

Partnership Building and Participatory Monitoring and Evaluation for Sustainable Rural Transport In Uganda

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Abstract

Adoption of an innovation systems approach placing emphasis on the building of partnerships and participatory monitoring and evaluation are two essential cornerstones for the DFID/CPHP funded 3-year action research project on **Improved Food Crop Marketing Through Appropriate Transport for Poor Farmers in Uganda** that started in April 2002. The key outputs of the action research are:

- a) A baseline study based on both Participatory Rural Appraisals (PRA) and a questionnaire survey carried out in nine sub-counties of Iganga, Kasese, and Katakwi Districts;
- b) Validated technology for Intermediate Means of Transportation (IMTs) such as oxen, ox-carts, donkeys, and donkey-carts tested and monitored by farmer groups or individuals in communities of Iganga, Kasese, and Katakwi Districts; and
- c) Promotional materials to enhance adoption in other districts of Uganda and other developing countries.

Partnership building greatly benefited from active participation of local stakeholders in project workshops and quarterly partnership meetings. As a consequence, local partners such as NGOs like Multi-Purpose Training and Community Empowerment Association (MTCEA) in Iganga, the Karughe Farmers Partnership in Kasese, and Youth With a Mission (YWAM) in Katakwi became more aware of their roles, interests, and expectations towards the project.

A participatory and inclusive approach to monitoring and evaluation stresses that participatory M&E should not be interpreted as M&E only with and by end-users (as has been commonplace), which overlooks the key roles and responsibilities of other stakeholders in the design and implementation process of the project. With the assistance of the CPHP Regional Office, a participatory M&E system was put in place in order to track and review performance and impact of the project. Workshops for representatives from farmers' groups, directly targeted by the projects were held in their sub counties, with the exception of Katakwi who were met in Iganga district due to insecurity in their district. The outputs expected from the workshops were that M&E was understood by all workshop participants; the beneficiaries had identified indicators for: monitoring benefits and effects; methods and tools to be used for beneficiary M&E have been understood; and beneficiaries were able to start M&E. Data was collected on M&E of work plan implementation; outputs; benefits; effects; and partnerships of the action research project.

As a result of this approach, project success stories so far include an artisan week to improve cart design; Iganga team providing advice that helped to overcome problems of Katakwi team; farmers from Kasese district convincing Iganga farmers to try out donkeys while Iganga farmers convincing Kasese farmers to pay for their IMTs; project partners

recognizing the importance of inculcating good animal welfare practices and taking related action; project partners replacing tubeless tyres with tubed tyres after listening to farmers request informed by their inability to repair punctures locally; and Government starting to take up research findings and Local Administrations budgeting for IMT distribution to farmers.

Key words

Farmers, Uganda, Intermediate Means of Transport (IMTs), partnership building, participatory monitoring & evaluation (M&E), monitoring indicators

Introduction

In April 2002, the DFID Crop Post-Harvest Programme funded the 3-year **Improved Food Crop Marketing Through Appropriate Transport for Poor Farmers in Uganda** action research project. The project purpose was to develop and promote strategies that will improve food security of poor households through increased availability and improved quality of food and better access to markets. The main outputs of the project are: capacity building through partnership development; improved understanding of poor farmers' transport needs; validated technology for IMTs; and promotional material.

This article describes the process used to introduce new IMTs in the districts highlighting the importance of partnership building and participatory monitoring & evaluation in achieving sustainable uptake of IMTs, and pointing out good practices brought about by the research process.

Partnership Building Development

Execution of the project benefited from the *innovation systems* approach outlined by DFID CPHP which recognises the complexity of the research and development (R&D) process, stressing that it is the way in which actors relate to one another in the wider environment that determines the direction, practice and outcomes of R&D systems. This reflects a shift from an insular and linear process of knowledge transfer passed down from R&D institutions to passive recipients, towards a recognition that all those involved or effected by the R&D process have roles to play, based on their interests and expectations that may change over time. This not only emphasizes the needs for clear primary partnerships (i.e. those directly involved and effected by a particular initiative), but also for broader partnerships with those who may influence or be influenced by it. It is these broader partnerships that may represent the best opportunity to effectively disseminate and adapt the products and practices of the project, enabling change at a significant scale.

