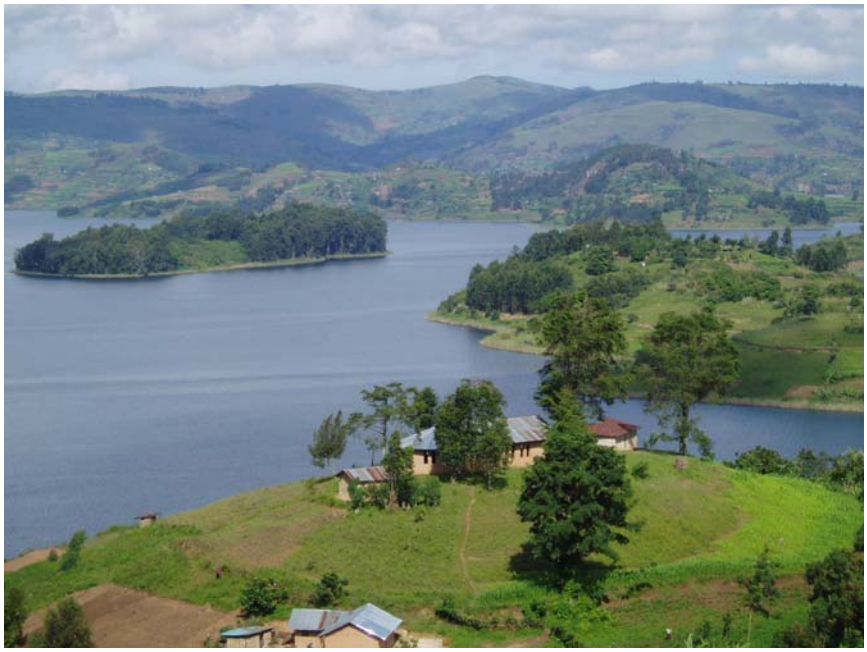
MONITORING OF THE CGIAR PROJECTS CO-FUNDED BY THE EUROPEAN COMMISSION IN 2003 IN ASIA, LATIN AMERICA AND THE MEDITERRANEAN REGIONS

ICRAF

International Centre for Research in Agroforestry



ANALYSING AND SUPPORTING NATURAL RESOURCE POLICY REFORM IN ASIA, AFRICA AND LATIN AMERICA

Catherine Mackenzie and Emmanuel Torquebiau

December 2004

Montpellier, Rochester, 20 December 2004

Dear Sir,

Please find attached the report from the monitoring exercise of the ICRAF "Analysing and Supporting Policy Reform Programme carried out from 19-29 November 2004 by Ms Catherine Mackenzie, independent consultant in social anthropology, biodiversity and social forestry, UK and Dr Emmanuel Torquebiau, plant ecologist and agroforester from CIRAD, France.

We hope you will find the report useful and wish you good receipt of it.

We take this opportunity to thank all the persons we met in Africa, Asia and at the Commission in Brussels; they all made our job an interesting and gratifying one.

Sincerely yours,

Catherine Mackenzie
Emmanuel Torquebiau

PD: Due to the fact that the research described in this report touched upon the work of a large number of ICRAF staff, there has been unexpected delays in obtaining feedback on the draft version. Valuable comments from ICRAF needed to be taken into account but required substantial work by the consultants at a time when they were remarkably busy with other commitments and travels. Consequently, the final version of this report was eventually ready on 24 March 2005. We apologize to the Commission for this substantial delay.

ACRONYMS

AFRENA	Agroforestry Research Networks in Africa
ASARECA	Association for Strengthening of Agricultural Research in East and Central Africa
AHI	African Highlands Initiative
ASB	Alternatives to Slash and Burn
CAPRI	Collective Action and Property Rights
CBD	Convention for Biological Diversity
CDM	Clean Development Mechanism
CG	Consultative Group
CGIAR	Consultative Group on International Agricultural Research
CIFOR	Center for International Forest Research
CIRAD	Centre de Coopération Internationale en Recherche Agronomique pour le Développement
COSOFAP	Consortium for Scaling up Options for Improving Farm Productivity
DFID	Department for International Development (UK)
EAC	East African Community
EC	European Commission
ECAPAPA	East and Central Africa Programme for Agricultural Policy Analysis
EMBRAPA	Empresa Brasileira de Pesquizas Agropecuarias
EMPR	External Management Programme Review
ES	Environmental Services
FAO	Food and Agricultural Organisation
FARA	Forum for Agricultural Research in Africa
GEF	Global Environment Fund
HKM	*Hutan Kemasyarakatan* (Community Forest)
ICRAF	World Agroforestry Centre (International Centre for Research in Agroforestry)
ICRISAT	International Crop Research Institute for the Semi-Arid Tropics
IDRC	International Development Research Centre (Canada)
IFAD	International Fund for Agricultural Development
IFPRI	International Food Policy Research Institute
INRM	Integrated Natural Resources Management
IRD	Integrated Rural Development
IWMI	International Water Management Institute
IUCN	International Union for the Conservation of Nature and Natural Resources
LVEMP	Lake Victoria Environmental Management Programme
MDG	Millennium Development Goals
NAADS	National Agricultural Advisory Service (Uganda)
NALEP	National Agriculture and Livestock Extension Programme (Kenya)
NARS	National Agricultural Research System
NEMA	National Environment Management Authority (Kenya)
NEPAD	New Economic Partnership for African Development
NGO	Non-Governmental Organization
NSS	Negotiation Support System
NTFP	Non-Timber Forest Product
OTCA	Organización del Tratado de Cooperación Amazónica
PAM	Policy Analysis Matrix
PAPOLD	Participatory Analysis of Poverty and Livelihood Dynamics

PLTA	Perusahan Listrik (National Electricity Company, Indonesia)
PMA	Plan for the Modernisation of Agriculture (Uganda)
PPA	Participatory Policy Analysis
RABA	Rapid Biodiversity Assessment
RAHA	Rapid Hydrological Assessment
RELMA	Regional Land Management Unit
RUPES	Rewarding Upland Poor for Environmental Services
SIDA	Swedish International Development Agency
UGADEN	Uganda Agroforestry Development Network
UN	United Nations
UNCCD	United Nations Convention to Combat Desertification
UNFCCC	United Nations Framework Convention on Climate Change
UNDP	United Nations Development Programme
UNECA	United Nations Economic Commission for Africa
UNEP	United Nations Environment Programme
USAID	United States Agency for International Development
WSSD	World Summit for Sustainable Development
WWF	World Wide Fund for Nature and Natural Resources

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EXECUTIVE SUMMARY

1. THE CG CENTRE: International Center for Research on Agroforestry (World Agroforestry Centre)

ICRAF was founded in 1978 with the support of Canada's IDRC, as a mission to promote the exchange of information on agroforestry research in the tropics. In 1992, it became a CG centre, and over the following 10 years developed into a world class agricultural research organisation in its own right, with its headquarters in Nairobi and 7 regional programmes and offices. In 2002, under new direction, it was reorganised and renamed the World Agroforestry Centre.

2. PROJECT: Analysing and Supporting Natural Resources Policy Reform (Policy Reform)

ICRAF has engaged in policy research since 1992. Until 2002, and thus for the purposes of EC funding in 2003, focussed policy research was conducted primarily under Project 1.3 "Analysing and Supporting Natural Resources Policy Reform", of the "Natural Resources Problems Priorities and Policies" research pillar, of the previous ICRAF structure. However, Policy Reform is not a project, per se, but more a subset of policy-related activities from wide range of other projects, wholly or partly involving ICRAF, and placing greater or lesser emphasis overall on policy. It should also be noted that Project 1.3 only represents part of ICRAF's policy related work, as policy cross cuts all ICRAF's other research areas.

For policy research in 2003, ICRAF identified 25 milestones, across all 7 regions on the 3 continents. For the purposes of the EC submission, this research was organised under thematic outputs, such as land tenure, forest policy, collective action, etc. However, in order to comment coherently on the relevance, efficiency, effectiveness and impact of such a wide portfolio, the evaluators have tried to identify and focus on the most important milestones from amongst these and have assessed the research according to the seven larger initiatives to which these milestones relate. This evaluation therefore examines the policy components of:

- RUPES
- Negotiation Support Systems
- Lake Victoria Project (TransVic)
- Bye-laws and social capital for collective action
- Policy Terrain around protected areas
- Amazon Initiative

3. CONCLUSIONS AND RECOMMENDATIONS:

3.1 Project Design and Implementation[1]

Performance[2]		HS	S	LS	HUS	Comments
RELEVANCE						
	RUPES	x				Innovative research
	NSS	x				Problems properly identified and addressed. Complementarity with RUPES
	TRANSVIC		x			Appropriate, but needs follow-up activities
	BYE-LAWS	x				Very relevant policy-related research
	Policy Terrain		x			Interesting comparison across sites
	AI	x				Progressive and important approach
	Overall	x				
EFFICIENCY						
	RUPES		x			Good quality research, which needs to be more thoroughly grounded on action-research concepts
	NSS		x			Same as above
	TRANSVIC		x			Appropriate research approaches. Linkages with stakeholders to be secured
	BYE-LAWS		x			-
	Policy Terrain		x			-
	AI		x			-
	Overall		x			
EFFECTIVENESS						
	RUPES		x			Good results on agroforestry and natural resource policies
	NSS		x			Effective reaching of stakaholders

[1] **References**: project description included in the EC/CGIAR-World Bank contract 2002, EC-CGIAR strategy document

[2] *HS: Highly Satisfactory, S: Satisfactory, LS: Less than Satisfactory, HUS Highly Unsatisfactory*

	TRANSVIC		x			Effective dissemination of results
	BYE-LAWS		x			Interesting strategic policy work. Needs to be less prescriptive, more farmer-led.
	Policy Terrain		x			Requires increased linkages with ICRAF's policy research agenda
	AI		?			-
	Overall		x			
IMPACT & SUSTAINABILITY						
	RUPES		x			Lon term effect on beneficiaries probably achieved
	NSS		?			-
	TRANSVIC		x			Accurate assessment of policy needs to be secured
	BYE-LAWS			x		Few convincing elements on long-term effect
	Policy Terrain		x			Possible impact if results are incorporated in field projects
	AI		?			-
	Overall		x			
TECHNICAL MATTERS						
Quality of the science		x				High quality science, although research is diverse and heterogeneous in both relevance and quality
Quality of the project management			x			Due to the many and loosely linked milestones, it is sometimes difficult to relate milestones, activities, money spent and achievements.
INSTITUTIONAL MATTERS						
Co-ordination with the Centre's other activities			x			Policy research percolates into many ICRAF's activities: this is both positive (importance of policy research well recognized) and negative (risk of dilution of policy research)
Co-ordination with other CGIAR Centres		x				Adequate, as far as ICRAF – CIFOR links are concerned. Not investigated for other Centres.

Co-ordination with NARS		x			Not uniformly strong
Diffusion of the findings / results / outcomes (including training activities)	x				Adequate
Involvement of stakeholders					
• in the project design / reorientation		x			Variable
• in the research activities	x				Good
• in the results dissemination	x				Good
• in the project evaluation		?			-
OTHER RELEVANT ISSUES TO BE MENTIONED					

3.2 Recommendations linked to project design and implementation

General Recommendations

1. Policy research by ICRAF under project 1.3 falls into a continuum, from simple dissemination of research findings, through more active promotion of policy making, to analytic and strategic research and intervention into the policy processes themselves. Since all of ICRAF's research should fulfil the first of these functions, the policy reform project should in future concentrate on the more strategic two levels. At the moment, ICRAF's policy research, overall, appears to lack focus – perhaps due to this failure to distinguish clearly between research that has some relevance to policy, and actual strategic policy research.

2. Much of the programme appears to be ad hoc/opportunitistic activities, arguably all linked to policy of some kind, and other ICRAF activities in integrated natural resources management, but not strongly linked to any on-going, coherent and focused programmes of policy research.

3. Policy research can be conceptually challenging and more difficult to facilitate in the field than participatory technology development. In general therefore, junior staff managing PTD components, should not be left to implement the policy research component on their own. Senior staff, with greater experience should have much greater involvement in field work, in addition to overall responsibility and oversight for it.

4. Action research and policy research theory need to be better understood and disseminated to staff.

5. More of budget should be spent on the field programmes – the action of the action research - rather than the top end of the process, including all the workshops and meetings.

6. A strategic approach to policy research requires greater attention to analysing and understanding current processes and personalities in policy making and strategies for improving processes and exercising influence. This should include empowerment of local policy makers to influence the national agenda. ICRAF generally appears to need greater and more strategic interaction with its institutional partners (NARS, academic institutions, other policy think tanks) and stakeholders than occasional workshops.

7. Too many separate and partially overlapping initiatives appear to be operating, often in very close proximity - eg NSS and RUPES. Donors appear too willing to fund projects, without considering other programmes operating in the field. Clearly ICRAF needs to sustain its funding, but it should clarify the linkages between projects, and develop an accounting system to relate different funding sources.

8. Although it is recognised that ICRAF operates highly decentralised research system, with great programmatic independence in the 7 regions, improved centralised quality control and reporting are required for monitoring.

9. For future monitoring, ICRAF should prepare (and EU should require) a consolidated report, presenting major milestones, activities and outputs, and appending key selected research reports and publications in support. Without this, a one-week mission travelling from site to site, meeting many people reporting on various activities and receiving a huge volume of documentation cannot realistically make a thorough evaluation. The project leader should be required to make an overall presentation of major activities funded by the project at the beginning of the monitoring mission.

Specific Recommendations
For ICRAF

Recommendation # 1.
In reporting to the EC, researchers should try to adhere to the structure: expected milestone > money spent > actual milestone > evidence.

Recommendation # 2
RUPES should not use the term "learning by doing" to describe its action research work. Action research is a societal process of change that allows researchers and other stakeholders to learn alongside. Action research has a well-known theoretical corpus that ICRAF ought to master, in order not to claim that it is simply "learning by doing", a somehow naive statement which is closer to a development oriented training objective than to a scientific posture.

Recommendation # 3
ICRAF should avoid claiming that there is a lot of interest for the RUPES approach while there are few living examples so far. Scaling up is necessary before statements on impact can be made.

Recommendation # 4
Innovative research approaches, such as the posting of staff in Government offices, should be encouraged, provided, recommendation 2 on action research is well kept in mind.

Recommendation # 5
ICRAF should clarify the objectives of NSS and elaborate on the relationships between NSS and RUPES.

Recommendation # 6

As observed elsewhere (Uganda), senior staff are required to implement policy research. However, ICRAF should be careful in matching projects objectives and available staff time, in order not to request too much from its present staff. Policy research often requires specialized skills and experience that may be beyond the skill set of existing staff. People with those skills and experience should be recruited if necessary.

Recommendation # 7
For this research to have real policy impact, local government stakeholders should be offered training in policy analysis and development, to help them (as far as is politically acceptable) to understand their work as part of a change process. District level officials will also need to be empowered to play their role and higher level officials empowered to accept this role and all empowered to ensure policy is implemented. The political scope for this kind work will vary from country to country and work will have to be tailored accordingly.

Recommendation # 8
The scope for making policy research demand-driven could be pursued more actively. The present projects makes some attempt to respond to the information needs of policy-makers, but more could be done. Efforts should be made to move from ICRAF channelling information, to supporting policy makers to engage in their own policy analysis and articulate their research needs to agencies such as ICRAF, and indeed, their own agricultural research organisations. Ultimately, ICRAF should be trying to work itself out of the job of local policy advice, and restrict itself to generating lessons from synthesis of information from the global network.

Recommendation # 9
The policy terrain work, although an interesting comparison from several sites across the region, does not appear to generate new insights for the global synthesis. The research should try to advance more of ICRAF's new policy research agenda. While such thesis-related research provides quality training and can contribute to field project preparation (policy context section), it should only be supported through ICRAF's donor funds if it makes an important contribution to a coherent and strategic programme of policy research.

Recommendation # 10
Ensure the Amazon Initiative adds real value to the research already being done in the region, and in particular, that it is designed to deliver real benefits to the rural poor. It must not be another expensive international research network that mainly provides workshops for researchers. The overall AI policy agenda and strategy needs further clarification, and this could be done by a small core team of collaborators.

Recommendation # 11
A valuable contribution could be made in exploring new cost-effective methods for such networks to interact.

Recommendation # 12.

ICRAF should adapt its accounting system to enable it to report to donors in more detail on use of funds.

Recommendation # 13
ICRAF HQ should tighten up supervision of the regional programmes, to enable global accountability of programmes and overall consistency and quality control of project proposals and performance.

Recommendation # 14 (to EC)
If funding recommendations are adopted (see Recommendation # 16, below), then the format of the Evaluation TOR could be retained, with minor changes to reflect proposal and reporting requirements. If it is not adopted, then the TOR require a major revision.

Recommendation # 15 (to ICRAF)
The Policy Reform programme should concentrate its activities at the progressive and strategic end of the research continuum. All ICRAF's projects should channel information to decision makers and policy shapers, but projects that only do this should not be considered "policy research". The one exception to this might be ICRAF's contributions to international conventions.

Recommendation # 16 (to EC)
As a cross-cutting issue, policy merits some degree of "soft" funding to enable responsiveness to unpredictable opportunities for inputs on policy matters and emerging issues. However, while maintaining the level of its global contribution, the number and range of activities should be reduced, the funding period increased to three years, and more information and justification should be required in proposals and reports.

3.3 Overall recommendation on future support by the European Commission

	Yes / no	Comment
Termination		
Continuation	**YES**	**With same level of funding limited to fewer activities** ***if closer monitoring is wanted in future***

1. INTRODUCTION

1.1 ICRAF

ICRAF was founded in 1978 with the support of Canada's IDRC. Initially it was called the International Council for Research in Agroforestry, and its mission was to promote the exchange of information on agroforestry research in the tropics. In 1992, it became a CG centre, with its headquarters in Nairobi, and over the following 10 years developed into a world class agricultural research organisation in its own right. In 2002, it was renamed the World Agroforestry Centre.

From 1992-2002, work at ICRAF was organised into 5 research programmes, or "pillars":
1. Natural Resource Problems, Priorities and Policies
2. Domestication of agroforestry trees
3. Ecosystem Processes and Management
4. Advancing innovation and impact
5. Training and Education

In addition, ICRAF has participated in three system-wide programmes, involving other CG centres: Alternatives to Slash and Burn, African Highlands Initiative and the CGIAR Gender and Diversity Programme.

In the late 1990s, the research division was complemented by the addition of a development division, in response to the global reorientation of donors and the development community, towards achieving the Millennium Development Goals (MDG).

In late 2002, and operational by 2004, ICRAF was re-organised into four global themes:
1. Trees and Markets
2. Land and People
3. Environmental Services
4. Strengthening Institutions

Initially, ICRAF had 5 regional programmes and offices: Eastern and Central Africa (Nairobi), Southern Africa (Harare, Zimbabwe), Sahel (Bamako, Mali, with ICRISAT), Latin America (Lima, Peru) and Southeast Asia (Bogor, Indonesia, with CIFOR). With the formation of the World Agroforestry Centre, two additional regional programmes were added: South Asia (New Delhi, India) and Africa Humid Tropics (Yaounde, Cameroun), bringing the total to seven. In 2003, ICRAF's Latin American coordination was transferred to Belem, Brazil.

