecular characterization. The guidelines on surveying and monitoring present the “big picture” – describing how to plan a national strategy for obtaining AnGR-related data and keeping them up to date, introducing the various types of survey that may make up such a strategy, and outlining the main steps involved in planning and implementing a survey. The guidelines on phenotypic characterization describe how to conduct a study on a specific animal population and its production environment – including details of what to measure, how to take these measurements and how to interpret them. The guidelines on molecular characterization provide advice how to obtain and use DNA samples to support the management of AnGR. Despite the differing focus, there is inevitably some overlap in the subject matter of the three publications.

¹ Once endorsed by the CGRFA, all the guideline publications will be made available in the library of the Domestic Animal Diversity Information System (DAD-IS – <http://www.fao.org/dad-is>) and on the web site of FAO’s Animal Production and Health Division (<http://www.fao.org/ag/againfo/programmes/en/A5.html>).

INTRODUCTION

Rationale

Phenotypic characterization of animal genetic resources for food and agriculture (AnGR) is the practice of systematically documenting the observed characteristics, geographical distribution, production environments and uses of these resources. The information provided by characterization studies is essential for planning the management of AnGR at local, national, regional and global levels. The *Global Plan of Action for Animal Genetic Resources* recognizes that “A good understanding of breed characteristics is necessary to guide decision-making in livestock development and breeding programmes”. The *Global Plan of Action*’s Strategic Priority Area 1 is devoted to “Characterization, Inventory and Monitoring of Trends and Associated Risks”.

Assessing the diversity of AnGR is made more difficult by the existence of many animal populations that are not assigned to any recognized breed. Even though parts of these “non-descript” populations are known to be multiple crosses of existing breeds, some may belong to (relatively) homogenous groups distinguishable from neighbouring populations on the basis of identifiable and stable phenotypic characteristics (among which may be unique and valuable attributes) that warrant their being distinguished as separate breeds. Determining whether or not this is the case is one of the roles of phenotypic characterization activities and is a prerequisite for effective assessment of AnGR diversity and determining whether it is being eroded. Phenotypic characterization is therefore fundamental to the establishment of national inventories of AnGR, for effective monitoring of AnGR populations and for the establishment of early-warning and response systems for AnGR.

Phenotypic characterization activities are technically and logistically challenging. Ensuring that they are well targeted (collect data that are important to the country’s priority AnGR and livestock development activities) and are implemented in an efficient and cost-effective manner requires that careful attention be given to their planning and implementation. Valid comparisons among livestock breeds or populations, whether nationally or internationally, require the development and use of standard practices for describing their characteristics. The *Global Plan of Action* calls for the development of “international technical standards and protocols for characterization, inventory, and monitoring of trends and associated risks” (SP 2).

The main objective of these guidelines is to provide advice how to conduct a well-targeted and cost-effective phenotypic characterization study that contributes to the improvement of AnGR management within the context of country-level implementation of the *Global Plan of Action* and to ensure that such studies provide a sound basis for international breed comparisons and for the preparation of global assessments of the status of AnGR.

Background and development of the guidelines

The *Global Plan of Action for Animal Genetic Resources* calls on FAO to publish technical guidelines and provide assistance to countries in support of their efforts to improve the management of AnGR. As described in the preamble, these guidelines on phenotypic characterization are part of a series of guideline publications produced by FAO in response to this request. The Commission on Genetic Resources for Food and Agriculture, at its Twelfth Regular Session in 2009, endorsed the first guidelines in the series and “further requested FAO to continue updating and further developing other technical guidelines on the management of animal genetic resources as important support for countries in their implementation of the *Global Plan of Action*.”

The guidelines build upon FAO’s earlier work on characterisation, which was an important component of the organization’s technical programme of work on AnGR, the “Global Strategy for the Management of Farm Animal Genetic Resources” (FAO, 1999), the development of which began in 1993 and which has now been superseded by the *Global Plan of Action*. Even prior to the development of the global strategy, methods for characterization of AnGR had been described in several publications in the

FAO Animal Production and Health Paper Series (e.g. FAO, 1984a,b; 1992). FAO published a comprehensive list of variables for describing the phenotypic and genetic characteristics of cattle, sheep, goats and chicken as the basis for systematic phenotypic characterization of these species (1986a,b,c). It also developed the Domestic Animal Diversity Information System (DAD-IS) to serve as a global data repository and clearing house facility to support countries in the management of their AnGR-related data and information and in meeting their reporting obligations on the status of their national biodiversity within the framework of the Convention on Biological Diversity. The current guidelines are intended to provide practical guidance that can be used by those planning and implementing phenotypic characterization projects. Draft versions of the guidelines were discussed and evaluated by 100 participants from 28 countries at three workshops, which were held in Argentina (December 2009), Senegal (March 2010) and Italy (June 2010).

User guidance

Scope of the guidelines

The guidelines describe the whole process of organizing a phenotypic characterization study from the initial identification of objectives, through planning and implementation of field work, data management and analysis, to reporting outcomes and promoting full and effective use of the outputs of the study. Emphasis is given to the need to collect data both on the animals and on their production environments; advice relevant to both aspects of the work is included in all the sections of the guidelines.

The guidelines address both “primary” phenotypic characterization activities that can be undertaken during a single visit to the targeted locations and which serve to provide a basic picture of the state of AnGR diversity in the study area, and “advanced” characterization activities that require repeated measurements over an extended period. Advice is provided on the decision as to whether primary or advanced characterization is needed in order to meet the objectives of the study and on how the former can lay the basis for the latter.

The guidelines focus mainly on the low to medium external input production environments of developing countries (where the gaps in AnGR-related knowledge are most substantial and where the “hotspots” of diversity loss are expected to be located in the coming decades). Many valuable traits in these populations probably remain unknown or undocumented. However, much of the activity described is also relevant for developed-country contexts and for high external input production systems.

The guidelines address situations in which the populations targeted for characterization consist of non-descript animals (not distinguished into recognized breeds) and situations in which the objective is to enhance the state of knowledge of breeds that are already recognized.

The focus of the guidelines is mainly on the five livestock species that are most significant on a global scale – cattle, sheep, goats, chicken and pigs. However, the basic advice on how to plan and implement a survey is relevant to other livestock species. Furthermore, essentially the same key variables can be used to describe closely related animal species. For instance, the descriptors for cattle can be applied on the yak or the buffalo with minimum modifications. Similarly, other avian species can be described using the chicken descriptors.

Target audience

The main target audience of the guidelines comprises individuals involved in planning and implementing characterization studies. Such studies have generally been undertaken by researchers in public research institutions, students undertaking academic research, and the staff of livestock-development projects. Unfortunately, the outputs of such studies have often ended up gathering dust on book shelves. It is therefore important to emphasize that anyone considering undertaking a phenotypic characterization study should ensure that it addresses a specific “demand” for information. The ideal scenario is that the characterization study is an element in a coherent national

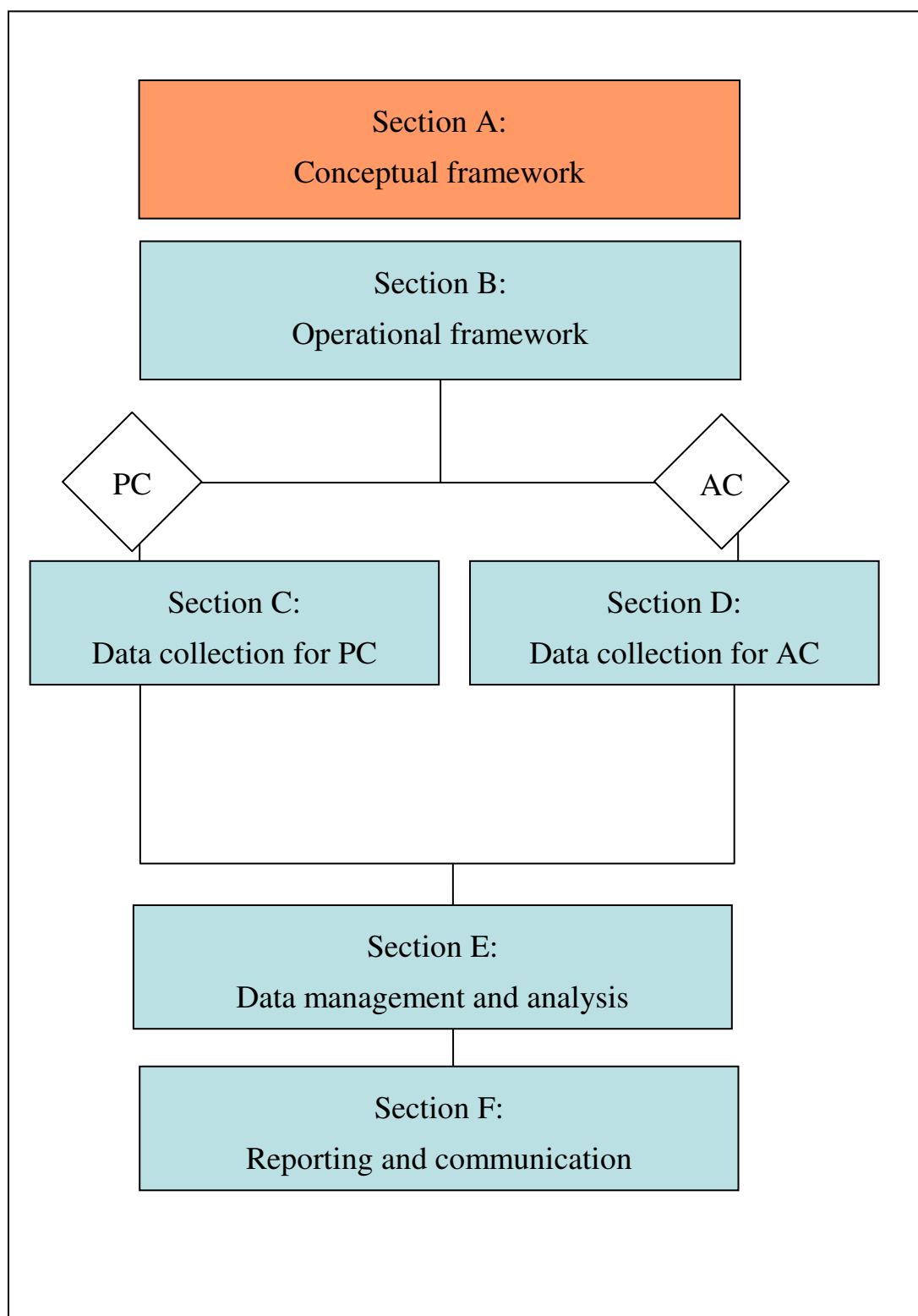
strategy for improving knowledge of the country's AnGR as a basis for meeting priority objectives for AnGR management and livestock development. Whatever the circumstances, the contribution of the proposed study to future AnGR management should be clearly thought out, and the potential users of the study outputs consulted.

The guidelines may also be used by decision-makers who wish to obtain a better understanding of the potential contributions of phenotypic characterization studies to national policies and programmes for AnGR and of the practicalities involved in implementing such studies.

Structure of the guidelines

These guidelines contain six sections (Figure 1). Section A sets out the conceptual and theoretical background to the practical guidance presented in the other sections of the document. It begins by describing what is meant by phenotypic characterization, and discussing the concepts of the "breed" and the "non-descript" population, along with the significance of wild relatives of domesticated animals in phenotypic characterization studies. Broad approaches to phenotypic characterization (exploratory vs. confirmatory) are then distinguished. This is followed by an overview of principles and methods for breed identification and of the constituent elements of phenotypic characterization, including the description of production environments and economic valuation of non-production traits.

In Section B, the focus shifts to the preparatory activities of individual phenotypic characterizations studies. Emphasis is given to the importance of linking such studies to the requirements of the country's national strategy and action plan for AnGR and (if applicable) national surveying and monitoring strategy. The tasks of constituting the study team, collecting background information and clarifying the objectives and scope of the study (including the fundamental distinction between primary and advanced characterization) are described. Sections C and D describe data collection activities. The former focuses on primary characterization and the latter on advanced characterization. Section E describes data management (including checking data quality, data entry, data cleaning and processing, and data archiving) and analysis (including a discussion of the resources required, statistical packages, critical steps in the process of analysis and interpretation of results). Primary and advanced characterization are here described within a single section. Section F provides advice on reporting the results of the study and communicating them to relevant stakeholders. The Annexes to the guidelines provide generic lists of data items for the description of major livestock species and their production environments. These lists are intended as guides that can be adapted, as necessary, to match the objectives and circumstances of specific characterization studies.

Figure 1. Structure of the guidelines

Note: PC = primary characterization; AC = advanced characterization; ◇ = decision.

SECTION A: CONCEPTUAL FRAMEWORK

1. What is phenotypic characterization?

In these guidelines, the term “phenotypic characterization of AnGR” is used to refer to the process of identifying distinct breed populations and describing their characteristics and those of their production environments. In this context, the term “production environment” is taken to include not only the “natural” environment but also management practices and the common uses to which the animals are put, as well as social and economic factors such as market orientation, niche marketing opportunities and gender issues. Recording the geographical distribution of breed populations is here considered to be an integral part of phenotypic characterization. Complementary procedures used to unravel the genetic basis of the phenotypes of AnGR, their patterns of inheritance from one generation to the next, and to establish relationships between breeds are referred to as molecular genetic characterization (FAO, 2010b). In essence, phenotypic and molecular genetic characterization of AnGR are used to measure and describe genetic diversity in these resources as a basis for understanding them and utilizing them sustainably.

The guidelines distinguish between two phases or levels of characterization. The term “primary characterization” is used to refer to activities that can be carried out in a single visit to the field (e.g. measurement of animals’ morphological features, interviews with livestock keepers, observation and measurement of some aspects of the production environment, mapping of geographical distribution). The term “advanced characterization” is used to describe activities that require repeated visits. This includes the measurement of productive (e.g. growth rate, milk production) and adaptive (e.g. resistance or tolerance to specific diseases) capacities of breeds in specified production environments.

2. Non-descript populations

Because of a lack of comprehensive information on breeds’ identities and geographical distributions, many animal populations in the developing regions of the world are commonly referred to as “non-descript” or “traditional”. The inventory of local breeds in these regions is thought not to be exhaustive, and new breeds continue to be identified (e.g. Köhler-Rollefson and the LIFE Network, 2007; Wuletaw *et al.*, 2008). It is primarily in these regions of the world that phenotypic characterization studies on AnGR are needed.

Simplified and coherent procedures for phenotypic characterization are needed in order to support countries in obtaining more complete inventories of their AnGR. These procedures need to be standardized globally to facilitate valid enumeration, analysis and reporting of breeds nationally and internationally.

3. The breed concept

The term “breed” is used in phenotypic characterization to identify distinct AnGR populations as units of reference and measurement. Diversity in AnGR populations is measured in three forms: interpopulation diversity (between breeds), intrapopulation diversity (within breeds), and inter-relationships between populations. Phenotypic characterization is used to identify and document diversity within and between distinct breeds based on their observable attributes. The measurement of genetic relationships between breeds and genetic heterozygosity within breeds is the task of molecular characterization (FAO, 2010b).

The breed concept originated in Europe and was linked to the existence of breeders’ organizations. The term is now applied widely in developing countries, but it tends to refer to a sociocultural concept rather than a distinct physical entity. Hence, the use of the term in developing countries, where most of the world’s traditional and local livestock populations are located, is different from its use in developed countries. Whereas in developed countries breeds are defined in terms of a set of phenotypic standards, breed herd books and formalized breed societies that are often supported by

legislation, in developing countries livestock-keeping communities and governments apply the term more loosely and identify breeds more with geographic localities, ethnic identities and the local traditions of their owners than with their phenotypic attributes. In some cases, the term is used interchangeably with “population”, “variety”, “strain” or “line”, within nationally recognized breeds. Definitions of related terms are provided in Box 1.

Box 1: Definitions of breeds and related terms

Traditional populations: mainly local; often exhibit large phenotypic diversity; are managed by farmers and pastoralists at low selection intensity, but may be subject to high natural selection pressure; pedigree may be partially known; genetic structures are mainly influenced by migration events and mutations; population size is generally large (unless subject to erosion).

Standardized breeds: derived from traditional populations by a community of breeders based on a recognized list of “standard” breed descriptors; exhibit less phenotypic diversity as they are selected to meet minimum standards of phenotype; pedigree is partially known; their genetic structure may be influenced by important founder effects; population size may be large or small.

Selected breeds or commercial lines: derived from standardized breeds or from traditional populations through application of an economic selection objective and use of quantitative genetic methods; breeders are organized for pedigree and performance recording and selected animals are used across flocks or herds; inbreeding increases as a consequence of a high selection intensity; molecular markers may be used, for instance for parentage testing and/or for the identification of genes controlling performance; population size is generally large.

Derived lines: arise from the use of specific breeding methods such as close inbreeding; highly specialized inbred lines exhibit low genetic variability; synthetic lines are derived from crossing standardized breeds or selected lines, and exhibit a high level of genetic variability; transgenic and experimental selected lines fall under this category; population size is generally limited, except for synthetic lines.

These different types of population can be identified easily in highly commercialized populations, such as cattle, pigs and chickens in Europe. The classification may be less relevant to other species such as camelids or geese. However, it may be used as a general framework covering all types of domesticated populations.

Source: adapted from Tixier-Boichard *et al.* (2007).

FAO uses the following broad definition of the breed concept, which accounts for social, cultural and economic differences between animal populations, and which can therefore be applied globally in the measurement of livestock diversity:

“either a sub-specific group of domestic livestock with definable and identifiable external characteristics that enable it to be separated by visual appraisal from other similarly defined groups within the same species or a group for which geographical and/or cultural separation from phenotypically similar groups has led to acceptance of its separate identity” (FAO, 1999).

These guidelines use the same generic definition.

In addition to the task of characterizing recognized breeds, the guidelines address the task of identifying and characterizing previously unrecognized breeds from among traditional and non-descript populations. This can be done by taking into account the opinions of the livestock keepers themselves along with the use of numerical taxonomic procedures.

One essential characteristic of a breed is near complete reproductive isolation for many generations, during which mating with animals from outside the breed has been very restricted, so that the population evolves with distinctly different appearance and functions from those of other breeds

(FAO, 1992; 1998). In traditional livestock-keeping communities, local indigenous knowledge provides perhaps the best preliminary information available about breed identity; i.e. a particular community may claim to maintain a distinct AnGR population in a specific environment and subject to a common pattern of breeding and utilization. Köhler-Rollefson and the LIFE Network (1997) provide the following description of how the breed concept can be applied in traditional communities:

“A domestic animal population may be regarded as a breed, if the animals fulfill the criteria of (i) being subjected to a common utilization pattern, (ii) sharing a common habitat/distribution area, (iii) representing largely a closed gene pool, and (iv) being regarded as distinct by their breeders”.

What is common in both traditional and industrialized communities is that breed populations are developed, maintained and influenced by humans and hence become the unit of reference for improvement and conservation. It is, therefore, appropriate that AnGR populations are identified by breed and that phenotypic characterization studies address both indigenous knowledge and active quantitative classification. Molecular tools can be used to corroborate the classification of populations into breeds.

4. Approaches to characterization

In statistical terms, phenotypic characterization can involve either of the following two approaches, depending on the type of background information available:

Exploratory approach – undertaken in situations in which no reliable background information on the existence of recognized distinct breeds in the study area is available; in such circumstances, the objective of phenotypic characterization is to investigate the existence of distinct breeds in the study area.

Confirmatory approach – undertaken in situations in which some basic information on breed identity and distribution is available; in such circumstances, the objective phenotypic characterization is to validate breed identity and provide systematic descriptions of the breeds.

In situations where the available secondary information is insufficient to prepare plans for phenotypic characterization, preliminary field data will need to be collected on the identity, geographical distribution, and relative significance of AnGR populations (nationally or locally recognized breeds, non-descript populations, etc.) in the study area and hence to determine whether exploratory or confirmatory approach is required. Preliminary data collection activities may include “mapping expeditions” – journeys within the study area that serve as a means of approximating the geographical distribution of different breed types – and “rapid appraisals” – the use of a range of field-based techniques (complemented where relevant with information from secondary sources) to obtain information from local people. Rapid appraisals may include discussions in group meetings and focus groups, semi-structured interviews with individual livestock keepers and other knowledgeable “key informants” and direct observation on the part of the surveyors. A range of specific techniques have been developed for use in rapid appraisals (mapping exercises, seasonal calendars, ranking and scoring exercises, transect walks, progeny histories, etc.) and can be used to discuss the local production system with groups or individuals. Triangulation – the use of several complementary sources of information – is a key characteristic of the approach. Further information on mapping expeditions and rapid appraisals can be found in the complementary guidelines on surveying and monitoring of AnGR (FAO, 2010a).

Exploratory approach

Once the study area for characterization has been designated, the study team should seek to develop a sampling frame, i.e. set of criteria to be used to identify a sample of households and animals for data

collection. If the area is large, it may be necessary to stratify it into more homogenous subunits based on one or more of the following criteria:

- geographical isolation of AnGR populations and their patterns of movement or migration;
- known patterns of morphological and production characteristics in the AnGR populations or the existence of common breeding practices; and
- historical information and indigenous knowledge on the origin of the AnGR.

The exploratory approach to phenotypic characterization also requires estimation of the total livestock population in the study area, as well as the number of livestock keepers who maintain these animals (see section C). Secondary information on the livestock populations in the study area should be sought in published and grey literature. The Domestic Animal Diversity Information System (DAD-IS – <http://dad.fao.org/>) may be a useful source of background information on breed inventory and the distribution, national population sizes and risk statuses of recognized breeds.

The exploratory approach hypothesizes that the target AnGR population is homogenous and does not have phenotypically distinct subpopulations. It seeks to test this hypothesis by measuring and analysing the pattern of phenotypic diversity within the target population. Standard phenotypic data (see Annexes 1 to 4) are collected from sample animals at the study sites.

Primary characterization (i.e. the collection of data through single field visits) falls within the exploratory approach and, for the sake simplicity, the former term is used in these guidelines when referring to this approach.

Confirmatory approach

The confirmatory approach to phenotypic characterization aims to validate information on breed identities as recorded in national AnGR inventories, literature and/or local knowledge. It presumes that known breeds have a defined geographical distribution and some common phenotypic characteristics and pattern of utilization. The standard breed descriptors set out in Annexes 1 to 4 provide a framework for collecting detailed phenotypic data. Statistical tools can be used to test whether there are significant multivariate differences among the populations in the study area and hence to validate their identities as distinct breed types. Additional genetic studies are always required to corroborate such identities.

The confirmatory approach also involves an objective assessment of documented indigenous knowledge and other indicative information. This can bring out important AnGR management issues for closer investigation (e.g. the risk status of existing breeds, emergence of new composite populations and the perceptions of communities about breed identities). This approach can be used to look more closely at differences among breed types identified during primary characterization, with a view to validating the classifications and describing how the distinct groups differ from each other. The study team may find that additional or more up-to-date information is needed in order to draw up the sampling frame. In such cases, preparatory field work (mapping expeditions and/or rapid appraisals – see above) may need to be conducted in the study area.

Breed evaluation and comparison under on-station or on-farm management conditions (i.e. advanced characterization) are part of the confirmatory approach. Such studies focus on breeds that have already been identified and aim to provide a more comprehensive evaluation of their performance and adaptation. For the sake of simplicity, the term advanced characterization is used in these guidelines when referring to this approach.

5. Quantitative procedures for breed identification

Principles of classification

Based on the premise that livestock breeds are distinguishable by differences in appearance, conformation and dimension, quantitative procedures are used to explore breed types from traditional

populations by systematically assessing aggregate morphological characteristics in groups of animals, in exactly the same way taxonomists classify organisms into hierarchical groupings. Known as numerical taxonomy, these procedures explore aggregate morphological resemblances among groups of organisms to develop hierarchical groupings, assuming that the groupings may (but not necessarily) represent historical evolutionary processes associated with gross structural diversity (Dobzhansky, 1951). When, in addition to morphological characteristics, sociocultural attributes, such as historical association with particular livestock-keeping communities in well-defined production environments, are used to define such animal groups, distinct breed types that are expected to share clearly defined heritable traits and definite areas of distribution, may be identified in line with the broad definition of breed given above. This approach has been applied, for example, among traditional goat populations in Ethiopia (FARM Africa and ILRI, 1996; Ayalew *et al.*, 2000) and corroborated by molecular genetic studies (Ticho, 2004). Similar genetic evidence to support phenotypic breed identities has been obtained in sheep (GebreMichael, 2008), cattle (Dadi *et al.*, 2008) and chickens (Halima-Hassen, 2007).

