SSA – CP LAKE KIVU PILOT LEARNING SITE

FIRST QUARTER REPORT

(December 2007 –June 2008)

Taskforce 2
Adapting integrated watershed management for productivity and beneficial conservation of agricultural landscapes in the Lake Kivu Pilot Learning Site

Participating Institutions:

Makerere University	**Uganda**
Kabale Local Government	**Uganda**
SYDIP	**DR Congo**
DIOBASS	**DR Congo**
ISAR	**Rwanda**
IMBARAGA	**Rwanda**
ICRISAT	**ESA, Kenya & India**
IWMI	**ECA, Ethiopia and Sri Lanka**

July 2008

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ACRONYMS

CIAT	International Centre for Tropical Agriculture
CP	Challenge Programme
CRST	Cross-Site Research Support Team
FARA	Forum for Agricultural Research in Africa
IAR4D	Integrated Agricultural Research for Development
IFPRI	International Food Policy Research Institute
IP	Innovation Platform
KKMPLS	Kano-Katsina-Maradi Pilot Learning Site
LKPLS	Lake Kivu Pilot Learning Site
LI	Lead Institution
M&E	Monitoring and Evaluation
NAADS	National Agricultural Advisory Services
PLS	Pilot Learning Site
SC	Science Council
SRO	Sub Regional Organization
SSA	Sub-Saharan Africa
TF	Task Force
ToR	Terms of Reference
ZMM PLS	Zimbabwe Mozambique Malawi Pilot Learning Site

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1. INTRODUCTION

The work under the project was initiated soon after signing the letter of agreement with the lead institution CIAT by the participating institutions and after receiving the grants for the first quarter. The process took a bit longer than expected, but is understandable given the diversity of the institutions and the procedures and guidelines followed by them in entering into partnerships and financial arrangements. Now that the initial problems have been sorted out and that procedures are streamlined, no further delays are expected with respect to the administrative procedures. Since all the task forces are expected to work towards a single aim of proving the effectiveness and applicability of IAR4D, the three task forces spent considerable time and effort in harmonizing the design, methods, and approaches including site selection and establishment of baseline conditions so that all the necessary data and information is collected to evaluate the hypothesis for its validity and practical applicability using scientifically valid protocols and methods at the task force and learning site levels. Hence, much of the work done by the task forces during this period was carried out jointly. This report summarizes the progress made by TF 2 but some amount of overlap with the reports from other task forces is expected.

This report briefly describes the outcomes of the two cross task force workshops held to discuss and agree on the methodological issues, monitoring and evaluation framework and site selection. The next section deals with the changes made to the logical frame work and budget as a result of the discussions during the cross task force meetings. Following this a brief description of the progress made in implementing the activities targeted for this period is given. Finally the report outlines the progress in project implementation and management.

2. PLANNING WORKSHOPS FOR CROSS TF ACTIONS

TF 2 participated and contributed to the two cross pilot learning site planning workshops, one on harmonization of the approach to be used in the "proof of concept" for IAR4D work, and the other one on the development of programme indicators held during the period under report.

2.1 Development and harmonization of work plans

This workshop held between 17 and 18 December 2007 at hotel Africana, Kampala-Uganda, reviewed the revised SSA CP research design and discussed and agreed on the steps to harmonize the design, strategies and methods to conduct research within the LKPLS and across sites for "*Proof of the* IAR4D *Concept*". The workshop also took into consideration feedback from the Science Council (SC). After a thorough discussion about the requirements and what is achievable with the financial and human resources available to the TF, it was agreed that each TF will implement four Innovation Platforms (IP) covering five stratified villages. Other issues deliberated at the workshop include transfer of Lead Institution (LI) functions to SRO and implications for contractual arrangements, post doctoral positions, budgets, and capital items. The task forces further agreed to

review and modify the log frames, revise the work plans, develop a list of equipments for procurement, suggest ToR for post-docs.

2.2. Development of output indicators and implementation plans

This workshop was held at hotel Belverde, Gisenyi- Rwanda from 4th to 8th February, 2008 with 20 participants. The main aim of this workshop is to discuss the revised integrated program framework, develop output indicators and a framework for the revised integrated project, and develops criteria for the site selection. The participants included members of the three task forces and representatives of the FARA, and ZMM and KKM PLS representatives.

During the workshop, an integrated framework outlining the key processes in the project implementation was designed for the three entry points of the LKPLS and output indicators were identified and incorporated into the refined integrated project log frame. The log frame has three well defined outputs aimed at developing approaches for establishing functional IPs, developing and testing potential technological and institutional innovations for implementing IAR4D, and evaluation and documentation of the experiences with IAR4D. Broad guidelines for selecting the sites were developed and twenty two sites were pre-selected based on the market access model (Table 1).

Table 1: Pre-selected sites for the proof of concept "IAR4D works"

Country	District/ secteur/ Territoire	Market type	
		Good	Poor
Uganda	Kisoro	Nyakabande Chahi	Nyarusiza Businza
	Kabale	Hamurwa Muko	Bufundi Bubale
Rwanda	[1]Kivuruga / [2]Rwerere	Kivuruga	Rwerere
	[1]Nyange / [2]Bigogwe	Nyange	Bigogwe
	[1]Gataraga / [2]Mudende	Gataraga	Mudende
D.R. Congo	Masisi/Kalehe	Bweremana Minova	Kamuronja Muvunyi-Matanda
	Nyiragongo/ Rutshuru	Kibumba Busanza	Kisigari Jomba

[1]: Secteur for good market and [2] secteur for poor market.

The workshop recommended among other things to continue the discussions and refine the criteria for site selection, plan and implement a baseline survey, initiate actions to develop a good database management system, design a web site, and translate all important documents into French for improved communication.

3. REVISED WORK PLANS AND BUDGET

Based on the outcomes of the above planning workshops, TF 2 developed a revised log frame (Appendix 1), budget (Appendix 2) and implementation plan (Appendix 3) that are in line with the program management and evaluation frame work. Special efforts were made to align the activities and milestones in the log frame to the monitoring and evaluation framework to ensure that the work undertaken by TF 2 provides the necessary information and data to evaluate the indicators identified for M&E. Budget was developed per each activity and institution following the FARA guidelines. All the participating institutions have signed the contracts and received the funds ear marked for the first quarter.