The partners identified for execution of the research project were grouped in three categories namely the knowledge providers, the intermediaries, and the users as shown in the Figure 1. The partners are led by Natural Resources Institute (managing partners), Transport Research Laboratory, Silsoe Research Institute, Transport Forum Group (Project Coordinators in Uganda), and intermediaries at the district level such as the Multi-Purpose Training and Community Empowerment Association (MTCEA) in Iganga, the Karughe Farmers Partnership in Kasese, and Youth With a Mission (YWAM) in Katakwi. The end users are farmer groups or individuals. Other partners who are mainly end users of research findings included PMA, NAADS and the Departments of Production, and Roads in the District Administrations.

Kirk-Start Workshop

The research project started off with a Kirk-start Workshop which defined more clearly the project purpose and outputs, and decided on the project areas based on a criteria embracing farming systems, terrain, potential of agriculture and IMT use. Three Districts were selected for the project namely: Kasese district representing the mountainous terrain, Pader District representing the Lango farming system, and Katakwi the Teso-farming system. Due to the insurgency in Northern Uganda, Pader District was later replaced with Iganga District representing the banana-farming system. The workshop was followed by a baseline study that involved participatory rural appraisal (PRA) in 27 villages of 9 sub-counties, and a household questionnaire to determine the livelihood indicators in the project area. A baseline survey report was the output for the first year of the project.

The Research Action Plan

In the second year a Golden Milestone Workshop was held to: clarify the project's aims, clearly identify and classify partners and stakeholders, consider partners and stakeholders contributions, define roles and responsibilities for partners, and consider partners and stakeholders inter-relationships. The workshop also came up with the research action plan for introducing IMTs in the three districts. Stakeholders reached several decisions. Firstly, the IMTs to be introduced would consist of donkeys as draught and pack animals, donkey- and ox-carts, oxen, and ploughs to support modernization of agriculture efforts regarding land preparation, planting and weeding activities. Secondly, the project would meet the risk of introducing the IMTs by covering 40% of the acquisition cost while the farmers (beneficiaries) would bare 60% of the cost. The acquisition cost did not include other costs involved with introduction of IMTs such training, transport of the IMT to the beneficiary, etc. Thirdly, in the case of donkeys, mostly pregnant female donkeys would be bought for the project with one or two males to be placed in each sub-county to promote sustainability through breeding. Fourthly, poor farmers who could not afford to pay cash for the donkeys were to pass on the first foal to another poor beneficiary in lieu of payment. Fifthly, beneficiaries would participate in monitoring the technical/economic, and use of IMTs. Summary of the IMTs introduced is given in Table1.

Developing a Participatory Monitoring & Evaluation framework

The adoption of an innovation systems approach through partnership development by the project placed further emphasis on a participatory and inclusive approach to monitoring and evaluation. It is important to stress that participatory M&E should not be interpreted as M&E only with and by end-users (as has been commonplace), which overlooks the key roles and responsibilities of other stakeholders in the design and implementation process. Numerous individuals, groups and organizations have a stake in the project, in the sense that they stand to be affected by it and/or have an influence over its process and outcome. Thus, effective M&E needs to be based on a multi-level approach that recognizes (and where possible, harmonizes) the different, often competing information needs of these various stakeholders. To address these needs, the approach to monitoring and evaluation stressed the need for a strong and inclusive planning process, with clear aims, a road map of how they are to be reached, and a clear identification of those that have a stake in the project. The workshop emerged with three separate, although linked, frameworks:

- a) **Performance Monitoring Framework:** to track the progress and performance of day-to-day activities as a basis for learning and corrective action.

- b) **Impact Monitoring Framework:** to track progress towards the roles of each partner, and be able to say something about changes occurring as a consequence of the interventions as a basis for learning.
- c) **Impact Assessment Framework:** to review the extent of achievement of the roles by each partner, their contribution to the aims of the project and the achievements of the project as a whole as a basis for learning and accountability.

The grouping of indicators for performance monitoring was centered on the different phases of implementation: resource flows, sensitization and training processes, utilization and feedback. A separate set of indicators was outlined for measuring the level and quality of interaction amongst the partners. These partnership indicators were established at a generic level, and it was agreed that having reviewed and agreed the modalities of specific partner-partner and partner-stakeholder links, these indicators would be made more specific and relevant. All of this information was felt to be vital on a regular basis to guide performance.