Numerical taxonomic procedures that involve multivariate analysis of variance consider large numbers of observable characteristics of equal value (i.e. not weighted) in a large number of individuals and seek to classify the individuals based on their aggregate similarity. The premise behind this method of classification is that morphological variation among individual organisms is typically discontinuous and forms distinctly separate arrays, with each array comprising a cluster of individuals that possess some common characteristics. The discrete clusters are designated as races (varieties), breeds, species, genera and so forth. The classification arrived at by using this approach is to some extent an artificial one, but the clusters themselves and the discontinuities observed between them are not abstractions on the part of the classifier (Dobzhansky, 1951; pp 3–18). In effect, the patterns of morphological variation within species can be used to identify homogenous subgroups of animals, and these subgroups can be considered breed types or varieties within breeds.

Methodology

Cluster and discriminant analyses. In this type of analysis, the units of reference (taxonomic units) are referred to as operational taxonomic units (OTU). Depending on the perceived pattern of morphological variation at the population level, the OTUs may be individual animals or sample groups of homogenous animals. In situations where there is high flock/herd-level morphological resemblance, as in the case of pastoral livestock populations, average values of sample animals – otherwise known as centroids, – are taken as OTUs. In the absence of such resemblance and in particular when breed-type identities are less clear, individual sample animals are used as OTUs. Estimation of the degree of phenotypic resemblance (morphological, physiological, behavioural) among OTUs is a fundamental step in the analysis. Multivariate cluster analysis is then used to reorganize a heterogeneous set of taxonomic units into more homogenous groups or clusters with respect to the variables (characters) under consideration (Aldenderfer and Blashfield, 1984). If, within the sample population, there are any distinct categories that are to be considered as initial classes – for instance if local names are given to different animal populations, breed types or varieties – discriminant analysis can be used to validate these differences (Klecka, 1980). Both cluster and discriminant analyses assume that the aggregate morphological variation is a linear combination of the individual variables, i.e. the character states or phenotypic measurements recorded from OTUs (individual animals or centroids).

Cluster analysis is used to classify the OTUs by quantifying aggregate similarity relationships of pairs of OTUs with respect to the characters under consideration (Sneath and Sokal, 1973; p 116). These relationships can be expressed as relative distance (i.e. resemblance) in a multidimensional Euclidean space, with each character variable defining an axis. In the mathematical sense, the relative distance is, rather, a measure of aggregate differences – the larger the value of this distance the greater is the dissimilarity between the OTUs. Based on the computed values for all the possible pairs of OTUs a hierarchical (classification) tree can be produced (*ibid.*).

Principal components analyses. The major technical limitation involved in producing clusters directly from morphological variables is that the variables are not independent of each other, because the original variables are recorded on each OTU. The procedure known as principal components analysis (PCA) linearly transforms the original variables into a set of uncorrelated variables referred to as principal components, which explain essentially the same statistical information (variance) as the original set of variables. Each principal component is a linear combination of all the variables and has a mean of zero and variance of unity (Dunteman, 1989). However, depending on the nature of variation in the original data set, the first few principal components may account for most of the total variation. As a result, a substantially smaller set of the first (most important) principal components can explain most of the variance in the original variables, thereby reducing dimensionality (number of axes) in the corresponding hyperspace. Furthermore, independence of the transformed variables will ensure orthogonality between each of the axes. Orthogonality of the axes implies that each one of them makes an independent contribution to discrimination between the OTUs or the groups of OTUs (i.e. clusters). The computed principal components can then be used to develop a classification tree using cluster analysis.

Method of clustering. There are several contrasting methods of clustering (Sneath and Sokal, 1973; pp 201–244; Pimentel, 1979; p 79; Aldenderfer and Blashfield, 1984), but the most widely applied method of clustering in biological systematics, as well as for subspecies-level classification, is one that is sequential, agglomerative, hierarchic and non-overlapping (abbreviated to SAHN). The method starts with t separate OTUs, agglomerates them into successively fewer than t sets, arriving eventually at a single set containing all t OTUs. The resulting taxa at any level (rank) are mutually exclusive (non-overlapping), i.e. OTUs contained within one taxon are not also members of a second taxon of the same rank. An iterative sequence of clustering is used to partition the OTUs into biologically meaningful clusters. This procedure ultimately produces a hierarchical (or classification) tree from which the desired number of groups of homogenous groupings (clusters) can be derived. As long as the goal of the analysis is to explore the general pattern of relationships between the OTUs as represented by the classification tree, the number of clusters can be determined by heuristic decisions. The choice that has the most plausible biological interpretation is the best. Consequently, this procedure is prone to biases arising from the opinions of the researchers as to what should be regarded as the most meaningful structure for the data. The following validation techniques should minimize the bias (ibid.):

- replicating the classification procedure using a separate dataset;
- checking the accuracy of the classification using discriminant analysis by the proportion of cases correctly classified, which also confirms indirectly the degree of group separation; and
- checking the stability (internal consistency) of the classification after repeated trials, preferably using another data set from the same sample population.

The results thus obtained are satisfactory as long as they meet two principal aims of numerical taxonomy (Sneath and Sokal, 1973, p 11):

- repeatability and comparability within an acceptable level of error; and
- objectivity and a degree of unbiasedness from personal feelings and prejudice.

6. Constituents of phenotypic characterization

A phenotypic characterization study will involve collecting a number of different kinds of data:

- the breeds' geographical distribution and if possible their population sizes and structures;
- phenotypic characteristics of the breed populations, including physical features and appearance, economic traits (e.g. growth, reproduction and product yield/quality) and some measures (e.g. range) of variation in these traits – the focus is generally on the productive and adaptive attributes of the breeds;

- images of typical adult males and females, as well as herds or flocks in their typical production environments;
- origin and development of the breeds;
- any known functional and genetic relationships with other breeds within or outside the country;
- biophysical and management environment in which the breeds are maintained;
- responses of the breeds to environmental stressors, such as disease and parasite challenge, extremes of climate and poor feed quality and any other special characteristics of the population in terms of adaptation; and
- relevant indigenous knowledge (including but not limited to gender specific knowledge) of traditional management strategies used by communities to utilize the genetic diversity in their livestock.

While most of these data elements can be collected directly during field work, valuable information may also be obtained from secondary sources in the published and unpublished literature (including electronic datasets related to aspects of the production environment).

Most of the variables listed above can be obtained through primary characterization studies (single visits to field sites); others require advanced characterization studies (repeated measurements and observations). The latter group includes variables that describe economic performance traits (e.g. growth, milk production, egg production, wool production), adaptation (levels of resistance and tolerance to stressors) and trends (e.g. in population size and structure, and phenotypic performance). The main focus in the guidelines is on primary characterization studies, but possible follow-up steps including advanced characterization studies are also described.

Describing breeds in terms of their qualitative and quantitative traits

Qualitative traits

This category of traits covers the external physical form, shape, colour and appearance of animals. These traits are recorded as discrete or categorical variables. Their discrete expression relates to the fact that they are determined by a small set of genes. Relative to the quantitative traits discussed below, some of these traits (e.g. colour of hair coat, feather type, horn shape and ear length) may have less direct relevance to the production and service functions of AnGR. However, they may relate to some of their adaptive attributes. For instance, colour of the skin and hair coat, and size of ears and horns, are known to be relevant to the dissipation of excess body heat. Length of tail or size of switch in cattle is important in areas where there is a heavy burden of biting flies. Other traits may relate to the preferences or tastes of livestock keepers and consumers (e.g. colour of hair coat), and some are used for animal identification in situations where permanent identification of individual animals is otherwise impractical. In this context, they are as important as the quantitative traits and hence they need to be included in phenotypic characterization studies.

Qualitative traits are recorded either as discrete categories of expression (such as colour of hair or feathers) or binary variables (e.g. presence or absence of wattles). Collection, management and analysis of data on qualitative traits are therefore different from the equivalent procedures for quantitative traits. Details of these methods are discussed in section C (Data collection for primary characterization) and section E (Data management and analysis) of these guidelines.

Animal temperament is closely tied to various production and service functions of livestock. Temperament is recorded as a subjective measure (either categorical or binary) preferably at herd or flock level. Some breeds (e.g. the Fulani cattle of the Sahel of western-central Africa) have typical features of temperament and attachment to their owners that distinguish them from other populations.

The commonest qualitative traits used in phenotypic characterization of cattle, sheep, goats, chicken and pigs, along with a suitable set of codes for recording them, are presented in Annexes 1 to 4. Recording traits such as colour of hair, feathers or shanks, or size of hump involves some level of subjectivity. Steps need to be taken to develop a common understanding of these traits among those collecting such data. Enumerators should be given uniform training on these aspects of data collection. Standardized colour charts can be prepared and taken to the field.

Standardization of the coding of qualitative traits is also essential for broad utility of the data, for instance to compare breeds within or between countries. Meta analysis at regional and global levels requires both standardization breed descriptor data and access to the relevant datasets. It is therefore important that National Coordinators for the Management of AnGR enter data on the characteristics of their countries' breeds consistently and as fully as possible into DAD-IS. It is also important that phenotypic characterization studies provide the data that National Coordinators need to complete the task. It is recommended that phenotypic characterization studies should aim to collect this core set of data items – listed in the Annexes to these guidelines – as fully as possible, both for international reporting and as a sound basis for national actions to improve AnGR management. The set of data items can be expanded as necessary to address specific objectives and preferences at national or local levels.

In Spanish- and French-speaking countries, some phenotypic characterization studies present qualitative traits in three categories – morphological, morphostructural and cutaneous (*faneropticos*) – but essentially the same set of qualitative traits as those described above is being discussed.

Quantitative traits

Quantitative traits are measures of the size and dimension of animals' bodies or body parts and are more directly correlated to production traits than qualitative traits are. For instance, body weight and chest girth are directly related to body size and associated production traits. Typically, these variables have a continuous expression. This is because of the numerous genes that determine or influence their expression. While qualitative traits, such as coat colour, are based on a small number of loci and can be precisely recorded and predicted for defined animal populations, the economically important quantitative traits require considerable recording of direct and indirect indicators of the trait in individual animals. Furthermore, unlike many qualitative traits, most quantitative traits are dependent on the age of the animal and the type of production environment in which they are kept. Consequently, it is imperative to sample only fully adult animals maintained in their typical production environments. Furthermore, the data collected in a single visit can only provide indicative information on the traits measured. Repeated and more structured data collection is required for systematic characterization of economic traits (see Section D for further discussion).

Because of their strong correlations with production traits such as meat and milk production, traits such as body weight, body length and height at withers are used as proxy indicators of the production traits. Body measurements should always be accompanied by explanatory notes on the plane of nutrition, or season of the year and how this affects the availability of feed. In studies that cover large geographical areas and involve the characterization of grazing animals, the objective should be to collect all field data during seasons of the year when feed supplies are similar. Alternatively, body condition scores of sample animals can be collected and used to account for seasonal differences in the plane of nutrition, but this approach requires that the data collectors have the relevant skills.

Traits such as dewlap width, ear length, height at withers and size of preputial sheath are directly related to adaptive attributes of AnGR and are therefore relevant in their phenotypic characterization. For instance, AnGR that are well adapted to dry and hot climates such as the Jamunapari goat of India or the Boran cattle of Ethiopia and Kenya, typically have very long ears and a wide dewlap.

Economically important production traits, such as growth rate, milk yield, egg production and fibre (e.g. wool, cashmere) yield cannot be adequately assessed by single visit to field sites. They require repeated measurements of performance, which need to be investigated through advanced phenotypic

characterization work (discussed in more detail in Section D). However, some indicative data on average performance levels can be collected through direct measurement, interviews with livestock keepers or from available records.

Live body weight at a specific age, combined with available knowledge of meat quality and marketability, can be used as a proxy indicator of suitability for meat production in all the species discussed in these guidelines (cattle, sheep, goats, pigs and chickens). Similarly, average milk off-take records from sample animals on the day of data collection, taking into account the stage of lactation, can indicate milk production capacity in cattle, sheep and goats. Formats for capturing such data are presented in Annexes 1 to 4 for the respective species. A more detailed example how such data can be obtained is presented in Box 2.

Box 2: A rapid method of assessing milk production in cattle breeds

As part of a comparative evaluation of the utility value, as perceived by their owners, of four indigenous cattle breeds in southwestern Ethiopia under smallholder management, a semi-structured questionnaire was used to interview 60 cattle-keeping farmers from the home areas of the four breeds, Abigar, Gurage, Horro and Sheko. The questionnaire covered, among other aspects of production, reproduction characteristics, breeding practices and milk production. The daily milk off-take was estimated by each farmer for the three trimesters of the lactation period, both for the oldest cow and a cow chosen randomly from among the herd. Off-take did not include the amount of milk suckled by calves. Milk production was estimated as an average quantity per day in each trimester of the lactation. Based on these figures and the reported lactation length, the total lactation yield was calculated. Lactation length was longest in Sheko cows and shortest in Gurage and Horro. Milk production was significantly higher for Abigar and Sheko compared to Gurage and Horro. The lowest milk production was reported in the Gurage breed.

Source: Stein *et al.* (2009).

If specialized production traits such as wool, cashmere or mohair are considered a priority, direct measurements of fibre quality (e.g. percent wool and hair), length, strength and curliness may be taken during primary characterization studies. Whenever these are necessary, however, detailed data collection through advanced characterization studies (on-farm and on-research station) should be planned.

Blood samples can be collected during field work and used for assessing blood parameters, such as haematocrit count or prevalence of blood parasites, or for extracting DNA for molecular genetic analysis. Taking such samples needs careful planning and coordination with laboratories that can do the required analysis. Detailed discussion of molecular genetic characterization can be found in the complementary guideline publication devoted to this topic (FAO, 2010b) which is based on a tested set of recommendations for field and laboratory work (FAO, 2010b). From the perspective of organizing a phenotypic study, the main point to note is that the fieldwork phase of the study is an opportunity to collect blood or tissue samples. Importantly, coordinated approaches allow combined analysis and comparison of phenotypic and genetic data to provide a more comprehensive analysis of AnGR diversity. Such analysis not only facilitates a more definitive identification of distinct breed types when phenotypic differences appear minor (see Box 3) but can also be used for establishing genetic relationships between breeds, which is very useful for planning breed improvement and conservation programmes.

Box 3: How to complement genetic characterization with phenotypic characterization

An integrated phenotypic and genetic characterization study of three meat-type goat breeds developed in South Africa (Boer, Savanna and Kalahari Red) was conducted in 2007 to determine whether the typical characteristics of the breeds were being maintained and ensure that their unique traits were not being lost. The same populations were sampled for phenotypic and genetic characterization. A set of twelve linear measurements were taken for the phenotypic characterization. Eighteen microsatellite markers selected from a panel of markers recommended by the International Society for Animal Genetics (ISAG) and FAO were used in the genetic characterization. The results showed that morphometric variation within the breeds is greater than between the breeds and that morphometric differences between the breeds were fairly insignificant. This highlighted the need for genetic characterization to enable the breeds to be distinguished accurately at genotypic level. Results of the genetic studies showed that the three breeds had relatively high heterozygosity values and that each of the populations was clearly distinguishable as a separate breed based on genotyping results with the selected markers. It was concluded that further genetic studies were needed to ensure sufficient diversity within the breeds for long-term conservation of the unique genetic resources.

Source: Pieters *et al.* (2009)

Additional data on known resistance to, or tolerance of, biotic (diseases, parasites, etc.) and non-biotic (climate, water scarcity, seasonal feed scarcity, etc.) stressors can be collected during phenotypic characterization studies by interviewing individual livestock keepers or through focus-group discussions. Such data are largely dependent on perceptions of the interviewees and hence need to be interpreted with caution. Closer investigation through repeated measurements may be necessary. Some guiding questions for capturing information on such traits are presented in Annexes 1 to 5.

The traction services provided by cattle are important for many rural populations in Africa and Asia, and hence need to be considered as part of phenotypic characterization in this species. During primary characterization studies, it is only possible to collect data on trait preferences. If necessary, advanced studies to obtain detailed data on speed and work performed can be implemented.

Limitations of primary characterization for collecting data on traits of economic importance

Despite the high cost and huge effort involved in primary characterization studies, very little can be deduced about important production traits such as growth rate (for meat production), lactation milk yield, egg production, wool production or the quality of these products. Some data collection instruments that can be used to capture indicative information on these traits during single field visits are available, but these are not substitutes for advanced characterization based on repeated visits and controlled measurements (see Section D). Resource limitations may mean that it is necessary to choose between covering a large area through a primary characterization or to conduct advanced characterization in a smaller sample or geographical area.

Investigating feral and wild populations

In some locations and production systems, livestock come into contact and interbreed with wild or feral populations. For example, in the mountainous regions of northern Viet Nam, domesticated chicken populations are in frequent contact with their wild relatives. Similarly, numerous native pig populations in isolated rural communities in Papua New Guinea are known to interbreed freely with feral and wild pig populations. Whenever possible, consideration should be given to collecting some data on these resources during phenotypic characterization studies in such locations. Of particular relevance are estimates of the geographical distributions and population sizes of the wild and feral populations and information on whether, and to what extent, there is interbreeding between these populations and domestic animals. Apart from genetic introgression, feral and wild populations can be important in the transmission of contagious diseases to domestic populations. The data collected may also be important from the perspective of managing the wild or feral populations themselves,

either to help conserve them as important elements of local biodiversity or, if they are so-called invasive alien species in the local context, to reduce the problems they cause.

Investigating breed population sizes and threats to AnGR

Up-to-date data on the size and structure of breed populations are essential for effective management of AnGR. The task of obtaining a baseline of population and other data on a country's breeds and subsequent monitoring of these populations is best handled through the development and implementation a national surveying and monitoring strategy, which is likely to involve sample-based "household" surveys combined with the use of other data gathering tools (for further details, see FAO, 2010a). In countries where AnGR populations are not well characterized and particularly where they are not distinguished into recognized breeds, phenotypic characterization will be fundamental to the accumulation of a baseline of data on national AnGR.

Many individual phenotypic characterization studies will be too small in scale to allow them to provide precise figures for the population sizes of the breeds covered, particularly if the breeds are widely distributed throughout the country. Nonetheless, such studies represent an opportunity to obtain approximations of the size of breed populations in the study areas. For example, rapid appraisal techniques can be used to collect local knowledge on breed identity and the local distribution of these populations. By mapping these distributions and relating them to available population figures for the relevant species in the relevant administrative units (e.g. from a livestock census) it may be possible to obtain estimates of the sizes of breed populations within these areas (e.g. FARM Africa and ILRI, 1996; Blench, 1999). Additional information from focus-group discussions and key informant interviews or from additional secondary sources such as reports of previous livestock studies may be useful in further refining crude population estimates.

Consideration should be given to collecting indicative data on these threats to AnGR during phenotypic characterization studies as part of the description of breeds' production environments. Interviews and group discussions with livestock keepers and other informants can be used to obtain information on threats related to socio-economic changes, availability of resources or disease epidemics and other disasters. Mapping breed distributions as part of phenotypic characterization studies (see below) will also contribute to the analysis and management of some threats.

Mapping breeds' geographical distributions

Data on the geographical distribution of livestock breeds are important to the development of AnGR management plans both directly (e.g. knowledge of the location of the animals may be necessary to plan responses to emergencies such as disease outbreaks) and indirectly (because of the link between location and the "natural" aspects of the production environment – climate, elevation, terrain, disease epidemiology, etc.). Phenotypic characterization studies should always record the locations where measurements are taken, and map as accurately as possible the distribution of breeds within the areas covered by the study.

Breed distribution maps can be sketched based on GPS readings taken at study sites combined with information obtained via interviews or mapping exercises conducted with local people. In extensive livestock systems such as those of the pastoral and agropastoral livestock-keeping communities of sub-Saharan Africa, the Andes and parts of Asia, breed identities often match the ethnic boundaries of livestock-keeping communities. Such links can be corroborated using information gathered via focus group discussions and interviews with key informants. Relevant secondary data may also be used to sketch distribution maps, but caution is needed in developing and interpreting data from secondary sources as they may be incorrect or out of date.

Describing production environments

To understand the production and adaptation attributes of livestock breeds or populations, it is essential to describe their production environments. There are several reasons why this is important.

If data on production levels are being collected, it is essential that data are also collected on the conditions in which the animals are kept. Without production environment data, performance data are meaningless. Not only do variations in production environments give rise to variations in performance, breeds may be ranked differently in different production environments; i.e. a breed that is the top performer in one production environment may be a poor choice elsewhere. Adaptation traits are complex and difficult to measure, especially in low to medium input production environments. However, they can be characterized indirectly by describing the production environments in which the populations in question have been maintained over time. Breeds that have had to survive and reproduce in the presence of particular stressors and combinations of stressors (e.g. high or low temperatures, poor-quality feed, specific diseases or parasites) will have been under selective pressure to develop adaptations to these stressors.

Describing the production environment may also be important as a means of identifying potential development opportunities. For instance, the fact that breeds are kept in specific natural environments may be important in the development of niche markets for their products. Descriptions of breeds' production environments are also essential for the planning of genetic improvement and conservation programmes. Here in particular, it is necessary not only to describe the physical conditions in which the animals are kept but also to describe features of the socio-economic environment, such as the uses and roles of livestock, market orientation and access, specific products and marketing opportunities, and gender-related aspects of livestock keeping.

Meaningful comparisons among breeds require that their respective production environments be described in a standardized way. To address this requirement, FAO and the World Association for Animal Production convened an expert workshop, held in 2008, that developed a standard set of production environment descriptors (PEDS) for use in DAD-IS and in phenotypic characterization studies (FAO/WAAP, 2008). Individual phenotypic characterization studies should treat this set of PEDS as a minimum and collect whatever additional production-environment data is relevant to the objectives of the study and to providing a comprehensive description of the conditions in which the animals are kept.

The PEDs framework is presented in Annex 5. Note that the framework includes average climatic data that cannot be obtained in a single visit to a study site (in fact they require several decades of observations). Such data might be obtained from the records of weather stations situated close to the study site. Moreover, many aspects of the production environment are now recorded electronically in high-resolution maps. If a phenotypic characterization study records the geographical locations of the targeted breeds, it becomes possible to create digitized breed-distribution maps that can be overlaid with any other digitized maps that are available for the respective areas. This approach is being used in the PEDs module of DAD-IS for all aspects of the production environment for which digitized maps are available globally. These global maps include not only climatic data, such as temperature, rainfall and relative humidity, but also aspects of terrain and vegetation such as elevation, slope, landcover type, tree cover and soil pH. Data on aspects of the production environment that are not mapped (e.g. management practices) have to be collected directly during field visits. See Sections C and D for further discussion on collecting PEDs data.

Economic valuation of non-production traits

Phenotypic characterization studies may pave the way for genetic improvement or conservation programmes. In the low external input production environments of developing countries, the reasons for raising particular types of livestock include a range of adaptation traits and non-marketable service functions. In stressful environments, tolerance of feed and water scarcity, disease and parasite burden, occasional drought and extremes of temperature may be prioritized over production traits. Similarly, mothering ability, fertility, capacity to provide traction services or to meet sociocultural roles may be priority traits in some production systems. Unfortunately, these traits are difficult to record during phenotypic characterization studies. Recent advances in the field of economic valuation of AnGR have developed, adapted and tested new data-collection and analysis tools for assessing

such traits in ways that can inform genetic improvement and conservation plans (Drucker *et al.*, 2001; Drucker *et al.*, 2004). These tools can be applied during phenotypic characterization studies. Drucker *et al.* (2001) provide a critical evaluation of tools for economic valuation of AnGR. Two basic tools that can be used in phenotypic characterization studies of breeds and individual animals are:

- 1) determining the economic importance of the breed under consideration by asking key stakeholders specific questions about breed preferences (i.e. relative importance of the breeds taking into account all relevant economic traits); and
- 2) identifying all the relevant traits and putting them in priority order based on livestock keepers' trait preferences.

If breeds are being considered for inclusion in genetic improvement or conservation programmes, additional studies that collect detailed data on input and output levels in their management may be necessary.