4. ACTIVITY-WISE PROGRESS DURING THE QUARTER

During the period under report four activities with deliverable milestones during this period were implemented and the progress made is summarized in this section.

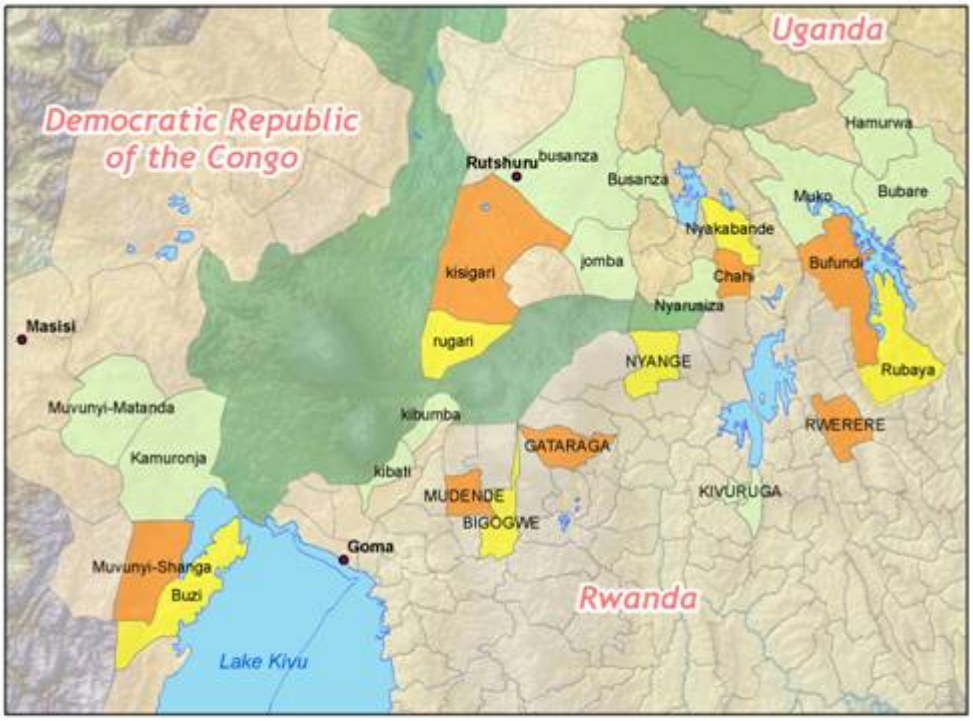
4.1 Selection of target learning sites:

This was carried out at PLS level involving all the TFs. Initially detailed information on the soil, topography, and access to market was collected for all the pre-selected sites listed in Table 1. In case of Uganda some sites were added to the pre-selected sites, taking into account the agro-ecological conditions of the two pre-selected Districts-Kisoro and Kabale, and the use of the watershed principles in the pilot site selection for future extrapolation. The DRC team changed one of the sites, Kisigari for Kibati, and reclassified Busanza as having poor market access. The security problems in two groupements were also noted. A diagnostic tool for site selection was developed to collect the information on census of villages, past and current agricultural research for development activities, critical developmental issues, and inventory of potential players in IPs for use by the TFs in selecting and finalizing the sites. The tool was administered at each of the potential sites in a meeting held with key stakeholders from that area. The key stakeholders included sub-county chiefs, NAADs coordinators, farmer forum chairpersons and members of the executive on farmer forum.

Based on the information collected through the diagnostic survey and from secondary literature, TF 2 has identified four sites, two in Uganda and one each in Rwanda and DR Congo, for implementing the planned activities. The selected action and counter-factual sites are shown in Figure 1 and their grouping as per the market access is given in Table2.

Table 2: Action and counter-factual sites selected for TF 2 research.

Country	***Action sites***		***Counter-Factual sites***	
	Good access to Market	***Poor access to market***	***Good access to Market***	***Poor access to market***
Uganda	Chahi	Bufundi	Nyakabande	Rubaya
Rwanda	-	Rwerere	Nyange	Bigogwe
DRC	Muvunyi-Shanga	-	Buzi	Rugari



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The IAR4D approach, whose practicability and value is the central focus of the work under SSA CP, is centered around effective operation of an innovation platform. While IPs are conceived as informal alliance of various players with interest in the area and proposed work, no clear guidelines are currently available for their creation and operationalization. The task forces collectively developed "Innovation Platform Site Characterization and Stakeholder Analysis" tool for a quick assessment of the relevant stakeholdersand analysis and mapping of stakeholders. Stakeholder mapping in the Ugandan sites took place between 27th and 29th May, 2008. An example of the output of this visioning exercise is given in Appendix 4. We are currently developing a set of guidelines for sustainable operation of IPs involving identified stakeholders and taking into consideration their knowledge and attitude towards natural resource management.

4.3 Establish baseline conditions

Substantial efforts were made toollect all the necessary information to establish baseline conditions that are required to monitor the change. These efforts were led by IFPRI and CRST involving key members of all the task forces through a series of email exchanges.

The net result of this exercise is a set of instruments for a detailed characterization of the site at IP, village, plot and household levels. A group of 60 enumerators from the three participating countries were selected and were specially trained on the proper use of these instruments and systematic and accurate data collection. The training was held at Ruhengeri, Rwanda during the period 16-20th June, 2008. Following the training, pre-testing of the tools was carried out and changes as required were made to the instruments. The teams are currently in the filed conducting the surveys. Efforts were also initiated to collect baseline information on land cover changes and on the status of land degradation using satellite imageries.

4.4 Develop an M&E framework for IAR4D

A monitoring and evaluation frame work with measurable indicators was developed and the same was aligned with the revised log frame activities and milestones (Appendix 5). The framework clearly articulated the outputs, outcomes and the activity sets that deliver the outputs.

5. PROJECT IMPLEMENTATION AND MANAGEMENT

This being a unique project aimed at proving a concept than developing or promoting a technology that most research projects aim at and most partners are familiar with. Realizing this project management has spent substantial time and effort in carefully planning the project activities, developing M&E framework to track the progress and enhancing the capacity of the partners to address effectively the challenges in successful implementation of the project. During this period two cross pilot learning site planning workshops and a number of pilot site level planning meetings and activities were conducted including site coordination, development of a communication strategy, site selection (market access modeling and field site selection), and design of the baseline. Necessary capital assets are identified and actions to procure the same in time to initiate the field activities are taken. The man power requirements was carefully assessed and necessary actions both at the task force and across the taskforce level were intiated. These are briefly described in this section.