1.2 Overview of Policy Research at ICRAF

ICRAF's research on public policies started in 1992. Policy was then included in the first of the five pillars of ICRAF's programme in 1998, as Project 1.3 "Analysing and Supporting Natural Resource Policy Reform". Then, as now, policy work cut across the other pillars and the system-wide programmes. In SE Asia, policy work began in mid-1994 in Indonesia, in mid-1995 in Thailand, and in late 1997 in the Philippines, all as integral components of the Alternatives to Slash-and-Burn (ASB) programme. Since then, the work in SE Asia has provided a model for research activities elsewhere. A senior position for policy research in Eastern and Central Africa was added 1997, linked to the African Highlands Initiative (AHI), and a position in Southern Africa was created in 1998. A senior policy research position in Latin America was funded from mid-2003. Since ICRAF's reorganisation in 2002, each of the four new themes has had its own policy initiatives and implications, but most policy work

is included in Theme 3, Environmental Services, as focal area 4 "Harmonising policy for environmental stewardship and rural development".

In a discussion paper for its Board of Trustees, ICRAF sets out its approach to policy research (Tomich 1999). It recognises that a clear statement of policy problem is required, and that this includes identification of the policy objectives, policy instruments and policy makers. It explicitly states that without the link to public policy objectives, research cannot be called "policy research". The paper also recognises that:

- client's needs, constraints and opportunities should be the starting point
- many important decisions in land use are made outside the forestry and agriculture sectors.
- rarely is lack of information the key constraint to good policy outcomes.
- ministries of agriculture and forestry lack capacity to do their own policy research

The paper also identifies five main outputs through which ICRAF's policy research can achieve impacts:

- policy recommendations, conveyed via memoranda and meetings
- case studies and international comparative research, conveyed as policy briefs
- capacity building for policy research
- inputs to agricultural research priority setting
- improved databases

1.3 EC Support for Policy Research

In the proposal to the European Commission (EC) for 2003, policy research was still based in Project 1.3 "Analysing and Supporting Natural Resource Policy Reform" (henceforth "Policy Reform") under the Natural Resources Problems, Priorities and Policies pillar of the old structure. In 2003, the Food Security and Food Aid Budget line of the EC provided a sum of € 670,000 for this research.

According to ICRAF's 2003-2005 Medium Term Plan, the Goal of Project 1.3 was twofold:

- To modify government policies and institutional arrangements that have greatest impacts on agroforestry systems, thus reducing constraints on the development of systems that alleviate poverty and enhance the environment
- To identify, analyse and contribute to the reform of particular policies and institutions that affect the adoption of agroforestry systems by farmers.

For 2003, a total of 25 milestones across 7 regions on 3 continents[3] were proposed for EU funding. The Objectives and Outputs for each continent differ slightly. Details of this and the full research proposals are provided in Annex 2. In brief, ICRAF's policy work can be seen revolve around issues of:

- Land and tree tenure
- Collective action and natural resources governance
- Forest policy
- Enhancing policy research approaches and tools
- Capacity building of partners

As might be expected from policy research on environmental management, development and governance, there is a great deal of conceptual and practical overlap between these different outputs and indeed with other of ICRAF's thematic areas and the CG's system-wide

[3] 12 milestones under 6 outputs for Africa, 5 milestones under 6 outputs for Asia and 8 milestones under 3 outputs for Latin America.

programmes. Any one field project might touch on many of these issues, and many different projects have over the years contributed insights to and claimed funds from policy work. Project 1.3 is thus really neither a project nor a programme, but more a subset of policy-related activities from wide range of other projects, wholly or partly involving ICRAF, and placing greater or lesser emphasis on policy. As a result, it is very difficult to dissect out discrete on-going initiatives to monitor. There is no easy way to structure an account of these policy activities and milestones that at once identifies one of the proposed outputs, and also makes sense of the research in terms of larger initiatives that have logical frameworks, discernable starting and projected ending points, budgeted activities and that clearly lead to strategic and predicted impacts, in a way that permits assessment of relevance, efficiency and effectiveness of the research. Everything is process, and many different dividing and anastomising strands contribute to these processes.

Adding to these problems, the expected milestones identified in the official submission for 2003 did not match exactly those of the medium term plan 2002-2004, and the actual milestones presented in the report to the EC for 2003 in a number of cases do not match those in the submission. Further, when seeking evidence for the milestones, the evaluators were presented with a lot of material from work supported by other donors, or by the EC in years other than 2003, which were thus not listed in either the expected milestones in the 2003 plan or actual milestones in the report to EC (see appendices). Some of the material did not fit well with the proposed activities. In the end it took a considerable amount of extra time and effort, to figure out what material supported which actual milestone and how this related to expected milestones and activities.

On analysis, we were eventually able to identify at least 8 major project initiatives of ICRAF and their partners to which the outputs wholly or partly relate:
- Rewarding Upland Poor for Environmental Services
- Negotiation Support Systems
- Improving Land Management in Lake Victoria Basin
- Bye laws for Natural Resources Governance
- Policy Terrain around protected areas (Agroforestry in Landscape Mosaics)
- Amazon Initiative
- Land Tenure

The evaluation that follows is structured around these major projects. But it is still problematic. On one level, to monitor the policy activities properly, each should be assessed in the context of these larger projects – but clearly it is beyond the scope of the present mission to examine all these projects in sufficient detail. On another level, we need to address the issue of the usefulness of this overall strategy to policy research – is it good use of EC funds to give ICRAF the freedom and flexibility to make many small contributions to larger initiatives, as and when the demand arises? We include a discussion of this question in the final section on conclusions and recommendations.

Recommendation # 1
In reporting to the EC, researchers should try to adhere to the structure: expected milestone > money spent > actual milestone > evidence.

1.4 The Present Evaluation

The present evaluation was carried out from 19 – 29 November 2004. The evaluation team visited the ICRAF headquarters in Nairobi, Kenya, the Kisumu (Western Kenya) Country Office, the Uganda Country Office in Kampala and field sites in Kabale District, south-

western Uganda. Although African work was not officially funded by EC in 2003, it was agreed that the requirement for the consultants to work together as a team and to visit HQ in Nairobi, made it logistically impossible to monitor the Asian or Latin American fieldwork in the time provided. Further, since EC funds had been used for Africa in 2002 and 2004, and ICRAF had included milestones for Africa in the 2003 proposal, and some of these activities were supported with EC funds left over from 2002, it was felt that sufficient rationale existed to monitor this field work.

In addition, attempts were made to examine some of ICRAF's policy work in Asia and Latin America. During planning of the mission, the ICRAF theme leader emphasised that the most important work for 2003 was conducted in Indonesia and Thailand, and this site and other activities run in Indonesia, Thailand and the Philippines constituted the majority of expenses under the EC funding. One team member (CM) had the opportunity to discuss this work with the programme coordinator for Asia, while on another mission. The present report also discusses this work. The Latin America work is discussed in less detail, as activities were reported to be mainly organisational and preliminary in nature, and suffered from funding delays.

A note of efficiency and effectiveness

EC Monitoring TOR and guidelines require that projects be evaluated with regard to relevance, efficiency, effectiveness, impact and sustainability. With so many small milestones contributing to a range of larger longer-term initiatives, it is difficult to comment on the relevance of the particular work supported by the EC. Since no detailed budgets, research methods or timetables were requested by the EC for funding of any activities, none were produced and it is therefore difficult to comment on how well resources were transformed into outputs, and to what extent the outputs represent best practice or good value for money. This was further complicated by the fact that none of the policy activities is completely funded by the EC. Other important sources include SIDA, Rockefeller Foundation, Ford Foundation, World Bank, IDRC, SDC, DGIS, DFID and, ICRAF's own core funds[4].

The EC also did not require rigorous definition of milestones in terms of quality, quantity or time, so these aspects of efficiency also cannot be commented upon. Since some milestones have not been clearly related to larger initiatives, it is also not possible to comment on their impacts. In the sections that follow we mainly restrict our discussion of efficiency to aspects of the quality of the research, from scientific, technical, social and particularly, policy perspectives.

[4] Indeed, most of ICRAF's projects are funded through a combination of restricted and unrestricted funds so that few activities, or geographic locations, can be entirely linked to a single donor. Although this can create difficulties for the quantitative assessment of impact coming from a single source of money, it allows for larger activities to be undertaken and for synergetic effects between donors. Many donors explicitly encourage collaborative funding arrangements.

2. REWARDING THE UPLAND POOR FOR ENVIRONMENTAL SERVICES (RUPES)

Background, objectives and milestones

This research is part of a 9-country network started in February 2002 under the coordination of ICRAF's Southeast Asia Regional Programme, with the objective of testing a range of methods by which beneficiaries of environmental services can pay upland communities (hillsides and mountains dwellers) for their environmental stewardship. Through an action research mode, RUPES also tests institutional innovations that upland communities need to increase their options for livelihood by providing recognized and valued services to others. Typical environmental services investigated by RUPES are carbon sequestration, watershed protection, landscape maintenance and biodiversity protection.

RUPES is mainly funded by IFAD, with additional support in 2003 from the Ford Foundation, DFID and USAID. EC funds has mainly be used for salary costs, because of IFAD's limitations on the proportion of its funds (11%) that can be used for research strictly speaking. This co-financing mechanism is appreciated by ICRAF for it has permitted to fund different parts of the research process, IFAD insisting on a brokering mechanism between research and stakeholders. RUPES takes place across sites in South East Asia, with key research watersheds in Indonesia, Thailand, The Philippines and more recently China.

The project has built its rationale on the study of what ICRAF considers to be the 3 major upland ecosystems important for agroforestry in Southeast Asia: forest margins, imperata grasslands and sloping hillsides. An integrated watershed management approach applied to these ecosystems has concluded to the link between better technologies, institutional innovations and conducive policies and has thus led to the RUPES approach which connects markets and environmental services. RUPES thinks that current markets fail to 'value' full economic costs and benefits and thus speed up deforestation and loss of environmental services as 'public goods', but that specific markets for environmental services can help enhance livelihoods and reduce the poverty of the upland poor while supporting environmental conservation.

To achieve this, RUPES develops a knowledge base on environmental services (what, whom, who benefits, who is willing to pay?) and makes the hypothesis that "the more specific the reward, the less likely are the poor to benefit". Thus rewards are not only in terms of cash payments but also land tenure security or the recognition of indigenous land-use practices, and advocates different mechanisms for different services and different social contexts. ICRAF claims that there is a lot of interest for the approach, but a lack of living examples so far. RUPES set of activities is adequately described on the following web site: http://www.worldagroforestry.org/sea/Networks/RUPES/index.asp and through a newsletter.

The activities for RUPES in 2003, inter-related with other ICRAF's Southeast Asia projects, were:
(1) Conduct demand-driven research on forest land and tenure
(2) Develop and test policies and institutions to reward upland farmers for ecosystem services they generate
(3) Train national scientists in policy research tools.

Together, these three strands of information are intended to inform a wide range of processes. No specific EC milestone was announced for activity (1) because EC support was only used for salaries. This activity has an on-going objective to continue developing and testing

negotiation support systems in at least 3 locations with information support, initial facilitation and institutionalization. The action research work reported took the form of a tour and meeting for provincial and national level stakeholders and HKM (forestry representatives) of the Krui (Lampung, Sumatra) area where an historic decree, following BIOTROP, ICRAF and IRD (ex-ORSTOM) research, protects lands rights of indigenous persons on 35,000 ha. Following this "brokering" mechanism, 3 papers were published (1 in Indonesian).

Milestones announced and achievements for activity (2) are:

- New environmental service transfer payments methods in an action research mode are tested in at least 6 pilot research areas. This was not tested on all 6 sites but on 2 sites in Sumatra, through a "Rapid Hydrological Assessment" and a thorough negotiation support process at the Sumber Jaya site. In terms of site selection, RUPES' international steering group issued an international call for candidate sites that yielded 60 applications. A handful of these sites that appeared to have met most of the pre-conditions were selected. Within those sites, there is an active engagement between ICRAF researchers and other stakeholders to identify environmental services linked to land-use, the form of compensation / payment that would be appropriate and cost effective ways to implement the environmental service scheme.
- Communication mechanisms are developed to raise awareness of the potential for rewards to enhance environmental services. This was achieved through the launching of the website, newsletter and through a booklet and newspapers articles, while 6 RUPES working papers were prepared (list on website). Preliminary lists of environmental brokers and possible funding sources were also prepared (all on website).

The milestone for activity (3) is: Stakeholder capacity is built to support and engage in environmental service transfer payments. This was achieved through a workshop held in Chiang Mai (Thailand) for the international teams of 6 pilot sites, with the preparation of a training manual.

Relevance

RUPES appears to be a very innovative research undertaking and it is probably too early to state whether its objectives correctly address the problem. What can be said so far is that environmental degradation in the uplands (and its consequences at watershed level) is a key issue, and that poor people there are the correct beneficiaries of the project. Whether a match between the two can be achieved remains to be demonstrated. The Krui emblematic example (a 20-year on-going set of research activities) does not suffice to generalize to other sites. For the same reason, complementarity and coherence with activities undertaken elsewhere cannot be assessed. As no logframe was provided to the reviewers, it is not possible to assess its quality. Overall, the brokering mechanism promoted by RUPES (site proposals and negotiation with stakeholders) seems to be a realistic choice in terms of research inputs required, as this type of action research has to permanently adapt to stakeholders' characteristics and demand. However, this adequate action research posture should not end up into an opportunistic attitude where local context becomes more determinant than project initial design.

Recommendation # 2
RUPES should not use the term "learning by doing" to describe its action research work. Action research is a societal process of change that allows researchers and other stakeholders to learn alongside. Action research has a well-known theoretical corpus that ICRAF ought to

master, in order not to claim that it is simply "learning by doing", a somehow naive statement which is closer to a development oriented training objective than to a scientific posture.

Recommendation # 3
ICRAF should avoid claiming that there is a lot of interest for the RUPES approach while there are few living examples so far. Scaling up is necessary before statements on impact can be made.

EFFICIENCY

Since no detailed budgets, research methods or timetables were requested by the EC for funding of any activity, none were produced and it is therefore not possible to comment on how well resources were transformed into outputs, and to what extent the outputs represent best practice or good value for money. The EC also did not require rigorous definition of milestones in terms of quality, quantity or time, so these aspects of efficiency also cannot be commented upon. However, it was not part of the present evaluation to perform any financial auditing, and the above remark does not imply any financial impropriety. Here we restrict ourselves to "scientific" efficiency.

The technical quality of the research appears high, and the seriousness and dedication of the team is unquestionable. The approach maximizes the problem solving focus of the research through the negotiation support mechanism, able to bring science to the stakeholders' table. It has helped breaking the taboo conveyed by some that forest and people are incompatible. Addressing conflict at watershed level has put thinking at the right spatial scale and shown that people's settlements and watershed conservation may not be contradictory, provided people are well aware of the role they can play and have a stake in conservation through a rewarding mechanism (e.g. land tenure). The on-going negotiation for a Memorandum of Understanding at Provincial level in Lampung (Indonesia) is an objective achievement of policy research.

Beyond local negotiation support, ICRAF has also tried to reach the national level through the posting of people at Government level, in order to reach policy makers (D. Thomas in Thailand). Although the efficiency of such a decision cannot be assessed, it is well in line with the research-cum-development continuum claimed by ICRAF which insists that its policy scientists should be "link persons", and not conventional research scientists, in order to broker the right process with the right persons at the right time. This innovative research approach should be encouraged, provided, recommendation # 2 on action research is well kept in mind.

Recommendation # 4.
Innovative research approaches, such as the posting of staff in Government offices, should be encouraged, provided recommendation # 2 on action research is well kept in mind.

Unfortunately, this type of research is typically difficult to evaluate, because it provides few tangible outputs: it has to be evaluated more on the process than on the results. In the absence of field visits or partners' meetings in Southeast Asia (only a meeting between one member of the monitoring team and ICRAF's Southeast Asia coordinator) the evaluation team has a positive assessment of RUPES but does not think that it has all the required information to state on the efficiency of the project.

2.1. EFFECTIVENESS

Given the nature of the research outputs (improved negotiation between stakeholders, awareness raising on environmental services, identification of rewarding mechanisms, etc.) the measure of their short-term effectiveness is not simple. RUPES has learned so far that:

- Not just cash payments, but rewards (land tenure security) and recognition (indigenous land use practices) may be priorities for upland communities
- Existing mechanisms range from public investment to market-based approaches and are generally not 'pro- poor'
- Different mechanisms may be needed depending on the environmental service (biodiversity, carbon, watershed) and the social, institutional, legal and political context
- No mechanism can bypass local government structures.

Once again, while it is too early to say whether the project is "effective" and whether RUPES has an impact on "poverty alleviation through rewards" (as it claims), these results form a solid ground for added value supporting future agroforestry and natural resources policies.

2.2. Impact and sustainability

National scale RUPES networks are now developing in Indonesia, Philippines, and starting up in Vietnam, Laos and Sri Lanka. The RUPES concept brings development and environment oriented partners together at international, national and local scale, although it acknowledges that there is a need to clarify perceptions and expectations to create true partnerships

RUPES claims to have created and examined experiences on environmental reward and recognition schemes and gained a deeper and more practical understanding of all aspects of implementing these schemes. It is now a focal point for collection and analysis of information and experience on environmental services reward, can feed outputs into government planning, and hopes to magnify impact beyond initial RUPES areas.

Provided these mechanisms actually function, it can be said that RUPES has created the conditions of longer-term effect on beneficiaries.

Performance

	Highly Satisfactory	Satisfactory	Less than Satisfactory	Highly Unsatisfactory
Relevance	x			
Efficiency		x		
Effectiveness		x		
Impact		x		

3. NEGOTIATION SUPPORT SYSTEMS (NSS)

3.1. Background, objectives and milestones

Work on Negotiation Support Systems began in Indonesia, with the objective of maximizing the problem solving relevance of ICRAF research, by "bringing science to the negotiation table". It builds on the contradiction between the common paradigm that forests are important for income and environmental services (so you want more forests and less people) and the reality (observed, e.g. in Lampung, Sumatra) that only 10% of the official forest land is actually covered by forests. The questions arising from this are: "what is the forest for?", and "what other land use systems can provide the productions and services provided by forests?".

The first step was to try to demystify the idea that deforestation necessarily modifies streamflow negatively. This was done in the Sumber Jaya watershed, where an existing conflict between farmers and foresters has eventually ended up in the demonstration that new settlements had improved dam functioning. As a consequence, a rewarding mechanism had to be found for these settlers (see RUPES). The idea of secure land tenure on land from which they had formerly been evicted came as a solution, provided these farmers would grow agroforestry coffee. Contracts were signed for farmers on Government forest land and a road was built by the forestry department. Eventually, people protected their land and the nearby Bukit Barisan Park, where encroachment decreased. The whole process was taken at Provincial level, where a MOU was signed. The same process was applied in the Gunung Halimun area (West Java), following the Krui model, where a decree has been signed to protect people's agroforests (see Introduction). In Thailand, ICRAF decided to reach national level policies through the posting of a person in a Government office (David Thomas).