The greater significance of non-production traits in the low external input production environments of developing countries means that in these environments it may be particularly important to develop productivity evaluation criteria that take these traits into account and to apply them in assessing and comparing the merits of different AnGR (Ayalew *et al.*, 2003; see Box 4). It also means that non-income functions (e.g. manure, savings, insurance) may need to be included in genetic improvement programmes in such production systems.

Box 4. Aggregated productivity model for comparative performance evaluation of AnGR

The multiplicity of important production, service and sociocultural functions performed by livestock in smallholder and subsistence production systems cannot be captured by conventional productivity evaluation criteria that focus on production traits. Evaluations based on such criteria are inadequate for evaluating subsistence livestock production because: 1) they fail to capture non-marketable benefits; and 2) the core concept of a single limiting input is inappropriate to subsistence production, as multiple limiting inputs (livestock, labour, land) are involved in the production process. As many of the livestock functions as possible (physical and socio-economic) should thus be aggregated into monetary values and related to the resources used, irrespective of whether the outputs are marketed, home-consumed or maintained for later use. A broad evaluation model involving three complementary flock-level productivity indices was developed and used to evaluate subsistence goat production in the eastern Ethiopian highlands. The results showed that indigenous goat flocks generated significantly higher net benefits under improved than under traditional management, which challenges the prevailing notion that indigenous livestock do not adequately respond to improvements in the level of management. Furthermore, the study showed that under the subsistence mode of production considered, the premise that indigenous × exotic cross-bred goats are more productive and beneficial than the indigenous goats is wrong. The model thus provides a more realistic platform upon which to propose improvement interventions.

Source: Ayalew *et al.* (2003)

Another important reason for economic valuation of adaptation, service and other non-production traits is the potential public or social functions of AnGR. As often observed in breeds that are at risk of extinction, these roles attract little market interest. Unique traits such as resistance or tolerance to endemic diseases or parasites, or to seasonal feed and water scarcity need to be identified and valued in economic terms through follow-up studies (Drucker *et al.*, 2001).

A common feature of many methods for economic valuation of non-production traits is documentation of the trait preferences of livestock keepers and valuing them in monetary terms. Indeed, livestock keepers can be asked to state their breed preferences and the specific reasons underlying these preferences whenever multiple breeds are under consideration. Such data can be collected during primary phenotypic characterization studies (see Annex 5, Part V). Analysis of these data may raise more specific economic questions that need investigation through follow-up studies.

Economic valuation studies conducted in conjunction with phenotypic characterization studies can provide useful estimates of the values that society places on particular AnGR. Information on livestock keepers' preferences and perceptions about breeds and their traits is critically important in the design of genetic improvement and conservation programmes. Specific technical input from competent experts should be brought in to assist with the planning and management of economic valuation studies associated with phenotypic characterization work.

SECTION B: OPERATIONAL FRAMEWORK

This section marks the transition between the previous conceptual section which describes the principles, concepts and elements of phenotypic characterization and the following sections which deal with the practical planning and execution of a phenotypic characterization studies.

This section represents the “getting started” phase of such a study. It provides advice on forming the team who will take charge of the study, and defining its activities. It is a critical section in the sense that it guides the study team in defining the objectives and the scope of the study.

1. Establish an inventory of stakeholders

Ideally, the study will be initiated within the framework of the country's National Strategy and Action Plan for AnGR (FAO, 2009) and be part of a national strategy on surveying and monitoring strategy that aims meet the countries needs for AnGR-related data and information. In other cases the initiative may come from individuals or group of persons, who are aware of the need to characterize particular local AnGR populations. Whatever the institutional framework, it is important that phenotypic characterization studies are focused on meeting the priority information needs of AnGR stakeholders locally and/or nationally. If the study is not initiated at national level, it is nonetheless essential that the National Coordinator for the Management of AnGR and National Advisory Committee on AnGR (or equivalent structure) be informed and consulted.

Once a decision to conduct a study has been taken, it is essential that a balanced and competent team be assembled to plan and implement the study. This task will have to be organized by the individual or small group who are initiating the study or who have been delegated the task by the national authorities. The process may involve a series of consultations with key stakeholders. A first step may be to draw up an inventory of all stakeholders that may contribute to the planning and/or implementation of characterization study, be interested in the results or contribute to follow up activities. Representatives of key institutions and stakeholder groups should be identified. Table 1 provides a checklist that may help identify relevant stakeholders

Table 1. Examples of national and local, regional and international stakeholders

Category	Organizations
National and local (study area)	breed' associations, farmers' or livestock keepers' associations or unions, livestock conservation organizations, ministries, departments or divisions in national or regional government, service providers (e.g. artificial breeding, performance recording), research establishments, education and training establishments, extension agencies, financing institutions and credit facilitators, rural development agencies, other national or local organizations including NGOs
Regional	Arab Center for Studies of Arid Zones and Dry Areas (ACSAD), Arab Organization for Agricultural Development (AOAD), Inter-American Institute for Cooperation on Agriculture (IICA), Secretariat of the Pacific Community (SPC), Southern Africa Development Community (SADC), other regional organizations including NGOs.
International	International Center for Agricultural Research in the Dry Areas (ICARDA), International Livestock Research Institute (ILRI), FAO, International Fund for Agricultural Development (IFAD), Organisation for Economic Co-operation and Development (OECD), World Bank (WB), other international organizations including NGOs

2. Establish the study team

Depending on scope of work, the study team that will plan and conduct the phenotypic characterization may consist of a multidisciplinary team of experts and technicians or a few individual researchers (and their assistants or MSc/PhD students). Studies undertaken by research and academic institutions are likely to be vetted by the respective institutions for the technical competency of the research team.

The following list of competencies are required in study teams for both primary and advanced characterization studies (additional requirements for advanced studies are discussed below):

- good knowledge of animal genetics and management of AnGR;
- good knowledge of statistics and data management;
- good knowledge of sociology and in particular participatory approaches;
- good knowledge of livestock production systems in the study area and the sociocultural significance of AnGR;
- good skills and experience in organizing field work (particularly phenotypic characterization studies) on the appropriate scale; and
- good insights into the current and potential future contributions of AnGR to the livelihoods of livestock keepers in the study area and to the local economy.

If it is not feasible to assemble all these competencies within the study team itself, expert technical advice from outside the team will need to be sought from at various stages of the planning and implementation of the study. It is recommended that the study team be managed by a person with ample experience in characterization studies. The members of the study team should cooperate closely with each other in all the phases of the project (planning, field work, data management and analysis, and writing the report).

A typical study team that meets the above-described criteria might be composed of the following members:

- lead investigator, who may be an expert in any one or more of the desired competencies;
- specialist in livestock production and/or genetics, preferably an expert on the species targeted by the characterization study;
- sociologist or anthropologist;
- data management specialist;
- data entry staff;
- data analyst;
- statistician; and
- enumerators (number depending on the size of the study).

These members may have multiple competencies and hence responsibilities, but responsibilities should not be shared. The data analyst will ideally be a statistician (in which case there is no need for a separate statistician within the team), but the role may be fulfilled by another competent member of the team (e.g. geneticist or animal scientist) advised as necessary by a statistician.

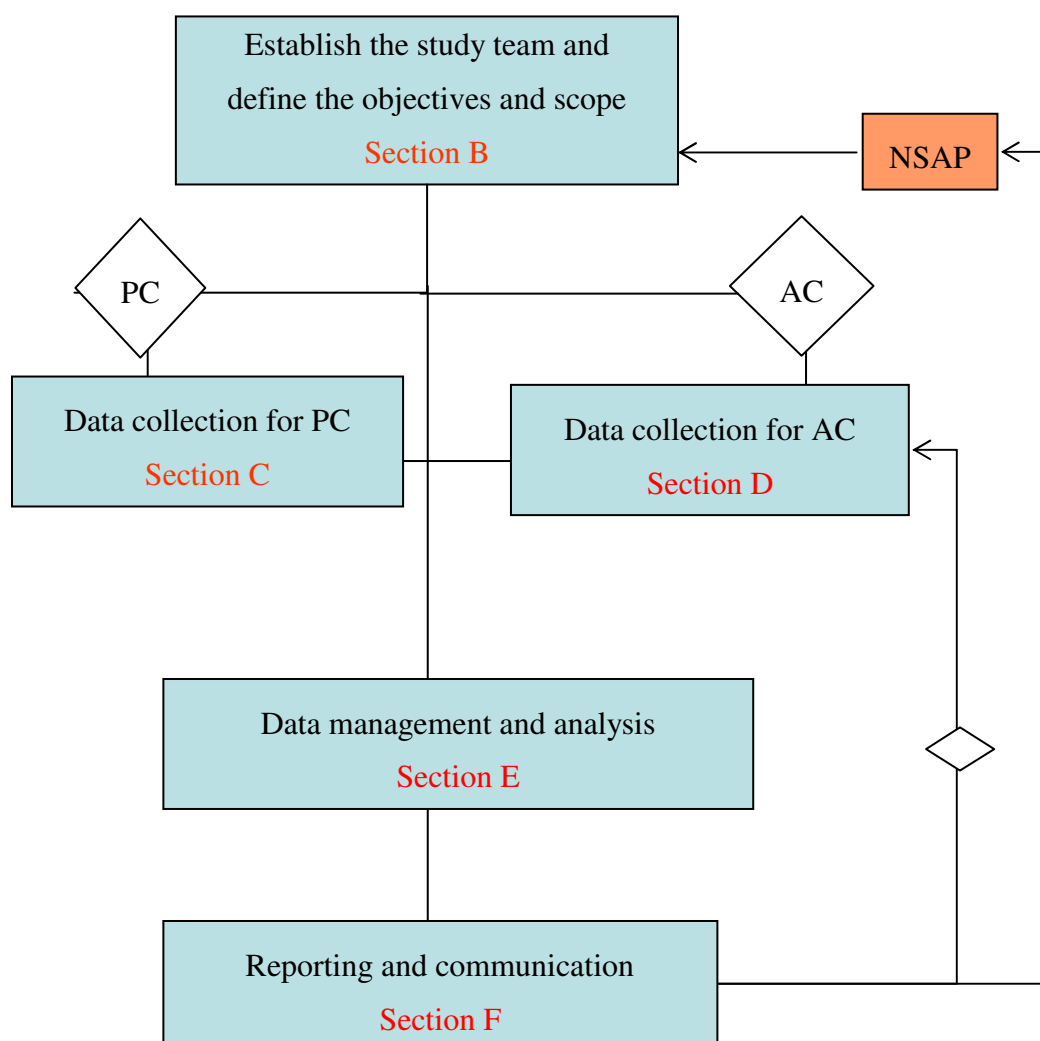
The study team should contact the local authorities in the area(s) where the study is to take place and seek their support in facilitating the field work and recruiting the enumerators. If there are several separate groups of enumerators, it is critical to appoint a supervisor for each group and to ensure proper coordination among the groups. It is recommended that the different groups have members in common to assure consistency in the methods used. However, this may not be possible if the groups are in the field at the same time.

In the case of advanced characterization, more people may need to be involved. For on-farm evaluation, livestock keepers will need to be contracted and support staff may be needed for data collection and supervision. For on-station evaluation, staff from the research station that run experimental facilities and processes will need to be included in the study team.

Once established, the study team need to undertake the following tasks:

- collect background information;
- clarify the objectives and the scope of the study;
- plan and execute the field work to collect data on animals and their production environments;
- plan and execute data management and analysis;
- prepare the report of the study and communicate the main findings to relevant stakeholders.

These tasks are summarized in Figure 3. The first two are described below in this section. The planning and execution of field work to collect data on animals and their production environments are described in sections C for primary characterization, and D for advanced characterization. The planning and execution of data management and analyses are discussed in section E. Section F deals with communicating the main findings to relevant stakeholders. Note that these sections are arranged by type of activity and do not fully follow a chronological sequence. For example, the study team should plan the data management and analysis before starting the field surveys.

Figure 3. Operational framework for phenotypic characterization studies

Note: NSAP = National Strategy and Action Plan for AnGR; PC = primary characterization; AC: = advanced characterization. ◇ = decision.

3. Collect background information

In preparing to define the scope of work, the study team should collect relevant information on the target livestock populations and its production environments and on any past or ongoing activities related to their characterization. This task is simply stated but it can be time-consuming and should be accounted for and budgeted properly. Information available from the published and unpublished literature, official reports and relevant legislation should be reviewed.

The survey team should search for data on the population size of the species of interest, in area targeted by the study. The results of the latest livestock or agricultural census are ideal for this purpose and are also likely to be a source of additional valuable information on the agricultural systems and the biophysical and socio-economic environment in the study area. Most censuses do not distinguish animals by breed. However, it may nonetheless be possible to combine census data with information from other sources on breed distribution (FAO, 1996; ACO, 2006). Where census data can be assigned with confidence to particular breeds within the study area, detailed data on the size and structure of these populations can be obtained for use in preparing the sampling frame for the study. The following method may be useful

- Sketch the known distribution of breeds for the species for the study area to the lowest possible administrative unit on a map;
- Match the sketch of distribution with the population figures and try to delineate the geographical areas on the map where both the breed identity and population estimates can be related with good confidence;
- Aggregate this information to obtain estimates of the population size and of the distribution of the breeds.

If the geographical distribution of the breeds targeted by the study can be mapped based on secondary information, it may be possible (depending on what is available) to overlay the distribution maps with a variety of georeferenced datasets, which may give an indication of aspects of the production environment, such as seasonal feed availability, burden of endemic diseases, specific uses of livestock (e.g. traction, milk production), market demand for certain products, cultural preferences and ecological zones. Such information will be useful in developing the sampling frame for the characterization work.

Caution is needed when secondary data are used to sketch distribution maps as the data may be out of data or inaccurate.

In situations where available background information is insufficient as a basis for planning the study, preliminary fieldwork and/or consultation with knowledgeable stakeholders will be required. This will have to be planned and budgeted for in addition to the main fieldwork activities. A range of tools are can be used to obtain information on the size and distribution of breed populations and on various aspects of their management. Some of these are listed in Box 5 Further details can be found in the complementary guidelines on surveying and monitoring (FAO, 2010).

Box 5 Selected surveying tools for collecting AnGR-related data

“Mapping expedition”: a simple set of journeys within the study area that are used to obtain rudimentary information on approximate geographical distribution of particular breeds and populations;

Transect survey: a method of estimating the size and composition of the livestock population within a defined area on the basis of counts taken along narrow strips within the are and the use of statistical techniques to obtain estimates for the area as a whole. This tool is only likely to yield useful results in homogenous production environments where livestock are distributed evenly rather than in clusters;

Aerial survey: essentially an aerial mapping expedition or transect survey – can be used to locate and count known breed types, but provide little additional information;

Rapid appraisal: the use of a variety of techniques to obtain a range of information from livestock keepers individually or in groups and other local informants;

Household survey: use of questionnaires to collect data from a random subset of livestock keeping households in a targeted area. Such surveys are normally major undertakings in terms of time, effort and financial expense.

Breed societies: where they exist, such societies can provide detailed information on population size and structure, distribution, breed standards, uses and other aspects of the breeds they maintain. But the information may not cover the entire breed population and may be subject to biases of various kinds.

Source: FAO (2010a).

Within the framework of an individual phenotypic characterization study, the most feasible tools for preliminary data collection are likely to be mapping expeditions (e.g. to ground-truth information from secondary sources on breed distributions), rapid appraisals (e.g. to obtain data on breed

distribution and on other aspects of livestock keeping that may be relevant in developing the sampling frame) and in some circumstances transect methods to obtain data on the size and distribution of breed populations.

4. Clarify the objectives and scope of the study

The study team needs to have a clear understanding of the objective of the characterization study and the key research questions. A preliminary consultation and planning meeting can be organized to clarify objective(s) of the work, take stock of related ongoing or planned activities and outline a work plan for the project. The team should review the study objectives and ensure that they are aligned with national priorities for the collection of AnGR-related data, consulting if necessary with the National Coordinator, National Advisory Committee on AnGR or other body overseeing such work at national level. Possible objectives and associated research questions of a phenotypic characterization study include:

- To identifying new breeds in the study area:
 - Are there distinct new breed types in the study area?
 - Are these breeds known outside the study area?
 - How do these newly identified breeds relate to previously known breed types?
- To characterize phenotypically newly identified and previously known breeds in the study area:
 - What are the typical phenotypic features of the breeds?
 - Are the breeds associated with particular agro-ecologies or particular socio-economic or cultural groups within the study area?
 - Do the breeds have any specific adaptations or unique traits?
 - How big is the population size of the breeds in the study area?
 - What is the geographical distribution of the breeds?
 - Are there any threats to status of the breeds?

The study team should consider whether and how the envisaged study can meet its objectives. If necessary, further collection background information should be collected and further consultations conducted with stakeholders. If, given the state of existing knowledge and the amount of resources available for undertaking the study, doubts remain as to whether the objectives can be met, it may be necessary to revise the objectives.

The study team, in consultation with participating stakeholders, should decide whether the study should involve primary or advanced characterization.

Primary characterization studies involve a single visits to the targeted study areas. The emphasis is on collecting descriptive data on breeds and their production environments and any additional information relevant to the management of these breeds.

Advanced characterization studies involve repeated visits and longitudinal data collection. The emphasis is on detailed evaluation of production and adaptation traits to provide evidence-based information for AnGR management, in particular for decision making on breed development and/or conservation.

If it is decided that after the primary characterization an in-depth longitudinal evaluation should be carried out, then the whole study can be organized into two phases: Phase I covering the primary characterization work; and Phase II covering the advanced characterization.

SECTION C: DATA COLLECTION FOR PRIMARY CHARACTERIZATION

1. Develop the sampling frame

In both primary and advanced phenotypic characterization studies, the study area is likely to be too large to enumerate the whole of the targeted livestock population, making it necessary to sample a representative subset of the population. Whereas in primary characterization studies the geographic distribution of the breed type has to be determined, in advanced studies available background information on the spatial distribution of the different breed types in the target population can be used as a basis for developing the sampling frame.

As described in Section A, phenotypic characterization is as much about documenting the range of variation and unique features as it is about population-level averages. Therefore, it is important that the sampling does not result in small breed populations being altogether missed out of the study.

In a phenotypic characterization study, four levels of sampling may be required:

- region (if applicable: e.g. in a countrywide characterization study);
- study sites or communities within the area targeted by the study;
- households keeping the target species within the targeted study sites or communities; and
- individual animals within the sample households.

Small and isolated communities may maintain unique AnGR. Such animals need to be included in the data collection as they can provide unique historical insights into the management of AnGR (e.g. Wuletaw *et al.*, 2008). Moreover, for cultural, religious or socio-economic reasons, particular AnGR populations may be kept only by subsections of the communities in which they are found. These populations may be missed unless their links to particular social groups are identified (for instance through focus-group discussions) and considered in the sampling.

Genetic diversity of AnGR in traditional communities is associated with the biophysical, socio-economic and management attributes of the production environment (e.g. LPPS and Köhler-Rollefson, 2005). Breed identification and characterization studies should consider these factors when developing the sampling frame.

In situations where the AnGR population targeted by the study is distributed across contrasting agro-ecological zones, ethnic groups, socio-cultural settings or administrative boundaries, these criteria may need to be included in the sampling frame. They can be used to divide the study area into more homogenous and manageable subunits for more efficient sampling (e.g. Rowlands *et al.* 2003; Ayalew and Rowlands, 2004). The study team should seek expert statistical advice when developing the sampling frame, especially when the study area or the targeted livestock population is large.

At household level, the involvement of household members in AnGR management and their knowledge of these resources are likely to vary by gender, age or social status. Attempts should be made to collect AnGR-related data from the particular individuals who are involved in livestock keeping.

For breed identification purposes it is the number of individual animals measured rather than the number of herds or flocks from which measurements are taken that is important. Conversely, the household is the measurement unit for analysis of many aspects of the production environment and from this perspective the objective should be to include as many households as possible. However, resources for phenotypic characterization studies are always limited and trade-off between the number of households visited and the number of animals measured in each household is one of the challenges to be faced by study team.

To collect phenotypic data, it is not necessary to record all the selected morphological variables from all animals. It is important to focus only on mature/adult animals. Young animals may not have

acquired the features that are typical of adult animals. However, measurements on younger animals may be necessary to assess and compare growth trends (see Subsection 2 below).

The appropriate size for the sample of individual animals at each study site depends on the precision required and the variability in the sample population. Coefficients of variation in the body measurements of mature animals in traditional livestock populations often range between 10 and 30 percent. For statistical significance (5 percent) 100 to 300 mature females and about 30 mature males from each sample site are required. In other words, if the desired confidence interval is 10 units for a 5 percent level of significance, the target sample size should be about 100 mature animals.²

In all livestock species, the number of mature breeding males is always very limited. Thus, the focus, especially in breed identification studies, will be on mature females, the males being included for breed description, especially in case of known sex dimorphism, and for genetic characterization. In traditional populations of, for instance, cattle and small ruminants in sub-Saharan Africa, mature females typically constitute about 40 percent of the animals in herds and flocks. To identify and sample mature females, it may be necessary combine information provided by the livestock keepers and with information obtained by examining the dentition of the animals (see Box 6). These figures are guides; the study team should seek specific technical advice from a statistician if the relevant expertise is not available within the team itself. Box 7 presents a generic method for determining sample size.

Box 6 Estimating the of age of sheep and goats from their dentition

In traditional livestock populations, for example in pastoral areas, recording animals' dentition is essential for identifying mature females, calculating the population pyramid, assessing sex ratios and, where relevant, for comparing generalized growth curves. Natural patterns of eruption of deciduous and permanent incisors in sheep and goats are strongly related to the age of the animals and the quality of the roughage feed (Wilson et al., 1991). The common eight dental classes (see Annex 6) are too broad for estimating animals' age with sufficient precision, especially at two stages of maturity – one between eruption of the fourth pair of milk teeth and that of the first pair of permanent incisors, and the other after the full-mouth stage. Six additional classes were introduced and tested in several studies in Ethiopia (FARM Africa and ILRI, 1996) and despite their vulnerability to biases on the part of the observer proved to be very helpful in producing more comparable age classes.

² see <http://www.gmi-mr.com/resources/sample-size-calculator.php>

Box 7. A generic method for determining sample size

Three factors determine the sample size for simple random sampling. These are:

- 1) The margin of error (also referred to as the confidence interval) which measures the precision with which an estimate from a single sample approximates the population value. The margin of error (e.g. + or - 5 percent), is closely related to sample size, and decreases as the sample size increases. It depends on the precision needed in making population estimates from the sample.
- 2) The confidence level is the estimated probability that a population estimate lies within a given margin of error. The confidence level (e.g. 95 percent) is also closely related to sample size, and increases as the sample size increases. For all samples used in the MGAP Outcome Evaluation, the confidence level is 95 percent.
- 3) The proportion (or percentage) of a sample that will choose a given answer to a survey question is generally unknown, but it is necessary to estimate this number as it is required for calculating the sample size. A proportion of 50 percent is most commonly used as it is considered the most conservative estimate.

The formula for calculating the sample size for a simple random sample is then:

$$n = \left(\frac{z}{m} \right)^2 p(1 - p)$$

where z is the z value (e.g. 1.96 for 95 percent confidence level); m is the margin of error (e.g. .05 = + or - 5 percent); and p is the estimated value for the proportion of the sample that will respond a given way to a survey question (e.g. .50 for 50 percent).

Using the above values, and without using the finite population correction factor (explained below), the sample size is:

$$n = \left(\frac{1.96}{.05} \right)^2 .5(1 - .5) = (39.2)^2 (.25) = 1536.64 (.25) = 384$$

The Finite Population Correction (FPC) factor is routinely used in calculating sample sizes for simple random samples. It has very little effect on the sample size when the sample is small relative to the population but it is important to apply the FPC when the sample is large (10 percent or more) relative to the population. The sample size equation solving for n' (new sample size) when taking the FPC into account is:

$$n' = \frac{n}{1 + \frac{n}{N}}$$

where n is the sample size based on the calculations above and N is population size.