5.1 Capital assets

A list of capital assets required by TF 2 for effective implementation of various activities was developed (Table 2) and the same was approved by FARA. These asset items are identified in discussion with other TFs to avoid duplication and make best use of the limited available resources. Accordingly some of these asset items are also available for use by other TFs while TF 2 will have access to asset items purchased using the budget available with the other two TFs.

Table 3: Capital assets required by the different TFs in the LKPLS

Item	Description
Soil moisture measuring equipment (TDR) 3. Tipping bucket (spectrum)	Tube probe for Trime FM-3 meter

Pan Evaporimeter	
Digital camera	
Automatic weather station	
GPS	Trimble R3 system 3 pack
Trimble survey rod	2.0m carbon fiber
Vehicle	Toyota LandCruiser
Motocycle	Honda
Laptop	IBM

5.2 Man power requirements and recruitment

In the three countries most of the Institutions involved in the SSA CP are lean on staff. Therefore, arrangements were made to second staff fully supported by SSA CP. The positions were identified and advertised. The country wise list of staff required, candidates expressed interest and selected are shown in Table 4. Two support staff was recruited for each TFs. To facilitate action-research on Beneficial conservation and sustainable use of natural resources within the watershed context as proposed by TF 2, the prescribed minimum requirement was a Master's degree in natural resource management, with good knowledge of watershed management, two years community work experience, and a good working knowledge of English, French and/ Swahili. Selected research assistants have an opportunity for converting lessons learnt into doctoral dissertation.

Table 4: Nationally recruited staff

Country	Institution and Task	Candidates	Selected
Uganda	**NARO** NRM	Mathew Kuule (Soil Scientist)	Mathew Kuule
	Makerere University Data manager and coordinator	Bernard Fungo (Forestry) Olum Boniface (Extension) Segawa George (Land use management)	Bernard Fungo

Appendix 1: Revised logical framework of TF 2

Taskforce 2: Adapting integrated watershed management for productivity and beneficial conservation of agricultural landscapes in the Lake Kivu Pilot Learning Site

SECTION B	LOGICAL FRAMEWORK

Narrative summary	*Objectively verifiable indicators*	*Means of verification*	*Important assumptions*
Goal			
The contribution of agricultural and natural resource systems to improved livelihoods in the Lake Kivu Pilot Learning Site region enhanced			
Purpose			
Impact of integrated agricultural and natural resource management interventions on income growth and diversification of livelihoods in the intensively cultivated landscapes of LKPLS demonstrated through use of IAR4D approach	• At least 30% increase in aggregate productivity and 30% reduction in soil erosion and runoff levels in the target watersheds by 2012 • At least 2 farmer resource user groups promoting IWM approaches in each of the benchmark learning watersheds by 2010 • At least 20% of development programmes (rural, agricultural and natural resource management) in the target districts adopt IWM as part of the IAR4D approach by 2011 • At least 25**%** increase in marketed surplus and 10% increase in producer share of consumer price for one identified and viable value chain by 2012	• Programme documents of national and local governments, development organizations and communities • External evaluation and impact assessments • Annual reports of NARES and SWMnet • Publications of relevant organizations • Task Force M&E reports	• Adequate political, policy and donor support for poverty reduction and community-based NRM is maintained • Multilateral, regional and national policy does not destabilize markets and livelihoods within the PLS • Minimal disruptions from socio-political and environmental catastrophes

Narrative summary	*Objectively verifiable indicators*	*Means of verification*	*Important assumptions*
Outputs			
Output 1: Approaches for building multi-stakeholder innovation platforms tested and articulated.	2008 • Stakeholder analysis completed and plan for Communication, Knowledge Sharing and Joint Learning has been developed and agreed with stakeholders • 4 functional innovation platforms for multi-track dialogue and negotiation, capacity building, learning, and informing policy decisions established 2009 • Procedures and conditions for establishing innovation platforms documented • Lessons for mobilizing and promoting participation of multi-disciplinary and multi-institutional actors on functional innovation platforms documented 2010 • Models for making innovation platforms function effectively developed	• Report on stakeholder knowledge, attitude and practices and communication strategy • Number of activities initiated and implemented by IP partners and percent stakeholders participating in the IP • Document describing the process of establishment and sustainable operation of IPs • Document describing the problems and obstacles in establishing IPs and ways to solve them • Number of IPs from the 12 established successful in bringing lasting and positive change through the identified interventions	***As above***
Output 2: Innovations and capabilities to deal with critical issues at Interfaces identified.	2008 • A conceptual and operational IAR4D framework for identification of critical interface issues and action research developed • At least 2 NRM-Productivity-Markets-Policy interfaces research options identified and tested 2009	• Document describing the critical issues identified and process followed • Description of an integrated suit of effective NRM technologies and its effectiveness based on field testing	• Regional, national and local frameworks for approval of new approaches are maintained and effective • The necessary social and political capital for effective sharing and management of common

Narrative summary	*Objectively verifiable indicators*	*Means of verification*	*Important assumptions*
	• Strategies for policy dialogue for linking production-markets-NRM developed • At least 2 best-bet options for sustainable intensification and diversification of NRM-Productivity-Markets-Policy interfaces identified 2010 • Technological, market and institutional options for driving productivity gains, efficient use of resources, efficient linkages to markets and policies for targeting development domains established • Innovation capacity of IP partners increased	• Evidence that target institutions have included IWM in their recurrent and development programmes as contained in annual work plans and extension materials of target institutions • Progress and annual reports of the Task Force as well as the organizations making the TF • Availability and evidence that stakeholders are using knowledge sharing products from the Task Force	pool resources are maintained and improved • Financial and human resources of target institutions continue to be sufficient and well managed • Problems of biophysical, socio-political or economic nature do not disrupt the current attention on rural development and environmental conservation in the target districts
Output 3: Effectiveness of IAR4D approaches in delivering pro-poor benefits established	2008 • Frameworks for tracking and evaluating innovation system dynamics, the efficiency, relevance and benefits of IAR4D and institutional changes developed • Baseline conditions for IAR4D assessed in the PLS • Ex ante evaluation of the potential benefits of IAR4D conducted • Institutional arrangements and mechanisms for targeting, increasing and evaluating the impacts of innovations • Impact pathways for IAR4D developed by stakeholders and innovation platform actors 2009 • Generic Indicators for monitoring and evaluating IAR4D generated 2010 • Frameworks and models for achieving impacts at scale with IAR4D developed • The potential of the IAR4D approach to	• Annual work plans and reports of target public and private organizations • Progress and annual reports of the Task Force as well as the organizations making the TF • Availability and evidence that stakeholders are using DSA products from the Task Force	***As above***