ICRAF thus develops its policy research activities through NSS as "non-conventional" research, or a mixing of research and development, which combines the selection of the right information to be processed to the national level with many different activities from different disciplines and teams, linking with different institutions. ICRAF claims that its scientists in this field are not researchers but "link persons".

Questioned as to how would the monitoring and evaluation of such activities be organized and how would quality be guaranteed, ICRAF responded that teams were challenged to generate international public goods, and permanently worked with a strong exposure to key external partners. Key scientists are requested to publish the results of these informal negotiation processes, while the evaluation of other persons can be done via impact assessment or publications in books. ICRAF insisted that there are different objectives in different regions and that an overall view of the project is difficult.

There was no milestone specifically proposed under NSS for EC support in 2003 because EC funds were used for salaries only, in conjunction with funds from the Ford Foundation, DFID and USAID. On discussion, ICRAF staff admitted that an ad-hoc milestone was "to continue to develop and test NSS in at least 3 locations". Reported achievements are:

- Negotiation support work in West Lampung, Indonesia, which helped to establish formal criteria and indicators for the evaluation of the temporary land leases in the protection forest domain. This was presented as brokering an environmental service mechanism taken up by RUPES.
- Organization of a study tour to the Krui area for stakeholders at provincial level, which ended up with meetings at provincial level, and eventually HKM laws at national level.
- The publication of a paper "Searching for recognition" in Indonesian, plus 2 other papers.

- A 21-minute film on CD-ROM: "New knowledge to improve negotiations", describing in a lively way the NSS process. Because it describes the "unconventional" NSS research process, the film is useful for scientists, stakeholders or policy makers.

3.2. Relevance

As with the previous activities, no proposal or logframe was available, so it is not possible to comment on the initial design. However, problems are properly identified and addressed (conservation vs agricultural development) and there is a strong complementarity (not to say overlap…) between NSS and RUPES.

As indicated by ICRAF, objectively verifiable indicators of achievement are difficult to identify because of the unconventional nature of this research, and a long term impact assessment is probably the answer to project design strengths.

Recommendation # 5
ICRAF should clarify the objectives of NSS and elaborate on the relationships between NSS and RUPES.

3.3. Efficiency

As with the previous activities, no budgets were available, so it is not possible to comment on cost effectiveness. Again, we restrict ourselves to a discussion of the research itself. Because of the sharing of some objectives between RUPEs and NSS, and the facts that sites and staff are common, comments provided for scientific efficiency under RUPES (see above) are also valid here.

3.4. Effectiveness

Reaching local, provincial and national stakeholders can be accepted as a good indicator of effectiveness. Modifying decrees and laws as well. Whether people's behaviour has changed because of ICRAF research remains nevertheless to be demonstrated. Without any field visit implemented in Asia by the evaluation team, it is difficult to state whether intended beneficiaries in Sumber Jaya really benefited from the project activities, although there are good signs that this actually happened in the Krui area.

The identified difficulty that strong project management by a senior ecologist was required because of the ambitious nature of both RUPES and NSS activities was solved in an ad-hoc manner, by requesting the regional coordinator to provide the necessary backstopping. One can wonder whether this solution was compatible (time-wise) with the responsibilities of this person.

Recommendation # 6
As observed elsewhere (Uganda), senior staff are required to implement policy research. However, ICRAF should be careful in matching projects objectives and available staff time, in order not to request too much from its present staff. Policy research often requires specialized skills and experience that may be beyond the skill set of existing staff. People with those skills and experience should be recruited if necessary.

3.5. Impact & sustainability

As said above, long-term assessment is required for this type of research, so no conclusion on impact and sustainability can be provided in the context of the present monitoring.

3.6. Performance

	Highly Satisfactory	Satisfactory	Less than Satisfactory	Highly Unsatisfactory
Relevance	x			
Efficiency		x		
Effectiveness		x		
Impact		?		

4. IMPROVED LAND MANAGEMENT IN THE LAKE VICTORIA BASIN (TRANSVIC)

4.1. Background, objectives and milestones

ICRAF has been active in the densely populated and impoverished highlands of Western Kenyan part of the Lake Victoria Basin for over 20 years. In the early years, work was technology-focused, applying the Diagnosis and Design methodology to develop agroforestry systems adapted to local conditions and farming systems. These systems were promoted to farmers during the 1980s and 1990s, through collaboration with CARE and other NGOs. Numerous other initiatives have started in the region, including the "African Highlands Initiative" (a CG centre-wide programme), which started in 1995 and the large, Lake Victoria Environmental Management Programme (LVEMP), which has been running in Kenya, Uganda and Tanzania since around 1997. The Nile Basin is also one of the benchmark basins in the CG's new Challenge Programme on Water and Food.

Policy Reform work (1.3) has been largely contributing to another of ICRAF's projects "Improved Land Management in the Lake Victoria Basin" (Transvic, 2000-2004) which began in 1999, as part of the SIDA-funded National Agricultural and Livestock Extension Programme (NALEP, 1999-2004) for Kenya. NALEP aims to make agricultural extension and technology development driven by the demands and shaped to the needs of stakeholders, particularly poor small farmers in heavily degraded areas. Within this context, the purpose of the TransVic project was :

> 'To provide extension agents, policy makers and researchers with information, methods, technologies and approaches for improving land productivity while enhancing local and regional environments'.

TransVic is broadly watershed management research[5], and for ICRAF's Policy Reform agenda (1.3), the most relevant work of TransVic is Output 2.3, and its associated 5 activities:

[5]

- Identify and evaluate land management hotspots in the Lake Victoria basin and identify preventive and curative intervention points for dealing with priority areas

2.3 To develop and evaluate policies and institutional arrangements for watershed management'.

2.3.1 Develop a negotiation support system for catchments in Western Kenya (adapted from work in SE Asia)

2.3.2 Assess the effects of land tenure constraints on investment

2.3.3 Review the legal foundations of watershed management institutions

2.3.4 Pilot activities for new institutional arrangements for collective resource management

2.3.5 Disseminate results to policy makers.

Thus TransVic work related to Output 1.3.5 of the Policy Reform project, of generating information for evidence-based policy and planning.

In addition, TransVic's work helped give rise in 2001 to the Consortium for Scaling up Options for Improving Farm Productivity (COSOFAP)[6] and to Safeguard (Safeguarding Rights of the Poor to Critical Land, Water and Tree Resources)[7] in 2003, both in Nyando Basin. In 2005, following the end of NALEP and TransVic projects in 2004, a third initiative, "Sustaining Inclusive Collective Action across Economic and Ecological Scales in Watersheds" (SCALES), in design phase since 2003, is scheduled to begin. All these projects received some funding for design or implementation from the EC in 2003.

COSOFAP is a consortium of 103 member organisations (farmer groups, schools, NGOs, research institutes, government and policy makers) trying to scale up approaches to improving farm productivity. Activities linking markets, enterprise development, agroforestry and water management are promoted in interactive learning sites, a network of 150 field sites of the different consortium members. A special subcommittee on policy and advocacy (funded by the Rockefeller Foundation) encouraged policy dialogue between farmers, private sector and policy makers.

Safeguard's objective is to identify policy options to safeguard the rights of the poor. Participatory research, based on 12 sites representative of different production, land and water regimes and tenure systems around the Nyando Basin, has been carried out on the nature and dynamics of poverty, in particular to determine the role of resources in moving people in and out of poverty. The results highlight the importance of secure land rights for gaining access to water, trees and government services[8]. The data collected contributes to regional plans for Nyando and Kisumu, and to district development plans, and to introducing an explicit link between land and water in the national land policy.

In 2003, the milestones proposed to EC, which relate to TransVic were:

1. to strengthen policy dimensions of the work of regional agroforestry coalitions through workshops and study tours.
2. to disseminate socio-economic, ecological and technical information from watershed management studies to policy fora in Nile Basin and broader audiences.

- Identify and evaluate technologies, institutional arrangements and policies for alleviating poverty while protecting the local and regional environments
- Quantify the actual and potential impacts of promising land management interventions on human welfare and the environment
- Enhance research and extension linkages for improved land management in the Lake

[6] funded by Rockefeller Foundation

[7] in collaboration with Maseno University and IFPRI, with funding from the Comprehensive Assessment of Water Food and Environment (IWMI), EU and Danida.

[8] The study compared irrigation sites managed by different government agencies, under different land tenure regimes : one in which farmers were tennants, and the other in which farmers were the land owners. The latter were much more successful.

3. to institute experiments in policy/institutional innovation in selected catchments in Nile Basin.

In reporting against these milestones, ICRAF presented the following products and activities:
1.1 Proceedings from a workshop entitled "Reversing Environmental and Agricultural Decline in the Nyando River Basin" held in December 2002, (and funded through the EU) Food Security Budget line, were prepared for publication (and finally published in 2004).
1.2 A series of follow up activities from this workshop, including: preparation of maps for policy makers; a study of incentives, values and capabilities of county councils to undertake environmental management; study of the dynamics of property rights, poverty and livelihoods; work with the Kenya Ministry of Water and NEMA on implementing the new water and environment laws; a travelling seminar on the same theme, co-hosted by UN-EAC and ICRAF.
1.3 A workshop entitled "Integration of Research, Planning and Environmental Management in the Nyando River Basin" held in Kericho, Nyanza province, in September 2003.
1.4 A policy committee formed within ICRAF–facilitated network in western Kenya (COSOFaP) to pay particular attention to policy and marketing issues related to agriculture.
1.5 A study tour of East African Community parliamentarians carried out in the Victoria Basin

2.1 An African regional workshop in October 2003 and a global synthesis meeting in Italy[9] in November 2003, on "Preparing the Next Generation of Watershed Management Programmes", cohosted by ICRAF and FAO.
2.2 117 copies of the book "Innovations in Natural Resource Management" distributed to libraries and research institutes across Africa.

3.1 Work with communities adjacent to NALEP focal areas on institutional arrangements for water management (David Nyantika).

Supporting documentation was available for most, but not all of these activities.

4.2. Relevance

ICRAF has been conducting land and watershed management work in Western Kenya for a long time, gradually changing the emphasis from agroforestry technology development, to addressing broader landscape level issues and policy. Since TransVic started in 1999, the Nyando River Basin, one of 11 main sub-basins of Lake Victoria, has provided ICRAF a case study of the nature of upstream and downstream linkages affecting local livelihoods (water supply, soil degradation, flooding, siltation) and the eutrophication and decline of productivity of the river and of the lake. Transvic, along with projects mentioned above, are all responding in one way or another to serious pollution and eutrophication of Lake Victoria and land and water degradation in its catchment, and chronic rural poverty.

The main innovations of the TransVic project are derived from the INRM research approach adopted, and included a multi-scale involvement, from farm, to catchment and river basin, attention to "trade-offs" between environment and poverty, and the clarification of impact pathways, from research results to behavioural change and improvements to livelihoods and the environment (CGIAR 2003).

[9] http://www.fao.org/Regional/LAmerica/prior/recnat/sassari.htm

The focus of this evaluation is the policy component, but it must be said that Transvic has mainly adopted a technical approach to reach policy makers: a remote sensing methodology for soil character analysis, to permit the identification of land degradation "hotspots" and enable more effective targeting of land management interventions. ICRAF has been actively promoting this technology and data emerging from its use, to local policy makers, through trainings and workshops, including a study tour of Lake Victoria Basin for East African Community parliamentarians (reported milestone 1.5), and travelling seminar (reported milestone 1.2d).

This is in line with decentralisation of government, which has mandated local people to manage resources and has created Environment Management Committees at District and Provincials Levels. At the 2002 workshop on "Reversing environmental decline", local action plans were developed to translate the research findings into a "policy" for implementation, but the plans were expressed in very general terms (Mungai et al eds, 2003:7) and it is unclear whether there has been any follow-up (reported milestone 1.1). The project has also done some research into existing social organisation in part of the catchment, and community groups have been organised on an experimental basis to foster cooperative links between them (reported milestone 3.1), but again, in the time available we could not clarify where this work has gone. Similarly, we were unable to ascertain how the COSOFAP policy sub-committee had functioned or what it had achieved (reported milestone 1.4). Unless these follow-up activities are pursued strategically, the Policy Reform component for TransVic remains at the "conventional" end of the policy research continuum.

Although not explicitly included the Policy Reform Project (1.3), ICRAF uses EC funds to co-host or participate in various regional and international workshops on issues related to its research. Relevant here are the events held in Nairobi and Sissari, Italy in 2003 on "Preparing the Next Generation of Watershed Management Programmes" (reported milestone 2.1). The conclusions – such as the importance of upstream-downstream linkages and role of watersheds as integrators of people, resources and sectors – are important and reiterate messages currently being disseminated through various other global water related initiatives such the CG's own Challenge Programme for Water and Food, the International Geosphere-Biosphere Programme (IGBP) , the Global Water System Project (GWSP), etc.

4.3. Efficiency

The project does address real needs in Western Kenya for poverty alleviation and watershed rehabilitation, but for reasons discussed above, it is not possible to comment on how much money was spent or how effectively in addressing the policy related questions.

Regarding the quality of the research, the scientific/technical component has developed a very useful remote sensing technology, and practical tools such as maps and generated useful concrete data on watershed degradation. The overall purpose of TransVic project, to which some of the EC funded milestones contribute, was to provide information to policy makers, and other stakeholders, and this was achieved in accordance with these – albeit unambitious – milestones. Some County Councils are now apparently allocating more funds to water harvesting and a major Swedish NGO has started agroforestry promotion in Nyando as a result. The work has also helped lead to a new GEF-funded project on Clean Development Mechanism.

Many of the milestones appear to be small opportunistic initiatives often by minor partners, that do not appear to be well-integrated into or strategic with regard to the main effort. None of the government officials we met in Kisumu (Physical Planning, Agriculture, NEMA and

Water) nor indeed Nairobi (KEFRI) perceived their work with ICRAF as being policy-related. They did not feel that ICRAF had specifically sought out their information needs and responded to them – although this was one stated objective of the Kericho workshop – (Swallow 2004). Rather, officials said that they approached ICRAF as and when they required information for their own activities, and attended ICRAF workshops as and when invited. Government policy and procedure shaped their activities and other government departments or the university were their first source of information. ICRAF was not perceived to have brought any new approaches to policy or planning, nor indeed seen to have a particular role in policy development. This said, the different officials had been in their posts for relatively short periods of time, and there appeared to be problems with "institutional memory", so they were unsure what relationship their predecessors had had with ICRAF. In the context of such a short visit it is difficult to assess this situation, but it is likely that government officials still see their own work principally as routine administration, rather than as part of longer-term, systems-based and more radical initiative to improve (transform) their institutions and processes in order to "deliver development" (and environmental improvements) to the public. ICRAF could do more to empower local officials to run with the policy .

ICRAF had not reviewed its MOU with the Government of Kenya, since it was signed in the late 1980s.

Recommendation # 7
For this research to have real policy impact, local government stakeholders should be offered training in policy analysis and development, to help them (as far as is politically acceptable) to understand their work as part of a change process. District level officials will also need to be empowered to play their role and higher level officials empowered to accept this role and all empowered to ensure policy is implemented. The political scope for this kind work will vary from country to country and work will have to be tailored accordingly.

The workshops that have been held and written up were represented primarily as opportunities to present technical information from studies on watershed management issues, and have come up with Action Plans, but apart from proposing information sharing and awareness campaigns these have not developed a policy agenda, and do not feel qualitatively any different from conventional technology led projects.

The only other critique that might be offered, is whether the project could be more ambitious and effective in its policy work, promoting the policy-making process more actively, and supporting implementation. There does not appear to have been any strategic analysis of the policy making processes or personalities. Neither does there appear to have been strategic thought regarding at what stage should scientists "let go" of the information process, and leave it to government agencies to complete and deliver.

Recommendation # 8
The scope for making policy research demand-driven could be pursued more actively. The present projects makes some attempt to respond to the information needs of policy-makers, but more could be done. Efforts should be made to move from ICRAF channelling information, to supporting policy makers to engage in their own policy analysis and articulate their research needs to agencies such as ICRAF, and indeed, their own agricultural research organisations. Ultimately, ICRAF should be trying to work itself out of the job of local policy advice, and restrict itself to generating lessons from synthesis of information from the global network.

4.4. Effectiveness

The scientific results of the project have been disseminated to policy makers and other stakeholders, through the workshops, study tours and other activities and materials funded by the EC, as proposed in the milestones for 2003.

4.5. Impact & sustainability

The long-term impact and sustainability of this work depends on accurate assessment of policy needs and their satisfaction through the appropriate channels.

4.6. Performance

The work is assessed as follows:

	Highly Satisfactory	Satisfactory	Less than Satisfactory	Highly Unsatisfactory
Relevance		x		
Efficiency		x		
Effectiveness		x		
Impact		x		

5. SCALING UP: LOCAL BYE-LAWS FOR COLLECTIVE ACTION IN UGANDA

5.1 Background, objectives and milestones

Delivering on the promise of agroforestry has been an increasing concern of ICRAF in recent years as donors increasingly demand to see impact from research, and mechanisms for "scaling up" the successes experienced on-farm and on-research station are being sought from various angles. Work on collective action and local bye-laws has grown out of the recognition that in order to harness agroforestry to solve the very pressing problems of watershed and NR management, large numbers of people within and across different communities will have to work together towards solutions and policy makers will have to support the process. Lack of institutions and policies for collective action thus represent a major constraint on the adoption of agroforestry technologies.

ICRAF's main initiative in this area is a project in SE Asia[10], funded under the CG wide initiative CAPRI (Collective Action and Property Rights), and relating to the RUPES and NSS projects discussed above. In relation to Policy Reform programme, this contributes to purpose 1.3.4 on "policies and negotiation procedures for promoting collective action for NRM". Parallel lines of work are being conducted by the African Highlands Initiative in SW Uganda, including the DFID funded "Strengthening Social Capital for improving Policies and Decision-making in NRM". Since we could not visit the SE Asia project and since ICRAF staff have been contributing to the Uganda work, we visited this project instead, to get a flavour of the kind of work policy-related work that is taking place. However, it must be emphasised that the work is primarily a project of the African Highlands Initiative, rather than ICRAF, that no milestones were specified for 2003 submission, and EC funds were NOT used.

[10]"Negotiating land rights and natural resource regulations for local people: The role and effectiveness of secondary farmer and community organisations in upland watersheds of Southeast Asia

The AHI and DFID work focuses on a participatory process of developing local bye-laws that is intended in turn develop "social capital" through improving local community's capacity to work together to formulate, initiate, review, monitor and implement their own bye-laws for improving natural resources management. Bridging social capital (horizontal, between groups) and linking social capital (vertical, with government and other institutions) help build critical mass to underpin broader collective action for watershed management. Committees and policy task forces are formed at village level to support this process, and to interact with sub-county and district officials, to scale-up and institutionalise the initiative.