Using the formula above, and for N= 16450, the new sample size is:

$$n' = \frac{384}{1 + \frac{384}{16450}} = \frac{384}{1.023} = 375.37$$

This generic formula is presented here only for illustration and should be customized by the statistician in the characterization team. Examples of sample size calculators can be found at <http://www.raosoft.com/samplesize.html>; <http://surveysystem.com/sscalc.htm#ssneeded>; <http://calculators.stat.ucla.edu/>

2. Prepare the data-collection equipment and methods

A combination of quantitative and qualitative data needs to be collected, in simplified formats, from sample animals, livestock keepers and the production environment. The study team will need to prepare equipment and tools for taking animal body measurements, questionnaires for interviews and guides for focus-group discussions and other informal interviews. Annexes 1 to 5 provide outlines that can be customized, as necessary, to meet the specific needs of the study. If the study includes molecular genetic characterization, tools and protocols for blood or tissue collection will need to be prepared.

Equipment

Even when standardized measuring devices are employed, some subjectivity is involved in taking quantitative body measurements from animals. Similarly, collection of data on qualitative or categorical traits may be affected by inconsistencies and errors in judgement on the part of the observer. This review of equipment and tools includes advice on how to address these problems:

For quantitative data collection, the following instruments may be needed:

- Measuring tapes are used for linear body measurements such as body length, chest girth and horn length. They can be made of textile or plastic material. Textile tapes are preferable to plastic because they are less affected by variations in temperature.
- Sliding rulers – metallic or wooden rulers fitted with sliding height bars – are preferable to tapes for measuring vertical heights (e.g. wither heights) to avoid subjectivity associated with in gauging the top line.
- Callipers are used for measuring distances between two symmetrically opposing sides of an animal or other object (e.g. pelvic width or egg diameter). Metallic callipers are less prone to measuring error than are measuring tapes. The tips of the callipers can be adjusted to fit the points to be measured and the distance read either from the graduated callipers themselves or by measuring the distance between tips of the callipers with a separate measuring tool.
- Altimeter and compass – altimeters are needed to record the elevation of study sites; compasses are used in mapping exercises and to guide enumerators during visits to new sites.
- Weighing scales – for sheep, goats and chickens, mobile weight measuring sets – consisting of a tripod, a spring balance and a hanging canvas sling – can be used. For larger animals, measuring body weights in the field is often difficult because of a lack of mobile weighing bridges or scales. In primary characterization studies on cattle or pigs in widely dispersed communities, indirect methods of estimating body weight can be considered. Options include tested regression equations of body weight on body length and chest girth, which in general are highly correlated with body weight. Such equations are, however, population specific; i.e. they can be developed in a first study of the target population and later applied in other studies of the same population (Ribeiro *et al.*, 2004), provided their levels of accuracy are known. Weighing bridges and spring balances always need to be calibrated before data collection starts. In the case of spring balances, the weight of carrying slings should be accounted for when reading body-weight measurements, either by subtracting the weight of the carrying sling from the total weight reading or by adjusting the weight reading to zero with the sling set on the spring balance.

For data collection on qualitative or categorical traits, the instruments described below may be needed.

- Coding sheets and guides for enumerators. The study team should develop data codes for categorical variables, ideally with the help of customized illustrations.
- Colour charts. These are essential for ensuring uniform treatment of traits such as type and pattern of coat colour, plumage colour, shank colour and skin colour.

- Pictorial body conformation guides. The study team should set verifiable standards for all qualitative indicators of the size and shape of body parts. For instance, the method for classifying head profiles as straight, concave, convex or markedly convex should be clear-cut and without ambiguities. The same is true for classifying ear orientation as prick, lateral, drooping, pendulous or semi-pendulous.

Other items of equipment that will be needed in the field include:

- gear for sampling blood, hair root or tissue (if material for molecular genetic characterization is to be collected);
- digital photo and video cameras, which are needed to capture images of animals and can also be used to record subjective qualitative data (e.g. shape, appearance and colour) for comparison and standardization;
- GPS apparatus;
- writing materials and bags;
- communication equipment; and
- means of transport (field vehicle, motorcycles, bicycles, etc.).

Methods for obtaining indicative measurement of production traits

Despite the high cost and huge effort involved in primary phenotypic characterization, very little can be deduced about important production traits as growth rate, milk yield, egg production, wool production, or the quality of these products. Evaluation of these traits requires more in-depth studies. Relevant methods are described in Section D. However, it is possible to collect indicative information on these key economic traits during primary characterization studies. The following examples illustrate methods that can be used in smallholder settings:

Milk production: ask livestock keepers, preferably the members of the household who milk the animals, to identify two of their milking animals that have completed at least one lactation: the cow that has most recently completed its lactation (to be the random cow) and the cow that is known to be the most productive. Then ask the livestock keepers to recall the lactation length in each of these cows, divide it into three trimesters, and then estimate the volume of the average daily yield for each trimester separately. This can be done in terms of volume measures that are familiar to the livestock keepers, such as cups or gourds, and later converted into SI units. Aggregating figures obtained in this way can provide more realistic estimates of lactation milk off-take than can be obtained by direct estimates of the whole off-take (e.g. Stein *et al.*, 2009; see Box 2).

Growth rate of animals (cattle, sheep, goats, pigs, chickens) destined for meat production: First ask livestock keepers to identify a meat animal that is about ready for sale, and then record the weight and estimated age (as recalled by owner or judged by dentition) of this animal. Then randomly select three or four other animals of the same sex and progressively younger ages. Weigh these animals and record their ages. These data can be used to derive an estimated average growth rate from an early age to market weight for marketable animals in the sample flocks/herds. The method only provides rather crude estimates, but can give a quick indication of weight gain for the period covered, which if consistently applied can be used to compare growth rates across flocks/herds. In circumstances where live body weights cannot be directly recorded, weight estimator measuring tapes can be developed in advance based on known regression of body weight on chest girth, for instance.

Reproduction rate and frequency of multiple births in cattle, sheep, goats and pigs: Ask livestock keepers to recall parturition histories (number and type of births) of all the female animals sampled in the study. This enables average litter size and frequency of multiple births to be estimated at the level of the sample population. If the animals are identified by source

(i.e. home-bred or purchased) and their age is estimated, it is possible to estimate the probable number of parturitions for a given age group, either by production system or by breed type (see for instance, FARM-Africa and ILRI, 1996).

Egg production: once the number of hens in the sample flock has been determined and recorded, ask the chicken owners to recall the number of eggs laid by all hens in the flock during the last three days. Aggregate the figures at household and village levels to get an estimate of: 1) average egg production for the period covered; and 2) hen-day production, i.e. total number of eggs laid by the flock in the three day period divided by the hen-days covered (derived as the sum of the number of hens per flocks for each of the three days).

If considered priorities, specialized traits such as those associated with production of wool, cashmere and mohair can be investigated during primary characterization studies, for example, by taking direct measurements of fibre quality (e.g. percent wool and hair) length, strength, and curliness.

Describing production environments

The field work phase of a phenotypic characterization study is an opportunity both to directly collect data on the production environments of the targeted AnGR populations and to collect data on their geographical distribution which can be related to mapped datasets obtained from other sources (see Section A for an overview of this approach).

Most data items related to animal management and to the socio-economic, marketing and gender aspects of the production environment need to be collected directly in the field. This can be done via interviews with livestock keepers or other local people (individually or in groups) and through the use of “participatory” data collection tools. Basic data items that need to be collected in order to describe these aspects of the production environment are listed under “management environment” in Annex 5. These can be supplemented with whatever additional production-environment data the study team considers relevant to the objectives of the study and to providing a comprehensive description of the conditions in which the animals are kept.

The presence of diseases and parasites is another aspect of the production environment recording that requires fieldwork if the relevant data are not already available from previous studies in the area targeted. High resolution global maps of disease distribution are currently unavailable. Detailed description of how to record the disease and parasite challenge facing a livestock population is beyond the scope of these guidelines. If it is necessary to collect data on this aspect of the production environment, advice should be sought from experts in conventional and/or “participatory” epidemiology.

Field data to complement georeferenced data on terrain and vegetation may also be useful (e.g. to record the nature of the terrain – substrate, slope, etc – in the specific areas where the animals actually graze rather than averages for the area as a whole). These issues can be explored in interviews, but some aspects of terrain can also be directly observed and/or measured even during single visits to the field.

Most kinds of quantitative climatic data (e.g. long-term average temperatures measured in °C) are impossible to collect during the fieldwork conducted for an individual phenotypic characterization study. The mapping-based approach described above is the only feasible means of describing such aspects of the production environment. However, it is likely to be useful to complement georeferenced climatic data with data collected in the field from livestock keepers or other local people. This might be done, for example, to obtain some information on aspects of the climate that are not available in global georeferenced datasets (e.g. snow fall and snow cover – see Annex 5). Interview data might also shed light on local people’s perceptions regarding recent climatic trends and their effects on livestock production.

Prepare questionnaires for individual and group interviews

Structured, semi-structured and open-ended questionnaires can be used to capture data systematically through interviews. Interviews can be conducted with individuals or selected groups of individuals. Apart from livestock keepers, individual interviews may be conducted with government officials, service providers, livestock traders, community leaders or development/extension agents. Focus-group discussions can be undertaken with livestock keepers, community representatives or other stakeholders. Data generated through questionnaires may include descriptions of production environments, management practices, historical data on origin and evolution of AnGR, and data on the perceptions of livestock keepers (or other people) regarding AnGR or their production environments. It is important that the scope and depth of the questionnaires be guided by the specific requirements of the study. The time and resources required for data collection and processing can be substantial and the focus should be on collecting only the data that are needed to complete the analysis and meet the objectives of the study. Guidance on key questions for interviews conducted as part of phenotypic characterization studies is provided in Annex 5. These examples can be customized to suit the circumstances of specific individual studies.

Verbal interviews entail interaction and information sharing between interviewers and respondents within a limited period of time. Location and timing may limit the participation of particular individuals, groups or communities. Group facilitation skills are needed to manage group discussions. For instance the potential effects of social structures and group dynamics in participatory discussions need to be recognized (LDG, 2003).

3. Prepare the protocol for data collection

To ensure consistency in data collection, the study team should elaborate a protocol for enumerators detailing the sampling frame, the equipment and tools to be used, how to administer the questionnaires, and how to take measurements from sample animals. This can be based on the material presented in this section and in the Annexes, adapted as necessary to the specific circumstances of the study. The protocol can be used as support material during the training of the enumerators.

In particular, potential sources of systematic error in measurement and recording should be highlighted. All data codes and acronyms should be clearly described in the protocol. The protocol should emphasize that instead of introducing new data codes for unexpected types of data, enumerators should gather as much explanatory information as possible so that the study team will later be able to make an appropriate decision on how to code the data in question.

4. Train the enumerators and their supervisors

It is critical that enumerators and their supervisors be trained in the use of the whole set of data-collection instruments. Training should include both formal lessons and practical exercises. It should promote common understanding of the data-collection process, reporting relationships, and how emerging queries should be handled during data collection. The training should continue during the pretesting and the pilot study.

The training should establish good communication channels and working relationships between the specialist members of the study team (who will provide the training) and the enumerators and their supervisors. This will favour a higher sense of responsibility and ownership of the data and results among the enumerators and their supervisors, which, in turn, will lead to greater accuracy in data collection. Communication between supervisors and the enumerators is also very important. Good communication will ensure that support is available to the enumerators when they need and that data collection is supervised effectively. Supervisors should be trained in:

- ensuring consistency in the collection of interview data and in taking measurements on sample animals. Data collection methods should be as consistent as possible from one enumerator to another and from one production environment to another.

- checking raw data in questionnaires and other data collection formats to identify obvious errors and missing data. Instructions should be provided on how to address these errors, if necessary by going back to data sources. Checks should be made as soon as possible after the data are collected. Checked questionnaires should then be signed by both enumerators and supervisors. All such procedures should be set out in the protocols for the fieldwork.

If the study involves more than one field team it is advisable, if circumstances allow, that they have members in common to promote homogeneity in data collection.

5. Pilot and pretest the study instruments

The protocol and all data-collection instruments should be pretested at a few selected sites within the study area to:

- minimize variation among the enumerators;
- identify inconsistencies and sensitive issues in the questionnaire;
- determine whether each question is properly worded and understood by the enumerators and the respondents;
- determine whether all questions are relevant and whether additional ones may be needed;
- test the layout and sequence of questions in the questionnaire and the coding system; and
- determine the expected duration of each interview and hence of the whole study (if the interviews are too long, the respondents may lose interest, which will affect the quality of the responses).

Subsequently, a full pilot study needs to be conducted in the study area. This will allow the following aspects of field work to be assessed:

- the pace of data collection and checking;
- interactions with livestock keepers; and
- supervision relationships within the team.

The lessons learned from the pilot study will allow more realistic planning of the actual data collection, particularly the number of enumerators and supervisors needed, the type and quantity of support services needed, the timeframe and the budget. The data collected during the pilot survey should be used to refine the coding of nominal, textual and, where relevant, numerical data into precisely defined discrete categories that can be used for analysis.

6. Organize the logistics of the field work

While the technical preparations are being finalized, the study team should start preparing the agenda and the logistics for the field work, in collaboration with the enumerators and supervisors. Before deciding on the dates for the field work, the following questions should be considered:

- May the season of the year (heavy rains, drought, etc.) affect data collection at particular sample sites or across the whole study?
- May peak agricultural activities (land preparation, harvesting, etc) affect data collection?
- May sociocultural events (e.g. religious holidays) affect data collection?

Supervisors and the study team should visit the study sites to inform local authorities and the selected study communities formally about the planned data collection. The date, time and location of field visits should be agreed with the community representatives. This may involve consulting village chiefs, local officials or service providers (e.g. vets) to identify the most convenient times for data collection. It may be appropriate to involve such stakeholders directly in organizing field activities.

Logistical issues such as purchasing consumables (fuel, paper, batteries, etc), travel authorizations, and arranging accommodation for the field teams should be addressed in advance.

7. Finalize the plan for data collection

The final plan for the data collection should include the sampling frame, and details of all the data-collection instruments, guides and protocols, as well as a timetable for the field work. The plan should be accompanied by a budget report which accounts for all the logistical issues and human-resource requirements.

SECTION D: DATA COLLECTION FOR ADVANCED CHARACTERIZATION

As describe above, advanced characterization is the term used to describe aspects of phenotypic characterization that cannot be addressed by single visits to a study site, i.e. which require taking repeated measurements over a substantial period of time. Effective planning of advanced characterization, including defining the specific objectives and scope of the study, requires that background data on the targeted breeds and their production environments are already available either from earlier phases of the study or from the outputs of previous studies documented in the literature.

This and the previous section both describe data collection and there is therefore some unavoidable repetition. However, they are also complementary, especially in case of repeated surveys. Therefore, it is recommended that the reader read both sections even when the interest in on advanced characterization.

1. Review objectives and scope

The main objective of advanced characterization is comprehensive evaluation of production and adaptation traits of target AnGR populations. The traits to be studied and the production environment data are needed should be specified by the study team. Reviewing the objectives of the study will help in defining the scope of work involved. This will include the following elements:

- identifying the size and geographical distribution of the base AnGR breed population from which representative sample study herds or flocks are to be selected;
- deciding upon the timeframe of the study, including planning, data collection, data analysis and reporting: and
- deciding whether the detailed data are to be collected in the animals' usual production environment (i.e. on-farm) or in a research station where key environmental variables are controlled.

On-farm performance evaluation

Evaluation of production and adaptation traits in the animals' actual production environment reflects the true levels of performance in the base population. In such studies, representative sample flocks or herds are selected for continuous monitoring of these traits for a period long enough to allow estimation of the mean and dispersion of performance levels as well as documentation of attributes of the production environment that influence animal performance. Depending on resource availability and levels of details needed to meet the objectives of the study, the on-farm evaluation can be organized either as a set of repeated visits to sample livestock holdings, or comprehensive monitoring through repeated measurements of performance in the target animal populations for a defined period, usually covering a few full production cycles. Both approaches have the objective of generating performance data on the priority production and adaptation traits.

On-farm performance studies can be designed to estimate genetic parameters as part of genetic improvement programmes (e.g. nucleus breeding schemes for Djallonke sheep in Côte d'Ivoire: Yapi-Gnaore *et al.*, 1997a,b) or to monitor overall herd/flock productivity at site level and the effects of

specific interventions (e.g. Agyemang *et al.*, 1997; Osaer *et al.*, 2000). If conducted over sufficiently long periods, such studies allow herd/flock structures and population trends to be monitored and to identification of the associated causes and drivers.

On-station performance evaluation

On-station characterization (and evaluation) makes it possible to evaluate breed performance and potential in a relatively defined and controlled production environment. The latter allows more precise measurement of individual performance, including the ability to respond to improved levels of management, and possibly levels of stress (e.g. parasite load, water deprivation, quality of feed, etc.). A key advantage of on-station studies is that they allow comparison of multiple breeds under alternative management environments at the same time, so as to assess genotype by environment interactions. Another positive aspect of on-station evaluation is that it may pave the way for the establishment of a nucleus population and contribute to the conservation of the population being characterized, and to its genetic improvement in a longer term. The limitations are that animals may not necessarily be adapted to the controlled environment and that some traits such as grazing behaviour, and response to environmental stressors cannot be expressed and measured. Thus, the specific advantages of a local population may not be recognized, and the conclusions drawn may be misleading because they do not account for relevant genotype \times environment interactions.

2. Develop the sampling frame

A different set of statistical tools from those employed for primary characterization work may need to be used to identify study populations for advanced phenotypic characterization. While it is still important to select animal populations and farms/holdings that are representative, local circumstances may dictate that purposive sampling be used to select populations for advanced characterization. Examples of such constraints may include:

- willingness of the livestock owners to allow repeated data collection on their livestock; and
- natural and human-induced constraints on access to the study area for repeated visits.

Similarly for on-station evaluations, purposive rather than random sampling procedures may need to be followed when:

- random selection of experimental animals is constrained by a lack of background information on the base population;
- livestock keepers are not willing to part with their animals for the study; or
- only animals that meet minimum requirements can be selected for the study.

3. Prepare the tools for data collection

Advanced phenotypic characterization studies whether on-farm or on-station require the collection, in simplified formats, of a combination of quantitative and qualitative data over a relatively long period of time. It is important to ensure that the necessary equipment and tools are prepared and remain available throughout the study. Advanced characterization mainly involves the collection of data on production and adaptation traits, but physical characteristics can also be measured. For the latter category of trait, the relevant measurements and tools are described in Section C.

Identification of animals

An essential element of repeated data collection is a reliable identification of individual animals in order to ensure that the data collected over time are consistently attributed to the correct animals in the data analysis. All animals in the experimental unit should be identified using double ear-tags. In case a livestock owner objects to having ear tags attached his or her animals, the study team may either may select another owner or try to convince him or her to cooperate. In the latter case, specific advice should be sought from a sociologist if such expertise is not already available within the team. Where the use of ear-tags is not possible, alternative methods of identification need to be sought. In

pastoral communities, for example, livestock owners give names to individual animals. These combined with distinct external features of animals can be used to control animal identification.

Trait measurements and tools

Customized tools and data collection formats will need to be developed for the specific traits and control variables targeted by the advanced characterization study. Some traits and control variables need specialized equipment and data loggers. Requirements should be identified and their costs evaluated during the planning phase of the study.

In addition to collecting data on milk production, meat production, egg production, reproduction and adaptation, etc. within the experimental unit (the herds/flocks of the research station, holding or village), the pedigree of each animal should be recorded and samples of biological material collected for laboratory analyses. The cost and complexity of data collection schemes vary depending on the type of traits and the methods used for measurement and recording. In general, they increase with the level of precision and automation involved. This section focuses on techniques that are simple and low costs but which will not compromise the outcomes of the study.

Even when standardized measuring devices are used, some subjectivity remains in taking measurements. This review of traits and tools includes some recommendations that can help address these problems:

Milk off-take: all or a selected set of lactating animals are identified for weekly recording of all (morning and evening) milk off-take on a nominated day of the week, for a set period of time (e.g. one month or the whole lactation period). The following tools are needed: standard sanitary milking utensils; a graduated measuring cylinder or jug to measure the volume of the milk or a digital weighing scale to measure the weight of the milk; and data record sheets.

Milk quality: milk samples can be analysed on site or sent to a laboratory to determine fat and protein content, and if required the number of somatic cells. Fat percentage in milk is analysed in terms of fatty-acid composition. Protein percentage can be detailed in terms of the different types of caseins. Standard milk sampling bottles and a cool box are needed to take fresh milk samples for chemical analysis in the laboratory. Similarly, sampling kits are needed for taking fresh milk samples and checking the microbiological quality of the milk.

Growth rate or curve: can be derived from live body weights at different ages. Regular (monthly) body weights of growing meat animals should be measured and recorded for a set period of time (three or four consecutive months). Combined with measurements of feed consumption in a sample of animals for a set number of days (e.g. three weeks for poultry and much longer for ruminants), they allow feed conversion efficiency to be calculated for the observation period. Individual measurement of feed consumption requires isolation of each animal (e.g. in a box) and may be possible only on-station and for estimating genetic parameters. Mobile weighing bridges, spring balances or tested body weight estimating measuring tapes can be used recording growth.

Carcass and meat quality: carcass yield, bone/meat ratio or fat content measurements require slaughtering animals, and may be possible only on-station and for small animals. Indirect evaluation can be obtained through morphological measurements (see Section C) that provide information on the conformation of the animal. Advanced techniques, such as magnetic resonance, radioisotopes, tomography, radiography and ultrasounds, can be used to assess carcass composition and quality (e.g. quantity and distribution of the studied tissues). For example, for back-fat thickness in pigs and other meat animals, the specialized ultrasound equipment widely used for commercial purposes can provide accurate measurements. Meat quality traits (e.g. tenderness, juiciness) are seldom reported in characterization studies (particularly seldom in animals other than chickens) but may be important traits for valuing local breeds.

Egg production: the number of eggs laid and the mortality should be recorded daily for a limited period of time (three months). On-station, the recording period can be much longer (e.g. one year). Hens should be weighed at the start and at the end of the laying period. Feed consumption during a certain number of days (e.g. three weeks) can also be measured in a sample of hens to allow feed efficiency to be calculated, provided that egg production in this sample is also recorded.

Egg quality: two samples of eggs (e.g. 10 to 20 eggs) should be taken at the beginning and at the end of the laying period. The eggs should be weighed to determine the average egg weight. They can also be used to estimate shell quantity directly (by weighing the shell after separating it from the albumen and the yolk) or indirectly based on egg density (by using different water recipients with increasing levels of salinity). Shell strength can be measured either directly (measure of fracture force) or indirectly (measure of deformation). To measure internal egg-quality, the dry matter content, the yolk and albumen weights, or the albumen height can be measured in the same samples of eggs. Many of these measurements (e.g. egg weight, egg density, yolk to albumen ratio) can be taken using simple devices, but others (deformation, fracture force, dry matter content, albumen height) require more sophisticated tools and may not be necessary in all studies.

Wool production: can be measured correctly only during the shearing season, which is usually during the spring. Data collection time should be planned accordingly. Total weight of wool shorn is weighed to obtain greasy fleece (wool) weight. The fleece is then washed (scoured) thoroughly and weighed to determine the clean wool yield. Manual shears or motor-driven shearing devices and a weighing scale are the necessary tools.

Wool quality: wool quality is expressed in terms of fibre length, diameter, strength, curliness and colour. All of these require precision measuring devices, and such data cannot be collected in the field. Wool samples can be taken during shearing for laboratory analysis. Tools needed in the field are shears and sample bottle.

Reproduction: for sheep, goats and pigs, cases of parturition and mortality of young animals can be monitored for a set period of time (e.g. few months) In temperate and subtropical environments where reproduction often has a seasonal pattern, more targeted recording periods may be required. Numbers of births recorded during the observation period can be related to the total number of breeding females in the flock to estimate reproduction rate during that period. For cattle, the lactation length and parturition interval also need to be recorded.

Adaptation: specific adaptive attributes such as heat tolerance can be measured through body temperature, but it will not be possible in such a study to rigorously assess resistance/tolerance to local endemic diseases. Blood parameter measurements as proxy indicators of adaptation traits can be obtained by taking blood samples and sending them to a laboratory for analyses. To measure tolerance to parasite, such as trypanosomes or gastrointestinal parasites, successive blood and faeces samples can be collected during the peak challenge season and sent to a laboratory for analysis to detect the presence parasites and quantify the load. If the focus of the study is on disease/parasite incidence and prevalence, it may be appropriate, where feasible, to organize mobile laboratory facilities. Animal restraining tools and blood sampling gear (vacutainers, slides, light microscope, sample tubes) are needed for data collection.

