



# **Farmer Access to Innovation Resources (FAIR)**

**Piloting and consolidating  
“Local Innovation Support Funds”  
for sustainable agriculture and natural resource management**

*Proposal PROLINNOVA to Rockefeller Foundation*

*PROLINNOVA International Secretariat*

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## List of acronyms

ARD	Agricultural Research and Development
CP	Country Programme
DURAS	Promoting Sustainable Development in Agricultural Research Systems
FAIR	Farmer Access to Innovation Resources
FARA	Forum on Agricultural Research in Africa
FSG	Farmer Support Group
IAS	Innovation Africa Symposium
IIRR	International Institute of Rural Reconstruction
IST	International Support Team
LISF	Local Innovation Support Fund
M&E	Monitoring and Evaluation
NRM	Natural Resource Management
NSC	National Steering Committee
PID	Participatory Innovation Development
POG	PROLINNOVA Oversight Group
PROFEIS	Promoting Farmer Experimentation and Innovation in the Sahel
PROLINNOVA	Promoting local Innovation in ecologically-oriented agriculture and NRM
R&D	Research and Development

## Executive summary

The four-year action research programme FAIR (Farmer Access to Innovation Resources), proposed here for co-funding by Rockefeller Foundation, seeks practical mechanisms that enable individual land-users, groups and communities to access funds for pursuing innovative activities in agriculture and natural resource management. These mechanisms are referred to as “Local Innovation Support Funds” (LISFs). The action research will study the effectiveness and impact of these LISFs as a mechanism to accelerate local innovation and will undertake to mainstream the results and findings.

FAIR purposes to remove existing barriers to funding flows for user-led agricultural R&D. In doing so, it hopes to facilitate interactive collaboration between innovative local people and agricultural research and development (R&D) agencies on an equal footing. The LISFs would provide an important mechanism for continued joint development and application of local innovations and to the spread of locally relevant sustainable agriculture and natural resources management practices.

The action research programme will allow for piloting LISFs in eight countries. More specifically it will have the following components and activities:

- A. Implementation and monitoring and evaluation (M&E) of LISF pilots in eight countries: This includes consolidating on-going, initial LISF pilots in five countries (Cambodia, Ethiopia, Nepal, South Africa and Uganda) and initiating new pilots in three other countries (Ghana, Kenya, Tanzania). A comprehensive M&E framework already developed will be used to capture key findings across the countries and document the process and results. Regular virtual as well as face-to-face meetings are foreseen between all involved parties to review progress and to adapt and realign programme strategies.
- B. Capacity building of stakeholders at all levels including staff of the institutions involved and individuals/groups handling the LISFs at the local level: This includes in-country training activities in the design and management LISFs and in the M&E framework and tools. Training will be complemented by on-the-job support and backstopping through annual visits to the eight countries by international resource staff.
- C. Sharing results of the pilots: This includes analysis and articulation of findings in forms, appropriate for dialoguing with regular R&D institutions and policy makers. Through these activities the programme hopes to create awareness and gain acceptance for the LISF approach among relevant institutions and thereby to mobilise (financial) support to ensure longer term sustainability of the LISFs.

PROLINNOVA, an international partnership promoting farmer-led innovation approaches, will be implementing this programme. The coordinating organisation will be ETC EcoCulture, part of the ETC Foundation in the Netherlands, which also hosts the PROLINNOVA international secretariat. The pilots will be undertaken through existing multi-stakeholder PROLINNOVA partnerships in each of the eight countries. The countries have in turn chosen an experienced NGO supported by an agricultural research organisation to lead implementation of the pilots, closely guided by their multi-stakeholder National Steering Committees.

The total budget for implementing this programme in eight countries over four years amounts to Euro 1,351,000 (USD 1,972,460). Funding support requested from Rockefeller Foundation amounts to Euro 913,000 (USD 1,332,980) and will cover costs in the first three years only. Co-funding is ensured from the Netherlands Ministry of Development Cooperation, DGIS, through its grant to PROLINNOVA confirmed for year 1, 2, and 3 of the programme. In all likelihood, a next DGIS grant to PROLINNOVA will provide a considerable part of co-funding in year 4. In addition, all involved countries will mobilise resources locally to directly feed into and replenish the LISFs in years 3 and 4.