Participatory M&E of Project Activities, Outputs, Impacts and Partnerships

Workshops at the beneficiary level were held in their sub counties for representatives from farmers' groups, directly targeted by the projects, with the exception of Katakwi who were met in Iganga district due to insecurity in their district. The outputs expected from the workshops were that:

- a) M&E was understood by all workshop participants;
- b) The beneficiaries had identified indicators for monitoring benefits and effects;
- c) Methods and tools to be used for beneficiary M&E have been understood; and
- d) Beneficiaries were able to start M&E.

The farmers identified monitoring indicators for benefits and effects of project, and partnerships as follows:

Monitoring benefits and effects of project

- a) Indicators to show that members of group have benefited from the outputs of the project as expected e.g. increased acreage under production; using IMTs to harvest on time; ability by the group to get income through hiring out IMTs; improved health and nutritional status; etc.
- b) Indicators that the outputs of the project are benefiting the women in group e.g. reduced work load (digging, carrying food, firewood, water) for women by use of IMTs; women can get income from IMTs; reduced conflicts in homes between women and their husbands since women can now provide basics at home; etc.
- c) Indicators that outputs of the project have caused some problems for the women e.g. a woman withdrawing from the project is an indicator that they could be facing problems; some women in the group do not know how to use the IMTs; husbands some times take away the income women get; etc.
- d) Indicators that the poorest people in our group have benefited from the outputs of the project implemented so far e.g. if the poor are able to improve on their income by using the IMTs; if the poor can provide the basics of life to their families like food, shelter, clothes; if there is a reduction in the work load for the poor members by using IMTs; reduced expenditure on transport to the market places; etc.
- e) Indicators that outputs of the project have caused some problems for the poorest in our group e.g. failure by the poor to contribute their share to purchase the IMTs; if the poor fails to look after the donkey like treating it; if the poor sell their IMTs or even withdraw from the project; etc.
- f) Indicators that the welfare of some individuals in the targeted group is improving as a result of the outputs of the project e.g. if the individual members participate in the

activities planned by the project; if the individual member encourages other community members to join the project; if an individual member can get income from the project; if every member in the group has IMTs; etc.

- g) Indicators that the outputs of the project are having beneficial effects on some members in our village who are not in the group e.g. if the community is allowed to use the IMTs freely; if the other community members acquire the skills of using the IMTs; if the community also share the responsibility of looking after the IMTs; etc.

M&E of Partnerships

- a) Indicators for linkages and interaction with other partners e.g. as a group we are becoming linked to organizations that we need to facilitate the sustainable use of IMT we selected in our community; having meetings with veterinary officers, and the officers reporting to farmers; having access to artisans to repair the IMTs; etc.
- b) Indicators that there are difficulties/ hindrances to farmer participation in the coalition activities during the quarter e.g. if the farmers are not trained in the use of IMTs; failure to communicate to other members of the coalition; lack of funds to implement the project activities; etc.
- c) Indicators that we are getting what we expected to get from this partnership when we joined the project e.g. presence of animals and ox-ploughs on sight; records of vet visits; farmers receiving training and being able to attend; ability by organizations to monitor farmers' activities regularly; etc.

Data was collected on M&E of work plan implementation; outputs; benefits; effects; and partnerships of the action research project for Iganga and Kasese Districts. The results are presented in Annex 1.

Benefits of the Quarterly Partnership Meetings

Several quarterly Partnership Meetings were held with the overall purpose of reviewing the project process amongst the stakeholders for the previous three months and planning for the next quarter. The meetings gave an opportunity to partners to identify problems hindering the project process and, through genuine discussions, find a solution or seek for advice from experts on the issue at hand. Also, good lessons regarding implementation of the project especially with regard to introduction of new IMTs were identified and picked up by others to try in their project areas.

Artisan/Farmer Week to Improve Cart Design

At the first partnership meeting it was discovered that the ox-carts that were produced by the artisan in Iganga faced a number of problems. However, the artisan was blaming the farmers for overloading the cart while the farmers were blaming it on bad design. Hence, an Artisan/Farmer week was arranged in Iganga district to bring together farmers and all artisans in the three project areas (Design Centre, TRAP, Karughe Farmers, and Iganga Furniture Mart) to try out the carts and reach lasting solution. The artisan/farmer week was highly appreciated by both the farmers and the artisans and now the project has better designs for the animal carts. Most important there is mutual trust between the artisans and the beneficiaries that has led to joint costing of the production of the carts leaving a reasonable profit for the artisan. Beneficiaries also realized that a well designed cart costs a bit more, and are willing to pay the extra cost.