Longevity is probably the best indicator of adaptation, but may not be possible to measure in characterization studies. When data on age of individual animals can be obtained from available records, the average age of mature animals in sample herds and flocks can be used as a proxy indicator. Livestock keepers can also recall the ages of home-born animals.

Liveability, or its reverse mortality, and production levels are easy, but indirect, measures of adaptation.

Describing production environments

The production environment descriptors (PEDS) framework devised for use in DAD-IS is presented in Annex 5. The study team should treat this set of PEDs as a minimum and collect whatever additional production-environment data is relevant to the objectives of the study and to providing a comprehensive description of the conditions in which the animals are kept.

In the case of advanced characterization studies that record production traits in a limited group of animals, the focus is less on recording a general description of the production environment of the breed as a whole and more on recording the precise conditions in which the study animals were maintained during the period covered by the recording. The restricted focus of such studies and the close attention paid to the targeted animals mean that it should be possible to record all significant aspects of the production environment in detail.

Questionnaires

Questionnaires are used either in repeated surveys or in long term on-farm studies to collect information about production environments, to monitor herd/flock structures and population trends, and identify the causes behind such changes. In both types of study, structured, semi-structured and, in some cases, open-ended questionnaires can be used to capture data systematically through interviews. However, if livestock keepers are interviewed repeatedly, care should be taken to avoid interview fatigue. The scope and depth of the questionnaires should be guided by specific data requirements of the study. Guidance on key questions for interviews conducted as part of advanced phenotypic characterization studies is provided in Annex 5. See Subsection 2 of Section C for further advice and discussion.

4. Prepare the protocol for data collection

To ensure consistency in data collection, the study team should elaborate a protocol detailing the sampling frame, the measurements, and the equipment and tools to be used. This can be based on the material presented in this and the preceding sections and in the Annexes, adapted as necessary to the specific circumstances. This protocol could be used as support material for the training of enumerators, livestock keepers and other support staff.

In particular, potential sources of systematic error in measurement and recording should be highlighted. All data codes and acronyms should be clearly described in the protocol. For the qualitative descriptive traits and production system descriptors, the protocol should emphasize that instead of introducing new data codes for unexpected types of data, enumerators should gather as much explanatory information as possible so that the study team will later be able to make an appropriate decision on how to code the data in question.

5. Train livestock keepers or enumerators and their supervisors

Repeated measurements from sample village herds and flocks require contractual arrangements with the selected livestock owners to specify the type and scope of data collection and determine its modalities. In some circumstances, household members can be recruited and trained to collect data, instead of having external enumerators visit the households. Recruiting enumerators and supervisors is, however, needed in case of repeated surveys.

It is critical that the contracted livestock keepers, or the enumerators and their supervisors, be trained in the use of the whole set of data-collection instruments both in formal lessons and practical exercises. The training should promote common understanding of the data collection process, the reporting procedures, and how emerging queries should be handled during data collection. The training should continue during the pre-testing and/or pilot survey.

The training should lead to the establishment of a good communication and working environment among everyone involved in the study. This will favour a higher sense of responsibility and ownership of the data and results on the part of the contracted livestock keepers or the enumerators and supervisors, which, in turn, will lead to a better accuracy in data collection. Good communication will ensure that support is available to them when they need it. It also promotes effective supervision of data collection. Guidance should be provided to the supervisors on:

- ensuring consistency in the measurements taken on the sample animals. Data collection methods should be as consistent as possible from one livestock keeper/enumerator to another and from one production environment to another;
- checking raw data soon after data collection to identify missing data and correct obvious errors. Clear guidance should be provided on how to address such errors, if necessary by going back to data sources or even repeating the measurements.

If the repeated surveys involve more than one field team it is advisable that they have members in common to promote homogeneity in data collection. Likewise, livestock keepers who are involved in taking measurements should, if possible, be supervised by the same person.

6. Pilot and pretest the study instruments

As in the case of primary characterization, the protocol and all data measurement and recording instruments should be pre-tested and, subsequently, a full pilot survey needs to be conducted in the study area. The reasons for this are discussed in Section C.

For on-farm or on-station repeated measurements, recording instruments should be pre-tested in order to minimize variation among operators (livestock keepers, research technicians or enumerators).

7. Organize the logistics of the fieldwork

While the technical preparations are being finalized, the study team should start preparing the agenda and the logistics for the field work, in collaboration with the livestock keepers and/or the enumerators and supervisors. Before deciding on the dates for the fieldwork, the following points should be considered:

- May the season of the year (e.g. heavy rains, drought) affect data collection at particular sample sites or across the whole study?
- May peak agricultural activities (e.g. land preparation, harvesting) affect data collection?
- May sociocultural events (e.g. religious holidays) affect data collection?

In case of repeated surveys, as for primary characterization, supervisors and the study team should visit the study sites to formally inform local authorities and the target communities about the planned field data collection. The date, time and location of field visits should be agreed with the communities' representatives. This may involve consulting village chiefs, local officials or service providers (e.g. vets) to identify the most convenient times for data collection. It may be appropriate to directly involve these stakeholders in organizing field activities.

For on-station evaluation, the study team should ensure that research facilities not only provide a predefined physical and management environment but also allow monitoring and recording of animal responses to given production environments. The study team should determine whether the staff of the research station will be able cope with the additional work load involved in the characterization study, and if needed necessary recruit additional staff.

Logistical issues such as purchasing consumables (e.g. fuel, paper, batteries, etc) travel authorizations and accommodation for field teams should be prepared in advance.

8. Finalize the plan for the data collection

The final plan for the data collection should include the sampling frame, details of all data collection instruments, guides and protocols, as well as a timetable for the field work. This plan should be accompanied by a budget report which accounts for all the logistical issues and human resource requirements.

SECTION E: DATA MANAGEMENT AND ANALYSIS

Phenotypic characterization studies often involve the collection of a large volume of data. These data have to be processed and analysed, and the results published to provide guidance on AnGR-related decision-making. Data management and analysis should be addressed thoroughly during the planning phase of the study. This section reviews the activities and tools required.

1. Data management

Data management involves a series of activities – designing a data-capture system (database), setting up the database structure, checking the data, entering data into the database, and storing and archiving data. Plans for data management should be drawn up in conjunction with the plans for data collection and data analysis. For example, data management should be accounted for in the design of the study questionnaire, which should have a layout and structure that facilitate data collection and allow data entry and data analysis to follow smoothly. It is important to assess whether the resources needed to handle the outputs of the proposed fieldwork are available and whether the proposed data management activities are logistically feasible. The data management plans also need to ensure that the data collected are managed safely, completely and accessibly (both as hard copies and as electronic versions).

The choice of software for data management will depend on the resources available for the study. Simple spreadsheets, such as Microsoft Excel, should be used with strict care and only for simple data structures (University of Reading, 2001). Hierarchical and relational data require the use of a real database management systems, such as Microsoft Access or CSPro³ (free open source from the US Census Bureau) that have custom-made facilities for data entry, filtering and retrieval. The data-entry staff should be experienced in working with the specific packages used or provided with adequate training. It is essential that the data are backed up regularly and that copies are stored at separate locations.

Well-defined data management procedures are prerequisites for a successful phenotypic characterization study. The following elements need to be planned for:

- data checking procedures;
- data-capture system (database) for entering the data into computers;
- data cleaning procedures;
- procedures for processing the data into an appropriate form for analysis; and
- procedures for archiving the data so that they remain available throughout the subsequent phases of the project and afterwards.

Checking the quality of the data

The raw data collected in the field should be checked to ensure that the quality of the data used in the analysis is as high as possible. Checks by supervisors should be incorporated into the data-collection routine in the field. Each questionnaire should be checked for completeness and consistency. Any

³ <http://www.census.gov/ipc/www/cspro/index.html>

problems that come to light should be documented by the supervisor. The questionnaires that reach the desks of the data-entry staff should have been signed by the enumerator and the supervisor.

Data entry

It is important to ensure that the data collected during the field work are completely and accurately transferred from paper to computer. The data should be entered in their raw form – i.e. directly from the original questionnaires – as soon as possible after they are collected in the field. A manual detailing data-entry procedures should be prepared and the data-entry staff should be thoroughly trained.

Data entry can be handled using customized data-capture and checking software, general statistical packages (e.g. GenStat, NCSS, R, SAS, SPSS, XLStat), specialized commercial or free survey data management software, such as CSPro. If resources allow, enumerators may be able to enter data directly during the field work using hand-held computers with a customized data-capture system. This is particularly useful for repeated measurement of performance in advanced characterization studies.

The data-entry screens should, as far as possible, match the questionnaire visually. If possible, any skips in the questionnaire (e.g. “if no, go to question 15”) should be programmed into the data-entry screens. The units of measurement used for all quantitative variables and their precision (number of significant digits) should be clearly defined and should match the real precision of the measuring instruments or recording devices.

Data entry should be organized systematically; i.e. all the data from one study site should be entered before moving on to enter data from other study sites. Depending on the type of data-entry system being used, it may be more efficient to enter data section by section rather than to complete data entry for each questionnaire in turn. Key variables that can be used to merge data stored in different files or tables should be identified.

Data entry should be checked for accuracy both as the data are keyed into the computers and afterwards, at which point checks for completeness should be made to ensure data-entry staff have not missed any questions. Where possible, use software that includes facilities for data checking and validation. Consider using double entry, i.e. have the data entered independently by two people into separate copies of the database.

Data cleaning

The objective should be to build an electronic data set that reflects the data originally collected in the field as closely as possible. If double entry (see above) has been used, the two versions of the database can be compared and, if necessary, discrepancies can be checked against the original questionnaires or data sheets.

An attempt should be made to correct any errors that are detected. If this is not possible, the data can be declared missing. Such decisions should be taken by the data analyst of the study team. It is essential to ensure that the data management system produces automatic reports documenting all such changes and corrections. Corrected versions of the database should be stored under new names. There should be a single “master copy” of the database, and subsequent analyses should be performed using data extracted from the master copy. Data-cleaning provides an opportunity to run preliminary analyses and obtain first summaries of the data (see Subsection 2 below). Finally, it is very important to back up and store the data in separate storage systems located in separate safe locations. The backup procedures should be thoroughly documented.

Data processing

The activities described in this subsection are a very important part of preparing the data for analysis. The data analyst should take responsibility for ensuring that they are carried out. Data processing will – depending on the precise requirements of the study – involve all or some of the following activities:

- using the selected statistical software to import the data set stored in the database;
- writing and running a program to label variables and values;
- merging or subsetting data sets (if required);
- generating derived or composite variables for further analysis;

transforming the data for checking or further analysis. For example, it may be easier to see whether values are unusual if they are transformed into familiar units such as kilograms or hectares. The data set may include different types of data (ordinal, nominal, discrete text codes, free text, images, video files, audio files, etc.). These data need to be coded and recategorized before data analysis; and

writing and run a program that produces descriptive statistics from the data set: frequency for qualitative data (e.g. body coat colour) and simple average and variation for quantitative data (e.g. body length) as a further data cleaning exercise. The descriptive statistics will allow the data analyst to obtain a broad overview of the data set and its distribution and in particular to identify strange values (“outliers”) that appear out of range when data are plotted or elementary statistics (e.g. minimum and maximum values) are calculated.

Data checking and any subsequent editing of inconsistencies or outliers should be based on expert guidance from a statistician, if the relevant expertise is not available within the team. Inconsistencies and outliers should be investigated and handled carefully; extreme outlying values may be of important to the outcomes of the study.

The terms to be used for describing missing data should be clarified. Data may be missing because they have been lost after collection, because they have been declared unreliable or doubtful or because that item of data was not collected for some reason. Each of these types of missing data needs to be precisely defined before the start of data analysis. It is better to label data items as “missing” than to discard the whole record of which they form a part.

Data archiving

Archiving and analysis require full documentation (metadata) of the data set. After the study is completed, the completed data files and questionnaires – whether in paper or electronic format – will need to be transferred to a central repository. The archive should include all the information collected during the study (including photographs, maps, etc.) and key communications and reports written during the planning and implementation of the study. The archive should be made available (e.g. on a CD-ROM) to all members of the study team and to the organization or institutions vested by the national authorities with the custodianship of the data collected. Other stakeholders that are partners in the study should receive reports only. Any use of the data that is not within the framework of the study should be subject to a material transfer agreement, in which intellectual property rights and benefit-sharing arrangements are clearly specified, between the recipient organization and the organization that is the custodian of the data,.

2. Data analysis

The aim of this subsection is to provide an overview of the elements that contribute to good-quality analytical results.

Personnel and resources

Data analysis is a highly technical field that requires expert professional knowledge. Although statistical packages can handle routine chores in data management and analysis, expert advice on the choice of model and on efficient data processing is essential. More importantly, expert advice is needed to guide the data analysis and ensure that it addresses the specific objectives and research questions of the study while also ensuring the validity of the assumptions in the analytical model. The need for expert support should have been identified during the planning phase of the study and

addressed by including a statistician among the members of the study team or, if this is not possible, ensuring that advice from a statistician can be accessed whenever needed.

Statistical packages

Data analysis requires suitable computer hardware and statistical packages. The packages used should be appropriate to the objectives of the study and to the level of competence of the data analyst. As indicated above, a range of general statistical software is commercially available for use in data analysis (e.g. SAS, GenStat, SPSS, STATA, S-Plus, XLStat, NCSS, Statistica, Systat). Public domain software such as “R”⁴ is not only freely distributed, but also allows customized development of tools for analysis. An earlier version of “GenStat”⁵ is available for use free of charge by some developing countries. Specialized statistical packages geared towards the analysis of survey data are also available. In general, the statistical packages chosen for the analysis should provide the following:

- sufficient capacity to cope with the size and diversity of the data that will be collected;
- user-friendly algorithms;
- sufficient tabular and graphical capabilities;
- options for analysing multiple-response data;
- means of diagnosing whether the data are consistent with the assumptions of the model; and
- means of presenting the results in forms that assist the study team in their interpretation of the data.

Check whether the software packages under consideration allow quantitative and qualitative variables to be considered simultaneously in the data analysis; for instance, SAS cannot handle this. Software that can process both types of data together is preferable as it allows more comprehensive analysis of the data.

The availability of resources (e.g. for meeting the cost of securing the use of commercial software) will also have to be taken into account in the choice of statistical package. Options for, and implications of, future use of the software (such as mandatory annual license-renewal fees) should be considered. If the study team does not include a statistician, it may be necessary to seek external professional advice on the selection of appropriate software. The apparent ease with which software process data and generate outputs does not guarantee efficiency or effectiveness in data processing, model selection or in obtaining results.

Time needed for analysis

A less obvious, but equally important, resource is the time needed for the data analysis. The analysis should start with minimum delay after data collection is completed, so that any data checks that are needed can be done while the memories of the field team are still fresh, and so that results can be communicated promptly to stakeholders. The time needed to analyse a completed database will depend on the complexity of the sampling frame and the number of questions the study is addressing. Given the speed of modern computers, the amount of time needed does not, in principle, depend heavily upon the size of the sample. For planning purposes, it is reasonable to expect that management and analysis of phenotypic characterization data may take about the same amount of time as the actual data collection.

Review objectives

The analysis should be preceded by a detailed review of the objectives of the study and examination of the data that have been collected, as these will determine the type of statistical analysis that needs to be undertaken. The objectives should be broken down into specific questions or hypotheses that

⁴ <http://www.R-project.org/>

⁵ www.genstat.co.uk

can be answered or tested by the analysis. Some examples of questions that might be answered by a phenotypic characterization study are listed in Subsection 4 of Section B.

The next task is to select variables associated with the specified questions and use them in the analysis. These variables may already be available in the database or may be new ones constructed by recoding or combining existing variables. It can be helpful to combine variables if there are many variables that seem to measure similar things. In order to enable the data analyst to complete the work quickly and efficiently, a list of the techniques to be used and the tables or graphs that need to be produced should be prepared. The list should be accompanied by a common standard for table layout, headings, font sizes, spacing, etc.

Critical steps in data analysis

Before starting the analysis, make sure that the data analyst is familiar with the data sources and collection methods, and has a clear understanding of the objectives of the study and the questions derived from them. He/she should understand the exact meaning of the variables, especially the coded variables. The analysis should begin with data exploration (summarizing and becoming acquainted with the data) using different approaches for different types of variable; this should be followed by confirmatory analysis guided by the results obtained during the exploratory phase. Plans should be made for how to handle missing values – either including or omitting them from the analysis – in full awareness of how this will affect the results obtained.

Exploratory data analysis

The use of simple descriptive statistics – average, minimum, maximum, median, standard deviation for quantitative data, or frequencies and tabulations for qualitative data – is recommended. This will allow evaluation of the major patterns in the variables and facilitate progress to confirmatory data analysis. The exploratory phase of the analysis is an opportunity to answer questions such as “Who are the livestock keepers that own animals of the newly identified breed?”

Confirmatory data analysis

The major objective of confirmatory data analysis is estimation and hypothesis testing. The data analyst should describe the traits (parameters) that are to be estimated and state the hypothesis that is to be tested.

It is important to ensure that estimations account for the sample weights. If sampling is multistage (stratified), observations will not be sampled with equal probability. In such cases, a weighted mean ($\hat{x} = \sum wx / \sum w$ with weights w) can be used instead of x to compensate for the unequal probabilities. If a weighted mean is not used, it is important to justify the validity of the estimates by explaining why they were computed without weighting. Ensure, at this point, that sampling errors (estimates of standard errors and confidence intervals) are computed.

In phenotypic characterization, multivariate data (cluster) analysis techniques are used to assess the aggregate morphological similarities among groups of animals based on a selected set of quantitative and qualitative phenotypic data. These techniques are explained in Subsection 5 of Section A. The reader is advised to review these techniques before reading the rest of this section.

In primary phenotypic characterization studies (i.e. when the objective is to identify distinct breed types) the analysis will need to include the following activities:

- Determine the operational taxonomic unit (OTU) for classification. OTUs may be individual animals or they may be means of the measurements taken on a sample of animals from a particular site (centroids).
- Use analysis of variance tools to screen the variables in order to select those that significantly contribute to observed phenotypic variation.

- Determine whether data analysis should be done by sex group (females and males separately). Some phenotypic traits are dependent on the sex of the animal. If such traits significantly contribute to the total observed variation, they need to be included in the multivariate analysis of the data. It may be appropriate to analyse the data for male and female animals separately and compare the results. If the results suggest significant sex dimorphism, then the final cluster analysis should be done separately for females and males.
- Check for, and avoid, collinearity in the set of variables selected for analysis; i.e. avoid situations in which the classification variables themselves are highly correlated, such as the use of traits that are derived from others (combination) along with the component traits.
- Transform the raw data into standardized and independent principal components.
- Decide what type of clustering technique to use for developing the classification tree (dendrogram); the most common method is sequential, agglomerative, hierarchic and non-overlapping (SAHN).
- Seek the most logical biological interpretation of the classification tree.
- Consider how to validate the classification; i.e. by replicating the classification procedure using separate data sets or by checking the accuracy of the classification using discriminant analysis.
- Consider discussing preliminary results with key stakeholders. This may provide additional insights into the analytical model employed.

In advanced phenotypic characterization, statistical tools are used to validate multivariate differences between known groups. Both general statistical software and specialized multivariate statistical software can be used for discriminant analysis.

Results of the multivariate analysis of phenotypic data provide the framework for analysing data describing production environments. The objective should be to comprehensively describe the physical and management environment of the identified breeds (key descriptors are listed in Annex 5). Exploring the associations between breeds' features and the various attributes of their production environments may draw attention to production and adaptation characteristics that merit follow-up investigation.

Interpreting the results

The primary aim in interpreting the results should be conclusively to address the specific objectives of the study and the questions derived from them. However, there should also be scope for reporting unforeseen outcomes. The results should be compared to the body of knowledge (theoretical as well as empirical) that was obtained during the literature review (Subsection 3 of Section B). This may provide evidence to support the answers offered to the study questions.

In so far as it is possible, the data analysis and its interpretation should go beyond mere description of AnGR and their production environments. For example, different types of results (e.g. phenotypic features and production system attributes) should be combined to answer questions such as: "Why is this particular breed the only breed population that is found in this particular region?" or "Why is this breed population at risk?" Consideration should also be given to presenting a critical analysis of the data set itself. This should include the limitations of the data set as well its potential. The latter may include opportunities to explore relationships and trends within the respective agro-ecosystem and identifying next steps in AnGR management. Data on production environments is vital for analysis of this kind.

It may be necessary to share preliminary results with some stakeholders in order to obtain further input that will be useful in interpreting unexpected findings. Once the interpretation of the results has been finalized and approved by the study team, a final study report should be produced and circulated widely (see next Section).

SECTION F: REPORTING AND COMMUNICATION

As emphasized throughout the guidelines, phenotypic characterization is ideally conducted, within the framework of the country's National Strategy and Action Plan for AnGR or other livestock development strategies and programmes, to supply AnGR related data that are needed by policy makers, development practitioners and researchers for planning and implementing sustainable management programmes for these resources. A communications and reporting strategy should be developed during the planning phase of the study. An effective strategy that addresses communication during all phases of the study as well as the final reporting of the outputs of the study will enable the study team to:

- maintain partners' interest in the study;
- develop and report on key performance indicators for monitoring and evaluating the study;
- demonstrate transparency and accountability;
- ensure appropriate public visibility for the study;
- enhance global awareness and engage stakeholders in constructive dialogue;
- share lessons learned and good practices with all those who are planning or undertaking similar work;

Reporting and communication is a continuous effort which starts at the inception phase and continues throughout the study. The study team should provide regular interim reports on progress and a final report. The latter will constitute the main tool for communicating the study findings to the relevant stakeholders. This section provides guidance on the structure and the content of these reports. It also discusses other methods that may be used to communicate the results of the study and the need to consider the potential impact of the communication activities. Consideration is also given to how the outputs of the characterization study can be linked to other ongoing activities in AnGR management.

It is important that the study's reporting and communication strategy pays close attention to ensuring effective communication among the members of the study team and with the partners in the project. This can be described as "communicating for results" (da Costa, 2009) in contrast to the "communicating about results" that will be objective of the final report and related communications products. "Communicating for results" is an element of management that is essential for ensuring the effective delivery of the intended outputs of the study. Communication should be harnessed as a tool for internal learning and the development of more joined-up team action.

1. Interim progress reports

Interim reports should be prepared regularly to update the partners on progress in the implementation of the characterization study. The reports should address all the activities, documenting the degree to which objectives set out in the plan have been achieved. If objectives are not being met or not being met on time, clear explanations of the problems should be obtained from the people concerned with the relevant aspects of the work, options for overcoming the problems should be identified and evaluated, and a decision should be taken on the best way to address them. Reports that contain preliminary results should always include prominent caveats stating that the results are preliminary and subject to change. They should be marked "confidential" and only be circulated to the relevant key partners.

Interim reports facilitate communication between the members of the study team and improve mutual comprehension of individual strengths and weaknesses within the team. Where disputes over responsibilities arise, identify areas of ambiguity and clarify them. Amend the work plan and its schedules as necessary.

2. The final report

The objectives and the specific questions to be answered by the characterization study should have been clarified at the start of the planning process (see Subsection 4 of Section B). The final report must provide answers to these questions. It is highly recommended that the final report be made available to the country's National Coordinator for the Management of AnGR, National Advisory Committee on AnGR (if such exists), relevant ministries and all partners who have been involved in the study. The research community should also be informed. A good way to reach an international audience is to send the report to FAO for inclusion in the library of DAD-IS and distribution via the DAD-Net e-mail discussion network.

As well as providing answers to the study questions, a well-prepared final report will also provide a basis for planning future studies, indicate whether there is a need to conduct additional or complementary studies, and draw attention to opportunities to improve the methodology. The final report should document the characterization process from beginning to end and set out the findings of the study. The whole of the study team should be involved in its preparation. If the steps outlined in these guidelines have been followed (i.e. if all plans and phases of work have been documented thoroughly), much of the report will already have been prepared.