Narrative summary	*Objectively verifiable indicators*	*Means of verification*	*Important assumptions*
	improve delivery and impact of agricultural research verified and internalized by relevant stakeholders in the PLS • Costs and benefits of IAR4D assessed		

Activities	**Milestones and budget**	*Important assumptions*
For Output 1: Approaches for building multi-stakeholder innovation platforms tested and articulated.		
1.1 Select target learning sites (watersheds)	1.1.1 Criteria for selecting the sites developed and test sites identified by February 2008 1.1.2 Developmental problems that require immediate attention at test sites identified and necessary data collected and analysed by June 2008 1.1.3 A list of on-going research and developmental programs and approaches used in implementing them in target locations compiled by March 2008 1.1.4 Benchmark learning watersheds established by June 2008 1.1.5 A study tour to India to see watershed programs at work and understand the structural and operational mechanisms undertaken by August 2008	
1.2 Establishing Innovation platforms	1.2.1 Key stakeholders to be involved in addressing the developmental problem identified by March 2008 1.2.2 Analysis of stakeholders to assess their current knowledge, attitude and practices and mapping completed by April 2008 1.2.3 At least 4 IPs for multi-track dialogue and negotiation, capacity building, learning, and informing policy decisions established by June 2008 1.2.4 A communication, information and knowledge management system for interaction within and between IPs established by August 2008 1.2.5 Team and alliance building workshops for facilitating interaction, promoting involvement and sharing knowledge of stakeholders and pilot learning teams completed by August, 2008 1.2.6 Methodology for establishing and facilitating joint learning with well defined roles and responsibilities through IP documented by March 2009 1.2.7 Perceptions of IP participants on the functioning and performance of the IP assessed by June 2010	
1.3 Establish Baseline conditions	1.3.1 ToRs for the establishment of baseline established by June 2008 1.3.2 Baseline characterization of bio-physical, environmental, social and economic conditions, constraints and opportunities for successful implementation of IWM approaches completed by June 2008	

Narrative summary	*Objectively verifiable indicators*	*Means of verification*	*Important assumptions*
	1.3.3 Preliminary analysis of constraints, driving forces and processes that lead to degradation of intensively cultivated multiple use watersheds and opportunities for combating environmental degradation completed by July 2008 1.3.4 Detailed assessment of constraints, driving forces and processes that lead to degradation of intensively cultivated multiple use watersheds and opportunities for combating environmental degradation documented by May 2009		
1.4 Strengthening stakeholder s' capacity in IAR4D	1.4.1 Learning needs of IP individuals, teams and institutions on essential elements of IAR4D assessed by December 2008 1.4.2 Training modules and manuals for facilitating knowledge exchange, learning and implementation of the IAR4D developed by June 2008 1.4.3 The capacity of trainers to undertake IAR4D training for various beneficiaries (farmers, women groups, youth groups, etc) enhanced by June 2009 1.4.4 Learning from capacity building initiatives for stakeholders on IAR4D documented and enhanced continually by September 2010		
For Output 2: Innovations and capabilities to deal with critical issues at Interfaces identified.			
2.1 Conduct market chain analysis to identify critical bottlenecks, opportunities and incentives for expanding market access and diversification into higher value products (crops, livestock and other NR based	2.1.1 The functioning and performance of existing value chains, market and enterprise opportunities required to address the developmental challenges including underutilised and untapped identified through participatory market analyses and documented by June 2008 2.1.2 The policy, infrastructure, market, institutional and organizational constraints and opportunities for enterprise diversification and value addition identified by September 2008 2.1.3 Smallholder producers assisted to form producer marketing groups to enhance collective bargaining, scale economies and coordination of production and marketing activities by December 2008 2.1.4 Opportunities for enhancing competitiveness and targeting niche markets through local value addition and quality-based commodity exchange assessed and documented by June 2010		
2.2 Develop decision-support tools for identification of sustainable NRM options that enhance value-chain productivity for existing and emerging market opportunities	2.2.1 Resource use and management practices that limit opportunities for generating marketed surplus and diversification identified and documented by June 2008 2.2.2 An action plan to address key constraints and opportunities developed by August 2008 2.2.3 Integrated technical solutions and practices that optimize tradeoffs in multiple use watersheds identified using appropriate simulation and GIS models and participatory action research initiated by September 2008		