At the Busembatia third Partnership Meeting after listening to farmer complaints regarding tubeless tires backed by experiences from the field visits, project partners agreed replace at no cost to the farmer the existing tubeless tyres with tubed tyres informed by the farmers inability to repair punctures locally.

Iganga Team looks into problems of group dynamics in Kapujan

At the same meeting, it was discovered that farmers in Kapujan had not used a cart the Design Centre had designed and delivered four months ago. During probing of the farmers it was noted that that Kapujan has problems with group dynamics; therefore, a team of two from MTCEA, who have a good record in dealing with groups were sent to Kapujan to look into the problems of the groups and give advice to farmers. After the visit, farmers started collecting down payments for IMTs and also discussed with the Design Centre the design of the carts including their costing, and specifications for donkeys like age, sex and weight since they would be used for ploughing. More farmers in the groups are interested in trying out the IMTs now than before the special team visited Kapujan, a testimony that their group dynamics improved greatly.

Kasese Farmers convince Iganga farmers to try out donkeys

Before the first partnership meeting, farmers in Iganga had shied away from acquiring donkeys having expressed a lot of socio-cultural reasons. However, their attitude and biases towards the donkeys changed after having listened to testimonies of fellow farmers from Kasese who had received the donkeys with an open hand and had discovered a friend in the donkey, and a keen transporter relieving the transport burden from women and children. The field visits to the project areas by the Iganga farmers loosened their attitudes/biases further when they saw the donkeys in action. Iganga farmers are now acquiring donkeys more than the oxen and, in fact, the project cannot meet the demand.

Inculcating good animal welfare practices

With regard to animal welfare for the donkeys and oxen, the meetings have proved useful since a lot of cases involving unwell animals, and prevention or treatment regimen are discussed freely between the beneficiaries and the vets. Good practices are passed on and bad ones guarded against. The beneficiaries have also developed trust with the vets and are willing to pay for the drugs for preventive care or treatment of their animals and not to wait for the project to intervene.

The donkeys are acclimatizing well in the two districts (Iganga flat, warm and wet, and Kasese mountainous). The project now boasts of 5 foals in Kasese, 3 foals in Iganga and 2 foals in Katakwi in a period of two years of introduction of donkeys in the areas. So far the project has lost 10 donkeys in Kasese mainly due to having selected a good number of unhealthy donkeys for the first batch as the project did not take own vet but depended on third party vet. The project has realized no death when delivering both the second and third batches because of good selection by the project vets. When delivering the first batch, one donkey broke a leg during unloading and eventually died. The project has also improved on the loading and unloading techniques by making sure un/loading takes place on platforms.

Iganga farmers convinces Kasese farmers to pay for their IMTs

At the first Partnership meeting, the Kasese intermediary reported a lack of seriousness on the part of beneficiaries regarding payment of the installments for the 60% risk for each IMT. However, Iganga district had reported success in paying the installments when and due, and even reported of refusing to receive more down payments from farmers as the demand had exceeded the funds available for the 40% risk the project must cover. Pros and cons were discussed regarding failure by Kasese farmers not to honor their agreement which could lead to other farmers in Kasese to lose out with consequences of never realizing a critical mass required to introduce the donkey culture to the district. After three months, an analysis of installment payment by beneficiaries

revealed that Kasese had caught up with Iganga district, and in some cases beneficiaries had paid up to 60% of the loan Chart 1 & 2. Interestingly, some farmers who had opted for giving a foal to the next beneficiary ended up paying for the donkeys after realizing that the probabilities of the donkeys acclimatizing to Kasese was nearly 100% because of the high rate of survival of the adult donkey the normal births and 100% survival rates of the foals.

However, by the close of the project in December 2005, Kasese lagged behind the other two districts in loan repayment. Iganga had paid 51%, Kapujan 52% and Kasese 38%. Kapujan did very well given the fact that farmers received the IMTs on in January 2004.