5.2 Relevance

The work on bye-laws and collective action contributes importantly to watershed management efforts in the densely populated, highly degraded and impoverished African highlands. Without efforts to mobilise small holders to collective action to address these landscape level problems, the downward spiral of environmental degradation and poverty will undoubtedly continue. Research that attempts to design, test and analyse mechanisms for encouraging collective action, such as local bye-laws and their integration into higher level policy making, is very relevant. As expressed to us in the presentations, proposals and publications, the project is the best example of focussed policy-related action research for NRM that we saw. In Uganda, the work dovetails with some aspects of the national level initiatives of PMA and NAADS on market driven development, to transform smallholder farmers from subsistence to commercial producers, and internationally, it complements other efforts in similar areas, discussed above.

5.3 Efficiency

Since EC funds are not being used for this project, here we only pose a few generic questions related to the quality of the research.

As stated above, this attempt at strategic policy work is very interesting, but an underlying question worth examining regarding the research design is whether bye-laws, appropriate policy and lack of social capital are really the key constraints to collective action and scaling up of agroforestry initiatives for watershed management. Colonial authorities succeeded in getting contour terraces established, but only by coercion, which suggests fundamental villager perceptions about the costs and benefits of the terraces, that was not being discussed during our visit. Although apparently previous AHI research identified bye-laws as an issue, it is unclear whether any other issues emerged for examination.

It may also be worth considering to what extent social capital, particularly the "bonding" type represented by local bye-laws, can be built up through interventions originating from outside. The idea of passing local bye-laws apparently came from a multi-stakeholder workshop, but what this actually means, and whether such bye-laws actually link in with real local authority and legitimacy systems is unclear. Although bye-laws had been passed in both villages visited, not all were not being widely adhered to and the key bye-law on contour terraces was not being enforced (see below). Decentralisation is recent in Uganda, and while using the new governance system in this manner is probably the only way it is ever going to work, participatory democracy may not be at the top of the villagers' agenda, or the way things happen. The books are full of policies and laws that few are aware of and fewer obey or attempt to implement. Coercion aside, action becomes collective when lots of people see and feel the benefits and are able to respond, and countless development initiatives fail to mobilise communities because the benefits are not relevant enough or in some way don't outwiegh the costs.

Since the research endeavours to test approaches to collective action, other approaches might also have been tried, rather than repeating the same exercise in all four field sites. A less prescriptive, more farmer-led approach, might have been interesting.

Another question regards the upward linkages with district and national policy. While ICRAF is promoting agroforestry and diversification at the local level, the NAADS strategy is apparently to promote a single cash crop in each agro-ecological zone. Although Rauseen et al (2001) describe the theoretical linkages with decentralisation that has been underway since 1997, it is unclear how this is working in practice, and whether a more strategic approach to working with them could be beneficial.

5.4 Effectiveness

In Kampala, the involvement of an MP (who took the trouble to meet the monitoring team) has been instrumental in getting agroforestry onto the national agenda. It is now recognised as an official land use type for planning purposes (alongside agriculture and forestry separately) and agroforestry development activities have been included in various national, district and local development plans and budgets. This is a real achievement and future developments will be watched with interest by many practitioners.

Similarly, in Kabale, an LC3 councillor had been very active in getting agroforestry into village and sub-county development plans and budgets and had established a seed stand for 3 agroforestry species. He had not succeeded however, to get agroforestry onto the agenda at the district level. The councillor himself was standing down now, and admitted that there had been less activity and no budget allocation in the last year, and is himself now preparing to stand down from his position.

While it is encouraging to hear that agroforestry has been incorporated in the development plans at village, sub-county and district levels, we were unable to ascertain how well these plans are designed, whether they ever get implemented and what impacts result. Is it really a strategic intervention to get agroforestry incorporated in them? What are the other constraints to scaling up of agroforestry? Does agroforestry really bring adequate and desired returns for peoples' time and resources?

We were taken to the Katagata watershed to see participatory soil conservation efforts. Inhabitants in the bottom of the watershed had experienced catastrophic flooding of fields, houses, destruction of their crops during El Nino rains of 1998, and had approached ICRAF for assistance. Although this programme was written up after three years, (Raussen et al, 2001) at the time of our mission fully 6 years into the work, progress is patchy. The village committee seems to function properly, but is it a real grass root initiative, or an artefact for fee paying visitors? Similarly, during the visit to the watershed that was organized, we could see some tree planting and erosion control structures, but also some areas without any tree and the old Eucalyptus woodlots still present. Some of this is accounted for by absentee landowners living in other sub-counties, but even within some participants plots there is an air of neglect. On reflection, Raussen's paper was a description of the strategy - an aspirational account of what could happen, and one that has not been fully realised.

Generally, we found that the discourse of the researchers and in the research proposal on social capital and collective action, was not being fully expressed at the local level. Indeed, researchers, field workers and villagers appeared to have different perceptions of the process in which they were engaged. For the researchers, the project is about increasing social capital and public participation in effective local policy that promotes for collective action, while for

field workers, it is about getting bye-laws and contour terraces established, and for villagers, it appeared to be about whatever benefits they could obtain.

As discussed above for TransVic, ICRAF has a relatively small team, and needs to work effectively through its local partners in order to have broader impact on policy. However, it is not clear how well the staff of local NGOs, or even its own field staff, actually understand the policy project, and really share the same vision and speak the same language as ICRAF scientists. The same may be said for the local government officials who must interact with research staff, and who must push for policy change. We did feel that more attention was being given to products (i.e. bye-laws) than to processes (actual building of social capital), and that more involvement from senior staff would be needed at the field level to facilitate process and indeed to address the problems of unimplemented bye-laws.

In all three sites we visited (Bubare, Muguli and Rubaya), the communities had produced more or less the same set of bye-laws, suggesting a prescriptive rather than a demand-driven locally tailored approach. One group confirmed that AHI had explained the soil erosion problem and introduced the idea of bye-laws. The field officer seemed more focussed on the targets of getting the bye-laws produced, the ditches dug, and agroforestry into local plans, than on facilitating and trouble shooting the process or on exploring the modalities and limits of promoting local policy processes as a means of achieving real collective action for watershed management. It is in the facilitation of the bye-law development, the day to day challenging of the villagers to "think (and act) outside the box", that this initiative is going to bear fruit.

After explicitly stating our interest in bye-laws, we asked local policy task force members open ended questions regarding the activities and benefits brought by the project. Peoples' responses focused almost exclusively on the material inputs they had received (or not) through various NRM companion projects (soil fertility, dairy promotion, fish farming, pig raising), rather than on erosion control, the importance of collective action or the power of the bye-laws and other aspects of social capital in promoting it. People had however responded with a resounding YES to the question of whether soil erosion represented a real problem in their village.

In all sites, people reported problems in enforcing the bye-laws they had created, particularly in applying fines. We were left wondering what the bye-laws were really achieving. This was particularly true for the key but very labour intensive technology of contour ditches for soil conservation. In two villages visited, it was reported that 83 % and 47% of households had constructed ditches, but this was not borne out in the landscapes we were shown. However, landholdings are very fragmented, and it was not clear whether the households had ditches on all their plots. The ditches we were shown had been dug by hired labour, and 18 months on, still had not been stabilised with plantings of agroforestry species. In one village, policy forum members were looking to additional outside money to pay for soil conservation works for the old and the poor, rather than to implementing the system of fines in order to generate the cash needed. The only other need they articulated was for more spades to dig the trenches. It may be that the real world impact that a long history of development projects has on village attitudes and agency has been overlooked.

Policy research and development – not to mention social capital – are quite abstract and not easy to understand or to facilitate. Unless field staff are very experienced, it is easy for them to lose sight of these objectives and concentrate more on material deliverables, such as ditches and lists of bye-laws. ICRAF's own policy regarding such research, to involve senior scientists with long experience in field work (Tomich 1999), needs to be put into action.

5.5 Impact and Sustainability

From our field visit, we were left wondering about the sustainability of the bye-laws. There were clearly areas of the sub-catchment that had been brought back into production through soil conservation measures, and we were taken to one farm where agroforestry systems involved a wide variety of different species and products. But likewise large parts of the sub-catchment remained unattended, and other farms appeared to have limited implementation of agroforestry with a token number of trees per plot, and we were left wondering how long the systems would last once the considerable attention brought by the project (as evidenced by the guest book) had ended.

Committee members told us the unattended plots belonged to people from other villages, who were not involved in the bye-law and planning process. But at the same time, AHI has been researching the phenomenon of "abandoned plots", and trying to develop policy for them.

5.6 Performance

	Highly Satisfactory	Satisfactory	Less than Satisfactory	Highly Unsatisfactory
Relevance	X			
Efficiency		X		
Effectiveness		X		
Impact			X	

6. OTHER INITIATIVES

6.1 Agroforestry in Landscape Mosaics: Policy Terrain around Protected Areas

This work is a collaboration between ICRAF, the staff and students of Yale University School of Forestry and Environmental Studies and the University of Georgia, exploring constraints on agroforestry in integrated biodiversity conservation and livelihoods initiatives, in 5 protected area landscapes in Mali, Cameroon and Uganda. It contributes to ICRAF's newly defined niche in global biodiversity research (in collaboration with CIFOR), to consider the potential for on-farm tree planting to contribute to landscape-level conservation objectives.

The term "policy terrain" and the idea of a "rough policy terrain" are new to the reviewers, but the realities of natural resources management and livelihoods to which they refer are already quite well-described and understood: the ambiguity and negative livelihood consequences of allowing people the subsistence use of resources, but prohibiting or requiring permits for commercial use; the ambiguity of only permitting indigenous people to harvest resources and it impact in turning these people into agents for outside traders; the impact of the legal status of trees on farms on villagers interest in planting them and the inter-relation of peoples' use of trees on farms and use of trees in forests.

This summary of five focused and comparative case studies provides a rich, though largely qualitative addition to the literature, but findings such as: the perceptions of different stakeholders vary and a lot of laws related to natural resource management are not known by villagers or officials, let alone enforced, will not surprise anyone working in the field.

Likewise, the need to promote indigenous species over exotics if agroforestry plantings are to enhance biodiversity values, and the need for conservation activities to serve livelihood goals and harness positive local practices, have long been recognised. While the research is of a good standard, it is not clear what new insights have emerged for conservation or agroforestry from the distinction made in the paper between segregated and integrated landscapes. Indeed the implication that protected areas might be "de-segregated" in order to promote conservation through livelihood development and landscape connectivity would probably be counterproductive. The different types of protected areas and the scope for zonation within them to cater to demands for products from native trees could have been discussed. Scaling up agroforestry, establishing sustainable resource management and promoting biodiversity at landscape levels, requires addressing manifold policy, economic, behavioural constraints and, in practice, is highly problematic. Since we are yet generate sufficient incentives for people to protect protected areas or manage buffer zones through agroforestry, this widening of conservation scope to the landscape level, though appealing, seems rather premature and ambitious.

We received only a brief introduction to this research, and publications that were still in draft. The more detailed case studies, to be published in a Yale series entitled "Agroforestry in Landscape Mosaics (ALAM)", may yield more novel and strategic insights. However, as presented to us, this set of projects appears more useful thesis exercises or field project preparation studies, appropriate to universities or development agencies, than highly original contributions to knowledge of an international research organisation.

While field projects may incorporate the results into their designs, the next steps for the research work are not clear – even indeed if there are to be any. The studies could have long term impact and benefit on biodiversity and livelihoods, if used to promote policy reform and agroforestry and NRM around the specific protected areas.

Recommendation # 9
The policy terrain work, although an interesting comparison from several sites across the region, does not appear to generate new insights for the global synthesis. The research should try to advance more of ICRAF's new policy research agenda. While such thesis-related research provides quality training and can contribute to field project preparation (policy context section), it should only be supported through ICRAF's donor funds if it makes an important contribution to a coherent and strategic programme of policy research.

Summary:

Although we had some doubts whether this research was sufficiently cutting-edge for ICRAF, it is part of a new and developing programme and we were not able to visit sites or meet the principal scientists involved. Thus, since the quality of the research is good, we assess it as, overall, satisfactory.

	Highly Satisfactory	Satisfactory	Less than Satisfactory	Highly Unsatisfactory
Relevance		X		
Efficiency		X		
Effectiveness		X		
Impact		X		

6.2 Amazon Initiative

Background

The Amazon Initiative (AI) is an international multi-disciplinary collaborative research and development process[11] started in 2002, to prevent, reduce and reverse environmental degradation and improve livelihoods in the Amazon. It is currently the focus for all of ICRAF's policy work in Latin America.

The AI was established in October 2004 by a consortium of six regional NARS, four CG Centres[12], and the OTCA (Amazonian Cooperation Treaty Organisation) with the collaboration of the CG wide Alternatives to Slash and Burn (ASB) programme and thus lays the foundations for collaboration between multiple stakeholders across the entire basin. The secretariat is at EMBRAPA in Belem, Brazil.

There are five research objectives for the consortium: analysing the factors affecting land use dynamics and degradation; development of sustainable land use systems; promotion of community participation; and capacity building of partner institutions. The policy objective is stated as:

> "To analyze current social, economic, and environmental policies that affect natural resource use, biodiversity conservation, and food and livelihood security in the Amazon, and thus propose alternative policies and programs to mitigate social and environmental degradation, and contribute to sustainable livelihoods and natural resource conservation."

These general policy objectives were further elaborated in a concept note for policy research in the AI, prepared by Tomich et al (2003)[13]. This posed some broad questions, such as "What is policy research?", "What are the key policy issues?" (in contrast to assessment issues) and "Which issues should AI tackle first?", and identified key themes, such as deforestation, land use change, climate change, genetic resources, but fell short of really establishing a policy research agenda or strategy for the AI, or indeed a strategic approach for planning policy research.

The activities identified for EU funding in 2003 were to set up the AI, and to establish and operationalise the policy component of the work. Eight milestones and a budget of € 299,000 were proposed. The milestones broadly involved establishing the consortium, identifying the policy research agenda (in part building on ICRAF's experience elsewhere) and starting to implement it.

Actual Activities

After some initial problems with getting commitment from consortium partners, EU funds in 2003 were used to hold meetings in Belem and Bogota, which led, eventually, to the signing of the AI Cooperation Agreement in 2004. Funds also appear to have been used to establish the position of Natural Resource Policy Specialist[14], jointly at CIAT and ICRAF, to manage the AI. Work to set up seven research and development thematic networks began in 2003, and these now involve 173 researchers. ICRAF will lead on two of these networks: sustainable land use and policy.

[11] The term "process" is used by AI in preference to programme or project.
[12] Brasil, Peru, Colombia, Bolivia, Venezuela and Ecuador ; CIAT, CIFOR, ICRAF and IPGRI.
[13] In powerpoint format.
[14] This has not yet been confirmed by ICRAF.

The only field work currently taking place through the Amazon Initiative is in Brazil, under the auspices of an NGO programme, called ProAmbiente. This grassroots initiative has been working in 12 agro-ecologically representative "poles" around the Brazilian Amazon since 2000. Their approach, which involves community organisation and planning, and farm-level land-d use planning, has proved very successful in designing and implementing sustainable resource management systems and establishing the role of rural producers as valued providers of environmental services such as carbon sequestration, biodiversity conservation, soil conservation and watershed functions, for the nation and the world. It has now been adopted by the government as a priority intervention. With EU funding ICRAF, through AI, will become involved in 2004, conducting research on trade-offs to farmers for environmental services, and to identify and promote relevant initiatives based on collective action and property rights.

Relevance

Research on issues of sustainable development in the Amazon has been going on for a long time. More coordinated activity across the whole basin, that avoids duplication, and fosters collaborative working amongst scientists, institutions and governments certainly has merit, but there is no concept note describing the overall strategy for achieving this, or the financial costs/benefits of such a network.

By all accounts, the work of Proambiente appears progressive. Since the ratification of Kyoto Protocol, carbon sequestration arrangements, and payment for environmental services generally will become increasingly important, and initiatives such as ProAmbiente will provide lessons and models applicable elsewhere.

Efficiency

The entire Latin America budget of €299,000 was spent on the AI, so it is clear that over half was spent on staff salaries, a third on "project coordination", and the rest on travel and general expenses, but it is still not possible to specify how funds were used on particular activities, and whether money was well-spent.

Effectiveness

ICRAF admit that the process went slowly in 2003, with a focus on establishing the consortium and putting together a research agenda for donor funding, rather than doing fieldwork. Part of the delay is accounted by lack of commitment by donors and the proposed partner organisations. There was less progress than hoped in fleshing out the 7 research themes. Some milestones were not achieved until 2004, and some not at all. It is too early to comment on effectiveness with regard to policy objectives, and not possible to comment on effectiveness in establishing the consortium. It was observed that the operation of this network is going to be very expensive – convening workshops for participating scientists from so many countries is likely to cost at least $20,000 a time. And the world seems full of these international research networks conducting workshops.

Impact and sustainability

Impact and sustainability of this work will clearly depend on AI's ability to identify the really important issues that will attract funds and make the network operational. There does not appear to be a very coherent strategy for doing this.

From the milestones for 2004 and 2005, it is hard to see where the programme is going – as only a few countries are involved. What, for instance, is the strategy for identifying gaps, overlaps and priorities for research and development in the policy landscape? Where is the costed proposal for the experiments policy and institutional innovation, to be put in place in

several catchments? It might be asked whether EC funds for policy research should be spent on trying to establish a network, as opposed to pursuing more concrete policy objectives.

Recommendation # 10
Ensure the Amazon Initiative adds real value to the research already being done in the region, and in particular, that it is designed to deliver real benefits to the rural poor. It must not be another expensive international research network that mainly provides workshops for researchers. The overall AI policy agenda and strategy needs further clarification, and this could be done by a small core team of collaborators.

Recommendation # 11
A valuable contribution could be made in exploring new cost-effective methods for AI-type networks to interact.

Performance

	Highly Satisfactory	Satisfactory	Less than Satisfactory	Highly Unsatisfactory
Relevance	x			
Efficiency		x		
Effectiveness		?		
Impact		?		

7. MANAGEMENT ISSUES AT ICRAF

The Policy Reform proposal for the EU was put together in a rather ad hoc way – each regional office contributed some one-line milestones. These were reviewed by the core team for Policy Reform work. As long as an idea made general sense in terms of previous or on-going activities, it was accepted, without much more scrutiny (regarding staffing, coherence etc). Managers admitted that there was a tendency to treat the proposal as a "wish list". The EU money appears to have been used as "attributed" or "unrestricted" funds, in many cases paying for general staff time, rather than being used for specific activities. As a result when it came time for the evaluators to review progress, it was difficult for project managers to clarify to what activities the milestones related and what they had actually achieved – particularly for work outside Africa. This said, the nine-month effective planning horizon for EC funds makes it difficult for ICRAF to do more. €600,000 is a lot of money to spend on concrete policy activities with a one year funding horizon.