Narrative summary	*Objectively verifiable indicators*	*Means of verification*	*Important assumptions*
	2.2.4 Equipment to monitor ecosystem services in multiple use watersheds installed in the target watersheds by October 2008 2.2.5 Promising integrated solutions for enhancing economic and environmental benefits to local communities identified and adapted using participatory on-farm evaluations by December 2009 2.2.6 Alternative decision support tools and analytical models developed to evaluate the tradeoffs in multiple use watershed systems by March 2010 2.2.7 Appropriate options for sustainable intensification and diversification of multiple use watersheds with a focus on management of water, soil fertility and organic matter identified and promoted by December 2010		
2.3 Identify productivity enhancing technologies that ensure conservation of the natural resources base while capitalizing on current and potential market opportunities (develop, evaluate, test)	2.3.1 Alternative enterprises (e.g. high value crops, bee husbandry, carbon sequestration, bio-pesticides, bio-fertilizer, etc) that are complimentary to improved resource management identified through participatory problem analysis by June 2008 2.3.2 Alternative enterprises for enhancing economic and environmental benefits to local communities adapted using participatory on-farm evaluations by December 2009 (linked to 2.2.5) 2.3.3 Acceptance of the new enterprises and their profitability assessed and proven interventions promoted by December 2010		
2.4 Identify and assess policy options for supporting integrated, profitable and ecosystem friendly enterprises and value chains.	2.4.1 The role of policy and institutional mechanisms (e.g. resource rights, rules, regulatory systems, incentive structures, etc) and governance systems on adoption and diffusion of options for sustainable intensification in multiple use watersheds identified and documented by June 2009 2.4.2 Mechanisms for optimizing multiple uses of watersheds for production, conservation and livelihoods and reducing tradeoffs understood and policy mechanisms defined by December 2009 2.4.3 SWOT analysis of current agricultural, food trade and NR policies completed by December 2008 2.4.4 Suitable policy and institutional options that facilitate and support private, community and public investment in watershed management developed by March 2010 2.4.5 Institutional and policy guidelines for implementing IWM approaches based on local and wider lessons and experiences developed and made available by December 2010		
Output 3*:* Effectiveness of IAR4D approaches in delivering pro-poor benefits established			
3.1 Develop an M&E framework for IAR4D	3.1.1 A PM&E framework integrating stakeholder perspectives of the outcomes, outputs, indicators and monitoring tools developed and implemented by June 2008 3.1.2 Appropriate tools, indicators and impact assessment methods (qualitative approaches		

Narrative summary	*Objectively verifiable indicators*	*Means of verification*	*Important assumptions*
	and crop and bio-economic models) calibrated and validated for evaluating multidimensional impacts by March 2009 3.1.3 Comprehensive adoption and impact study that will verify OVIs for "Purpose statement" completed by December 2010		
3.2 Develop frameworks and models for scaling up and impacts	3.2.1 Proper agro-ecological targeting and large-scale dissemination and outreach strategies for watershed-based interventions developed using proper tools and spatial simulation models by June 2009 3.2.2 Policy makers and development agencies sensitized through policy dialogue, media workshops and visits to the pilot learning watersheds by December 2009. 3.2.3 Knowledge and experience sharing mechanisms among different communities and stakeholders facilitated through cross-learning visits and workshops by June 2010 3.2.4 Adoption of integrated solutions for enhancing economic and environmental benefits in selected target watersheds promoted and implementation of the watershed approach facilitated by December 2010		
3.3 Assess costs and benefits of IAR4D	3.3.1 A framework for tracking costs and benefits associated with implementation of IAR4D developed by December 2008 3.3.2 Ex-ante evaluation of the effect of IAR4D and its components on development impact completed by December 2008 3.3.3 Continuous monitoring of costs involved and benefits among stakeholders conducted through the project period and completed by March 2010		
3.4 Identify and develop appropriate communication, knowledge and learning models for supporting partnerships on the innovation platforms	3.3.4 Ex-post evaluations of the effect of IAR4D and its components on development impact completed by October 2010 3.4.1 Synthesis of how IAR4D enhances the development impact of research completed by March 2010 3.4.2 Appropriate communication and knowledge sharing products as identified in the communication plan for successful implementation of IAR4D developed by June 2010 3.4.3 Alternative products for advocacy (e.g. policy briefs, media products, websites, etc) developed and launched by December 2010		

Pre-condition:

Requirements that are essential to the successful implementation of the project but not under the project's direct control

Appendix 2: Budget for TF 2.

Activity/Output	Budget	Personnel	Consultancy	Travel-(regional & field)	Accommodation	Materials	Field research cost assistants etc)	Workshop	Review, editing & publication	Other cost-(Please specify)
1.1 Select target learning sites	**44,630**	**12,800**	**1,200**	**6,400**	**2,900**	**2,360**	**14,250**	**2,000**	**320**	**2,400**
1.2 Establishing Innovation platforms (A.Bizoza)	**66,570**	**12,100**	**0**	**15,600**	**5,150**	**2,500**	**10,620**	**18,000**	**300**	**2,300**
1.3 Establish Baseline conditions	**51,255**	**18,000**	**0**	**10,050**	**2,200**	**2,350**	**17,455**	**400**	**200**	**600**
1.4 Strengthening stakeholder s' capacity in IAR4D	**48,043**	**7,600**	**7,200**	**6,150**	**3,900**	**2,060**	**8,340**	**12,000**	**350**	**443**
2.1 Conduct market chain analysis	**51,455**	**18,900**	**5,700**	**5,100**	**3,000**	**2,755**	**15,150**	**0**	**250**	**600**
2.2 Develop decision-support tools	**83,268**	**20,100**	**15,800**	**9,300**	**3,500**	**4,200**	**16,468**	**7,500**	**1,800**	**4,600**
2.3 Identify productivity enhancing technologies	**31,911**	**9,600**	**0**	**5,000**	**2,150**	**2,650**	**8,961**	**3,000**	**500**	**50**
2.4 Identify and assess policy options	**14,725**	**2,400**	**1,200**	**1,000**	**50**	**1,650**	**5,525**	**1,200**	**1,300**	**400**
3.1 Develop an M&E framework for IAR4D	**15,366**	**5,700**	**1,100**	**4,000**	**0**	**975**	**2,941**	**0**	**450**	**200**
3.2 Develop frameworks and models for scaling up	**12,030**	**4,100**	**0**	**500**	**250**	**1,965**	**4,665**	**0**	**350**	**200**
3.3 Assess costs and benefits of IAR4D	**13,780**	**4,300**	**0**	**2,000**	**400**	**1,185**	**3,895**	**1,500**	**500**	**0**
3.4 Identify and develop appropriate communication, knowledge and learning models	**19,006**	**2,550**	**2,200**	**500**	**0**	**2,335**	**5,685**	**1,500**	**1,750**	**2,486**
Operating cost before finance & contingencies (A)	**452,039**	**118,150**	**34,400**	**65,600**	**23,500**	**26,985**	**113,955**	**47,100**	**8,070**	**14,279**
Overheads (≤10%): **Ax10%**: **(ii)**	**45,204**									
Capital Expenditure **(iii)**										
Sub-Total (ii+iii): (B)	**45,204**									
Total cost (A+B)	**497,243**									