Local Administrations start budgeting for IMTs

During the first partnership meeting, which was hosted by Kasese District Administration, the Resident District Commissioner (RDC) opened the meeting and stayed long enough to listen to the farmers' experiences with the introduced donkeys. The Kasese farmers narrated how donkeys were changing their lives especially with regard to taking away the transport burden from women and children, and even added that the donkeys make markets more accessible to them than roads, which the administration is presently emphasizing. Furthermore, the farmers lamented that the project is ending in December 2004 and yet a critical mass for introducing donkeys in Kasese would not have been realized. The RDC promised to take the message to the LCV Chairman for appropriate action. During the second meeting in Busembatia, Iganga district, the Kasese through the Coordinator Production reported to the meeting that Kasese District Administration has agreed to take over the project and will start with 40 million Ugandan Shillings (US\$2,000) FY2002/3 and regularly budget for it until all sub-counties in Kasese District have had a critical mass of donkeys to evolve a donkey culture. The Kasese Administration admits that this is the only way to improve the transport situation in the mountains.

At the Busembatia meeting, the farmers from Iganga resolved to request their Sub-county Councils to budget for donkeys from the NAADS funds since donkeys are a key to better prices for their produce. This marketing season groups with donkeys have consolidated their maize crop in one area from where buyers can buy at one agreed price instead of negotiating with individual farmers.

However, at the End of Project workshop the Kasese Local Administration reported that they had faced some problems with their donor agency and as such would not be able to provide the funds as earlier promised. But there was hope that the problems will soon be solved to enable the Administration to continue supporting the project.

Both Iganga and Katakwi Local administrations pledged to adopt the project in their district programs.

Uptake of research findings by Government

The Plan for Modernization of Agriculture (PMA) and National Agricultural Advisory Service (NAADS) both agricultural programs aimed at modernizing agriculture in Uganda and improving delivery of agricultural and livestock services for farmers respectively have regularly attended our workshops and partnership meetings. The research Team has also briefed them regularly on policy issues and implementation of the programs. NAADS has requested the Transport Forum Group, the Local coordinators of the project to visit the West Nile region in Uganda and work out an action plan to introduce animal-carts in that part of the country. NAADS has already financing a program to introduce

donkeys in Kabale District, which is similar to Kasese in terrain and climate. The farmers from Kabale are now regularly invited to the partnership meetings.

Annex 1: Findings from the Participatory Monitoring and Evaluation by IMTs Beneficiaries in Iganga & Kasese

Introduction¹

This report summarizes the perceptions of the farmers, targeted for Rural Transport project activities in Iganga and Kasese district. The perceptions are collected in quarterly meetings held by the farmers to discuss their Monitoring & Evaluation findings. An M&E facilitator facilitates the meetings. The farmer perceptions are used to compute performance in four domains: work-plan implementation, outputs, benefits, effects and partnerships. The performance is computed as indices.

How the Indices are Computed?

The participants respond to statements in the tools by a signing a score that best describes their perception. The scores range from zero to two (zero= not at all, one = a little, two = a lot). The average score for all farmer groups in a given sub county are obtained. The average scores are multiplied by a weight. The weights range from one to five and are assigned by the beneficiaries, according to the relative importance of that statement. The rating is derived as a product of the rating and the average score. The perceptions from the quarterly monitoring of the beneficiaries are analyzed through the computation of indices (Table A.1). Performance index = (Total rating/maximum rating) 100. Performance indices are used. Computation of indices is used for the following reasons:

- a) Large volumes of information are collected from farmer groups every quarter. The use of indices gives an objective way of analyzing the information and providing easily understood information to those who need it.
- b) Performance indices provide a means of tracking over time the performance of the project. This can be done by comparing indices over different quarters.

Overtime the performance can be tracked from the trends of performance indices².

Quarter Four Results for Iganga District

Findings from the Participatory Monitoring and Evaluation by IMTs Beneficiaries in Iganga & Kasese are shown in Table A.2. The greatest farmer satisfaction with work-plan implementation during quarter four was in Makuutu sub country (61.5%), while the least satisfaction was reported in Ivukula Sub County (26.7%). As such the benefits from project activities were rated highly in Makuutu (60.6%) and very low Ivukula (29.4%). The reason for this could be the high implementation of activities in Makuutu. In all the three sub counties partnerships being developed by farmers, as a result of project activities were rated lower in quarter 4 than in quarter 3. In both quarter three and four the negative effects resulting from project activities are very low.