For the purposes of the monitoring mission, ICRAF prepared an annotated version of the report to the EC, detailing what they see as the relevance, efficiency and effectiveness of the research. While this was a useful initiative, it rather masked the more important issue of the lack of congruence between expected milestones and actual milestones. ICRAF does operate a decentralised research system, but the evaluators felt that headquarters should maintain

greater awareness of regional activities, both for the purposes of simple accountability and for quality control.

The evaluators requested a breakdown of use of funds according to specific activities and milestones for 2003, but this was not available, and we were told that a lot of time would be needed for the accounting system to generate this data. This does appear to be a shortcoming of project management and accountability that should be addressed. Other CG centres have more flexible accounting systems able to trace how money is spent, and this is one reason that the EC has in the past felt able to provide unrestricted funds.

Recommendation 12
ICRAF should adapt its accounting system to enable it to report to donors in more detail on use of funds..

Recommendation 13
ICRAF HQ should tighten up supervision of the regional programmes, to enable global accountability of programmes and overall consistency and quality control of project proposals and performance.

8. EVALUATING THE EVALUATION: THE TERMS OF REFERENCE

The TOR for this evaluation appear to be in the standard EC format for development projects. As for CIFOR's biodiversity research (Mackenzie and Torquebiau, 2003), they were less appropriate for the evaluation of multi-faceted programmes like ICRAF's Policy Reform, that are linked to a myriad of other initiatives, and supported, effectively, with unrestricted funds. ICRAF uses the money in this way because the EC provides it:

- with minimal proposal and reporting requirements,
- for a number of different activities,
- for on-going rather than newly commissioned work
- for only one year at a time.

The monitoring format however, relates tightly to a single project designed with a logframe and budget - and if the EC does not require these, and permits support to multiple projects, then the format is very unwieldy to use.

Recommendation # 14
If funding recommendations are adopted (see **Recommendation 16**, below), then the format of the Evaluation TOR could be retained, with minor changes to reflect proposal and reporting requirements. If it is not adopted, then the TOR require a major revision.

Either the recipients should be required to produce more detailed proposals (with logframes and budgets), more detailed monitoring and reports, and funding reduced to a few specific projects, or the TOR should be revised and restricted to questions of relevance, research quality and impacts.

9. GENERAL CONCLUSIONS AND RECOMMENDATIONS

The portfolio of research under the "Policy Reform" programme is diverse and heterogeneous in both relevance and quality.

ICRAF has increasingly emphasised policy work as a feature of agroforestry and natural resources research, reflecting the more general imperative over the last few decades for research to move off the research station and into the real lives of stakeholders and society in order to achieve impact.

Policy work in international agricultural research has evolved over the years, and a continuum of approaches can be identified. The most basic response of researchers to donor demands for impact has been to draw out policy implications of research work and to disseminate research findings in workshops, or published "policy briefs", with policy makers as target audiences (e.g. ICRAF's ASB policy briefs). With the short-term funding horizons of much donor support, this "conventional" approach may lead, however, to some amount of "repackaging" – things that were once conceived of as new technologies, action plans or strategies to improve project implementation – are now presented as policy recommendations. Information is made available in a more accessible format, but beyond that, it is unclear whether this serves any real purpose. There still appears to be two broad cultures – the researchers and the governments – that have different priorities, speak different languages and interact ineffectively. ICRAF's efforts to improve this must be noted (e.g. NSS approach in Thailand and Indonesia; engagement with policy makers at multiple scales in Indonesia).

At the next level of policy research, that we call "progressive", policy change becomes part of the research agenda and stakeholder participation an important approach. Decision makers are more actively involved in the research process, and their interests drive the agenda. Research activities are harnessed to provide a common focus for stakeholder thinking and the concrete evidence on which old policy can be assessed and new policy can be developed. Policy activities then punctuate the research process, and are integrated into it.

At the other "strategic" end of the continuum, efforts to analyse, influence and change policy become much more focussed, and policy processes themselves become topics for research. This is well-described by Start and Hovland (2004), who conceive of a "context, evidence, links framework". With a particular intervention area in mind, specific efforts are made to analyse existing policies and problems with their implementation, to analyse policy and decision-making processes, as well as policy makers and policy shapers – key people in the decision system – and understand their information needs and working practices. Problems and information gaps and leverage points are identified. Research is then designed to respond to these needs and generate information to answer specific questions. The information is packaged and disseminated in ways tailored to these particular audiences, and channelled back into the decision-making process. The process itself is monitored, and scope for improving the impact of information is pursued. In this approach, stakeholder participation has broadened from mainly policy makers, to include policy shapers, and strategies are also developed to ensure the voices of the poor and other intended beneficiaries are heard and real ownership of decisions is achieved. Finally, attention is paid to the question of implementation of policy, to institutional issues and other constraints that so often prevent good policy from being translated into good action. These efforts require much longer-term engagement and real partnership between researchers and decision makers.

By ICRAF's own definitions (Tomich 1999, 2004) policy research is currently aimed somewhere between the progressive and strategic types outlined above. There is some attempt to understand policy makers' information needs and generate the evidence needed for policy change, but it is unclear how widely shared is ICRAF's agenda of agroforestry promotion. Little attention as yet is paid to understanding policy making processes and personalities, or strategically engaging to promote policy change and implementation, and to achieve impacts. The statutes are full of great policies and laws that never get implemented –

and often of which local government and law enforcers are not even aware. Policy is important. However, we must not lose sight of the fact that policy change is not an end in itself. It is a means to achieving positive impacts, and it seems that these impacts are still eluding us.

Some of the complexity of the 25 loosely linked milestones with which the present evaluation mission was presented, can be seen as a strategy by ICRAF to achieve longer-term policy objectives, through a patchwork of short-term funding mechanisms, but the evaluators feel that other of the work included in Project 1.3 should not be called "policy research". Some activities only loosely involve policy and appear to have been "retro-fitted" to the Policy Reform agenda, to justify expenditure of EC funds.

Overall, the results of the Policy Reform work are satisfactory, but if the EC is really interested in cutting-edge policy research, in future, it should insist that the work become more focussed and strategic. Policy Reform work could become a separate thematic area for ICRAF – rather than a part of Environmental Services. It could, thus support and feed back into all aspects of ICRAF's research by developing approaches to promote effective linkages from problem identification, analysis of policy context, generation of relevant evidence, feedback into policy processes, and analysing and removing constraints to policy implementation, to achieving positive impacts.

Results are, overall, satisfactory.

	Highly Satisfactory	Satisfactory	Less than Satisfactory	Highly Unsatisfactory
RUPES		X		
NSS		X		
Trans Vic		X		
Byelaws for NRM		X		
Policy Terrain		X		
Amazon Initiative		X		
International Conventions		X		

Recommendation # 15
The Policy Reform programme should concentrate its activities at the progressive and strategic end of the research continuum. All ICRAF's projects should channel information to decision makers and policy shapers, but projects that only do this should not be considered "policy research". The one exception to this might be ICRAF's contributions to international conventions.

Recommendation # 16
As a cross-cutting issue, policy merits some degree of "soft" funding to enable responsiveness to unpredictable opportunities for inputs on policy matters and emerging issues. However, while maintaining the level of its global contribution, the number and range of activities should be reduced, the funding period increased to three years, and more information and justification should be required in proposals and reports.

Annex 1

EUROPEAN COMMISSION
EuropeAid Cooperation Office

Horizontal operations and Innovation
Food security

TERMS OF REFERENCE

Final

FOR MONITORING OF THE CGIAR[15] PROJECTS

CO-FUNDED BY THE EUROPEAN COMMISSION IN 2003

IN A.C.P., ASIA, LATIN AMERICA AND THE MEDITERRANEAN REGIONS

Through the "Food Security and Food Aid" Budget line

1) BACKGOUND

Investments in agricultural research are needed in order to develop the most appropriate agricultural technologies, management strategies and policies for sustainable development. Environmentally and socially responsible increases in agricultural productivity and diversification of agriculturally based livelihood options, will enable developing countries to take advantage of new opportunities offered by national, regional and world markets. The **CGIAR** established in the early Seventies, aims at contributing to food security and poverty eradication in developing countries through strategic research, research partnerships, capacity building and policy advice.

Europe has been involved in the CGIAR since its beginning in 1971 and it represents now the most important share of the overall funding (about 45% of the annual CGIAR budget of roughly 400 M€). The EC, as one of the largest EU contributor (about 22 M€ in 2003), has a vital interest to participate in the strategy formulation and agenda setting of the CGIAR, including current discussions for policy and institutional reform. In order to provide a solid basis for continued support, the elements of a strategy for EU's investments in the CGIAR have been formulated (Annex 1).

EC resources are allocated to a defined number of CGIAR projects that are generally co-funded by several donors. Budgets and work-plans are proposed by Centres, reviewed by the CGIAR Science Council, and examined / endorsed by the CGIAR Members for funding each year for the following year. Pledges are then made at the end of the calendar year at the latest with advance payments due at the beginning of the following year.

Annual donor commitments are made against a budget on a project basis, in principle

[15] Consultative Group on International Agricultural Research

without any breakdown for each individual donor. At the end of each budget period, Centres provide detailed financial reports for each donor. The annual allocations of EC funds to specific projects may vary from one year to another, as a consequence of changing priorities in the wake of the CGIAR restructuring and reform process. However, a lot of attention is given to ensure continuity in the EC support provided to selected projects. The methodology for selecting the projects to be supported by the EC annually and the resource allocation mechanism is described in Annex 2.

The detailed list of programmes / projects targeted by EC funding through the "Food Security and Food Aid" budget line in 2003 is given in Annex 3. A "sample" will be subject to the present monitoring exercise.

2) OBJECTIVES

The monitoring exercise is clearly foreseen in the Financing Proposal endorsed by the EU Member States in May 2002. Its main purpose is to review the progress made by the selected projects according to their milestones (as described in the medium-term plan of the respective Centres) and to evaluate accordingly the possible need of reorienting the EC funding to these projects in the coming years.

More specifically, the experts will assess mainly, as defined below, the relevance, efficiency and effectiveness of each of the EC supported projects selected for monitoring, and particularly with regard to the EC support strategy for the CGIAR and to the needs of targeted partners. The expertise has to be regarded as a monitoring exercise rather than a full project evaluation per-se. The consultants need to take a broader look than a single year time frame. In addition, since not all outputs from a particular project are necessary dependent on EC funding, it might be necessary to examine components of projects that were not directly linked to EC-funding.

For that purpose, it will be necessary to examine, among others, the following issues:

At the level of the projects:

- ⇨ Is the project designed with the participation of intended beneficiaries and in response to their specific and defined needs?
- ⇨ Does the project effectively focus on small-scale farmers' needs?
- ⇨ Is it likely to contribute to food security and rural poverty alleviation?
- ⇨ Will the project contribute to improving knowledge and techniques, as well as ensuring their adaptation and adoption by the NARS and target groups?
- ⇨ Are dimensions such as social, economic, local and personal producer strategies for food security and the environment taken into account?
- ⇨ Are the project objectives relevant to current ARD state of the art and does the project not replicate known research?
- ⇨ Is the team best placed to conduct research on the proposed issues?
- ⇨ Do the individual scientists or teams involved have the necessary capabilities to carry out the project?
- ⇨ Are adequate scientific, technical and social partnerships implemented?
- ⇨ Does the project promote inter-institutional co-operation with other stakeholders?
- ⇨ Can the equipment and methods to be employed in the project lead to the expected results?
- ⇨ Are the work programme, budget, human resources and timetable, as well as management procedures, adequate to achieve the expected results of the project?
- ⇨ Are proper monitoring and evaluation systems incorporated, including farmers' perspectives?

- ⇨ In which way does the research project contribute to an (intended or ongoing) innovation process that is carried forward by private sector firms, by collective organisations in agriculture and by development agencies?
- ⇨ The monitoring exercise requires an examination of project outputs in terms of reports and technical papers. Therefore the monitoring teams should also examine the quality of such reports, along with the usefulness of the project logical framework and how well it has been used as a planning tool.

At the level of the Centres

- ⇨ How does the Centre support the project and ensure the quality control of their activities?
- ⇨ Is the support process enforced by the Centre's headquarters and/or local offices to the project, efficient and adapted to its needs?
- ⇨ How does the project contribute to the overall objectives of the Centres and to the CGIAR as a whole? How does it fit the general policy of the Centre and of the CGIAR?

During the missions in countries, a visit to some EC rural development projects or projects (co-) funded by Member States or FAO and to the local NARS will be included in order to assess the synergies among the results of the research carried out by the Centres and their adoption by the beneficiaries.

3) SELECTED PROJECTS

A sample of projects among those co-funded in 2003 by the EC through the "Food Security and Food Aid" budget line has been selected for monitoring:

- **CIMMYT**:
  Challenge programme: Unlocking genetic diversity in crops for the resource poor (now named GENERATION – cultivating plant diversity for the resource poor)

- **ICLARM**:
  project IP-3: Genetic improvement and breeding

- **ICRAF**:
  Project 1.3: Analysing and supporting policy reform

- **IITA**:
  project A: Preserving and enhancing germplasm and agro-biodiversity

- **ILRI**:
  project 4: Livestock genetics and genomics

- **IPGRI**:
  project D11: Genetic resources policy and law

- **WARDA**:
  project 1.4: Creating Low-Management Plant Types for Resource-Poor Farmers in Rain-fed Ecosystems

Annex 4 provides the main features of these projects.

4) METHODOLOGICAL ASPECTS

a) **Main reference documents** to be made available by the Centres:

- ⇨ CGIAR Centres Medium Term Plans 2002-2004 / 2003-2005
- ⇨ CGIAR Centres external reviews and relevant Cross-Centre and Programme Reviews
- ⇨ CGIAR Centres reports (technical, financial, audit reports, etc.) relating to the projects.

b) **Monitoring criteria to be utilised for each selected project**

i) **Relevance:** the relevance of a project relates primarily to its design and concerns the extent to which its stated objectives correctly address the identified problems and real needs at two points in time: when the project was designed and at the time of monitoring.

- ⇨ Identification of real (as distinct from perceived) problems or needs and of the correct beneficiaries, and how well the project's initial design addressed them,
- ⇨ Complementarity and coherence with related activities undertaken elsewhere,
- ⇨ The quality of the entries in the assumptions, risks and conditions column of the of Log Frame at the appropriate levels,
- ⇨ overall design strengths and weaknesses including :
    - quality of the Log Frame ,
    - clarity and internal consistency of the stated overall objectives, purpose and results,
    - whether the objectively-verifiable indicators of achievement (OVIs) were well-chosen and widely agreed,
    - realism in choice and quantity of inputs,
    - overall degree of flexibility and adaptability to facilitate rapid responses to changes in circumstances.

ii) **Efficiency:** The efficiency criterion concerns how well the various activities transformed the available resources into the intended results (sometimes referred to as outputs), in terms of quantity, quality and timeliness. A key question it asks is "were things done right?" and thereby also addresses value-for-money, that is whether similar results could have been achieved more by other means at lower cost in the same time. The analysis of the efficiency will therefore focus on:

- ⇨ The quality of the research from various points of view :
    - scientific,
    - technical,
    - social,
    - policy, etc
- ⇨ The quality of day-to-day management, for example in :
    - management of the budget (including whether resources allocated were utilised as planned in the project descriptions, e.g. geographical areas) ;
    - management of personnel, information, property, etc
    - whether management of risk was adequate, i.e. whether flexibility was demonstrated
    - in response to changes in circumstances ;
    - relations/co-ordination with local and national authorities, institutions, beneficiaries, other donors ;
    - respect for deadlines ;

- ⇨ costs and value-for-money : how far the costs of the project were justified by the benefits - whether or not expressed in monetary terms - that they generated , in comparison with similar projects or known alternative approaches, taking account of contextual differences ;
- ⇨ Contributions from donors: were they provided as planned, were communications good?
- ⇨ quality of internal CGIAR Centre monitoring : its existence (or not), accuracy and flexibility, and the use made of it,
- ⇨ whether the chosen indicators of efficiency were suitable and, if not, whether management amended them ;
- ⇨ did any unplanned results arise from the activities ?

iii) **Effectiveness:** the effectiveness criterion concerns how far the project's results were used or their potential benefits were realised - in other words, whether they achieved the project purpose. The key question is what difference the project made in practice, as measured by how far the intended beneficiaries really benefited from the products or services it made available. The analysis of the effectiveness will therefore focus on :

- ⇨ whether the planned benefits have been delivered and received, as perceived mainly by the key beneficiaries,
- ⇨ the appropriateness of the indicators of benefit used in the above assessment to measure achievement of the project purpose; this should include a judgement on how promptly and effectively the Centre management reacted to any changes that occurred following the initial design by amending indicators found no longer to be appropriate ;
- ⇨ whether behavioural patterns have changed in the beneficiary organisations or groups at various levels; and how far the changed characteristics have produced the planned improvements (e.g. in productivity or ability to generate actions which lead to economic and social development) ;
- ⇨ whether any shortcomings at this level were due to a failure to take account of cross-cutting or overarching issues such as gender, environment and poverty during implementation ;
- ⇨ whether the research outputs represent added value to existing / new (sub-) regional / national initiatives and are supported by related policies / measures at these levels.

iv) **Impact and sustainability:** these two important issues relate to the longer-term effect of the project on beneficiaries. Though difficult to fully appraise through a short-term mission, some indication should be stated on these issues.

v) **Performance rating:** monitoring teams should include in their assessments an overall performance rating for each of the above three monitoring criteria, on the basis of the following scale :

- ⇨ highly satisfactory : fully according to plan or better ;
- ⇨ satisfactory : on balance according to plan, positive aspects outweighing negative aspects ;
- ⇨ less than satisfactory : not sufficiently according to plan, taking account of the evolving context; a few positive aspects, but outweighed by negative aspects;
- ⇨ highly unsatisfactory : seriously deficient, very few or no positive aspects).

Each rating should be stated as part of the conclusions for each of the three criteria.

5) REPORTING

c) **Reports, presentations required for each selected project** : debriefing presentations to the EC, draft report, final report

d) **Language** : English

e) **Date of delivery** : draft report within 15 days after the mission, final report within 10 days after reception of the comments from the EC (due 30 days after reception of the draft report)

f) **Number of copies required** : 5 copies of the draft reports and 10 copies of the final reports

g) **The main text** of a monitoring report should not exceed 20 pages, plus Annexes, plus an Executive Summary of no more than 2 pages with fully cross-referenced findings and recommendations.

h) **The main sections** of the monitoring report for each selected project will be as follows :

1- Executive Summary: a tightly drafted, to the point and free-standing Executive Summary is an essential component. It should be short, no more than two pages. It should focus mainly on the key purpose or issues of the monitoring, outline the main analytical points, and clearly indicate the main conclusions, lessons learned and specific recommendations. Cross-references should be made to the corresponding page or paragraph numbers in the main text that follows. See format in annex 5

2- Main text: the main text should start with an introduction describing, first, the project to be monitored and, second, the monitoring objectives. The body or core of the report should follow the three monitoring criteria mentioned above, describing the facts and interpreting or analysing them in accordance with the key questions pertinent to each criterion.