Appendix 4: Draft Bufundi visioning output

SITE	VISION	CONSTRAINTS	CAUSES	SOLUTION	COMMON ISSUES	KEY ISSUES
Kabale Bufundi GP 2	In solidarity every household's capacity is increased to generate adequate income from increased production such that there is enough to eat and surplus to sell.	• Land fragmentation • Not planting one crop at a time • Lack of market for crops • Land degradation • Poor communication • Poor transport • Lack of enough improved seed • Lack of enough pesticides • Lack of extension • pests and diseases • Delay of Government's programmes e.g NAADS. • Soil erosion • Uncontrolled grazing • overgrazing • Weeds (poisonous) • Crop grazing and theft •	• Increasing population • Land Shortage • Low Incomes-Poor network • Lack of sensitization • Not planning for the family • Poor Implementation of policies • Inadequate extension workers • Poor roads and shortage of transport services • Soil exhaustion	• Land consolidation and sensitization • Sensitization on Government's Zoning Programme. (BUFUNDI for Wheat, Potatoes &Honey) • Should have one collecting centre for produce. • Farm (manure)-with every household having a compost pit. • Improved communication • Transport-infrastructure. • Increased income of every house hold • (capacity building of local people) • Setting up demonstration sites • Wide acrearage of crops at ago • Government & NGO'S to provide pesticides and sensitization safety techniques • Practicing Terraces, Fanya cini, farrow,crop rotation • Encouraging Family Planning. • Forming the byelaws and improved grazing methods. • Farm Manu ring • Weed management (re-cycling for weeds). • Finally-Intensive monitoring, Supervision and Evaluation should be	• Land shortage and fragmentation. • Land degradation/ soil fertility decline and erosion. • Pets and diseases. • Lack of markets and transport. • Lack of bye-laws and enforcement. • Unpredictable weather (changes in seasonal partners). • Poor information flow. • Insufficient agriculture knowledge/ skills. • Shortage / lack of improved varieties and quality seed. • Lack of appropriate agro inputs (pesticides, fertilizers <u>CLUSTERED TEMS</u> • Lack of Agricultural inputs, (fertilizers seeds, pests) and improved technologies (varieties, pest and disease management) • Insufficient agricultural information and lack of knowledge to having	• Lack of agricultural inputs and improved technologies (fertilizers, seeds, pesticides, varieties pests and diseases, management practices (Farmers). • Insufficient Agriculture information and lack of knowledge sharing among farmers and partners. (Researchers and Extension). • Land degradation low soil fertility and soil erosion (Policy markers) • Low market access, transport and farmer Organization for markets (Traders, transporters and Microfinance). • Lack of bye-laws and their enforcement (policy makers) • Un predictable weather condition. • Land shortage and fragmentation

				emphasized. • Local / community leaders should be trained how to sensitise their people.	amongst farmers and partners. • Land degradation low soil fertility and soil erosion. • Low market access, transport and farmer organization for marketing. • Lack of bylaws and their enforcement. These require long term, high level plans. • Un predictable weather • Land shortage and fragmentation.	
BUFUNDI 3	Prosper with enough food to eat and sell using improved methods of farming, enough money to educate our children and have good houses and medical services					
GROUP 1	Active knowledgeable farmers with adequate income and good health. INDICATORS OF OUR FUTURE VISION 1.Increased incomes at House hold level 2.living in good houses i.e. iron	• Lack of modern seeds. • Land shortage. • Land fragmentation. • Soil erosion. • Soil infertility. • Weather changes • Financial problems. • Lack of spray pumps. • Lack of markets. • Lack of transport. • Fake chemicals. • Lowering of prices. • Thieves.	Lack of modern seeds. • Lack of funds to purchase modern seeds. • Selfishness to some people. • Not easily accessible. Land shortage • Over population • Money shortage • Land fragmentation • Disagreements among people. Due to exchange of land • Free donation of land Soil erosion	• Lack of modern seeds Gov,t or Ngo,s to provide on an affordable prices • Land shortage Encourage family planning method • land fragmentation Encourage exchange pieces of land • soil erosion practice farrowing method formulation and enforcement of		

	roofed, plastered and cemented 3.increased production in Agric. 4 Use of terraces 5.Family planning practices 6. Prosperity for all	• Free grazing. • Heavy expenditure.	• Constant cultivation. • Terracing practices are not up to date. • Lack of local bye-laws. • Poor implementation of policies. • Excessive grazing. Soil fertility • Lack of fertilizers. Weather changes • Burning bushes • Swamps • Cutting trees. Lack of funds to purchase seeds • Poor production • Poor sales • Marketing produce • Education and planning for available resources. Spray of Market and transport problem • Lack of enough funds to purchase them. Lack of market and transport problem • Lack of information centre. • Poor roads. Fake chemicals • Traders target to get a lot of profits. Price fractuations of commodities • Poor roads. • Theft • Lack of money • Laziness. • No investment ventures to earn income.	bye laws • Soil infertility Application of both western and local fertilizers • weather changes stop burning bushes Re-afforestation • Lack of funds to purchase seeds saving culture formation of co-operatives • Spray pumps Formation of groups to purchase the spraying pump		

			Animals encroaching farmers gardens • Lack of grazing grounds. • No policies, bye-laws for the consequences.			

Appendix 5: M&E Framework

Theme 1:	Approach for establishing functional innovation platforms developed	
Outcomes	Sub outputs	Activity sets
1.1 Increased responsiveness of IP research to the needs of stakeholders P I #1.1(a) Extent to which stakeholders participate in IP processes and articulate demands P I #1.1(b)Number of issues addressed in congruence with stakeholder priorities and constraints (NRM, Markets, technologies etc) P I #1.1(b)Extent to which concerns of various actors in IP are integrated into the action plans	1.1.1 Methodology on establishing innovation platforms developed and tested P I #1.1.1 (a) Extent to which different actors with a stake in the issue including male and female farmers are represented and active in the platform P I #1.1.1 (b) Actors perception on the functioning and performance of the IP P I #1.1.1 (c) Presence and functioning of decision making and conflict resolution mechanisms (rules and documents) P I #1.1.1 (d)At least three models for making an innovative platform function effectively developed, by 2010	Conduct stakeholders' analysis and mapping Facilitate dynamic and effective innovation platforms for action planning, learning and reflection Analyze and document the approaches used in building the innovation platforms Develop diagnostic tools for institutional and policy options that facilitate collaboration and networking
	1.1.2 Interactions, linkages and communication among actors increased P I #1.1.2 (a)Extent to which IP partners have participated and are aware of the vision and have clear roles and responsibilities for achieving the vision P I #1.1.2 (b) Quality and consistency of participation in IP activities P I #1.1.2 (c)Level of awareness and access to information on critical issues (NRM, technology, market, policy etc) and operational issues (budgets, expenditures, guidelines, decisions and resolutions) P I #1.1.2 (d)Number and type of knowledge sharing channels P I #1.1.2 (e)At least 3 organizations outside the PLS applying IAR4D principles by 2010	Review and evaluate communication systems, institutional capacity for supporting learning and knowledge sharing amongst innovation platform partners. Develop a harmonized communication, knowledge creation, sharing and learning strategies to support IAR4D Determine how best to facilitate knowledge and information management strategies on a continuous basis