Quarter Four Results for Kasese District

Satisfaction with work-plan implementation was rated very highly in all three sub-counties (Kyabarungira 83.3%, Mahango 83.3 % and Nyakiyumbu 75.4%). Likewise the farmer groups reported that the outputs of the project are being delivered to their satisfaction. Benefits resulting from project activities are ranked very highly in all three

¹ Extracted from the M&E findings for the Rural Transport Project - Uganda by the DFID East Africa Natural Resources R&D Coordination Office

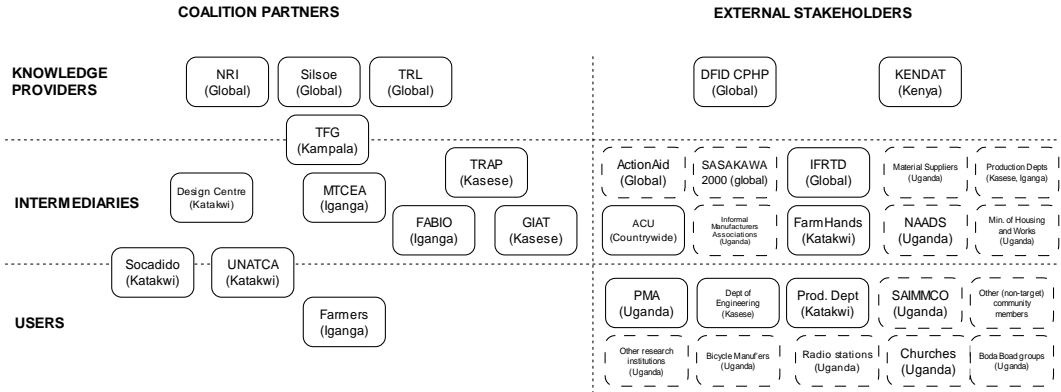
² The indices are computed using the following calculations: ((rating/maximum rating)*100). Rating is the score given by the farmers (score of 0 to 2 where zero is very poor and 2 indicated best performance) multiplies by weights. Weights indicate the importance of that particular M&E parameter to the farmers.

sub-counties. Farmers feel that they are getting linked to other partners as expected as a result of project activities.

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CLASSIFICATION OF PROJECT PARTNERS AND STAKEHOLDERS



KEY: NRI- Natural Resources Institute; TRL - Transport Research Laboratory; TFG - Transport Forum Group; MTCEA - Multi-purpose Training and Community Empowerment Association; TRAP - Technology for Rural Animal Power; GIAT - Gender in Animal Traction; SOCADIDO - Soroti Catholic Diocese Development Organisation; UNATCA - Uganda Network for Animal Traction and Conservation Agriculture; DFID CPHP - UK Department for International Development Crop Post Harvest Programme; NAADS - National Agricultural Advisory Service; KENDAT - Kenya Network for Draft Animal Technology; ACU - Agricultural Commercial Union; IFRTD - International Forum for Rural Transport and Development; PMA - Programme for the Modernisation of Agriculture

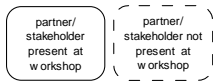


Figure1: Classification of Project Partners and Stakeholders

Table 1: Distribution of the IMTS in the Project Area

IMTs	Iganga	Kasese	Katakwi	Total
Oxen	30	2	6	38
Donkeys	17	47	24	88
Ox- ploughs	17	1	5	23
Ox-carts	12	2	-	17
Donkey- carts	5	3	5	13
Bicycles by FABIO	-	80	70	150
Total	81	135	110	329