3- Conclusions and recommendations: these should be the subject of a separate final chapter. Wherever possible, for each key conclusion there should be a corresponding recommendation. The key points of the conclusions will vary in nature but will often cover aspects of the key monitoring criteria (including performance ratings - see above), that is :

- ⇨ *Relevance* : whether the design of the project was originally, and still is, sound as regards targeting the real needs and problems of the right beneficiaries;
- ⇨ *Efficiency* : whether the same results could have been achieved at lower costs; or whether there might have been different, more appropriate ways of achieving the same results;
- ⇨ *Effectiveness* : whether the planned benefits were in fact received, whether the beneficiaries' behavioural patterns changed, whether neglect of cross-cutting issues affected the achievement of the project purpose;

Recommendations should be as realistic, operational and pragmatic as possible; that is, they should take careful account of the circumstances currently prevailing in the context of the project, and of the resources available to implement them. They could concern policy, organisational and operational aspects.

4- Annexes: the report should include the following annexes:

- ⇨ The Terms of Reference of the monitoring
- ⇨ The names of the evaluators and their companies (CVs should be shown, but summarised and limited to one page per person)
- ⇨ Map of project area implementation,
- ⇨ Calendar of visit and list of persons/organisations consulted
- ⇨ Literature and documentation consulted
- ⇨ Other technical annexes (e.g. statistical analyses)
- ⇨ 1-page DAC summary, following the format incorporated in the contract and annexed to this document (see Annex 6 attached).

6) EXPERTISE REQUIRED AND CONTRACTOR'S REQUIREMENTS

6.1. for all Centres

The contractor will have to provide, for each selected project, two high level experts:

- One specialised on the scientific area of the project
- One specialised on the assessment of economic and social impact of agricultural research projects

Criteria for selecting experts are:

- Strong experience in monitoring and evaluation of ARD projects
- Strong background in the socio-economic approaches for assessing the impacts of ARD projects, ,
- Significant background in management of scientific projects
- Good knowledge of the CGIAR system, without any current commitment in Centres management (e.g. Board member) or projects

For each project to be monitored, a short-term mission is foreseen, combining:

- a visit to the CGIAR Centre in charge of its implementation and
- a field visit to a characteristic component of the project on the following basis (location to be proposed by the Contractor):
  - Outside the country of location of the Centre's headquarters,
  - Preferably in one of the priority countries of intervention of the "Food Security / Food aid" budget line, or
  - Possibly in a country where significant EC funded rural development projects, or projects (co-) funded by Member States or FAO, related to the CGIAR visited project theme, are implemented.

In each country, a visit to the EC Delegations, to the local NARS and when relevant to the above mentioned development projects will be included during the missions.

6.2. other considerations

The contractor will submit up to four Curriculum Vitae for each required expert, ranked by order of preference, for a final choice by the European Commission.

Experts will have debriefing meetings at the European Commission in Brussels, before and after their mission.

The contractor is invited to send to the European Commission a technical and a financial offer. The total amount for the monitoring of the selected projects should not exceed € 300,000.

The contractor will have to complete the work, i.e. to send the final reports to the EC, within a six-month period after signature of the contract.

Annex 2: ICRAF Proposal to the EC: Africa, Asia and Latin America

International Centre for Research in Agroforestry (ICRAF)

Project 1.3: Analyzing and Supporting Natural Resource Policy Reform in Africa

Objective: Identify, analyse and contribute to reform of policies and institutions affecting management of natural resources and adoption of agroforestry systems, and support stronger developing country leadership in ecosystem assessment to realize its full potential for impact on policy and on the development of national poverty reduction strategy papers as well as on the development of environmental strategies.

Outputs:

1. Information on natural resource management and rural poverty problems and priorities channelled into policy and strategic planning at local, national and regional levels.
2. Information and support for reform and implementation of forest and land-tenure policies that enhance livelihood security and ability to benefit from agroforestry for vulnerable rural populations.
3. Information and support for policies and strategies that enhance performance of rural institutions governing management of water, land and tree resources.
4. Refinement of impact-oriented policy research approaches, methodologies and tools, and training of national scientists in their use.
5. Information on convergence and tradeoffs among local, national and international interests provided to international policymakers (e.g., UN Convention on Forests, Convention on Biological Diversity, UN Convention on Desertification).
6. Enhanced capacity of national stakeholders (policymakers and scientists) for use of tools and methodologies of ecosystem assessment, scenario formulation, adaptive environmental management and negotiation support processes across scales and interest groups.

Gains:

1. Smallholder farmers and entrepreneurs adopt agroforestry systems and use AF products at levels that significantly increase family welfare, general rural employment and satisfy society's desires for environmental services.
2. Smallholder farmers, community groups, local authorities and national policymakers work to conserve key natural resources in vital watersheds in Nile and Zambezi Basins.
3. Policy makers and development agencies make more informed decisions on policy and resource allocation related to natural resource management and agroforestry.
4. NARS and university partners in Uganda, Tanzania, Kenya, Ethiopia, Malawi, Zambia, Cameroon and Zimbabwe refine and apply policy research tools to priority natural resource and poverty problems.
5. International mechanisms are modified to more effectively harmonize local environmental stewardship and sustainable development.

Duration: 2002 to 2006

Milestones:

2003:

- 200 hundred copies of *Innovation in Natural Resource Management* distributed to libraries and research institutes across Africa.
- Support provided to UN-Economic Commission for Africa and national and regional governments in Nile Basin to modify land-tenure policies biased against vulnerable groups.
- Policy dimensions of regional agroforestry consortia strengthened through workshops and study tours.
- Workshop held in West Africa Sahel to identify ways forest codes constrain tree planting and management and entry points for reform and implementation of less restrictive laws.
- Studies of policies and procedures affecting regional and international trade in indigenous fruits and medicinal plants initiated in humid West Africa and Southern Africa.
- Study undertaken of policy constraints to on-farm cultivation of Non-Timber Forest Products (NTFPs) in humid West Africa.
- Groups of local and national policymakers in Ethiopia, Kenya, Uganda, Zambia, Zimbabwe and Malawi identify and rank policies and regulations affecting adoption of short-term and long-term agroforestry systems.
- Socioeconomic, ecological and technical information from watershed management studies disseminated to policy fora in Nile Basin
- Experiments in policy/institutional innovation instituted in selected catchments in Nile Basin.
- Policy-Analysis Matrix (PAM) used to identify key policy factors affecting payoffs to alternative approaches to soil fertility in Zambia, Zimbabwe and Malawi.
- Papers summarizing experience with alternative approaches to action-oriented policy research disseminated and used as basis for training materials.
- Synthesis of institutional lessons and insights from comparative process analysis across countries and regions useful for future ecosystem assessments.

2004

- Experiments in policy and institutional innovation put in place with environmental management agencies in selected catchments in Lake Victoria Basin.
- National and regional exchange visits of policymakers in Sahel conducted to illustrate how forest codes can be modified to enhance farmer incentives for tree planting and tree management.
- Studies of policies and procedures affecting regional and international trade in indigenous fruit in humid West Africa and Southern Africa completed.
- Study contribution of domesticated high-value trees in management of protected areas and buffer zones completed.
- Completed study of policy constraints to on-farm cultivation of NTFPs as opposed to harvesting from wild.
- Policymakers in Eastern and Southern Africa provided with policy reform options that enhance farmer incentives to adopt sustainable strategies for soil-fertility enhancement.
- Research reports and journal articles on market chain, soil fertility and fuel wood policy produced.
- Training materials for action-oriented policy research disseminated widely and used in national and regional training courses.

2005

- Socioeconomic, ecological and technical information from watershed management studies continues to be disseminated to policy fora in Nile Basin.

- Guidelines for modifying and implementing new forest codes developed and disseminated throughout Sahel.
- Engagement with policymakers in Eastern and Southern Africa for development of strategic plans for sustainable soil-fertility enhancement, and with policy reform at highest regional policy levels of Nile Basin
- National and regional training courses in action-oriented policy research continue..

Location of Research Activities: **Nile Basin:** Ethiopia, Kenya, Tanzania, Uganda; **Zambezi Basin:** Malawi, Mozambique, Zambia, Zimbabwe; **Humid West Africa:** Cameroon, Nigeria, DRC, Gabon, Equatorial Guinea; **Sahel:** Mali, Niger, Burkina Faso, Senegal

Users (Beneficiaries): Users are African researchers, policymakers at local, national, regional and global levels, development agencies (including extension) and community groups in selected case study areas. Changes in policies and innovation of new institutions will result in greater uptake of agroforestry innovations and conservation of land, water and tree resources. Welfare of smallholder women and men farmers will increase for medium and long-terms.

Collaborators in the Region: **CGIAR:** IFPRI, CIFOR, IITA, ICRISAT, ILRI, CIAT-TSBF, CAPRI, Challenge Programmes for Sub-Saharan Africa and Water and Agriculture; **Regional:** FARA, ASARECA, CORAF, African Centre for Technology Studies, Regional Land Management Unit, African Highlands Initiative, IFPRI 2020 Regional Initiative, The East and Central Africa Programme for Agricultural Policy Analysis (ECAPAPA), UN Economic Commission for Africa, the East African Community, Namur University (Belgium), Wagengingen University (Netherlands), Uppsala University (Sweden), University of Alberta (Canada), Cornell University (USA); **Cameroon:** University of Yaoundé, Ministry of Environment and Forests, Institute of Agricultural Research for Development (IRAD), Farmers groups, NGO's (SAILD, CIPCRE, ATD, CRATAD), CIFOR; **DRC:** University of Kinshasa, NGO: CARPE, Farmers groups; **Ethiopia:** Amhara Regional Agricultural Research Institute, Amhara Regional Agricultural Bureau, Ethiopian Agricultural Research Organization; **Guinea:** University of Bata, CUREF, Farmers groups; **Gabon:** University Omar Bongo Libreville, Institute de Recherché Agroforestieres (IRAF), Farmers groups; **Kenya:** KARI, Edgerton University, University of Nairobi, KEFRI, Ministry of Agriculture and Rural Development; **Malawi:** Agricultural Policy Research Unit at Bunda College, Chancellor College, Ministry of Agriculture; **Nigeria:** University of Technology Port Harcourt; IITA, NGO: CENRAD, Farmers groups; **Tanzania:** Selian Agricultural Research Institute, Sokoine University; **Uganda:** National Agricultural Research Organization, Makerere University, Africare; **Zambia:** University of Zambia; **Zimbabwe:** University of Zimbabwe

Linkages to CGIAR Outputs

Saving Biodiversity	25%
Enhancement & Breeding	%
Crop Production Systems	15%
Protecting the Environment	25%
Strengthening NARS	35%

International Centre for Research in Agroforestry (ICRAF)

Project 1.3: Analyzing and Supporting Natural Resource Policy Reform in Asia

Objective: Identify, analyse and contribute to reform of policies and institutions affecting management of natural resources and adoption of agroforestry systems, and support stronger developing country leadership in ecosystem assessment to realize its full potential for impact on policy and on the development of national poverty reduction strategy papers as well as on the development of environmental strategies.

Policy research is undertaken to solve particular natural resource management problems and is driven by demands of Asian partners and clients, including relatively new regional initiatives. A substantial portion of the policy research agenda is conducted in collaboration with the Alternatives to Slash and Burn (ASB) programme which addresses policy issues of global relevance. The policy programme in Asia has also succeeded in influencing national policy processes by maintaining long-term support for policy formulation and implementation. Action research with policy formulation at the local level is designed to identify generic principles and processes that apply across a number of countries and socio-economic conditions. Research conducted in Asia is closely linked to similar work in Africa and Latin America. Key international partners for the whole region include: CIFOR, IRD, CIRAD, IUCN, WRI. In the same manner as in Africa, this policy work is undertaken with a large range of national partners.

Outputs:

1. Information and support for forest and land tenure policies that increase farmers' security so they may implement sustainable agricultural practices, and harvest and market products of agroforestry systems.
2. Information and support for policies and strategies that increase effectiveness of rural institutions governing management of water, land and tree resources.
3. Development and testing of new policy and institutional mechanisms that compensate farmers for environmental services their sustainable practices generate.
4. Policy briefs and support regarding effectiveness of various mechanisms for compensating small-scale farmers for carbon sequestration, biodiversity, and watershed benefits their practices generate.
5. Training of national scientists in applying impact-oriented policy research approaches and tools.
6. Enhanced capacity of national stakeholders (policymakers and scientists) for use of the tools and methodologies of ecosystem assessment, scenario formulation, adaptive environmental management and negotiation support processes across scales and interest groups.

Gains (Outcomes and Impacts):

1. Smallholder farmers adopt and maintain agroforestry systems at levels that significantly increase family welfare and satisfy society's demands for environmental services.
2. Smallholder farmers, community groups, local authorities and national policy-makers work in concert to conserve biodiversity, forests, soils and water in the Mekong Basin and key upland areas of SE Asia.
3. NARS and university partners in the Philippines, Thailand, Indonesia, and Vietnam refine and apply a range of policy research tools to priority problems.

4. Policy makers and development agencies make more informed decisions on policy and resource allocation related to natural resource management and agroforestry and to transfer mechanisms for compensating small-scale farmers for environmental services.
5. International mechanisms, such as UN Convention on Forests and Convention on Biological Diversity, are modified to more effectively harmonize local environmental stewardship and sustainable development.

Duration: 2002 to 2006

Milestones:

2003

- Six pilot research sites for implementing compensation mechanisms for environmental services are selected from within Indonesia, Philippines, Thailand, Vietnam and South China.
- Existing practices for benefit-sharing in provision of environmental services are reviewed.
- Key research, development, and policy partners involved in developing functional institutions for environmental services facility are identified.
- Constraints and opportunities are identified that hinder or support an enabling social, political, and legal environment for compensation/rewards for the provision of environmental services by small-scale farmers.
- Synthesis of institutional lessons and insights from comparative process analysis across countries and regions useful for future ecosystem assessments.

2004

- New methods for environmental service transfer payments are tested in an action research mode in at least 6 pilot research areas.
- Stakeholder capacity is built to support and engage in environmental service transfer payments.
- Communication mechanisms are developed to raise awareness of potential for rewards to enhance environmental services.

2005

- Effective and sustainable institutions have been developed to manage environmental services transfer payments in pilot areas.
- Actual and projected impacts of transfer payments innovation are assessed.
- 'Best-bet' processes for developing environmental services transfer payment schemes are identified.
- Lessons learned on impacts and processes are disseminated widely to national and international policy fora and institutions such as GEF, UNEP, the World Bank..

Location of Research Activities: Indonesia, Philippines, Thailand, Vietnam, South China

Users (Beneficiaries): Users of project outputs are Asian researchers, policymakers at local, national, regional and global levels, development agencies, and community groups in selected case study areas. Changes in policies and institutional innovation will result in greater uptake of agroforestry innovations and conservation of land, water and tree resources. The welfare of smallholder women and men farmers will increase for the medium and long-term.

Collaborators in the Region:

Regional: Alternatives to Slash and Burn consortium of more than 30 partners, World Resources Institute, Systemwide Programme on Collective Action and Property Rights, Centre for International Forestry Research (CIFOR), IUCN

Thailand: Chiang Mai University, Thai Royal Forest Department

Philippines: Philippine Council for Agriculture, Forestry and Natural Resources Research and Development

Indonesia: Forestry Research and Development Agency, GAPKINDO and WATALA (NGOs), Bogor Agricultural University

Linkages to CGIAR Outputs:

Saving Biodiversity	35%
Enhancement & Breeding	%
Crop Production Systems	15%
Protecting the Environment	25%
Strengthening NARS	25%

International Centre for Research in Agroforestry (ICRAF)

Project 1.3: Analyzing and Supporting Natural Resource Policy Reform in Latin America

Objective: Identify, analyse and contribute to reform of policies and institutions affecting management of natural resources and adoption of agroforestry systems, and support stronger developing country leadership in ecosystem assessment to realize its full potential for impact on policy and on the development of national poverty reduction strategy papers as well as on the development of environmental strategies

From 2003, ICRAF will implement this work through a new inter-centre working team for sustainable development in the Amazon. Key regional partners are EMBRAPA, CIAT, CIFOR, IFGRI and the respective Ministries and universities in each of focus country. Work will be harmonized with on-going work in other humid tropical forests through the Alternatives to Slash and Burn Programme and the Rainforest Challenge Programme. Policy work will emphasize national and international policies affecting deforestation, natural resource degradation, land use and agroforestry in countries of the Amazon basin. Action research with policy formulation at the local level will identify generic principles and processes that apply across a number of countries and socio-economic conditions. Research conducted in Latin America is closely linked to similar work in Africa and Asia.

Outputs:

1. Ranges of policy and institutional arrangements that provide positive incentives for farmers and land users to adopt sustainable and profitable practices and that result in more sustainable land use mosaics at forest margins.
2. Enhanced capacity of national and regional policy-makers to address natural resource degradation and deforestation issues in the Amazon basin
3. Enhanced capacity of national stakeholders (policymakers and scientists) for use of the tools and methodologies of ecosystem assessment, scenario formulation, adaptive environmental management and negotiation support processes across scales and interest groups.

Gains:

1. Smallholder farmers effectively adopt agroforestry systems that increase family welfare.
2. Smallholder farmers, community groups, farmer associations, and local authorities work in concert to conserve key natural resources in vital sub-watersheds in the various countries in the Amazon Basin.
3. INIA, IIAP, INRENA and university partners in Peru, EMBRAPA and IBAMA in Brazil, the national agricultural and national forestry research institutions in Colombia and the Ministry of Agriculture in Bolivia refine and apply a range of policy research tools to priority problems dealing with deforestation, secondary forest management, land and tree tenure, and in land rehabilitation.

Duration: 2002 to 2006

Milestones:

2003

- New Amazon team, made up of EMBRAPA, CIAT, CIFOR, ICRAF, IPGRI and INIA (Peru), is in place.
- Other potential partners in region (Brazil, Peru, Bolivia, and possibly Colombia) identified and organizational modalities agreed to in order to expand participation and ensure region-wide policy relevance of research, education and development activities of Amazon team.
- Policy and institutional bottlenecks to adoption of sustainable practices by small-scale farmers in the Amazon identified in full collaboration with national policy-makers.
- Policy briefs prepared and disseminated regarding these bottlenecks and the associated policy and institutional options for their removal.
- Jointly-agreed programme of work in participatory policy research and capacity building of policy-makers and national scientists is developed for Amazon basin by the inter-institutional team and its national and regional collaborators.
- Implementation of agenda is initiated in Brazil and Peru.
- Experience with transfer mechanisms for carbon sequestration and biodiversity services of agroforestry systems in Asia is synthesised to serve as platform for development of appropriate transfer mechanisms (e.g., between private sector in North and farmers in Amazon), relevant to specific conditions of the Amazon.
- Synthesis of institutional lessons and insights from comparative process analysis across countries and regions useful for future ecosystem assessments.