The study team should decide whether it is necessary to produce separate reports for different target audiences (see below for further discussion of differentiated communications projects). The structure of the report(s) should be appropriate to the target audiences. For researchers, who are interested in detailed data that they can work with, the report should follow the standard structure of a scientific publication. Policy-makers and development practitioners, who are looking for strategies and ideas to help them in their planning, will be more interested in concise reports that specifically address questions such as:

- whether there are previously unidentified breeds in the study area;
- whether the breed types have any known unique features,
- estimated population size and current distribution of the breeds and their risk status;
- whether there are any known threats that merit immediate attention; and
- whether there are any ongoing or planned management activities for these breeds.

The results of a survey of 100 users of research data and what they look for in research reports are presented in Table 2 (Hague, 2006). The report of a phenotypic characterization study may include the following elements:

- Executive summary;
- Introduction, which should include a statement of the objectives, questions to be answered and the scope of the survey;
- Methodology, with further details available in annexes;
- Results;
- Discussion of the results and their implications;
- Recommendations for further work to address unresolved issues, including lessons learned on the process of conducting the study – what might have been done better and how?
- References
- Annexes, which should include:
 - The original detailed plans for field operations, data management and data analysis, including documentation of any amendments to these plans,
 - Description of the data archive,
 - Technical annexes providing details of the statistical analysis,

- A list of the persons and institutions involved.

In addition to text, the results should be presented, as appropriate, in charts and tables. Charts have more impact than tables because they simplify the data and pull out key findings in pictorial form. Conversely, a table can hold far more information than charts while remaining intelligible. However, attention needs to be paid to the way tables are laid, as this affects how easy or difficult they are to read. It is recommended that the tables present not just mean values of phenotypic measurements from the sample populations, but also the range and extent of variation around the means. The figures in the tables should be presented in a standardized format to facilitate meta-analyses and comparison between studies.

Table 2. What makes a good research report? Findings from an open ended question

Requirement from the report	Percentage of respondents mentioning*
Answers brief	33
Clear structure	29
Interpretation/conclusions	27
Recommendations/action points	21
Concise	21
Well-presented	19
Good executive summary	18
Sample size	100

* People mentioned several factors, therefore the total does not add up to 100.

Source: Hague (2006).

The core of the report should be the presentation of the methodology and the results of the analysis and their interpretation. Box 8 provides a checklist for ensuring that this part of the report serves its purpose. As far as possible, the report should contribute to the identification of logical next steps in the management of the AnGR.

Box 8. A checklist for reporting on the data analysis

1. Are the objectives of the study listed?
2. Are the sampling frame and other field methodology adequately described?
3. Is the description of the statistical methods adequate, including the methods used for any data cleaning or transformation, so that it could be repeated unaided by another data analyst?
4. Is the choice of statistical models justified?
5. Are the assumptions underpinning the models listed?
6. Do the models fitted address the stated objectives and recognize all the design variables?
7. Do the results described in the report;
8. address the objectives of the study and the questions raised;
9. provide measures of confidence for the estimates and predictions made;
10. assess possible biases and their potential magnitude;
11. assess the effects that invalid model assumptions would have on the results;
12. identify significant sources of experimental error and, if appropriate, how these may be better controlled in future studies;
13. flag unexplained results that may merit further investigation to determine whether they are artefacts of a design flaw or an unexpected but “real” findings;
14. identify emergency actions that may be required as a result of the analysis?
15. Has consideration been given to how the presentation of results may be customized for the range of stakeholders?

Source: adapted from FAO (2010a).

The report should state where and how electronic and hard copies of the raw data are safely archived for future use. With rapid advances in statistical analysis tools and computing capacity, breed characterization data from different sources can be combined to analyse long term trends in the attributes of AnGR populations, for instance in the face of environmental degradation and climate change.

Consideration should be given to how the outputs of the study can be used to improve the country’s breed and production environment data records in the Domestic Animal Diversity Information System (DAD-IS). The entry of data into DAD-IS (or an associated FABISnet information system) is the responsibility of the National Coordinators for the Management of AnGR (or a nominated co-worker). The study team should seek to ensure that the way the data are presented in the final report allows for efficient transfer into an information system (e.g. results tables that mirror the data-entry screens in DAD-IS).

3. Additional communications products

The study team should attempt to identify specific messages that are relevant to particular groups of stakeholders. One exercise that may be useful is to prepare a table in which the rows represent the various outputs of the study and the columns represent different groups of stakeholders (livestock-keeping communities, policy-makers, extension services, animal health services, educators, international partners, the general public, etc). For each cell in the table, the study team can then consider whether and how the respective project outcomes are relevant to the respective stakeholder group. After matching the study outputs to stakeholder groups, specific messages should be developed addressing each relevant stakeholder group. This might again be done by preparing

another table of stakeholder groups and listing the range of relevant messages for each of them. Further discussion of these methods can be found in FAO (2010a).

Once messages for each stakeholder group have been defined, appropriate communication methods need to be chosen, taking into account the costs involved, the coverage that can be achieved and the likely impact on the recipients. Some of the strengths and weaknesses of different communication methods are summarized in Table 3.

Table 3. Communication methods – strengths and weaknesses

Communication method	Strengths	Weaknesses
Face-to-face events: <ul style="list-style-type: none"> – conferences – workshops – field days – shows, markets – extension activities – training and demonstration activities 	<ul style="list-style-type: none"> – interactive – encourage collaboration – more direct impact – opportunity to distribute printed and other communication materials 	<ul style="list-style-type: none"> – higher costs – more difficult to organize – time bound – lower outreach – one-time events
Printed material: <ul style="list-style-type: none"> – policy briefs – leaflets, brochures – reports – books – scientific journals (national, international⁶) – farming press – local newspapers – national newspapers 	<ul style="list-style-type: none"> – lower costs – wider outreach – permanent 	<ul style="list-style-type: none"> – not interactive – less direct impact
Audio: <ul style="list-style-type: none"> – radio – CD-ROM – internet audio streams 	<ul style="list-style-type: none"> – lower costs – wider outreach – permanent 	<ul style="list-style-type: none"> – not interactive – high technology requirement – less direct impact
Film: <ul style="list-style-type: none"> – television – DVD – internet video streams 	<ul style="list-style-type: none"> – wider outreach – permanent 	<ul style="list-style-type: none"> – high initial costs – not interactive – higher technology requirement – less direct impact
web-based information system <ul style="list-style-type: none"> – national – international (e.g. DAD-IS) 	<ul style="list-style-type: none"> – low running costs – wide outreach – permanent 	<ul style="list-style-type: none"> – high initial costs to establish a national system* – high technology requirement to establish a national system* – less direct impact

* DAD-IS and related FABISnet information systems have already been established and so additional costs and technology requirements are low.

Source: adapted from FAO (2010a).

Television, radio, e-mail or the web can be used to disseminate audio material, visual images or textual information. Some countries may have national information systems for AnGR in which summary data and images can be published. Printed and reproduced materials (CD-ROMs, DVDs) need to be developed, designed, produced and distributed in appropriate numbers. The costs involved and the expertise required for each step of product development need to be identified and planned for.

⁶ FAO oversees the publication of the journal *Animal Genetic Resources* (for further information send an e-mail to AnGR-Journal@fao.org).

Whatever communication media are chosen, the results should be summarized and presented in a simple and understandable manner, taking the objectives of the study into consideration. Attractive graphics, tables, boxes and images will catch the attention of the audience and help them to recall key messages.

Before finalizing and implementing the communication strategy, consideration should be given to the potential impacts on various groups of stakeholders. For example, publicizing the discovery of “new” breeds via the mass media may lead to unwanted attention and disruption for the livestock-keeping communities concerned. If such impacts are foreseen, the people likely to be affected should be consulted about what they think is appropriate and how they would like the process to be managed.⁷

4. The way forward – incorporating the outputs of the study into future work

As well as preparing communications materials for different groups of stakeholders, the study team should consider whether specific stakeholders involved in planned or ongoing AnGR management or livestock development activities need to be engaged actively in promoting the use of the study results and planning next steps.

The links between the characterization study and relevant national strategies should have been clarified during the planning phase, but opportunities to use the outputs of the study should also be reviewed at the end of the process in discussion with relevant stakeholders. Candidates for participation in this discussion should have been identified in the inventory of the stakeholders (Subsection 1 of Section B), and include those involved in:

- genetic improvement projects targeting the AnGR population covered by the study;
- rural development projects with AnGR management components;
- livestock restocking schemes implemented in the wake of disasters;
- delivery of animal health services and disease surveillance;
- organization of agricultural or livestock censuses and surveys; and
- conservation programmes for AnGR.

One good way to promote the uptake of the outputs of the study is to organize a workshop at which the results are presented and the implications for future work discussed with a range of stakeholders. Should immediate follow-up actions be necessary, the workshop will be an opportunity for the study team to alert and consult relevant stakeholders.

In defining the scope of the phenotypic characterization study (Subsection 4 of Section B), the study team, in consultation with participating stakeholders, will have decided on whether to conduct a primary or an advanced characterization study. In the former case, one question that should be considered when reviewing possible follow-up actions is whether to go forward and implement an advanced characterization study on the targeted livestock populations. This decision should be taken in collaboration with the various stakeholders who might use the outcomes or be involved in the implementation. The committees or working groups overseeing the relevant national plans and strategies should be consulted.

⁷ Note that in any event, the designation and reporting of new breeds requires consultation and endorsement by the relevant national authorities or mandated body such as the National Advisory Committee for AnGR.

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ANNEX 1: GENERIC DATA COLLECTION FORMAT FOR PHENOTYPIC CHARACTERIZATION OF CATTLE

General Guidelines

1. Physical measurements should be taken only from a representative set of adult animals (as judged by dentition, full mouth), about 100 females and 50 males.
2. The linear measurements on mature animals should include at least body length, height at withers, heart (chest) girth, ear length, horn length, muzzle circumference, and hock circumference, which can be taken using a textile measuring tape to the nearest unit centimetre. Measurement of the body weight is limited by availability of weighing bridges; but when it is taken, attempt should be made to identify animals by age, or at least dentition.
3. The pattern and type of coat colour, shape and orientation of the horns and ears, size of tail, and profile of head, back and rump can be recorded using coded descriptors (see below).
4. Measurements should be taken early in the morning to avoid the effect of feeding and watering on the animal's size and conformation.
5. Descriptive information is necessary on the common herd sizes and structures as well as uses.
6. Measurements are taken when animals are in barns/kraals or in tethered position, but not when they are nervous.

Discrete or qualitative variables

1. Sex: 1 = female; 2 = male; 3 = castrate
2. Estimated age of dentition class.....
3. Body hair coat colour pattern: 1 = plain; 2 = patchy (pied); 3 = spotted
4. Body hair coat colour type (combinations also recorded in order): 1 = white; 2 = black; 3 = dark red; 4 = light red; 5 = fawn; 6 = grey; 7 = (specify); 8 = (specify) 9 = (specify)
5. Body skin colour: 1 = no pigment; 2 = pigmented (black); 3 = other (specify)
6. Muzzle colour: 1 = no pigment; 2 = pigmented (black); 3 = other (specify)
7. Eyelid colour: 1 = no pigment; 2 = pigmented (black); 3 = other (specify)
8. Hoof colour: 1 = no pigment; 2 = pigmented (black); 3 = other (specify)
9. Horn presence: 1 = absent; 2 = present
10. Horn colour: 1 = black; 2 = brown; 3 = white (no pigment); 4 = other (specify)
11. Horn presence (at herd level): per cent polled and horned for males and females separately
12. Horn attachment (at herd level) in adults for males and females separately:% loose;% fixed
13. Horn shape: 1 = straight; 2 = curved; 3 = lyre-shape; 4 = loose; 5 = stumps; 6 = polled
14. Horn orientation (separately for males and females): 1 = tips pointing lateral; 2 = upward; 3 = downward; 4 = forward or backward (indicate also if animal is polled, horns are loose or just stumps)
15. Hair type:

- sheen: 1 = glossy; 2 = dull
 - curl: 1 = curly; 2 = straight
16. Hair length: 1 = medium (1-2mm); 2 = long (>2mm)
 17. Ear shape: 1 = rounded; 3 = straight-edged
 18. Ear orientation: 1 = erect, 2 = lateral, 3 = drooping
 19. Hump size: 1 = absent; 2 = small; 3 = medium; 4 = large
 20. Hump shape: 1 = absent; 2 = erect; 3 = drooping (backwards, sideways)
 21. Hump position: 1 = thoracic; 2 = cervico-thoracic
 22. Facial (head) profile: 1 = straight; 2 = concave; 3 = convex; 4 = ultra convex
 23. Dewlap size: 1 = absent; 2 = small; 3 = medium; 4 = large
 24. Backline profile: 1 = Straight; 2 = slopes up towards the rump; 3 = slopes down from withers; 4 = dipped (curved)
 25. Rump profile: 1 = flat; 2 = sloping; 3 = roofy
 26. Navel flap (for cows): 1 = absent; 2 = small; 3 = medium; 4 = large
 27. Preputial sheath (for bulls): 1 = absent; 2 = small; 3 = medium; 4 = large
 28. Tail length: 1 = short (above the hocks); 2 = medium (about the hocks); 3 = long (below the hocks)

Quantitative variables

1. Current body weight, if weigh bridge is available (specify age as well)
2. Body size for adult males and females (to the next 0.5cm):
 - Chest girth
 - Body length
 - Height at withers
 - Muzzle circumference
 - Hock circumference
3. Type of traction performance: 1 = ploughing in dry land; 2 = ploughing in paddy; 3 = haulage; 4 = back-packing; 5 = other traction (specify, e.g. for pumping, milling, etc.)

Herd level data

1. Basic temperament: 1 = docile; 2 = moderately tractable; 3 = wild; 4 = other (specify)
2. Any known adaptability traits:
 - a. Tolerance or resistance to diseases and parasites
 - b. Drought tolerance
 - c. Heat tolerance
3. Type of farm: 1 = peasant farm; 2 = breeding centre; 3 = commercial farm; 4 = experiment station; 5 = multiplication station; 5 = other (specify)

4. Mating practice: 1 = uncontrolled; non-seasonal, natural mating; 2 = uncontrolled, seasonal, natural mating (multiple sire); 3 = uncontrolled, seasonal, natural mating (1 sire per herd); 4 = hand mating; 5 = AI used for at least part of the herd; 6 = other (specify)
5. Herd size:
6. Herd composition (proportion in the herd of):
 - a. breeding females.....
 - b. replacement females.....
 - c. breeding males
 - d. males not used for breeding
 - e. steers (castrated males).....
 - f. females calves.....
 - g. male calves
7. Typical pictures of adult breeding cow and bull with a comparator background
8. Typical image herd with a natural environment in the background
9. Notes on reported uses of the animals in order of importance (milk, meat, traction, manure, socio-economic, socio-cultural)

Data related to origin and development of breed types (ideally generated through focus group discussion)

1. Name of the breed type of the sample animal (s)
2. Synonyms / Local names, if any, and strains within breed types
3. Background for such names
4. Breeds known to be most closely related to this (these) breed type(s)
5. Origin of breed (Indigenous/exotic)
6. Source of the animals, if imported (Name of country)
7. Known native tract of distribution of the breed type (if possible in terms of longitude and latitude)
8. Approximate area of distribution (sq km) of the breed type, or in terms of administrative boundaries
9. Names of geographical areas where this breed type is known to exist
10. Estimated population, including year of estimation and Source / Reference
11. Communities maintaining the breed population: commercial farmers, subsistence farmers; nomads, breeding centres, experimental stations, etc.
12. Notes on known or reported breed improvement activities
13. Notes on known or reported breed admixtures or cross-breeding, planned or random

Data collected from recollection by owners on traits that require repeated measurements

Dairy and reproductive performance indicators on a randomly selected cow and the cow that has the last completed lactation:

1. Lactation length
2. Daily average milk off take for three trimester
3. Milking system practiced: 1 = hand milking with calf; 2 = hand milking without calf; 3 = machine milking with calf; 4 = machine milking without calf; 5 = combinations of these (specify)
4. Total number of calves born
5. Estimate of age of the cow
6. Estimated age when first calf was born
7. Number of abortions

Carcass characteristics (when available):

1. slaughter weight of a meat animal (typically grown out male, otherwise specify)
2. hot carcass weight
3. cold carcass weight
4. dressing percentage

ANNEX 2: GENERIC DATA COLLECTION FORMAT FOR PHENOTYPIC CHARACTERIZATION OF SHEEP AND GOATS

General guidelines

- Physical measurements should be taken only from a representative set of adult animals (as judged by dentition, full mouth), about 100 females and 50 males of a breed population.
- The linear measurements should include at least body length, height at withers, heart girth, ear length and horn length, which can be taken using a textile measuring tape to the nearest unit centimetre. Measurement of the body weight is limited by availability of weighing scale (spring balance or weigh bridge); but when it is taken, attempt should be made to identify animals by age, or at least dentition.
- The pattern and type of coat colour, shape and orientation of the horns and ears, size of tail, and profile of head, back and rump can be recorded using coded descriptors (see below).
- Measurements should be taken early in the morning to avoid the effect of feeding and watering on the animal's size and conformation.
- Descriptive information is necessary on the common flock sizes and structures as well as uses.
- Measurements are taken when animals are in barns/kraals or in tethered position, but not when they are nervous.

1. Discrete or qualitative variables

- Sex: 1 = female; 2 = male; 3 = castrate
- Estimated age or dentition class
- Body hair coat colour pattern: 1 = plain; 2 = patchy (pied); 3 = spotted
- Body hair coat colour type (combinations also recorded in order): 1 = white; 2 = black; 3 = dark red; 4 = light red; 5 = fawn; 6 = grey; 7 = (specify); 8 = (specify); 9 = (specify)
- Body skin colour: 1 = no pigment; 2 = pigmented (black); 3 = other (specify)
- Hair coat type (sheep): 1 = hair; 2 = coarse wool; 3 = wool; 4 = other (specify)
- Hair coat type (goat): 1 = glossy; 2 = smooth hair; 3 = straight long hair; 4 = curly rough hair; 5 = dull
- Hair length: 1 = medium (1-2mm); 2 = long (>2mm)
- Horn presence: 1 = present, 2 = absent
- Horn shape: 1 = scurs; 2 = straight; 3 = curved; 4 = spiral; 5 = corkscrew
- Horn orientation: 1 = lateral; 2 = obliquely upward; 3 = backward (indicate also if animal is polled, horns are loose or just stumps)
- Ear orientation: 1 = erect; 2 = semi-pendulous; 3 = pendulous; 4 = carried horizontally
- Facial (head) profile: 1 = straight; 2 = concave; 3 = convex; 4 = markedly convex
- Wattles: 1 = absent; 2 = present
- Beard (for goats): 1 = absent; 2 = present
- Ruff: 1 = absent; 2 = present
- Tail type (for sheep): 1 = thin; 2 = fat rump; 3 = thick at base; 4 = fat

- Tail shape (for sheep): 1 = cylindrical + straight; 2 = cylindrical + turned up at end; 3 = bi-lobbed without appendage; 4 = broad without lobe; 5 = other
- Back profile: 1 = straight; 2 = slopes up towards the rump; 3 = slopes down from withers; 4 = dipped (curved)
- Rump profile: 1 = flat; 2 = sloping; 3 = roofy

2. Quantitative variables

- Body weight, if spring balance or weigh bridge is available
- Body size for adult males and females (to the next 0.5cm):
 - Body length
 - Height at withers
 - Chest girth
 - Horn length
 - Ear length
 - Tail length (for sheep)
 - Hair (wool) length (on the backline, at the rump)

3. Flock level data

- Basic temperament: 1 = docile; 2 = moderately tractable; 3 = wild; 4 = other (specify)
- Any known adaptability traits:
 - a. Tolerance or resistance to diseases and parasites
 - b. Drought tolerance
 - c. Heat tolerance
- Type of farm: 1 = peasant farm; 2 = breeding centre; 3 = commercial farm; 4 = experiment station; 5 = multiplication station; 6 = other (specify)
- Mating practice: 1 = uncontrolled, non-seasonal, natural mating; 2 = uncontrolled, seasonal, natural mating (multiple sire); 3 = uncontrolled, seasonal, natural mating (1 ram/buck per herd); 4 = hand mating; 5 = AI used for at least part of the flock; 6 = other (specify)
- Flock size:.....
- Herd composition (proportion in the flock of):
 - a. breeding females.....
 - b. replacement females.....
 - c. breeding males
 - d. males not used for breeding
 - e. castrated males.....
 - f. female lambs/kids.....
 - g. male lambs/kids.....
- Typical pictures of adult breeding ewe (doe) and ram (buck) with a comparator background
- Typical image of flocks with a natural environment in the background
- Notes on reported uses of the animals in order of importance (milk, meat, fibre, traction, manure, socio-economic, socio-cultural)

4. Data related to origin and development of breed types (ideally generated through focus group discussion)

- Name of the breed type of the sample animals
- Synonyms / Local names, if any, and strains within breed types
- Background for such names
- Breeds known to be most closely related to this (these) breed type(s)
- Origin of breed (indigenous/exotic)
- Source of the animals, if imported (Name of country)
- Known native tract of distribution of the breed type (if possible in terms of longitude and latitude)
- Approximate area of distribution (sq km) of the breed type, or in terms of administrative boundaries
- Names of geographical areas where this breed type is known to exist
- Estimated population, including year of estimation and Source / Reference
- Communities maintaining the breed population: commercial farmers, subsistence farmers; nomads, breeding centres; experimental stations; etc.
- Notes on known or reported breed improvement activities
- Notes on known or reported breed admixtures or cross-breeding, planned or random

5. Data collected from recollection by owners on traits that require repeated measurements

- Dairy (if the sheep/goats are milked) and reproductive performance indicators on a randomly selected adult female and another one that has the last completed lactation:
 - a. Lactation length
 - b. Daily average milk off take for three trimester
 - c. Milking system practiced: 1 = hand milking with calf; 2 = hand milking without calf; 3 = machine milking with calf; 4 = machine milking without calf; 5 = combinations of these (specify)
 - d. Total number of kids/lambs born
 - e. Estimate of age of the ewe/doe
 - f. Estimated age when first lamb/kid was born
 - g. Number of abortions
- Carcass characteristics (when available):
 - a. slaughter weight of a meat animal (typically grown out male; otherwise, specify)
 - b. hot carcass weight
 - c. cold carcass weight
 - d. dressing percentage
- Reproduction:
 - a. Reproductive performance estimates from two ewes or does, one random and one just recently gave birth:
 - Estimated age of ewe/doe at first lambing/kidding
 - Current estimated age of ewe/doe

- Number of lambings/kiddings observed and the size of litter for each (number of lambs/kids born)
- Number of abortions
- Number of lambs/kids weaned from last lambing/kidding

ANNEX 3: GENERIC DATA COLLECTION FORMAT FOR PHENOTYPIC CHARACTERIZATION OF CHICKENS

General guidelines

- Physical measurements should be taken only from a representative set of adult animals (as judged by body size), about 100 females and 50 males.
- The linear measurements on mature animals should include at least body length, wing span and chest circumference, which can be taken using a textile measuring tape to the nearest unit centimetre. Measurement of the body weight is taken along with available information on age of the animals.
- The pattern and type of coat plumage, skin, shank and ear lobe colour, comb type and other discrete variables can be recorded using coded descriptors (see below).
- Descriptive information is necessary on the common flock sizes and structures as well as uses.

1. Discrete or qualitative variables

- Feather morphology: 1 = normal; 2 = frizzle; 3 = silky; 4 = other (specify)
- Feather distribution: 1 = normal; 2 = naked neck; 3 = feathered shanks & feet; 4 = muffs and beard; 5 = crest; 6 = vulture hocks (= long stiff feathers protruding down and back from the hock joint); 7 = other (specify)
- Plumage pattern (the colour pattern of feathers, if necessary on the specified location on the body of birds): 1 = plain; 2 = barred (specify if sex linked or autosomal); 3 = laced; 4 = mottled; 5 = others (specify)
- Plumage colour: 1 = white; 2 = black; 3 = blue; 4 = red; 5 = wheaten; 6 = other (specify)
- Skin colour: 1 = not pigmented (white); 2 = yellow; 3 = blue-black; 4 = other (specify)
- Shank colour: 1 = white; 2 = yellow; 3 = blue; 4 = green; 5 = black; 6 = brown; 7 = other (specify)
- Earlobe colour: 1 = not pigmented (white); 2 = red; 3 = white and red; 4 = other (specify)
- Comb type: 1 = single; 2 = pea; 3 = rose; 4 = walnut; 5 = cushion; 6 = strawberry; 7 = duplex; 8 = v-shaped; 9 = double
- Comb size: small; medium; large
- Eye colour (phenotypic frequency, %)
- Skeletal variants (phenotypic frequency, %): normal; crested; polydactyl; extra toes; creeper; dwarf; rumples; multiple spurs; others (specify)
- Other specific and distinct visible traits

2. Quantitative variables

- Body weight, if spring balance or weigh bridge is available
- Body size for adult males and females (to the next 0.5cm):
 - body length (= length between the tip of the *Rostrum maxillare* (beak) and that of the *Cauda* (tail, without feathers). The bird's body should be completely drawn throughout its length.)
 - circumference of the chest (taken at the tip of the Pectus (hind breast))

- Shank length (length in cm of the shank from the hock joint to the spur of either leg).
- Wing span (length in cm of the distance between tips of right and left wings after both are stretched out in full).