Chart 1

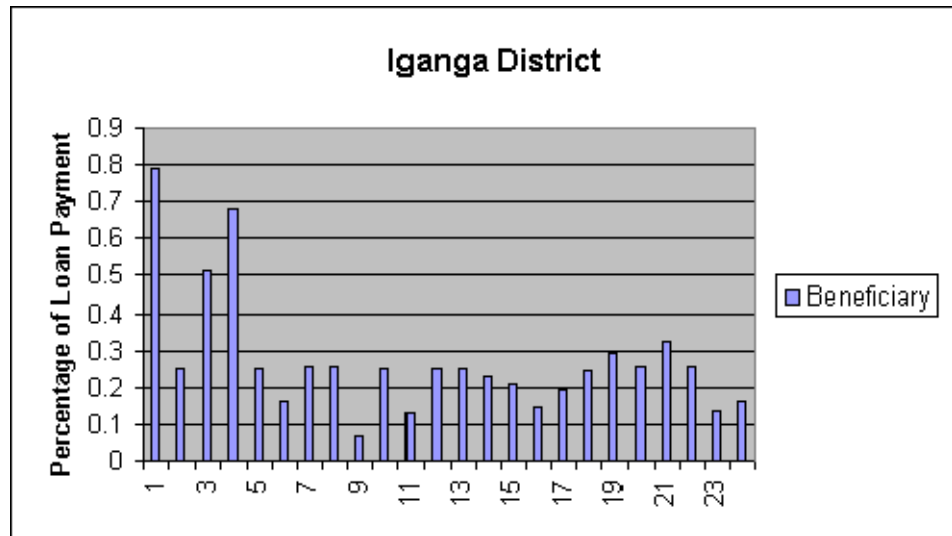


Chart 2

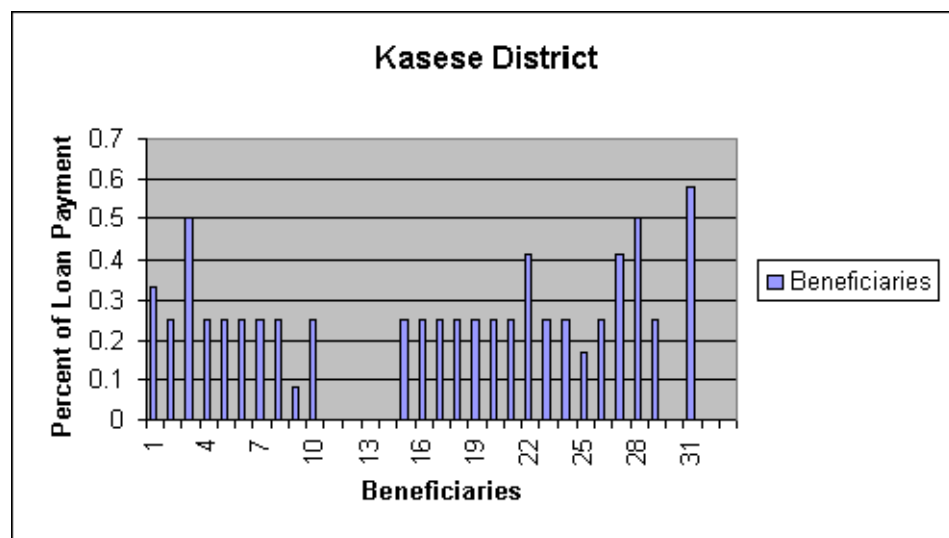


Table A.1: Performance Index Tool

M&E Parameter	M&E question	Response	Assigned score	Weight	Average score	Rating (Weight* score)	
Benefits	We endorsed the Work-plan for the quarter	Not at all	0				
		A little	1				
		A lot	2				
	Members of our group have benefited from the outputs of the project as expected	Not at all	0				
		A little	1				
		A lot	2				
	The outputs of the project are benefiting the women in our group	Not at all	0				
		A little	1				
		A lot	3				
	The poorest in our group have benefited from the outputs of the project implemented so far	Not at all	0				
		A little	1				
		A lot	2				
						Total rating	

Table A.2: Findings from the Participatory Monitoring and Evaluation by IMTs Beneficiaries in Iganga & Kasese

Summary of Performance Indices (%)
Quarter 4 (2004)

District	Sub county	M&E Parameter				
		Work-plan Implementation	Outputs	Benefits	Effects	Partnerships
Iganga	Ivukula	26.7	-	29.4	3.8	27.8
	Bukanga	47.6	36.7	35.6	11.5	40.5
	Makuutu	61.5	-	60.6	12.5	27.8
Quarter 3 (2003)						
Iganga	Ivukula	-	23.3	25.0	1.6	43.9
	Bukanga	-	27.2	25.2	7.54	38.8
	Makuutu	-	42.4	46.24	11.75	54.55
Kasese	Kyabarungira	-	53.2	79.3	11.11	63
	Mahango	-	63	73.0	36.11	82.2
	Nyakiyumbu	-	54.87	68.69	16.67	61.71