## Background and rationale

In the more marginal areas of developing countries, natural resources are threatened by poverty, population pressure, climate change and ineffective interventions. Many international fora on research and development (R&D), e.g. FARA (2002), therefore regard sustainable agriculture and natural resource management (NRM) as key priorities for such areas. Conventional, top-down approaches to address these priorities have had limited effectiveness. There is now increasing understanding that development of agriculture and NRM does not follow a linear process with new knowledge coming primarily from formal research and reaching land-users through a variety of extension or service providers. An innovation system perspective on development reveals that the actual change processes are much more complex and diverse (IAS 2006). Land-users are not merely recipients of new knowledge but also potential sources and/or partners in its generation, i.e. they are researchers and innovators in their own right. Local innovation is a key asset, as the great variability in agro-ecological conditions in many parts of Africa and Asia does not allow the generation of “perfected” technologies applicable over large areas. Local experimentation, adaptation and ingenuity are vital for finding locally effective practices. This recognition has led to approaches to R&D that are designed to enhance systems of local innovation by multiple actors, referred to here under the umbrella term of “Participatory Innovation Development” (PID). PID seeks to develop agriculture and NRM by building on and strengthening local experimentation and innovation processes involving partnerships between local land-users and outside R&D agents.

Many of the current R&D funding mechanisms are intended to encourage participatory research and extension, but have only rarely given attention to stimulating and supporting local innovation and Participatory Innovation Development (PID). Usually, the funding mechanisms are managed within governmental R&D institutions. The local land-users do not regard such mechanisms as being ultimately meant for them and, despite much talk about farmer participation, the role of farmers and other land-users in deciding how these funds are used is still extremely limited. The current R&D funding mechanisms are very difficult for smallholders to access and require much paperwork. Although efforts have been made in recent years in some countries to open up research funds for other stakeholders through competitive bidding processes, these are still largely researcher-controlled and quite demanding in terms of administrative requirements. At the same time, evidence from Latin America shows that small amounts of money available to local innovators can help accelerate innovation and make the process locally sustainable (Ashby *et al* 2000).

This proposal therefore outlines systematic action research to find practical ways to set up financing mechanisms that allow local land-users, groups and communities to access funds for improving and accelerating their innovative activities. We refer to them as “Local Innovation Support Funds” (LISFs). These mechanisms would remove the existing barriers to funding flows for user-led agricultural R&D. This, in turn, would be an important step in making possible the PID type of collaboration between local people and R&D agencies that is needed to develop and spread locally relevant sustainable agriculture and NRM practices. It would provide an important mechanism for continued joint development and application of local innovations.

## PROLINNOVA and the FAIR (Farmer Access to Innovation Resources) agenda

Documentation of successful experiences with PID in many parts of the world (cf. Reij & Waters-Bayer 2001) has inspired a rapidly growing number of organisations to join hands in applying such approaches and trying to make them part and parcel of mainstream agricultural research, extension and education. In 2003, they have formed the PROLINNOVA<sup>1</sup> network, which currently comprises more than 130 partner organisations in 16 countries in Africa, Asia, Latin America and the Pacific. In the past, many organisations, particularly in the non-governmental sector, have worked with farmer-led approaches to development and PID – in some cases for years or even decades. They share the concern that their experiences remain “islands of success” as long as other key stakeholders – particularly government research, education and extension agencies but also private-sector service providers – do not embrace and practise these approaches. It is this process of change within the conventional innovation system, of learning to recognise and work with farmers as equal partners in R&D that we refer to as “mainstreaming PID”.

A diverse group of donors provides funding support to PROLINNOVA, its sub-programmes or activities. Annex 6 gives a complete overview of donors involved so far. Presently main core funding is provided by the Netherlands Directorate General for International Cooperation (DGIS), which recently confirmed its funding for 2007-2010 (for a total 3.2 million Euro). These funds are channelled through the regular 4 year DGIS grant to ETC Foundation in the Netherlands which is expected to be renewed again in 2011. Germany based Misereor provides core funding for a regional PROLINNOVA programme in West Africa while a wide range of other donors contribute or contributed to specific sub-activities (e.g. CTA, Worldbank, French Government through its DURAS programme) or to specific country programmes (e.g. EED in Tanzania).

Since the inception of PROLINNOVA in 2003, the issue of turning funding mechanisms around to give more power to local people has featured high on the agenda of the partners. They see this as innovative, daring and challenging – something that has potentially very big implications for how R&D is organised and to whom it is ultimately responsible. Over time, they developed the concept of a Local Innovation Support Fund (LISF): a funding mechanism that is accessible to farmers and other land-users for enhancing promising local initiatives, that gives land-users a strong role in its governance and that has a light administrative structure. An LISF would support farmer-led development and sharing of knowledge. LISF resources could be used to cover costs of cross-visits by one group of land-users to another, for farmer-led experimentation in collaboration with other stakeholders, for laboratory analysis or other technical support to farmer innovation, among many other possibilities.