2004

- Jointly agreed participatory research programme of work is implemented in Columbia and Bolivia
- Transfer mechanisms for carbon sequestration and biodiversity are tested at key pilot sites in Brazil, Peru and Bolivia
- Principal policy bottlenecks to farmers' adoption of sustainable practices in the Amazon part of Peru are removed.

2005

- Lessons drawn from pilot-site experiences with transfer mechanisms and policy briefs are prepared for policy makers in all Amazon countries.

Location of Research Activities in Latin America:

Amazon Basin: Brazil, Peru, with the inclusion of Columbia and Bolivia in 2003-2004

Users (Beneficiaries):

Users of project outputs are Latin American researchers, policy makers at local, national, regional and international levels, farmer associations, and community groups in selected case study areas. Changes in policies and new institutions will result in greater uptake of agroforestry innovations and conservation of land, water and tree resources. A more equitable sharing of benefits and costs of biodiversity maintenance and carbon sequestration (between the north and the south) will directly benefit farmers in the Amazon basin. The welfare of smallholder women and men farmers will increase for the medium and long-term.

Collaborators in the Region:

Regional: CIAT, CIFOR, IPGRI, CATIE, IICA, Alternatives to Slash and Burn consortium of more than 30 partners

Peru: National Agricultural Research Institute (INIA), National Natural Resources Institute (INRENA), Peruvian Amazon Research Institute (IIAP), National Ucayali University (UNU), National Agrarian University (UNA), National University of the Jungle (UNAS), Selected farmer associations

Brazil: National Agricultural Research Corporation (EMBRAPA), National Natural Resources Institute (IBAMA), Federal Acre University, Pará Agriculture Faculty (FCAP), Federal University of Pará, selected farmer associations

Bolivia: Bolivian Tropical Agriculture Research Center (CIAT-Bolivia), Bolivian Agricultural Research Foundation (FTABs), BOLFOR, Ministry of Agriculture, selected farmer Associations

Colombia: CIAT, as a member of the inter-centre team, bring in its key partners: CORPOICA (Colombian Corporation for Agricultural Research), the ministry of Agriculture, the Ministry of Natural Resources and Environment, The Colombian Forestry Research Corporation (CONIF), University of the Andes, University of Pereira.

Linkages to CGIAR Outputs

Saving Biodiversity	30%
Enhancement & Breeding	%
Crop Production Systems	25%
Protecting the Environment	20%
Strengthening NARS	25%

Annex 3: Logical Framework of Project 1.3 Analysing and supporting Policy Reform

Project 1.3 Analyzing and supporting policy reform		
Project goals	Modify government policies and institutional arrangements that have greatest impacts on agroforestry systems, thus reducing constraints on the development of systems that alleviate poverty and enhance the environment Identify, analyse and contribute to the reform of particular policies and institutions that affect the adoption of agroforestry systems by farmers	
Indicator	By 2005, have tangible impact on policies and institutions in every country where ICRAF has a sustained presence and synthesize the lessons from those successes	
Project purpose	***Outputs***	***Activities***
Purpose 1.3.1. Vulnerable groups of indigenous people who rely on agroforestry are empowered by more secure property rights.	***Output 1.3.1.*** Evidence of tangible impact on land tenure policy in all regions where ICRAF works.	***Activity 1.3.1.1***. Identify, analyze and contribute to the reform of land tenure institutions that constrain the adoption and sustained utilization of agroforestry innovations.
Indicator	***Indicator***	***Milestone***
Evidence that millions of farmers in upland SE Asia perceive that they have more secure property rights.	ICRAF contributes to the development of "Adat" policies that better protect the rights of indigenous agroforestry communities throughout Indonesia by 2002. ICRAF contributes to the development of social forestry policies that provide a foundation for mutually beneficial agreements between local communities and government agencies throughout Indonesia by 2003. ICRAF helps design and participates in policy experiments that improves tree cover in buffer zones and riparian zones in Uganda and Kenya by 2004.	Previous land tenure studies are published in the form of several journal articles, books and policy briefs by 2002.
Purpose 1.3.2: Farmers have greater incentive and opportunity to produce valuable indigenous trees.	***Output 1.3.2.:*** "Gatekeeper" forest policies are modified to improve farmers' incentives to produce those trees on farm without threatening their conservation in forest areas.	***Activity 1.3.2.1.*** Identify, analyze and contribute to the reform of forestry policies that constrain incentives for on-farm production of valuable indigenous trees.
Indicator	***Indicator***	***Milestone***
Evidence of greater on-farm production of valuable indigenous trees in key case studies by 2004.	Policy experiments, policy teams and policy fora put in place in priority countries to change key policies by 2003.	Studies of the impacts of gatekeeper policies are initiated in Southern Africa and SE Asia by 2002 and in all other regions by 2003. Studies in Southern Africa and SE Asia are completed by 2005 and in all other regions by 2006.
Purpose 1.3.3. Farmers benefit from new markets for green products and environmental services in all regions where ICRAF works.	***Output 1.3.3.*** : Policies and institutions facilitate access by smallholder farmers to new markets for green products, ecosystem products and ecosystem services.	***Activity 1.3.3.1. :*** Identify, analyze and contribute to the reform of policies and institutions that affect the ability of smallholder farmers to benefit from new markets for green products, ecosystem products and ecosystem services.
Indicator	***Indicator***	***Milestone***
Evidence that millions of smallholder farmers have benefited from environmental transfers and thousands of farmers have benefited from new markets for green products.	Policy experiments in place in several countries by 2004.	ICRAF plays a lead role in the establishment of an Asia Ecosystem Services Facility by 2002. Experiments put in place to evaluate individual, collective or

		public approaches to environmental transfer payments in Kenya, Peru and SE Asia by 2003. Experiments are put in place to evaluate alternative arrangements for certification of smallholder agroforestry products by 2003.
Purpose 1.3.4.: Identify policies and negotiation procedures that promote collective action as an efficient alternative to market exchange and government implementation.	***Output 1.3.4.*** : Government policies and negotiation procedures promote collective action between farmers, among farmer groups, and between farmer groups and public agencies.	***Activity 1.3.4.1.*** : Strategic and participatory research on different functions and forms of collective action.
Indicator Appropriate policies and negotiation procedures are identified for the many different combinations of market and political conditions that prevail across ICRAF's mandate regions.	***Indicator*** Hundreds more nursery and landcare groups and several successful federations form in the Philippines, Kenya and Malawi. Negotiations between governments and farmer representatives lead to several new community forestry agreements in Indonesia.	***Milestone*** Collective action studies are completed in Kenya, Tanzania, the Philippines, Indonesia and Thailand by 2002. ICRAF's negotiation support approach is developed and tested in watershed and buffer zone areas across ICRAF's mandate regions by 2003. Study of extension policies in Africa is completed by 2004.
Purpose 1.3.5. Provide a basis of technical and economic information and policy options for policy-makers and others engaged in the processes of policy reform	***Output 1.3.5.*** Improvement in the base of technical and economic information used to formulate and implement policies affecting agroforestry and natural resource management	***Activity 1.3.5.1.*** Determine policy-makers' interests concerning agroforestry and provide scientific information about it that is relevant to those interests
Indicator ICRAF is engaged in policy dialogue at national and local levels in all countries where it has a sustained presence	***Indicator*** ICRAF is actively engaged in processes of policy change and policy dialogue in all countries where ICRAF has a sustained presence	***Milestone*** By 2002, workshops for policy-makers will be routinely conducted in all countries where ICRAF has a sustained presence

Source : Medium-Term Plan 2003-2005

Annex 4 – ICRAF Report to the EC: Africa, Asia and Latin America

International Centre for Research in Agroforestry (ICRAF)

ICRAF – EC – TR – 2003 – Project 1.3

Analyzing and Supporting Natural Resource Policy Reform in Africa

(A) Summary and Context:

The overall **objective** is to identify, analyse and contribute to reform of policies and institutions affecting management of natural resources and adoption of agroforestry systems. Policy research is undertaken in the context of solving particular natural resource management problems and is driven by demands of African partners and clients, including regional initiatives such as the East African Community, the Economic Commission for Africa, and NePAD. This means policy research is oriented to achieve impact at multiple scales.

Outputs:

1. Information on natural resource management and rural poverty problems and priorities is channelled into policy and strategic planning processes at the local, national and regional levels.
2. Information and support for the reform and implementation of forest and land-tenure policies that enhance livelihood security and ability to benefit from agroforestry for vulnerable rural populations.
3. Information and support for policies and strategies that enhance the performance of rural institutions governing management of water, land and tree resources.
4. Refinement of impact-oriented policy research approaches and tools and training of national scientists in the use of those tools.
5. Information on the convergence and tradeoffs between local, national and international interests is provided to international policy fora.

Linkages to CGIAR Outputs: Saving biodiversity (25%), Enhancement and breeding (0%), Crop production Systems (15%), protecting the environment (35%), strengthening NARS (25%)

Users (Beneficiaries): Users of project outputs will be African researchers, policymakers at local, national, and regional levels and development agencies (including extension) and community groups in priority areas. Changes in policies and innovation of new institutions will result in greater uptake of agroforestry innovations and conservation of land, water and tree resources. The welfare of smallholder women and men farmers will increase for the medium and long-term.

B. Activities, milestones and achievements

Activities	Expected milestones for 2003	Actual achievements in 2003
1. Identify, analyze and contribute to the reform of land tenure institutions that constrain agroforestry.	Support provided to UN-Economic Commission for Africa and national and regional governments in Nile Basin to modify land-tenure policies biased against vulnerable groups.	ICRAF attended an expert panel on land tenure at the UN-ECA and continued to liaise with the commission throughout the year on land tenure policy reform. agenda. A synthesis and strategy for disseminating lessons to African governments was developed.

2. Identify, analyze and contribute to the reform of forestry policies that constrain incentives for agroforestry.	Workshop held in West Africa Sahel to identify ways forest codes constrain tree planting and management and entry points for reform and implementation of less restrictive laws.	A workshop was held on Sahelian forest code policies from 8-10 December in Segou, Mali involving research, policy, and development organizations from Mali, Burkina Faso, Niger, and Senegal. Participants noted that recent policy reforms have been positive, but problems still exist. It was recommended that ICRAF convene national discussions with key policy makers.
3. Evaluate policy constraints to on-farm tree planting	* Studies of policies and procedures affecting trade in indigenous fruits and medicinal plants initiated in humid West Africa and Southern Africa. * Study undertaken of policy constraints to on-farm cultivation of Non-Timber Forest Products (NTFPs) in humid West Africa. * Policy-Analysis Matrix (PAM) used to identify key policy factors affecting payoffs to alternative approaches to soil fertility in Zambia, Zimbabwe and Malawi.	* A comparative study of policies and institutions affecting agroforestry in areas around protected areas was conducted in Cameroon, Mali and Uganda. Reports were produced for each country study and presented at workshops with key stakeholders. The results indicate some policy problems cut across all three countries: reserved species policies, insecure land and tree tenure, and inadequate extension. * A financial analysis of several agroforestry technologies for soil fertility enhancement was completed in Zambia.
4. Determine policy-makers' interests concerning agroforestry and provide scientific information about it that is relevant to those interests	* Policy dimensions of regional agroforestry consortia strengthened through workshops and study tours. * Groups of local and national policymakers identify and rank policies and regulations affecting adoption of short-term and long-term agroforestry systems. * Papers summarizing experience with alternative approaches to action-oriented policy research disseminated and used as basis for training materials. * 200 hundred copies of *Innovation in Natural Resource Management* distributed to libraries and research institutes across Africa. * Socioeconomic, ecological and technical information from watershed management studies disseminated to policy fora in Nile Basin * Experiments in policy/institutional innovation instituted in selected catchments in Nile Basin.	* A paper on the "Implications of local policies and institutions on the adoption of improved fallows in eastern Zambia" was published in *Agroforestry Systems*. * The proceedings of a Nov 2002 workshop on "Reversing agricultural and environmental decline in the Nyando River Basin" were edited and made ready for publication. Followup activities in 2003 included: a) developing maps for planners and extension providers; b) a study of incentives, values and capabilities of county councils to undertake environmental management; c) a study of the dynamics of property rights, poverty and livelihoods; and d) engagement with the Kenya Ministry of Water and NEMA on the institutionalization of watershed management under new environment and water laws. * In October 2003, ICRAF and the FAO cohosted an African Regional Workshop on Preparing the Next Generation of Watershed Management Programmes. Results were presented at a global synthesis meeting held in Sissari, Italy, in November. * A policy committee was formed within an ICRAF-facilitated network in western Kenya to pay particular issues to policy and marketing issues related to agriculture. *117 copies of 4 ICRAF books related to natural resource management policy were freely distributed to policy makers, research

		institutes and libraries in Africa, Asia, Europe, North America and Latin America. * Socio-economic, ecological and technical information from watershed management studies were disseminated to regional, national and local fora in the Lake Victoria Basin. Results were shared with East African Community parliamentarians and in October 2003, ICRAF and the East African Community co-hosted a travelling seminar on "Reversing agricultural and environmental decline in the Lake Victoria Basin."

Location of Research Activities in Africa: Uganda, Tanzania, Kenya, Ethiopia, Malawi, Mozambique, Zambia, Zimbabwe, Cameroon, Nigeria, Mali, Niger, Burkina Faso, Senegal

Collaborators: Regional --Food and Agriculture Organization (FAO); African Centre for Technology Studies; Regional Land Management Unit (RELMA); African Highlands Initiative; IFPRI; CIFOR; The East and Central Africa Programme for Agricultural Policy Analysis (ECAPAPA); the UN Economic Commission for Africa; the East African Community; University of Alberta (Canada); Cornell University (USA). National -- Universities; agriculture and forestry research institutes; ministries of agriculture; ministries of water; national environment management authorities in study countries.

C. Difficulties encountered, measures taken to overcome them, and changes in implementation

It has become evident that ICRAF's traditional partners in agricultural and forestry research have limited abilities to undertaken policy research or to enact policy changes. We broadened our partnerships to include more universities and environmental agencies.

During 2003, ICRAF strengthened linkages to African regional organizations, particularly the East African Community and the Economic Commission for Africa. We conducted policy research in all parts of Africa.

D. Workplan for 2004 (listed as milestones for Project ES4 of revised Medium Term Plan: "Harmonizing policy for environmental stewardship and rural development in Africa"

- Technical support to the UN CCD group on agroforestry and land management.
- Engage government agencies in the Lake Victoria Basin to better harmonize environmental management, agricultural development and poverty reduction strategies.
- Complete a conceptual framework for analysis of multi-level constraints to sustainable development that clarifies appropriate roles for meso-level institutions.
- Complete multi-country study of constraints to tree management around conservation areas.
- Develop an Africa-wide project on processes for harmonizing environmental management, agricultural development and poverty reduction strategies.
- Provide technical advise to the reform of policies and programmes affecting the production and use of woodfuel in East Africa.

- Synthesize, document, and disseminate lessons learnt on perverse incentives of forest codes on tree management to national and local policy makers in Mali, Burkina Faso and Senegal.

Budget 2003: 50,000 Euros (brought forward from 2002)

International Centre for Research in Agroforestry (ICRAF)
ICRAF – EC – TR – 2003 – Project 1.3:
Analyzing and Supporting Natural Resource Policy Reform in Asia

(A) Summary and Context:

Objective: The overall objective for Project 1.3 in Asia is to identify, analyse and contribute to the reform of policies and institutions affecting management of natural resources and adoption of agroforestry systems. Policy research is undertaken to solve particular natural resource management problems and is driven by demands of Asian partners and clients, including relatively new regional initiatives. As such, it is impact-oriented. A substantial portion of the policy research agenda is conducted in collaboration with the Alternatives to Slash and Burn (ASB) project which addresses policy issues of global relevance. The policy programme in Asia has also succeeded in impacting on national policy processes by maintaining long-term support for policy formulation and implementation. Key partners for the whole region include: CIFOR, IRD, CIRAD.

Outputs:

7. Information and support for forest and land tenure policies that increase farmers' security so they may harvest and market products of agroforestry systems.
8. Information and support for policies and strategies that increase effectiveness of rural institutions governing the management of water, land and tree resources.
9. Development and testing of policies and institutions to reward upland farmers for ecosystem services that they generate.
10. Training of national scientists in applying impact-oriented policy research approaches and tools.

Linkages to CGIAR Outputs: Saving biodiversity (35%), Enhancement and breeding (0%), Crop production Systems (15%), protecting the environment (35%), strengthening NARS (25%)

1. Activities, achievements and results

Activities	Expected milestones for 2003	Actual achievements in 2003
Conduct demand-driven research on forest and land tenure.		The negotiation support work in West Lampung, Indonesia, helped to establish formal criteria and indicators for the evaluation of the temporary land leases in the protection forest domain – a breakthrough for the sustainability and replication of these novel mechanisms that help transcend the (often violent) conflicts from the past.
Develop and test policies and institutions to reward upland farmers for ecosystem services they generate.	* New methods for environmental service transfer payments are tested in an action research mode in at least 6 pilot research areas. * Stakeholder capacity is built to support and engage in environmental service transfer	* Excellent progress was made with the RUPES project – Rewarding the Upland Poor of Asia for the Environmental Services they Provide. A web site was designed and made operational (www. http://www.worldagroforestrycentre.org/sea /Networks /RUPES). Two issues of the RUPES newsletter were issued. Preliminary

	payments. * Communication mechanisms are developed to raise awareness of potential for rewards to enhance environmental services.	lists of 'environmental brokers' (19K PDF) at global level and possible funding sources (20K PDF) for environmental services reward schemes have been identified. * Six RUPES working papers were published and disseminated. * Forty sites from around south and southeast Asia were suggested as candidate action research sites. Of those sites, six were approved by the RUPES International Steering Committee (ISC) to start the action research on testing reward mechanisms. These include the Kalahan Reserve and ancestoral domain in the Philippines, the Kulekhani watershed in Makwanpur district, Nepal, the Bungo Watershed in Jambi Province, Indonesia, the Sumberjaya watershed in Jambi province of Indonesia, and the Singkarak Watershed in West Sumatra Province in Indonesia. Seven associated (partner-funded) sites were also approved. * Five specific studies were initiated to facilitate the understanding and implementation of RUPES. 1. Institutional Constraints and Opportunities and Steps for Institutional Reform in Providing Rewards for Environmental Services in Indonesia. 2. Rewarding Upland Poor for the Environmental Services they provide: rationale, typology and critical questions to be answered. 3. Review of the Development of Environmental Services Market in Indonesia. 4. A Scoping Study to Design an Information Support System for the RUPES Project. 5. Rewarding upland farmers on environmental services they provide: experiences, constraints and potential in Vietnam.
Training of national scientists in policy research tools		First RUPES training course held and training manual drafted.