3. Flock level data

- Any known adaptability traits of the chicken
 - d. Tolerance or resistance to diseases and parasites
 - e. Tolerance to extremes of temperature
- Type of farm: 1 = peasant farm; 2 = breeding centre; 3 = commercial farm; 4 = experiment station; 5 = multiplication station; 6 = other (specify)
- Flock size:.....
- Flock composition (proportion in the flock of):
 - a. hens.....
 - b. pullets.....
 - c. cockerels
 - d. chicks
- Typical pictures adult cockerel and hen with a comparator background
- Typical image of flock with a natural environment in the background
- Notes on reported uses of the animals in order of importance (meat, egg, father, socio-economic, socio-cultural, other (specify)).

4. Data related to origin and development of breed types (ideally generated through focus group discussion)

- Name of the breed type of the sample chicken
- Synonyms / Local names, if any, and strains within breed types
- Background for such names
- Breeds known to be most closely related to this (these) breed type(s)
- Origin of breed (indigenous/exotic)
- Source of the animals, if imported (name of country)
- Geographical areas where this breed population is known to exist
- Communities maintaining the breed population: commercial farmers, subsistence farmers; pastoralists, breeding centres, experimental stations etc.
- Estimated population, including year of estimation and source / reference
- Any other information specific to the breed

5. Data collected from recollection by owners or from available records on traits that require repeated measurements

- Egg production characteristics (N, mean, range and standard deviation):
 - f. Age at first egg (months)
 - g. Annual egg production
 - h. Clutch size (days)
 - i. Clutch interval (days)

- Egg quality traits (N, mean, range and standard deviation):
 - a. Egg weight (g)
 - b. Shell weight (g)
 - c. Albumin weight (g)
 - d. Yolk weight (g)
 - e. Shell thickness (μ):
[Egg shell thickness measured using egg shell micrometer gauge after putting the egg shell under water for an hour and then in an oven for an hour for easy removal of the shell membrane. The value is the mean of three measurements at three sites namely, two from the equatorial side and one from the top end.]
 - f. Specific gravity
 - g. Haugh units at 30, 50 weeks of age)
[The Haugh unit is a measure of the internal quality of an egg. An egg is weighed, then broken onto a flat surface (breakout method), and a micrometer used to determine the height of the thick albumen (egg white) that immediately surrounds the yolk. The height, correlated with the weight, determines the Haugh unit, or HU, rating. The higher the number, the better the quality of the egg (fresher, higher quality eggs have thicker whites). The test was introduced by Raymond Haugh in 1937, and is considered the most significant measure of egg quality.

$$HU = 100 \log(h \cdot 0.01 \cdot 5.6745(30w^{.37} - 100) + 1.9)$$
, where
 HU = Haugh unit
 h = observed height of the albumen in millimetres
 w = weight of egg in grams
 - h. Shell colour (white/brown/cream or tinted/other)
 - i. Egg shape index:
[Egg shape index is defined as average width of the egg /average length of the egg * 100 (Panda,1996)]
- Reproduction characteristics
 - a. Broodiness (usual/sometimes/rare/other)
 - b. Fertility and hatchability (%) (N, mean, range and standard deviation):
 - i) Fertility: Percent Fertility is the percentage of fertile eggs of eggs produced.
 - ii) Hatchability on fertile egg basis
 - iii) Hatchability on total egg basis
- Body weight and growth characteristics:

Body Weight at	Male			Female		
	Average	Range	N	Average	Range	N
Hatching (g)						
8 weeks (g)						
12 weeks (g)						
Adult weight (kg)						
- Mortality(%): (N, mean, range and standard deviation):
 - a. 0-1 weeks
 - b. 1-8 weeks
 - c. 8-20 weeks
 - d. 20-n weeks

- Carcass characters (N, mean, range and standard deviation): for males and females separately:
 - a. age at slaughter
 - b. live weight at slaughter
 - c. carcass weight:
[Carcass weight is measured on the carcass which remains once the animal has been bled, its head removed at the atlas joint, the forefeet severed at the knee joint between the carpal and metacarpal bones, the hind feet severed at the hock joint between the tarsal and metatarsals, the body eviscerated, the hide or skin removed and the tail cut off close to the junction of the sacral and caudal vertebrae. Evisceration is the removal of the contents (viscera) of the thoracic (chest) and abdominal cavities, to which must be added the throat (oesophagus), windpipe (trachea) and the external genital organs and mammary glands (udders) (Payne, 1990)].
- Dressing per cent
[Dressing out percentage is a proportion in per cent of the carcass to the animal's live weight, specifying whether or not the slaughter weight was fasted, and whether the carcass was hot or cold during measurement (Payne, 1990)]

ANNEX 4: GENERIC DATA COLLECTION FORMAT FOR PHENOTYPIC CHARACTERIZATION OF PIGS

General guidelines

- Physical measurements should be taken only from a representative set of adult animals (as judged by dentition, full mouth), about 100 females and 50 males.
- The linear measurements should include at least body length, head length, height at withers, chest girth, ear length and tail length, which can be taken using a textile measuring tape to the nearest unit centimetre. Measurement of the body weight is limited by availability of weighing bridges but when it is taken, attempt should be made to identify animals by age, or at least dentition.
- The pattern and type of coat colour, shape and orientation of the ears, size of tail, and profile of head can be recorded using coded descriptors (see below).
- Measurements should be taken early in the morning to avoid the effect of feeding and watering on the animal's size and conformation.
- Descriptive information is necessary on the common herd sizes and structures as well as uses.
- Measurements are taken when animals are in barns/kraals or in tethered position, but not when they are nervous.

1. Discrete or qualitative variables

- Hair : 1 = curly; 2 = straight; 3 = short; 4 = long; 5 = dense; 6 = sparse
- Tusks: 1 = present; 2 = absent
- Snout: 1 = long and thin; 2 = short and cylindrical; 3 = other (specify)
- Coat colour pattern: 1 = plain; 2 = patchy; 3 = spotted; 4 = other (specify)
- Coat colour type: 1 = white; 2 = black; 3 = dark red; 4 = light red; 5 = fawn; 6 = grey; 7 = (specify); 8 = (specify); 9 = (specify)
- Head profile: 1 = concave (dished); 2 = straight; 3 = convex
- Ear type: 1 = droopy (pendulous); 2 = semi-lop (e.g. Pietrain); 3 = lop; 4 = prick (erect)
- Ear Orientation: 1 = project forwards; 2 = backwards; 3 = upwards
- Skin: 1 = smooth; 2 = wrinkled
- Tail type: 1 = straight; 2 = curly (kinked)
- Backline: 1 = straight; 2 = swaybacked (i.e. markedly convex ventrally); 3 = other(specify)

2. Quantitative variables

- Body weight, if spring balance or weigh bridge is available
- Body size for adult boar and sow (to the next 0.5cm):
 - Body length
 - Head length
 - Tail length
 - Ear length: measure length or code it as large medium and small
 - Chest girth

- Height at withers
- Teat numbers: numbers of normal and rudimentary teats counted on the sow or gilt

3. Herd level data

- Basic temperament: 1 = placid and friendly; 2 = moderately tractable; 3 = aggressive (wild)
- Any known adaptability traits:
 - a. Tolerance or resistance to diseases and parasites
 - b. Drought tolerance
 - c. Heat tolerance
- Type of farm (general description of the production environment): 1 = peasant agriculture; 2 = pig breeding centre; 3 = experiment station; 4 = multiplication centre; 4 = commercial production unit; 5 = other (specify)
- Herd size:
- Herd composition (proportion in the flock of):
 - a. breeding sows,
 - b. boars,
 - c. growing male pigs,
 - d. replacement gilts,
 - e. piglets
- Mating practice: 1 = uncontrolled, non-seasonal, natural mating; 2 = uncontrolled, seasonal, natural mating (multiple sire); 3 = uncontrolled, seasonal, natural mating (1 sire per herd); 4 = hand mating; 5 = AI used for at least part of the herd; 6 = other (specify)
- Typical pictures of adult boar and sow with a comparator background
- Typical picture of a flock with a natural environment in the background
- Notes on reported uses of the animals in order of importance (meat, incomes, manure, socio-economic, socio-cultural)
- Notes on known or reported breed improvement activities
- Notes on known or reported breed admixtures or cross-breeding, planned or random

4. Data related to origin and development of breed types (ideally generated through focus group discussion)

- Name of the breed type of the sample animals
- Synonyms / Local names, if any, and strains within breed types
- Background for such names
- Breeds known to be most closely related to this (these) breed type(s)
- Origin of breed (indigenous/exotic)
- Source of the animals, if imported (Name of country)
- Known native tract of distribution of the breed type (if possible in terms of longitude and latitude)
- Approximate area of distribution (sq km) of the breed type, or in terms of administrative boundaries
- Names of geographical areas where this breed type is known to exist

- Estimated population, including year of estimation and Source / Reference
- Communities maintaining the breed population: commercial farmers, subsistence farmers; nomads, breeding centres, experimental stations etc.
- Notes on known or reported breed improvement activities
- Notes on known or reported breed admixtures or cross-breeding, planned or random

5. Data collected from recollection by owners on traits that require repeated measurements

- Reproductive performance estimates from two sows, one random and one just recently farrowed:
 - a. Estimated age of sow at first farrowing
 - b. Current estimated age of sow
 - c. Number of farrowings observed and the size of litter for each (number of piglets)
 - d. Number of abortions
 - e. Number of piglets weaned from last farrowing

ANNEX 5: GENERIC PRODUCTION ENVIRONMENT DESCRIPTORS (PEDS)⁸

See Annex 6 for definitions of the terms used in these worksheets.

Part I: General

- Species:
- Most common name of the breed or population:
- Other names or synonyms or local names of the breed or population:
- Name of the study area
- Administrative location of the study area
- Administrative areas where this breed population is known to exist
- Is this breed population known to be kept in more than one production environment?
1) yes 2) no
- This production environment part of a seasonal transhumant system: 1) yes 2) no
- If yes, provide the time period the animals spend in each production environment
List the months:.....
- Geographic location of the study site, i.e. geo-references:
 - a. Longitude
 - b. Latitude
- Length of time that the breed has been in this particular production environment
 - a. Start year: provide a rough estimate in years. If the breed population has always been present in this production environment enter □□□□.
 - b. End year: if the breed is still present in this production environment leave the year empty. □□□□.
- Proportion of the total breed population that is in this particular production environment (%)

Part II: Natural Environment

- Climate
 - a. Temperature:
 - i. Mean daily maximum temperature °C
 - ii. Mean daily minimum temperature °C
 - iii. Mean daily maximum temperature of the hottest month of the year °C
 - iv. Mean daily minimum temperature for the coldest month of the year °C
 - b. Relative Humidity:
 - i. Mean daily relative humidity %
 - ii. Mean daily relative humidity of the hottest month of the year %
 - iii. Mean daily relative humidity of the coldest month of the year %

⁸ Adapted from FAO/WAAP (2010).

- c. Precipitation:
- i. Monthly precipitation rainfall (mm):

January	April	July	October
February	May	August	November
March	June	September	December
 - ii. Annual mean (mm):
 - iii. Between-year variation in precipitation – choose one
 - large variation in rainfall
 - medium variation in rainfall
 - little variation in rainfall
 - normally little variation in rainfall but subject to “sporadic” droughts
 - iv. Between-year variation in snowfall – choose one
 - Occasional deep snow
 - Frequent deep snow
 - Little or no variation between years
 - No snowfall
 - v. Wind Conditions:
 - Frequency and type of winds – choose one or more
 - Occasional high winds
 - Frequent high winds
 - Occasional high wind chill values
 - Frequent high wind chill values
 - Occasional warm dry winds (rapid water loss conditions)
 - Frequent warm dry winds (rapid water loss conditions)
 - Average wind speed for the hottest month of the year:km/hour
 - Average wind speed for the coldest month of the year:km/hour
 - vi. Day length period:
 - Hours of daylight of the longest day of the year:hours
 - Hours of daylight of the shortest day of the year:hours
 - vii. Solar radiation:
 - UV index – annual average (local solar noon)
 - UV index – above 5 (high/very high/extreme) days per year
 - Total annual hours of sunshinehours
 - Solar radiation (intensity): kW/m²
- Terrain features:
 - a. Elevation
 - Mean elevation for this production environment: metres above sea level
 - Lowest elevation for this production environment: metres above sea level
 - Highest elevation for this production environment: metres above sea level
 - b. Slope: The terrain in this production environment is generally – choose one
Flat; Hilly; Steep and mountainous; Very variable
 - c. Soil pH: The soil in this production environment is generally: choose one
Very alkaline (pH > 8.5)

- Neutral (pH between 5.5 and 8.5)
 Very acidic (pH < 5.5)
- d. Surface conditions: Indicate the main substrate conditions on which animals are generally maintained - choose one or more
 - Natural vegetation;
 - Stony/rocky
 - Sandy
 - Commonly wet – with very swampy substrate conditions
 - Regularly and/or frequently flooded
 - Regularly and/or frequently covered by snow/ice during winter
 - Highly variable substrate types
 - e. Tree cover: provide the percentage tree cover in this production environment:%
- Diseases, parasites and other threats to animal health:
 List the diseases and parasites⁹ that present or have presented a significant challenge to animals of this *species* in this production environment and indicate their pattern of occurrence. Note that the breed itself might be resistant or tolerant, and therefore show little or no ill-effect despite being challenged by the disease or parasite.
 Consider the following categories:
 - a. Diseases (bacterial, rickettsial, viral, fungal and prion diseases).
 Occurrence – select the most appropriate choice for each disease listed:
 1) Eradicated; 2) Rare; 3) Frequent; 4) Ever present; 5) Emerging
 - b. Ectoparasites (insects, mites, ticks, etc.).
 Occurrence - select the most appropriate choice for each ectoparasite listed:
 1) Eradicated; 2) Rare; 3) Frequent; 4) Ever present; 5) Emerging
 - c. Endoparasites (helminths, protozoa, etc.).
 Occurrence - select the most appropriate choice for each endoparasite listed:
 1) Eradicated; 2) Rare; 3) Frequent; 4) Ever present; 5) Emerging
 - d. Other threats including feed and water toxins, predators and other harmful animals:
 List the threats (text).

Part III: Management Environment

- Livestock production system type:
 - a. grassland-based system (choose one): 1) ranching; 2) pastoralist
 - b. mixed system(choose one): 1) crop–livestock; 2) agropastoralist; 3) agroforestry–livestock
 - c. landless system (choose one): 1) industrial; 2) backyard/scavenger
- Level of confinement – choose one:
 - a. Most animals are continuously free-ranging
 - b. Most animals are free-ranging with confinement at night
 - c. Most animals are confined on a seasonal basis to most animals
 - d. Continuous confinement (shed/cage/pen, etc) is provided to most animals
- Climate modifiers – choose one or more:
 - a. Basic heat protection (shelters, shading trees, etc.)
 - b. Basic cold protection (shelters, windbreaks, etc.)

⁹ Lists of diseases and parasites that may be entered in the PEDs module of DAD-IS are provided as an annex to the report of the FAO/WAAP Expert Meeting on Production Environment Descriptors (FAO/WAAP, 2008). Individual phenotypic characterization studies should attempt to describe the the local disease and parasite challenge as comprehensively as is feasible.

- c. Housing – not completely climate controlled
- d. Housing – completely climate controlled
- e. Cooling facilities (wallows, water sprays, etc.)
- Control of diseases, parasites and other threats to health
 - a. Most animals are vaccinated for disease (for each disease listed as presenting a challenge in the local production environment, choose one of the following):
 - 1) Never 2) Occasionally 3) Regularly
 - b. Most animals are subject to preventive ectoparasite or vector control (choose one):
 - 1) Never 2) Occasionally 3) Regularly
 - c. Most animals are subject to preventive endoparasite control (choose one):
 - 1) Never 2) Occasionally 3) Regularly
 - d. Most animals are provided with veterinary treatment when they are sick (choose one):
 - 1) Never 2) Occasionally 3) whenever needed
 - e. Most animals are subject to traditional treatments (choose one):
 - 1) Never 2) Occasionally 3) Regularly
- Feed and water availability and management
 - a. Access to drinking water is (choose one):
 - Normally not restricted
 - Occasionally restricted
 - Frequently restricted
 - b. Salt content of drinking water. Drinking water has a high salt content:
 - Yes; No
 - c. Feed availability (quantity and quality), choose one:
 - Not restricted
 - Frequently restricted during periods of the year
 - Restricted throughout the year
 - d. Feed type and proportion and seasonality

Feed type	Types of feed fed to the animals	Estimate the percentage of dry matter fed to the animals that is contributed by each feed type		
		Vegetation growing period	Outside the vegetation growing period	Whole year (if there is no distinct vegetation growing period)
Natural pastures, including browse type vegetation	Yes No	%	%	%
Sown pastures	Yes No	%	%	%
Forage crops	Yes No	%	%	%
Crop residues (straws, stovers, etc.)	Yes No	%	%	%
Concentrates	Yes No	%	%	%
Industrial by-products	Yes	%	%	%

with low nutrient density	No			
Mineral Supplements	Yes			
	No			
Vitamins and trace elements	Yes			
	No			

- e. Between-year variability in feed availability. Is there high year to year variation in feed availability:
 - 1) yes
 - 2) no

- Reproduction strategies
 - a. List the months during which mating occurs (text).....
 - b. Type of reproductive control generally employed by farmers for breeding stock of the breed (choose one):
 - 1) Uncontrolled mating;
 - 2) Controlled mating
 - c. Methods employed for controlled mating (choose one or more options):
 - 1) Hand or pen mating;
 - 2) Artificial insemination;
 - 3) Embryo transfer

Part IV: Socio-economic characteristics

- Market orientation for animals and products (choose one):
 - a. Fully market oriented
 - b. Mixed market/subsistence orientation
 - c. Subsistence oriented
- Markets targeted – mark one or more boxes
 - a. International market
 - b. Regional market
 - c. National market
 - d. Local market
- Products targeted at niche markets?
 - a. yes
 - b. no
 - c. Describe the niche products (text):
- Established market for breeding animals and genetic material:
 - a. yes
 - b. no
- Main uses and roles of the breed in this production environment – prioritize from the list below (1 for most important use, 2 for second most important, etc.)

Subject	Main use	Priority
Food	Milk	
	Eggs	
	Meat	
	Lard	
	Production of offspring for slaughter as young animals	
	Fatty liver	
	Blood	
Fibre/Skins, etc	Wool	

	Hair	
	Pelt/fur	
	Skin/hides	
Work	<i>Draught power (field work)</i>	
	<i>Draught power (transport)</i>	
	Pack/baggage	
	Herding (<i>include herding for fighting bulls</i>)	
	<i>Riding for work or general transport</i>	
Manure	Fertilizer	
	Fuel	
Plumage	Feathers	
	Down feathers	
	Feathers for fishing	
Socio-cultural	General	
	<i>Savings/insurance</i>	
	Prestige	
	<i>Social and/or religious ceremonies</i>	
	<i>Maintaining social networks</i>	
	Fighting	
Cross-breeding	General cross-breeding	
	Sire line	
	Dam line	
	Interspecies crossing	
Special uses	Guard	
	Hatching foreign eggs	
	Horns	
	<i>Pest control</i>	
	Medical or pharmaceutical purpose	
	Research	
	Vegetation management	
	Velvet	
	Wool for fishing lures	
	<i>Spanish horse school</i>	
Fancy, hobby, Sport	Fancy	
	Sport (<i>general</i>)	
	Hobby (<i>general</i>)	
	Racing	
	<i>Riding (sports/leisure)</i>	
	Riding (by children)	
	Carting	
	Dressage	
	Tourist attraction	
	Hunting	

- Gender aspects of decision taking (note: only for non-industrial systems) – mark one or more boxes in each row

Decision-taking	Household		Community/cooperative
	Women	Men	
Scale of operation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Sales/purchases	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Intensity of production	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Markets targeted	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Breeding objectives	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

- Gender aspects of work sharing – mark one or more boxes in each row

Work-sharing	Household			Community/cooperative
	Women	Men	Children	
Feeding	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Watering	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Herding	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Cleaning	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Health management	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Reproductive management	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Harvesting products	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Marketing products and animals	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Part V: Worksheet for describing breeds' special qualities¹⁰

- Breed characteristics relevant to climate

Breed characteristics	Tick if breed has specific tolerance
Tolerant of heat – low-humidity	<input type="checkbox"/>
Tolerant of heat –high-humidity	<input type="checkbox"/>
Tolerant of cold – low humidity	<input type="checkbox"/>
Tolerant of cold – high-humidity	<input type="checkbox"/>
Adapted to heavy snowfall	<input type="checkbox"/>
Adapted to high solar radiation	<input type="checkbox"/>

- Breed characteristics relevant to terrain

Breed characteristics	Tick if breed has specific tolerance
Adapted to high elevations	<input type="checkbox"/>
Adapted to steep terrain	<input type="checkbox"/>
Adapted to extremely stony/rocky substrates	<input type="checkbox"/>
Adapted to extremely sandy substrates	<input type="checkbox"/>
Adapted to snowy and iced substrate conditions	<input type="checkbox"/>
Adapted to walking long distances	<input type="checkbox"/>

¹⁰ Note that the items in this worksheet describe to the adaptations of animals to the production environments rather than the characteristics of production environments *per se*. In primary phenotypic characterization studies, the principle means of collecting such data are individual or group interviews with livestock keepers and other key informants. More detailed information can be obtained through advanced characterization.

- Breed characteristics relevant to health

Name of disease (list)	Resistant	Tolerant	Susceptible
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

- Breed characteristics relevant to ectoparasites

Name of ectoparasite (list)	Resistant	Tolerant	Susceptible
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

- Breed characteristics relevant to endoparasites

Name of endoparasite (list)	Resistant	Tolerant	Susceptible
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<input type="checkbox"/>	<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 animal health-related adaptations, including to feed and water toxins and predators
Describe (free text)
- Breed tolerance relevant to feed and water availability

Breed characteristics	Tick if breed has specific tolerance
Tolerant of long intervals between watering	<input type="checkbox"/>
Tolerant of highly saline drinking water	<input type="checkbox"/>
Tolerant of high pH drinking water	<input type="checkbox"/>
Tolerant of low pH drinking water	<input type="checkbox"/>
Tolerant of long intervals between feeding	<input type="checkbox"/>
Tolerant of low quality feed	<input type="checkbox"/>
Tolerant of high variations in feed quality	<input type="checkbox"/>

- Other feed or water-related adaptations
Describe: (free text)
- Specific quality of products
Describe (free text)

ANNEX 6: DEFINITION OF TERMS

1. Definition of the quantitative variables on body measurements from cattle, sheep, goats and pigs¹¹

- Ear length: length (in centimetres) of the external ear from its root on the poll to the tip.
- Horn length: length of the horn (in centimetres) on its exterior side from its root at the poll to the tip.
- Height at withers: the (vertical) height (in centimetres) from the bottom of the front foot to the highest point of the shoulder between the withers. Measurement preferably taken with a sliding ruler.
- Chest girth: the circumference of the body (in centimetres) immediately behind the shoulder blades in a vertical plane, perpendicular to the long axis of the body.
- Body length: the horizontal distance (in centimetres) from the point of shoulder to the pin bone.
- Pelvis width: the horizontal distance (in centimetres) between the extreme lateral points of the hook bone (tuber coxae) of the pelvis.
- Body weight: the fasted live body weight in kilograms.