Initial funding from a competitive grant gained through the GFAR-Agropolis project called DURAS (Promoting Sustainable Development in Agricultural Research Systems) supported by the French Government complimented by own contributions of the organisations involved and some resources from the core DGIS grant (total amount approximately EUR 225,000 for 3 years) allowed five PROLINNOVA Country Programmes (CPs) – in Cambodia, Ethiopia, Nepal, South Africa and Uganda – to start exploratory pilot activities with LISFs in rural communities. They have given their joint sub-programme the name **FAIR: Farmer Access to Innovation Resources**. After delays in the first year on the side of DURAS, all five countries have managed to establish operational LISFs at local levels. Disbursements have gradually increased and reached 121 approved applications to farmer(group)s with grant size ranging from EUR 40 (Cambodia) to EUR 700 (South Africa) by September 2007 (Table 1).

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<sup>1</sup> Promoting Local INNOVATION in ecologically-oriented agriculture and NRM ([www.prolinnova.net](http://www.prolinnova.net))

Disbursements are expected to more than double by the end of the present phase in March 2008.

**Table 1: LISF disbursements per country**

	No applications	(Conditionally approved)	Total amount Euro	Grant per application Euro
Cambodia	72	47	1,767	38
South Africa	53	7	5,048	721
Nepal	9	9	5,243	583
Uganda	65	45	4,000	89
Ethiopia	?	13	2,500	192
<b>Total</b>	<b>199</b>	<b>121</b>	<b>18,558</b>	<b>153</b>

While it is yet too early to monitor actual impact of these initial disbursements in terms of improved technology adaptation and spread, the pilots are already generating other interesting results:

- Insight into experiences worldwide with farmer-responsive R&D mechanisms used as sources of learning during the design of the LISF pilots.
- Understanding of the institutional and policy context in each country relevant for setting up funding channels for LISFs.
- Joint development with farmer and community groups of practical mechanisms to mobilise and process good and relevant applications for local innovation funding.
- A growing tendency that an effective LISF system should be a combination of community-managed local LISFs being “fed” by an higher level multi-actor LISF “institution”.
- Development of a coherent monitoring and evaluation (M&E) framework and related tools to enable analysis and comparison of the effectiveness of the LISFs and their impact on local livelihoods across countries.
- Generation of lessons with regard to the institutional environment in which the LISFs could function.

The concept of LISFs has been so novel for all actors within the conventional R&D systems, including farmers who were accustomed to having no real say in decision-making about this, that it has taken some time to come this far with the LISFs. While the DURAS support has provided the initial impetus in piloting LISFs, its two-year duration is too short to make the funds fully operational in local hands when it ends in March 2008. The land-users and community-based organisations (CBOs) as well as their support organisations need several rounds of learning (through cycles of calls for proposals, selection, implementation, monitoring and evaluation) until they have the confidence and skills to manage the funds themselves. The question of the most appropriate institutional arrangements for the LISFs in each country needs deeper strategic analysis. Further empirical evidence on the effectiveness of the LISFs is needed as a solid basis for interacting with formal R&D systems to obtain continued and institutionalised support for the LISFs. However, the initial groundwork has been laid, and local people are now drawing on these LISFs for their self-defined work in experimentation and innovation. The partners in the PROLINNOVA programme feel that they are now ready to consolidate and expand the LISF work by:

- continuing to improve, strengthen and institutionalise the existing LISFs as sustainable funding mechanisms;
- monitoring and analysing systematically the process and results in the participating CPs;
- sharing findings widely to create interest within the formal R&D system for this form of innovation funding and for PID in general, while
- learning from comparative analysis of the cases in the various countries, and

- applying the lessons learnt by starting LISF pilots in three new countries and including these in the above-mentioned mutual learning process.

In short, by implementing the activities under this proposal over the next four years, a systematic study can be made of the functioning and impact of LISFs across six countries in Africa and two in Asia, while bringing in experiences from elsewhere.

## Programme goal and objectives

A four-year action-research programme is proposed with an overall goal of creating conditions for farmers to play a more decisive role in R&D in agriculture and NRM. This will be done by strengthening local control over processes of innovation in sustainable land management in ways that contribute to improved food security and livelihoods. The focus will be on building financing and funding mechanisms from the local level upwards, co-owned and managed by local land-users, their organisations and/or supporting civil-society organisations.