1.2 IP actors empowered to articulate needs, plan, implement & monitor research and development activities (NRM, Marketing, production, etc) P I #1.2(a)Extent to which farmers express their needs and feedback to IP P I #1.2(b)Ability of farmer organisations to independently implement and monitor their activities P I #1.21(c)Existence of community structures (by laws, committee, groups, associations)	1.2.1 Capacity of IAR4D actors is enhanced in IAR4D principles P I #1.2.1 (a) Changes in level of knowledge, attitude & practice P I #1.2.1 (b) Extent to which IPs are multi-disciplinary/multi-institutional	Assess learning needs of IP individuals, teams and institutions of multi-actors with respects of essential elements of IAR4D Develop strategic framework for continued identification, facilitation, improvement and documentation of experiential learning needs of the platform actors Develop training modules and manuals for facilitating experiential learning in IAR4D by IP actors. Facilitate action learning and reflection sessions with the teams on using IAR4D approaches and skills by various IP actors
	1.2.2 Linkages of communities with R&D actors within and outside the site increased P I #1.2.2 (a) 50% increase in the number of sources of information and services that communities interact with by 2010 P I #1.2.2 (b) Extent to which communities are pro-actively approaching service providers	
Theme 2: IAR4D derived innovations and capabilities to deal with critical issues at interfaces developed		
Outcomes	Outputs	Activity Sets
2.1 Increased incomes/economic capacity of smallholder farmers from effective market linkages P I #2.1 (a)Smallholder farmers involved in IAR4D have their annual income increased by 20% by 2010 P I #2.1 (b)Perceptions of changes in economic status of small-holder farmers involved in IAR4D by 2009 P I #2.1 (c) Increased asset accumulation of small-holder farmers involved in IAR4D by 2010	2.1.1 Smallholder are effectively and equitably linked to diversified markets P I #2.1.1 (a)At least 1 high value product is marketed by small holder farmers in each country by 2009 P I #2.1.1 (b) 25% more smallholder farmers actively producing for selected markets by 2010 P I #2.1.1 (c) Perception of equitability by smallholders by 2008 P I #2.1.1 (d) At least 1 agro-enterprise implemented in each country by 2009 P I #2.1.1 (e)The value of products traded for market increased by 20% for each agro-enterprise by 2010	Conduct market chain analysis to identify critical bottlenecks, opportunities and incentives for expanding market access and diversification into higher value products (crops, livestock and other NR based) Develop decision support tools for sustainable integration of smallholder farmers and other stakeholders with existing and emerging market opportunities
	2.1.2 Strategies for promoting effective market linkages are developed and tested for pro-poor P I #2.1.2 (a)At least 3 strategies for promoting equitable and sustainable market linkages are	Review, evaluate and implement different approaches, initiatives and policies for linking farmers to markets and identify best practices Determine critical conditions under which access to

	developed in the PLS by 2009 P I #2.1.2 (b)Extent to which the capacity of farmers organization for collective marketing is established by 2008 P I #2.1.2 (c)At least 3 viable farmers associations linked to public/private market chains operating in the PLS by 2009	better market opportunities provide incentives for investment in NRM and adoption of production technologies
2.2 Increased productivity of crop- livestock systems P I #2.2 (a) At least 30 and 15 % increase in crop and livestock productivity respectively of participating farmers by 2010 P I #2.2 (b) At least two new crop-livestock products are being produced and marketed in the PLS by 2010 P I #2.2 (c) Food availability as measured by # of months that harvested products last in the HH increased by 50% by 2010	2.2.1 Crop-livestock productivity enhancing technologies developed, tested and adopted P I #2.2.1 (a) At least 4 crop-livestock technologies developed in the PLS by 2009 P I #2.2.1 (b) At least 25% of the farmers of both gender in target communities using crop-livestock – NRM technologies by 2009 year P I #2.2.1 (c) At least 30% increase in land under improved crop or livestock practices in each action site by 2009 P I #2.2.1 (d) At least 40 % of the participating farmers score the technologies as appropriate and cost effective by 2010 P I #2.2.1 (e) Cost benefit ratio of the research greater than 1	Develop/adopt productivity enhancing technologies & undertake trade off analysis Develop technologies for enterprise diversification & undertake trade off analysis
	2.2.2 Skills of farmers in the use and commercialization of crop-livestock technologies increased P I #2.2.2 (a)Changes in farmers' perceptions in their own knowledge attitude & practices in the use and commercialization of crop-livestock technologies	Undertake participatory field testing and evaluation of the technologies
2.3 Improved status of natural resource base in target areas P I #2.3 (a) Sedimentation and siltation in action areas reduced by at least 20 % by 2009. P I #2.3 (b)Soil erosion is reduced by at least 30% in the target villages by 2009 P I #2.3 (c)Extent to which farmers are using soil erosion and soil fertility management options lacks time frame	2.3.1 NRM tools and technologies developed, tested and adopted P I #2.3.1 (a)At least 4 NRM technologies in the PLS developed and tested with farmers by 2009 P I #2.3.1 (b)At least 25% of the farmers of both gender in target communities using crop-livestock – NRM technologies by 2009 year P I #2.3.1 (c) The proportion of land under improved NRM practices increased by 20% by 2009. P I #2.3.1 (d)At least 40 % of the participating farmers score the technologies as appropriate and cost effective by 2010 Cost benefit ratio of the research greater than	Assess principal agro-ecological, biophysical and socioeconomic constraints to sustainable intensification in the target watersheds Validate and adapt tools for selecting best-bet integrated options Undertake trade-off analysis to optimize agricultural productivity, conservation and flow of ecosystem services in multiple use watersheds