2. Dentition classes of indigenous goats¹²

- Dentition class 0 = a kid without teeth, often a newborn animal,
- Dentition class 1 = with erupted and growing 1st pair of milk teeth
- Dentition class 2 = with erupted and growing 2nd pair of milk teeth
- Dentition class 3 = with erupted and growing 3rd pair of milk teeth
- Dentition class 4 = with erupted and growing 4th pair of milk teeth
- Dentition class 5 = with fully grown milk teeth that started to spread apart
- Dentition class 6 = the milk teeth have started to wear down, or are fully spread apart
- Dentition class 7 = with erupted and growing 1st pair of permanent incisors
- Dentition class 8 = with erupted and growing 2nd pair of permanent incisors
- Dentition class 9 = with erupted and growing 3rd pair of permanent incisors
- Dentition class 10 = with erupted and growing 4th pair of permanent incisors
- Dentition class 11 = the four pairs of permanent incisors have started to wear down
- Dentition class 12 = the incisors are worn down and have started to spread apart
- Dentition class 13 = worn down incisors are spread apart and few are lost (broken-mouth)
- Dentition class 14 = most of the incisors have been lost (smooth-mouth) or worn down to the level of the dental pad
- Estimates of age of sheep and goats from dentition

¹¹ Adapted from Edey (1983).

¹² As employed in phenotypic survey in Ethiopia (FARM-Africa and ILRI, 1996; Ayalew *et al.* 2000)

Stage	Age (year)	Characteristic change on teeth
Lamb	Under 1 year	8 sharp milk incisors
Yearling	1-2 years	Central pair of permanent incisors
Young adult	2-3 years	2 pairs of permanent incisors
Adult	3-4 years	3 pairs of permanent incisors
Mature	4-5 years	4 pairs of permanent incisors
Old	Over 5 years	Without teeth and some missing

3. Description of body condition scores (BCS) if required for recording

BCS	Characteristic change of the body (lumbar vertebrae and tail)
0	<ul style="list-style-type: none"> highly emaciated no muscle and fat between the skin and bone in the lumbar region used up tail fat reserve and coccygeal bones felt from inner and outer sides
1	<ul style="list-style-type: none"> sharp and prominent dorsal and transverse processes fingers easily pushed below the transverse processes fat-tail reserve almost used up and coccygeal vertebrae prominent
2	<ul style="list-style-type: none"> dorsal processes prominent and felt as corrugation transverse processes smooth and round and fingers can easily pass under them fat tail is slightly heavy and fine to the touch.
3	<ul style="list-style-type: none"> dorsal processes are smooth & rounded and their bones can be felt with pressure transverse processes are smooth & well covered pressure is required to pass fingers under the transverse processes fat tail is more rounded & firm and the coccygeal bones are not easily felt
4	<ul style="list-style-type: none"> dorsal processes are detected as a line transverse processes are well covered and can not be felt coccygeal bones can only be felt with pressure from the inner side of the tail
5	<ul style="list-style-type: none"> not possible to detect the dorsal processes requires very strong pressure pass fingers under transverse processes coccygeal bones not felt with strong pressure.

4. Selected chicken plumage descriptions for characterizing chicken¹³

- **Frizzle feather** Feathers which are curled and which curve outward and forward.
- **Crest** Almost globular tuft of feathers on the top of the head of some fowl and waterfowl, as in Polish, Houdans, Crevecoeurs, *Silkie*s, Sultans and White Crested Ducks. Full expression is partially dependent on the *knob*.
- **Split crest** Crest in which there is a division with feathers falling to either side; a serious defect.
- **Beard** Cluster of feathers pendent from the upper throat of some fowl. Found only in combination with muffs.

¹³ Source: http://216.92.143.243/eureka/index.php/Category:Chicken_Plumage.

- **Hackle** Rear and side neck plumage of a fowl. Feathers on male and female differ in shape and structure except in breeds having hen-feathered males.
- **Stripe** Usually refers to a contrasting stripe of colour in the web of hackle feathers of both sexes, and the saddle of males of some *parti-coloured* varieties. In most instances the stripe should extend through the web, running parallel with the outer edges of the feather and tapering to a point near the lower extremity of the feather.
- **Cape** Short feathers at the juncture of the back and neck underneath the hackle and between the shoulders, collectively shaped like a cape.
- **Feather legged (Shank-feathering)** Those breeds having feathers on the outer sides of shanks, and on the outer, or the outer and middle toes.
- **Cushion** Profuse mass of feathers over the back and base of tail of a fowl giving it a rounded effect.
- **Booted** Fowls that are feathered on shanks and toes and having vulture hocks are said to be booted, as in Booted and Sultans.
- **Sex-linkage** Connection between colour and sex in certain poultry breeds, e.g. where a Black *Leghorn* cock is mated with a barred *Plymouth Rock* hen, all the cockerels will be barred, and all the pullets black.
- **Sex feathers** Pointed feathers in the hackle, back, saddle, sickles and wing-bow of a male fowl, and which differ from the oval shape feathers in the same sections of the female.
- **Hen-feathered** Male having feathers like a female, i.e., oval instead of pointed sex feathers in hackle, saddle, wingbow and sickles.
- **Columbian** Plumage colour pattern in chickens. The main body plumage is white, but certain feathers in the neck, tail and wing sections are variously tinged with black. It is the plumage pattern of the Light Brahma, Columbian *Plymouth Rock*, and Columbian *Wyandotte*.
- **Barred (Cuckoo)** Poultry feathers having a side-to-side pattern of black and white stripes (bars). Where the bars are white with another colour, such as gold or buff, the colour description is gold-barred or buff-barred.
- **Self-colour** Single uniform colour throughout the plumage, as in Black and White varieties.
- **Solid-colour** All of one tone, i.e., one hue, tint or shade.
- **Surface colour** Colour of that portion of the plumage that is exposed when the feathers are in natural position.
- **Ground colour** Basic or predominating colour of the web of a feather. In laced, pencilled, barred, spangled and mottled varieties, it is the basic or predominating colour on which the markings are delineated.
- **Undercolour** Colour of the lower or fluff portion of feathers, not visible when the feathers are in natural position.
- **Foreign colour** Colour in any part of a fowl that differs greatly from the colour prescribed by the Standard.
- **Mossy** Confused, indistinct, irregular or disarranged colour markings which destroy the desired colour contrast or pattern.
- **Mealy** Applies to buff or red plumage flecked with a lighter colour, as if dusted with flour or meal.
- **Pencilling** Alternate collared crosswise markings in Silver and Golden Pencilled Hamburg females.

- **Barring** Transverse purple markings in black feathers.
- **Peppered (Peppering)** Feathers sprinkled with small dots of black or grey.
- **Ticking** Specks or small spots of black colour on the tips of the lower neck- feathers.
- **Laced (Lacing)** Border of contrasting colour around the entire *web* of a feather.
- **Frosting** Faded margin on a black lacing or *spangle*.
- **Tipped** (with White) Loosely used in describing the white markings at the tips of feathers in mottled and spangled breeds.
- **Spangle (Spangling)** Distinct marking of contrasting colour at the extremity of a feather, proximally shaped like a well defined V with rounded end. Always is black in colour and found in combination with silver or gold ground colour.
- **Mottled (Mottling)** Plumage in which a variable percentage of the feathers are tipped.
Note : Mottled differs mainly from spangling in that markings are always white and found only on a variable percentage of the feathers, whereas in spangling the markings may be either black or white and are located on the tip of each feather.
- **Parti-coloured** Fowls having feathers of two or more colours, or shades of one colour.
- **Bay** Light golden-brown.
- **Buff** Medium shade of orange-yellow colour with a rich golden cast.
- **Chestnut** Dark red-brown plumage colour, darker than bay.
- **Creaminess** White feathers in which the shafts and webs are tinged with a light yellow or creamy colour, not the same as brassiness. Characteristic of the new feathers, due to immaturity.
- **Dark slate** Very dark bluish grey, approaching black.
- **Khaki** Light brown.
- **Mulberry (Gypsy colour)** Very dark purple approaching black.
- **Pure white** Opaque white, generally applied to the unblemished white in female type feathers of white or parti-white varieties. The complement of silvery white in male sex feathers of the same varieties.
- **Salmon** Medium shade of reddish ochre colour used to describe the colour of the breast of some breeds, e.g. Light Brown Leghorn females.
- **Silkie** Semiplume character of the feathers of the Silkie fowl in which the shafts are very thin and the barbs are very long, very soft and fluffy, which have no holding power and no locking arrangement; structurally similar to the fluff of a normal feather.
- **Slate** Shade of grey having a bluish cast sometimes approaching black, sometimes of lighter shades.
- **Wheaten** Various shades of the colour of wheat. The term is used to describe the plumage colour of the females of certain varieties.

5. Terms used in Annex 5 (production environment descriptors framework)¹⁴

Production environment: comprises the natural environment and the management environment. The **natural environment** can be specified by describing the climate, soil quality, terrain elevation and surface type, and disease and parasite challenge that prevail in the location where a breed population

¹⁴ Source: FAO/WAAP (2008).

is kept. The **management environment** refers to any interventions or actions that affect the conditions under which the breed population is kept. It can be specified by describing the livestock production system type, the level of confinement, climate modifiers, control of diseases and parasites, feed and water management, reproductive strategies and socio-economic characteristics including the main uses and roles of the breed population.

Transhumant system: transhumant livestock keepers follow a seasonal cycle of movement with their herds or flocks to find feed and water or to avoid unsuitable climatic conditions. Movement may be within a single production environment or between two or more production environments.

Natural environment: can be specified by describing the climate, soil quality, terrain elevation and surface, and disease and parasite challenge.

Part I – climate

Temperature: refers to the ambient temperature measured at a nearby weather station that accurately reflects conditions within the production environment being described.

Relative Humidity: refers the humidity measured at a nearby weather station that accurately reflects conditions within the production environment.

Precipitation: refers to rain and snowfall measured at a nearby weather station that accurately reflects conditions within the production environment.

Drought: the naturally-occurring phenomenon that exists when precipitation has been significantly below normal recorded levels, causing serious hydrological imbalances that adversely affect land resource production systems.¹⁵

Large variation in rainfall: less than 75 percent of long-term average in 2 or more of 6 consecutive years.

Medium variation in rainfall: less than 75 percent of long-term average in fewer than 2 in 6 consecutive year.

Little variation in rainfall: Less than 75 percent of long-term average in fewer than 2 in 10 consecutive years.

Sporadic droughts: normally little variation in rainfall (see above), but occasionally 3–4 consecutive years with less than 75 percent of long-term average.

Deep snowfall: abnormally severe snowfall that seriously disrupts livestock production for an extended period.

Occasional deep snowfall: deep snowfall occurs on average less than twice in ten years.

Frequent deep snowfall: deep snowfall occurs on average more than twice in ten years.

High winds¹⁶: winds in excess of 62 km/hour.

Wind chill¹⁷: refers to conditions in which the air temperature perceived by the body is lowered by the effect of the wind. Wind chill index is commonly calculated in terms of the effect on exposed human skin. Livestock species will be affected differently from humans and from each other according the characteristics of their coats/plumage. In the absence of a separate index for each

¹⁵ Source: United Nations Convention to Combat Desertification, Article 1. (<http://www.unccd.int/convention/text/convention.php?annexNo=-1>).

¹⁶ No definition of what should be considered “frequent” and “occasional” in the context of describing the wind conditions in a production environment was established by the FAO/WAAP Expert Meeting.

¹⁷ No definition of what should be considered “high” wind chill for the purposes of describing a production environment was established by the FAO/WAAP Expert Meeting.

species, a high wind chill index (i.e. low felt temperature) as calculated for humans is taken as a proxy for conditions in which livestock species are likely to be adversely affected by a combination of cold and wind.

Warm dry winds: refers to conditions in which water loss from the animals is significantly exacerbated by the effect of the wind.

UV Index: refers to the global solar ultraviolet index (UVI) which is a simple measure of the ultraviolet radiation level at the earth's surface.¹⁸ The values of the index range from zero upward. The higher the index value, the greater the potential for damage to the skin and eye, and the less time it takes for harm to occur.

In the absence of separate UVI for livestock species, the human UVI is taken as a proxy for conditions in which livestock species are likely to be adversely affected by high levels of ultraviolet radiation.

The following harmonized exposure categories and colours are associated with various values of the UVI:¹⁹

Category	UVI range	Colour
Low	0 to 2	Green
Moderate	3 to 5	Yellow
High	6 to 7	Orange
Very high	8 to 10	Red
Extreme	≥ 11	Purple

Part II – terrain features

Elevation: refers to the height above sea level of the production environment.

Slope: refers to the steepness of the terrain generally found in the production environment.

Surface condition: refers to the ground (on which the animals walk and rest) that is generally found in the production environment.

Part III – diseases parasites and other threats to animal health

Diseases and parasites: refers to the diseases and parasites found in the production environment and that are likely to affect breed performance and/or adaptedness. The effects of a disease or parasite may be manifested in terms of poorer performance (reduced levels of survival, production or reproduction), increased requirements for management interventions (e.g. use of veterinary drugs), restrictions on the choice of breeds (e.g. susceptible breeds cannot be used), or a combination of these effects.

Note that a specific breed population may be resistant or tolerant to a given disease or parasite and therefore show little or no ill-effect. The presence of such diseases and parasites in the production environment should nonetheless be recorded, as they may over time have affected the breed's adaptedness, and are likely to affect the performance of newly introduced breeds.

Diseases and parasites that were formerly present but have now been eradicated from the production environment no longer affect performance, but may have affected the breed's levels of resistance or tolerance. Such diseases and parasites should therefore be recorded (with a mark in the appropriate box).

¹⁸ The UVI was developed by the World Health Organization (WHO) in collaboration with the United Nations Environment Programme (UNEP), the World Meteorological Organization (WMO), the International Commission on Non-Ionizing Radiation Protection (ICNIRP), and the German Federal Office for Radiation Protection.

¹⁹ Source: WHO. 2002. *Global Solar UV Index: a practical guide*. Geneva.

Occurrence of disease: is categorized as:

- eradicated from this production environment (but was formerly present)
- rare – outbreaks occur on average less than or once in an animal’s lifetime
- frequent – outbreaks occur on average more than once in an animal’s lifetime
- ever present in the production environment
- emerging – new in the production environment.

Ectoparasites: are parasites that live on the exterior parts of the host body.

Endoparasites: are parasites that spend some part of their life cycle inside the body of the host.

Occurrence of endoparasites and ectoparasites is categorized as:

- eradicated from this production environment (but were formerly present)
- ever present in the production environment
- seasonal – regularly present over specific period of the year
- occasional – sometimes present without clear seasonal pattern
- emerging – new in the production environment.

Nutritional toxins: are substances found in feeds or water that are known to cause physiological disorders in livestock and may be lethal.

Predators: are animals that consume other animals (the prey). Typically, the predator catches, kills and eats its prey.

Management environment

Management environment: refers to any interventions or actions that affect the conditions under which the breed population is kept. It can be described by describing the livestock production system type, the level of confinement, climate modifiers, control of diseases and parasites, feed and water management, reproductive strategies and socio-economic characteristics including the main uses and roles of the breed population.

Part IV – management intervention

Livestock production systems: are classified in terms of their relation to land, integration with crops, and the mode of production.

- **grassland-based systems:** are those in which the animals obtain a large proportion of their forage intake by grazing natural or sown pastures.
- **ranching systems:** are grassland-based systems in which livestock is kept on privately owned rangeland.
- **pastoralist systems:** are grassland-based systems in which the livestock keepers move with their herds or flocks in an opportunistic way on communal land to find feed and water for their animals (either from or not from a fixed home base).
- **mixed systems:** are those in which livestock keeping is integrated with other agricultural activities, together forming a whole.
 - **crop–livestock systems:** are those in which livestock production is integrated with crop production.
 - **agropastoralist systems:** are livestock-oriented systems that involve some crop production in addition to keeping grazing livestock on rangelands; they may involve migration with the livestock away from the cropland for part of the year; in some areas, agropastoral systems emerged from pastoral systems.

- **agroforestry–livestock systems:** are those in which livestock production is integrated with the production of trees and shrubs.
- **landless systems:** livestock production is separated from the land where the feed given to the animals is produced.
 - **industrial systems:** are large-scale landless production systems in which the production environment is highly controlled by management interventions.
 - **backyard/scavenger systems:** are small-scale landless production systems in which the animals are kept in backyards and fed on household waste and/or other feeds, or fend for themselves with little feeding from their keepers.

Vaccination: the administration of antigenic material to induce immunity to a disease.

- **Regular vaccination:** refers to a vaccination schedule that meets veterinary recommendations for disease prevention (in terms of frequency and coverage in the herd or flock, etc.).
- **Occasional vaccination:** refers to situations in which some vaccination is applied, but where animals are unlikely to be adequately protected from the disease at all times.

Preventive vector or ectoparasite control: refers to measures taken to kill ectoparasites or disease vectors (e.g. application of insecticides or acaricides by dipping, spraying, as pour-ons or by hand).

- **Regular ectoparasite or vector control:** refers to situations in which control measures are applied according to a schedule that removes or minimizes the harmful effects of the parasites or vectors.
- **Occasional ectoparasite of vector control:** refers to situations in which some control measures are applied, but animals are unlikely to be adequately protected from the harmful effects of the ectoparasites or vectors.

Preventive endoparasite control: refers to the use of veterinary drugs as a preventive measure against endoparasites (e.g. a programme of dosing with anthelmintics).

- **Regular endoparasite control:** refers to situations in which control measures are applied according to a schedule that removes or minimizes the harmful effects of the endoparasites.
- **Occasional endoparasite control:** refers to situations in which some endoparasite control measures are applied, but animals are unlikely to be adequately protected from the harmful effects of the endoparasites.

Veterinary treatment: refers to the use of drugs or other interventions, as appropriate, to cure animals when they are sick.

- **Veterinary treatment “whenever needed”:** refers to situations in which sick animals always or usually receive the appropriate veterinary treatment (such as might be recommended by a competent veterinarian familiar with the production system).
- **Occasional veterinary treatment:** refers to situations in which sick animals only sometimes receive appropriate veterinary treatment.

Traditional treatment: application of treatments based on indigenous knowledge to control or reduce the spread of diseases and parasites and/or their effects on animal production.

Drinking water access: refers to the amount of drinking water available to livestock.

High levels of salt: refers to the presence of salt in the water at concentrations that would normally adversely affect the health or performance of animals of the species in question.

Feed availability (quantity and quality): refers to the extent to which the available feed (grazed/browsed vegetation and feed provided by the livestock keeper) can meet the animals’

nutritional needs. Both quantity and quality of the feed need to be taken into consideration when answering this question – nutritional insufficiency, may be the result of insufficient quantity, poor quality or a combination of both.

The objective of this question is to obtain a general overview of the nutritional status of the animals (whether they face continuous or seasonal nutritional stresses, or are well fed all year round).

Feed type, proportion and seasonality: refers to the main components of the animals' diets (see list), their approximate proportions (on a dry-matter basis) and how this varies between the seasons of the year.

Concentrates: are feeds that contain a high density of nutrients, usually low in crude fibre content (less than 18 percent of dry matter) and high in total digestible nutrients. Concentrates may be high in energy, referred to as energy concentrates, such as cereals and milling by-products, or high in protein, with over 20 percent crude protein, referred to as protein concentrates.²⁰

Industrial by-products with low nutrient density: are by-products of processing industries that have low nutrient density and therefore cannot be described as concentrates, i.e. those with high crude fibre contents (over 18 percent of dry matter) and low crude protein contents (less than 20 percent).

Note that many industrial by-products fed to animals qualify as concentrates according to these definitions.

Forages: are edible parts of plants, other than separated grain, that can provide feed for grazing and/or browsing animals or that can be harvested for feeding in fresh or conserved condition (e.g. hay, silage).

Mineral supplements: are used to complement diets which are otherwise deficient in minerals.

Vitamins or trace elements: supplements used to complement diets which are otherwise deficient in vitamins or trace elements.

Mating season: the period of the year in which females are impregnated.

Uncontrolled mating: is a haphazard mating with no regard to the genetic makeup (genotype) of the individuals.

Controlled mating: is a planned mating that takes the genetic makeup (genotype) of the individuals into consideration.

Hand mating: is mating in which the female is detected to be in oestrus and is then hand held while she is mated or is let into a paddock or pen with a male, where she is the only female. Mating is observed and can be guaranteed to have occurred. It also allows accurate recording of the day of mating and the genetics of the animals involved – in contrast to pen mating.

Pen mating: is a form of mating in which a group of females is placed in a pen with one male for mating. Not all females may be bred and the day of mating may not be known (cf. hand mating).

Artificial insemination: is the process by which sperm is placed into a female's uterus (intrauterine), or cervix (intracervical) using artificial means and with the intention of impregnating the female, rather than by natural sexual intercourse.

²⁰ Source: Hendy, C.R.C., Kleih, U., Crawshaw, R. & Phillips, M. 1995. *Interactions between livestock production systems and the environment – impact domain: concentrate feed demand. Livestock and the environment finding a balance.* Chatham, UK, Natural Resources Institute (available at <http://www.fao.org/WAIRDOCS/LEAD/X6123E/x6123e00.htm#Contents>).

Embryo transfer: is the process whereby one or several embryos are placed into the uterus of the female with the intent to establish a pregnancy.

Part V – socio-economic characteristics

Market orientation for animals and products: is expressed as proportion of the value of production (live animals and products) which is sold to the market:

Fully market oriented	>90 percent
Mixed market/subsistence orientation	10–90 percent
Subsistence oriented	<10 percent

Markets targeted: are the main markets that the producers of the breed population generally target when they sell the animals or their products.

International markets: operate on a worldwide scale and demand uniform products of guaranteed product quality.

Regional markets: refers to a specific geographic region of the world that has specific demands. There are formal regional markets that demand uniform products of guaranteed product quality, but there may also be informal markets that accept less uniform products where product quality is not always guaranteed.

National markets: operate within the national boundaries of a specific country and generally demand uniform products of guaranteed product quality.

Local markets: operate at subnational level within a specific country and generally demand less uniform products in which product quality is not always guaranteed. Local markets may be formal or informal markets.

Niche markets: are targetable subsets of a market sector, and can be thought of as a narrowly defined group of potential customers. Niche market ventures may be profitable, even though they are by nature small relative to the mainstream market, because of the benefits of specialization and focusing on identifiable market segments. A niche market may be a subset of a local, national, regional or international market.

Gender aspects: Considering gender aspects and obtaining data that are disaggregated by gender provides a better understanding of the economic, social and political differences that exist between men and women; informs efforts to overcome disparities between men's and women's participation in the development process; allows for the planning of development programmes that take the specific situation of both sexes into account; and helps to create an enabling environment for the sustainable development of the country as a whole.

In certain socio-economic environments, men and women are differently involved in livestock-related work and decision-taking. In some cultures, work might be done by children. Gender groups may take different decisions and do the work differently; this could influence the adaptedness and performance of the breed population.

The major areas of decision-taking relevant for animal production are: scale of operation, intensity of production, sales/purchases, markets targeted, and breeding objectives. The major areas of livestock-related work are: feeding, watering, herding, cleaning, health management, reproductive management, harvesting products and marketing products and animals.

Scale of operation: refers to the decision as to the size of the household's herd or flock (in so far as this can be determined by the livestock keepers).

Intensity of production: refers to decisions as to the type and quantity of external and internal inputs, including labour and land, used for the herd or flock.

Sales/purchases: refers to decisions as to when and which animals are purchased or sold.

Markets targeted: refers to decisions as to which markets to target with animal products and services: e.g. niche vs. mass markets; local vs. national vs. regional vs. international markets; seasonal vs. year-round markets.

Breeding objectives: refers to decisions as to which traits the livestock keepers want to improve, maintain or introduce in their herd or flock.

Watering: work required to provide water for the animals to drink (note that herding the animals to a watering point is included under “herding”).

Herding: taking the animals to the grazing land or watering point, guarding them if necessary, and moving them as and when required.

Cleaning: cleaning the shed, pen, cage or the animals themselves.

Health management: all activities that maintain or improve animal health (other than basic feeding, watering and cleaning).

Reproductive management: all activities that control reproduction (e.g. castration, mating, insemination).

Harvesting products: all activities undertaken to extract, collect or take-off animal products (e.g. egg collection, milking, shearing).

Marketing products and animals: all activities involved in the sale of animals or animal products to an intermediary or consumer.