Location of Research Activities in Asia: Indonesia, India, South China, Nepal, Thailand, Vietnam, Philippines

Collaborators: Regional -- Alternatives to Slash and Burn; World Resources Institute; Systemwide Progamme on Collective Action and Property Rights; Centre for International Forestry Research (CIFOR); IUCN; Conservation International. National -- Universities; agriculture and forestry research institutes; ministries of agriculture; ministries of water; national environment management authorities in study countries.

2. Difficulties encountered, measures taken to overcome them, and changes in implementation

It became obvious that the RUPES project required strong project management and substantial inputs from a senior ecologist in order to meet its ambitious objectives. An experienced project manager was recruited. Ecologist expertise is provided by the Regional Coordinator.

The RUPES project – rewarding the upland poor of Asia for the environmental services they provide -- was made fully operational in 2003. A full-time project manager was appointed, a number of review papers were initiated and published, a web site established, and action research sites in the Philippines, Indonesia and Nepal approved by the project steering committee.

D. Workplan for 2004 (listed as milestones for Project ES4 of revised Medium Term Plan: "Harmonizing policy for environmental stewardship and rural development in Asia."

- New environmental service transfer payments methods in an action research mode are tested in at least 6 pilot research areas.
- Stakeholder capacity is built to support and engage in environmental service transfer payments.
- Communication mechanisms are developed to raise awareness of the potential for rewards to enhance environmental services.

Budget 2003: Funds brought forward from 2002 – 155,000 Euros
Budget 2003: –- 371,000 Euros
Total –- 526,000 Euros

International Centre for Research in Agroforestry (ICRAF)

ICRAF – EC – TR – 2003 – Project 1.3

Analyzing and Supporting Natural Resource Policy Reform in Latin America

(A) Summary and Context

The overall **objective** for Project 1.3 in Latin America is to identify, analyse and contribute to reform of policies and institutions affecting management of natural resources and adoption of agroforestry systems. Policy research is undertaken in the context of solving particular natural resource management problems and is driven by demands of Latin American partners and clients, including relatively new regional initiatives. This means policy research is impact-oriented. In addition to national policy makers and international policy shapers (e.g., World Bank), ICRAF works substantially with local policy makers, who are increasingly becoming important in natural resource management as decentralization processes strengthen in Latin America. Key partners are the Center for International Forestry Research (CIFOR), and the respective Ministries in each of the three focus countries (Brazil, Peru, Bolivia).

Outputs:

1. Information and support for secondary forest, restoration of degraded lands, and land and tree tenure policies that increase farmers' security and ownership of agroforestry systems.
2. Information and support for policies and strategies that increase the effectiveness of rural institutions governing the integrated management of land, and tree resources.
3. Refinement and application of action-oriented policy research tools to new sites and countries in collaboration with a range of local partners.

Users (Beneficiaries):
Users of project outputs are Latin American researchers, policy makers at local, national, regional and international levels, farmer associations, and community groups in selected case study areas. Changes in policies and new institutions will result in greater uptake of agroforestry innovations and conservation of land, water and tree resources. A more equitable sharing of benefits and costs of biodiversity maintenance and carbon sequestration (between the north and the south) will directly benefit farmers in the Amazon basin. The welfare of smallholder women and men farmers will increase for the medium and long-term.

Linkages to CGIAR Outputs: Saving biodiversity (20%), Enhancement and breeding (0%), Crop production Systems (35%), protecting the environment (30%), strengthening NARS (15%)

B. Activities, achievements and results

Activities	Expected milestones for 2003	Actual achievements in 2003
Establishment and operationalization of Amazon Initiative.	* New Amazon team, made up of EMBRAPA, CIAT, CIFOR, ICRAF, IPGRI and INIA (Peru), is in place. * Other potential partners in region (Brazil, Peru, Bolivia, and possibly Colombia) identified and organizational modalities agreed to in order	* Representatives of national research institutions from Brazil, Bolivia, Peru, Colombia, Ecuador, and Venezuela, and from ICRAF, CIAT, CIFOR, and IPGRI have met in August 2003 (Belém, Brazil) and in November 2003 (Bogotá, Colombia) to discuss and approve the format and content of the cooperation agreement. The Amazon Initiative Cooperation Agreement,

	to expand participation and ensure region-wide policy relevance of research, education and development activities of Amazon team. * Experience with transfer mechanisms for carbon sequestration and biodiversity services of agroforestry systems in Asia is synthesised to serve as platform for development of appropriate transfer mechanisms (e.g., between private sector in North and farmers in Amazon), relevant to specific conditions of the Amazon. * Synthesis of institutional lessons and insights from comparative process analysis across countries and regions useful for future ecosystem assessments.	which will be signed in May 2004. * Thematic research and development networks were initiated (currently involving 132 researchers from institutions of the six countries) for the thematic focuses of the AI Consortium: land degradation assessment; sustainable land use systems for degraded lands; human and social dimensions of land degradation; and social and natural resource policy for recovery of degraded lands. * Stakeholder analysis and user needs assessment in the Ucayali valley of Peru was carried out in July 2003, conducted as a sub-global component of the Millennium Ecosystem Assessment through collaboration between the ASB Programme's global office and ICRAF LA. The first draft of the assessment document was prepared in December 2003.
Policy research priorities identified for the Amazon region and research programme initiated.	* Policy and institutional bottlenecks to adoption of sustainable practices by small-scale farmers in the Amazon identified in full collaboration with national policy-makers. * Policy briefs prepared and disseminated regarding these bottlenecks and the associated policy and institutional options for their removal. * Jointly-agreed programme of work in participatory policy research and capacity building of policy-makers and national scientists is developed for Amazon basin by the inter-institutional team and its national and regional collaborators. * Implementation of agenda is initiated in Brazil and Peru.	* Support to EMBRAPA, the Brazilian National Agricultural Research Corporation, for the preparation of a workshop to define and discuss thematic priorities for cooperative research programs in the Amazon. Preliminary meetings in September and December 2003. The workshop is scheduled for February 2004. * Concept note on policy research prepared and presented by T. Tomich to the Amazon Initiative interim steering committee (August 2003, Belém) * "Continuity and Evolution of ASB-Brazil User Needs" by SAVosti, R Porro, and TP Tomich. Report of Consultations with Stakeholders in Brazil (Acre, Rondônia, Pará, and Brasilia) 24 July to 5 August 2003.
Policy lessons from past research disseminated		Article delivered and poster presented on ASB activities in Peru, for the Millennium Ecosystem Assessment forum in Lima: Forest and Agroecosystem Tradeoffs in the Tropics: A crosscutting assessment by the Alternatives to Slash-and-Burn Programme (October 2003).

Location of Research Activities in Latin America: Amazon region and forest margins: Peru: Ucayali and Madre de Dios basins (and Departments), Brazil: Acre, Rondônia, and Pará states

Bolivia: Pando department.

Collaborators: Regional -- CIAT; IPGRI; CIFOR; ASB; EMBRAPA; MA; ASB. National -- Universities; national research institutes for agriculture, natural resources, and environment; Amazon research institutes; farmers organizations in Peru, Brazil and Bolivia.

C. Difficulties encountered, measures taken to overcome them, and changes in implementation

ICRAF is advancing an ambitious and collaborative regional agenda, based around the construction of the Amazon Initiative Consortium (AI). The AI, made up of the NARs of six Amazonian countries -- plus ICRAF, CIAT, CIFOR and IPGRI -- will focus on research and development to reverse, mitigate and reduce natural resource degradation in the Amazon basin. Since mid-2003, ICRAF has been Secretary of the Consortium, and thus has been instrumental in guiding the AI towards full operational status. The AI constitutes the framework for consolidation and extension of ICRAF's current activities in tree domestication, natural resource policy, and related fields.

3. Workplan for 2004 (listed as milestones for Project ES4 of revised Medium Term Plan: "Harmonizing policy for environmental stewardship and rural development in Latin America"

- Updating the institutional/organizational 'landscape' of policy research in the Amazon. Review and widen consultations to identify gaps, overlaps, and priorities for research and development.
- Expansion of the ASB matrix analysis of land-use alternatives to a broader set of Amazonian resource users -- including rubber tappers, *riberinhos*, agro-extractivists, and other marginalized groups.
- Elaboration of a region-wide program for examining international transfer mechanisms with potential use to compensate Amazonian resource users for carbon sequestration, watershed functions, and biodiversity benefits that could be generated by their use of agroforestry systems.
- Preliminary study on regional/international integration links among countries that share borders in the Amazon. The study will focus on the Amazon/Pacific link, particularly on the social, economic, and environmental effects of this nearly-completed link, and on interventions and monitoring needed to reduce the environmental consequences of road construction and road deterioration.
- Experiments in policy and institutional innovation – designed to address particular policy problems -- are put in place in selected catchments in the Amazon Basin.

Budget 2003: 299,000 Euros

Annex 5

ICRAF structure 2002

Programme 1 Natural Resource Problems, Priorities and Policies .
- Project 1.1 Characterizing poverty and natural resource problems .
- Project 1.2: Quantifying the values of agroforestry
- Project 1.3 Analyzing and supporting policy reform
- Project 1.4 Assessing impacts of agroforestry innovations

Programme 2 Domestication of agroforestry trees
- Project 2.1 Genetic improvement strategies
- Project 2.2 Genetic resources of agroforestry trees
- Project 2.3 Propagation systems for agroforestry trees
- Project 2.4 Field testing of agroforestry trees

Programme 3 Ecosystem Processes and Management
- Project 3.1 Water and land use
- Project 3.2 Carbon and Nutrient Cycling
- Project 3.3 Local Ecological Knowledge
- Project 3.4 Agrobiodiversity

Programme 4 Advancing innovation and impact
- Project 4.1 Advancing community based science
- Project 4.2 Strengthening enterprise and entrepreneurship
- Project 4.3 Fostering sustainable seed systems
- Project 4.4 Catalysing institutional innovation

Programme 5 Training and Education
- Project 5.1 Strengthening Partner Capacity and INRM in tertiary education
- Project 5.2 Enhancing quality and relevance of agroforestry and INRM training
- Project 5.3 Farmers of the future……
- Project 5.4 Strengthening ICRAF's internal learning environment

Alternatives to Slash and Burn Systemwide Programme
African Highlands Ecoregional Programme
CGIAR Gender and Diversity Program

ICRAF Structure 2003 onwards

Theme 1 : Land and People
- Project 1 Improving rural livelihoods through integrated soil fertility management
- Project 2 Conserving soils and water for productive agricultural landscapes
- Project 3 Sustaining productive farming systems through improved agroforestry management
- Project 4 Reaching the poorest land users with land management interventions

Theme 2 : Trees and Markets
- Project 1 Market analysis and suport to tree product enterprises
- Project 2 Sustainable seed and seedling systems for sound conservation and use of genetic resources of agroforestry trees
- Project 3 Tree domestication with intensification and diversification of tree cultivation systems
- Project 4 Farmer led development and scaling-up of tree-based options
- Project 5 Enhanced utlilisation of tree diversity at the landscape level

Theme 3 : Environmental Services

Project 1 Pro-poor strategies to enhance watershed functions
Project 2 Use and conservation of biological diversity in multi-functional landscapes
Project 3 Climate change mitigation and adaptation for rural development
Project 4 Harmonising policy for environmental stewarship and rural development

Theme 4 : Strengthening Institutions
Project 1 Strengthening agricultural research institutions and systems
Project 2 Strenthening the agrforestry capacity of development institutions and systems
Project 3 Strengthening educational institutions and systems
Project 4 Fostering inter-institutional collaboration and knowledge management

Annex 6

CVs of evaluators

Torquebiau, Emmanuel (CIRAD, FRANCE)

Expertise

Agroforestry, Tropical rain forest, Natural resource management, Agrobiodiversity
Sustainable Development and Participatory interdisciplinary research
Teaching, training management
International Agricultural Centers
Indonesia, Kenya, Burundi, Zambia, Burkina Faso, Bangladesh, Niger, Ethiopia, Mexico

Education

PhD Ecology, University of Toulouse, France, 1997
Doctorate Tropical ecology and Botany, University of Montpellier, France and University of Mexico, 1981
MSc. Applied ecology / tropical botany, University of Montpellier, France,1979
HDR (Research Director), University of Toulouse, France, 1998

Experience

Sept 04 – present	Associate Director of Research and Senior Scientist (Agroforestry). CIRAD Montpellier, France.
March 00 – Aug 04	Head of Unit, French Agricultural Research Center for International Development, CIRAD TERA, Montpellier, France.
July 94 – March 00	Senior Scientist, International Center for Development Oriented Research in Agriculture, Wageningen, The Netherlands, and Montpellier, France
May 91- June 94	Senior Scientist, Tree - Crop Ecological Interactions. International Center for Research in Agroforestry (ICRAF), Nairobi, Kenya.
Sept. 87- May 91	Scientist / Training Officer, Ecology of agroforestry International Council for Research in Agroforestry (ICRAF) Nairobi, Kenya.
Oct. 81-Aug.1987	Scientist, Forest ecology, Agroforestry and Tropical silviculture. BIOTROP, Bogor, Indonesia (Regional Center for Tropical Biology of South East Asian Ministers of Education Organization).
1978 -1981	Research fellow, Tropical forest architecture and ecology, Department of Plant Ecology, University of Mexico, Mexico and University of Montpellier, France.

Other activities

Agroforestry Systems Journal: referee, since 1994
Associate Professor, Senghor University, Alexandria, Egypt, since 1998

Recent Publications

2002 Torquebiau E, Mary F et Sibelet N. Les associations agroforestières et leurs multiples enjeux. Bois et Forêts des Tropiques, 271 : 23-36.
2003 Bayala, J., van der Hoek, R., Nouatin, G.S., Randrianarisoa, M. et Torquebiau, E. L'arbre dans l'espace agricole du plateau de Vineta, Madagascar. Cahiers Agricultures 12 (1) : 15-21.
2005 Augusseau X., Nikiéma P. and Torquebiau E. Tree biodiversity, land dynamics and farmers' strategies on the agricultural frontier of southwestern Burkina Faso. Biodiversity and Conservation: accepted, March 05.

Mackenzie, Catherine
UK - (IUCN Pakistan)

Expertise:
Participatory and sustainable livelihoods approaches to community development, resource management and conservation
Integrated conservation and development, protected area planning and management
Social forestry and indigenous systems of resource and land management
Poverty and Social Impact Analysis
Environmental impact analysis, particularly involving resettlement projects

Education:
MA Social Anthropology - Australian National University ; 1994
MSc Forestry and its Relation to Land Management - University of Oxford ; 1984
BSc (Hons) Zoology - University of Bristol ; 1977

Experience:

December 2004 – Present	Senior scientist, Natural Resource Management, IUCN, Pakistan
December 1995 to Nov 2004	Natural Resources Institute, UK, Principal Scientific Officer, Livelihoods and Institutions Goup
January 1994 - November 1995	Natural Resources Institute, UK, Senior Research Officer, Social Development Section.
July 1990 - July 1993	Canadian International Development Agency "Awards for Canadians" scholarship holder and Australian National University Masters Scholarship holder (Anthropology).
February 1989-June 1990	Independent Consultant
October 1986-February 1989	Ford Foundation, Jakarta, Indonesia and Department of Forestry, Government of Indonesia. Technical Adviser and Programme Facilitator. Indonesian Outer-Islands Social Forestry Programme.
November 1985-May 1986	Oxford University, Oxford Forestry Institute. Research Officer, ODA Forestry Research

Principal work is in consultancy, providing short-term specialist inputs for the identification, design, appraisal, monitoring and evaluation of development projects, and long-term technical assistance in project implementation. Research and social analysis also carried out. Country experience on in Latin America and the Caribbean, Africa, South Asia, South-east Asia, Central Asia and the Far East. Long term experience in Brazil, Indonesia, Sri Lanka and Zimbabwe.

Other activities:
Technical Advisory Group member: Invasive Species in the Galapagos (GEF)

Recent Publications:
Bushmeat based livelihoods in Ghana: two glimpses of the end game. Research report and policy brief for DFID, in prep.

Annex 7 - Programme of the mission and people met

- Thursday, 18th November
  - Arrival Nairobi (ET)
  - Meeting in Bangkok with Meine van Noordwijk (CM): South East Asia Programme Coordinator
- Friday, 19th November
  - ICRAF, Nairobi (ET): Meetings with resource persons: D. Garrity (ICRAF DG), B Swallow (ICRAF Senior scientist), D. Nyamai (TOFNET, ASARECA), B. Jama (ICRAF ECA Regional Programme)
- Sunday, 21st November
  - Arrival Nairobi (CM)
  - Metting with Brent Swallow (Hotel)
- Monday, 22nd November
  - ICRAF Nairobi: Meetings with Chin Ong (RELMA), Joyce Kasioki (ASB), Jan Laarman (Latin America), Frank Place (Property Rights, Policy Change), D Garrity and B Swallow (South East Asia), Lou Verchot (Science Policy Link, Climate change)
- Tuesday, 23rd November
  - Kisumu, Western Kenya, ICRAF Office: Meetings with Markus Walsh (biophysical research), Qureish Noordin (scaling up options), Leah Onyango (SAFEGUARD), David Nyantika (Livelihood diversity), George Onyango (Maseno University, SAFEGUARD / SCALES).
  - Kisumu, Ministry of Lands and Housing: Moses Kola (District Physical Planning Officer). Ministry of Agriculture: Odoyo Bittar (Provincial Soil Conservation Officer) and Maurice Otieno (Provincial Director of Environment / NEMA). Ministry of Water: John Okungo (Project Manager, lake Victoria Water Quality).
- Wednesday, 24th November
  - Nairobi: KEFRI (Paul Konuche, Director)
  - Travel to Kampala
- Thursday, 25th November
  - ICRAF Office, Kampala, Uganda: Ann Stroud (AHI Coordinator), JM Boffa (ICRAF coord, Uganda and Biodiversity / Policy; Policy Terrain), Pascal Sanginga (CIAT, Bye-laws), Laura German (Policy implications of watershed management), Francis Esegu (Director, NARO), Honourable Johnson Nkuuhe, MP, Patrick Kagorora (ECOSTAR).
  - Travel to Kabale
- Friday, 26th November
  - Kabale, ICRAF Office: Wilson Bamweninde
  - Visit to Katagata watershed
  - Visit to Mugulibi AHI Site
- Saturday, 27th November
  - Travel back to Nairobi (via Kigali, Rwanda)
  - Travel back to France (ET)
- Monday, 29th November
  - ICRAF, Nairobi: meeting with B Swallow
  - Travel back to UK (CM)

Annex 8 - Literature and documentation consulted

CGIAR (2003) Research towards integrated Natural Resources Management: Examples of research problems approaches and partnerships in action in the CGIAR. Rome. (Harwood and Kassam, eds).

Mungai, D, Swallow B, Mburu J, Onyango L and A Njui (2004). Proceedings of a Workshop on Reversing Environmental and Agricultural Decline in the Nyando River Basin. December 9-11 2002, Imperial Hotel, Kisumu, Kenya. ICRAF, NEMA, LVEMP, SWCB.

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Note: Other documents provided by ICRAF on paper or CD-Rom were consulted but are not quoted in the present report.