	1	
	2.3.2 Skills of farmers in the use of NRM tools and technologies increased P I #2.3.2 (a)Changes in farmers' perceptions in their own knowledge attitude & practices in the use of NRM tools and technologies lacks time frame	Participatory field testing of integrated solutions to determine critical conditions for increased investments in NRM
2.4 Enhanced capacity of actors to engage in and to influence policy on interface issues P I #2.4 (a) At least 2 recommended policy options are implemented in 2010	2.4.1 Strategies for dialogue with policy makers developed and implemented P I #2.4.1 (a)At least two strategies for dialogue with policy makers developed and implemented in the PLS P I #2.4.1 (b)Number of policy makers involved in innovation platforms and in PLS activities and policy decisions arising from the engagement P I #2.4.1 (c)Extent to which advocacy forums are conducted in the PLS	Develop strategies for dialogue with policy makers on best-bet policies
	2.4.2 IP actors have increased awareness on policies on interface issues P I #2.4.2 (a) Sources of information on policies related to interface issues increased by 50% by 2009 P I #2.4.2 (b) Farmers perception of usefulness, accuracy and timeliness of policy information assessed by at least 2 farmer associations in each country by 2009 P I #2.4.2 (c) At least 3 policy briefs developed and disseminated to IP actors and other stakeholders by 2009	Identify and assess policy options for supporting integrated, profitable and ecosystem friendly enterprises and value chains Undertake a SWOT analysis of current agricultural, food, trade and NR policies
Theme 3: Effectiveness of IAR4D approaches in delivering pro-poor benefits and its scalability assessed		
Outcomes	Outputs	Activity Sets

3.1 Increased benefits to IP partners and target households participating in IAR4D compared to non-IAR4D households Households: P I #3.1 (a) %increase in HH incomes due to IAR4D - compared to non-IAR4D HH Increase in number of HH involved in collective action compared to non-IAR4D HH P I #3.1 (ba)Food availability as measured by # of months that harvested products last in the HH and number of meals that households have increased by 50% by 2010 P I #3.1 (c)Improved ability to demand services compared to non-IAR4D HH Partners: P I #3.1 (d)15% increase in profitability due to reduced transaction costs and/or increased volume in at least 3 products P I #3.1 (e)Drop out rate of IP partners due to dissatisfaction with the IP process and outcomes P I #3.1 (f)Extent to which actors within the IP are invited to IAR4D fora and are recognized within the institutions50% increase in funding for IAR4D projects and studies	Costs and benefits of IAR4D to different actors established P I #3.1.1 (a)At least one model to assess costs and benefits of IAR4D developed and evaluated by 2009 P I #3.1.1 (b)Extent to which the financial social and environmental benefits of IAR4D exceed those of contbveitonal R&D approaches established by 2010 P I #3.1.1 (c)Extent to which the cost per farmer adopting conventional R&D exceeds the costs of farmers adopting IAR4D interventions established by 2010 P I #3.1.1 (d) Extent to which the lag time between development and utilization of technologies is reduced compared to conventional IAR4D established by 2010	Develop a framework for tracking costs and benefits Tracking the costs (collect data), quantify future benefits (tangible and non- tangible) and assess the cost-effectiveness of IAR4D approaches Assess constraints and opportunities for uptake of IAR4D (SWOT Analysis) Conduct outcome mapping (tracking changes in behaviours of stakeholders
	3.1.2 Baseline conditions for the evaluation of the impacts of IAR4D established P I #3.1.2 (a) Extent to which baseline conditions have been established in intervention and counterfactual sites by mid-2008	Define ToRs for the baseline (parameters and methods) Collect and analyze data
3.2 Increased utilisation of IAR4D within and beyond project sites and partners P I #3.2 (a)50% increase in number of project proposals in at least 3 organizations participating in the PLSby 2010 that utilize IAR4D P I #3.2 (b) No. of lecturers exposed to IAR4D incorporating IAR4D in existing courses [economics, rural development, soil sciences, agribusiness, etc] P I #3.2 (c) 50% increase in staff trained in IAR4D in at least 3 organizations participating in the programme in the PLS	3.2.1 Learning sites that allow for pro-poor targeting and scalability selected P I #3.2.1 (ad) Criteria for selection of sites developed and implemented to identify sites by mid 2008 P I #3.2.1 (b) Sites are selected and characterized for their suitability for implementation and comparability of impact of IAR4D by mid 2008	Define criteria for site selection, capturing the three entry points for LKPLS Survey potential sites, collect and analyse necessary data Finalize the selection of sites through stakeholders' consultations
	3.2.2 Potential and mechanisms for scalability and replication of IAR4D in different development and policy domains established P I #3.2.2 (a) Frameworks and models for scaling out IAR4D developed and tested by year 2010 P I #3.2.2 (b) At least 2 extra sites per country using IAR4D approach within 2 years by 2010 P I #3.2.2 (c) At least one new development	Develop frameworks and models for achieving impact at scale (given decision making level) Delineate different scaling up and out domains (i.e where and what conditions) Develop strategies for scaling up IAR4D approach Assess spill over/in effects and document uptake of IAR4D

	organizations promoting/using IAR4D per country within 2 years	
	3.2.3 An M&E framework that allows for tracking of change and for learning established P I #3.2.3 (a) A PM&E framework integrating stakeholders perspectives for tracking and evaluating innovation system dynamics, the efficiency and benefits of IAR4D and institutional changes developed by mid 2008 P I #3.2.3 (b) Perception of stakeholders of their skills of IP actors in participatory monitoring and evaluation P I #3.2.3 (c) Extent to which adjustments have been made to the project as a result of M&E information feedback P I #3.2.3 (d) At least 80% of stakeholders and actors in the PLS are utilizing the PM&E framework to monitor progress and learn from the project implementation process	Develop the impact pathway Identify criteria for success and establish generic indicators for monitoring and evaluation Develop and apply the agreed PM&E system for systematically documenting stakeholder interactions and learning Conduct an Ex ante and ex-post evaluation of benefits of IAR4D