The programme aims specifically:

1. to assess the effectiveness and impact of Local Innovation Support Funds (LISFs) as a mechanism to accelerate local innovation
2. to build capacities at all levels to use, manage, monitor and evaluate the LISFs
3. to share the findings of the LISF pilots and create awareness and acceptance of the LISF among regular R&D organisations.

The following key outcomes are expected:

1. Sound practices in establishing sustainable and operational LISFs
2. Financial, legal and institutional guidelines on LISFs defined through policy dialogue at national and local levels.
3. Enhanced awareness and dissemination of knowledge and practices on developing and implementing LISFs for agriculture and NRM at country and international level.
4. Acceptance of the LISFs as an effective approach to support farmer-led R&D and demonstrated by mobilisation of funds per country to ensure longer term sustainability of the LISFs.

Monitoring and Evaluation (M&E) is a key element in the proposed action research as detailed below. The draft M&E framework, system and tools developed during the initial LISF pilots (Annex 1) provide the foundation for this.

## Proposed activities

In line with the three objectives, the programme will have three operational components:

- A. Implementation and M&E of LISF pilots which includes consolidating the initial efforts in five countries and initiating new pilots in three other countries in Africa, while systematically documenting the process and results
- B. Capacity building of stakeholders at all levels to use, manage, monitor and evaluate LISFs
- C. Sharing findings, including cross-cutting analysis, synthesis and lessons learnt both at country level as well as internationally, in ways that stimulate mainstreaming of LISFs into regular R&D mechanisms and organisations.

Proposed activities under each component are described below. An additional component takes care of programme management, international technical support and programme-wide M&E.

## Component A: Implementation, monitoring and evaluation of LISF pilots in eight countries

This component is designed to ensure, firstly, that the LISFs that were recently set up in Cambodia, Ethiopia, Nepal, South Africa and Uganda are consolidated, become fully operational and function independent of programme support. It will involve improving present mechanisms, expanding the number of farmers and stakeholders involved, formalising the emerging institutional arrangements and strengthening M&E to examine more systematically the process and results of the pilot activities in these five countries.

Secondly, it is proposed to set-up LISF pilots in three new countries – Ghana, Kenya and Tanzania – using lessons learnt in the first five countries: These countries have been selected using the following criteria:

- The strength of the country programme itself, and its partnership as evident from performance over the past years (understanding PID, implementation of planning, M&E and reporting)
- Conducive environment on the ground in the envisaged pilots sites in terms of experience among farmers and support agents with farmer-led agricultural development.
- Commitment and interest shown by the country in FAIR as evident from responding to calls for proposals and the quality of proposals submitted.

Expanding the number of countries involved will add to the diversity of conditions under which LISFs are tried out and thus create a wider ground for learning. At the same time the greater number of country programmes involved will reduce the risk of not achieving programme objectives in case one or two countries do not keep pace. It is in this context important to note that the PROLINNOVA international secretariat based at ETC plays a key role in monitoring general implementation of activities by country programmes. In case of poor performance the secretariat is mandated (and has exercised this mandate several times) to reduce or even put on hold collaboration with the country involved, under the overall supervision of the PROLINNOVA “Board”, the PROLINNOVA Oversight Group.

Specific activities under component A include:

### A1. Exploratory feasibility studies in three new countries

These studies, to be carried out by contracted researchers in each country, will look at previous experiences in the country with decentralised funding mechanisms and review the specific institutional, legal and financial structures in the country and, where necessary, in the province(s) in which the LISF will be piloted. The study will:

- help operationalise the proposed LISF mechanism within the local context
- identify the appropriate institutional set-up and mobilise commitment of relevant institutions
- assess the longer-term feasibility of the LISF, including future sources of funding.

*Outputs: Three reports on country-level exploratory feasibility studies (one in each new country).*

### A2. Stakeholder review and design workshops

In the first year, in all eight countries, a workshop will be organised with key stakeholders, including particularly male and female farmers/land-users, to strategise and plan the LISF activities for the next four years. In the three CPs newly involved in piloting LISFs, the results of the above-mentioned study will be reviewed and used to agree on the initial design and the governance arrangements for the pilot LISFs. In the other five countries, these

workshops will be used to review the lessons and experiences from the initial pilots as a basis for strategising and planning activities for the coming years.

*Outputs: Eight reports on workshop proceedings highlighting main decisions and assessments made.*

### A3. Actual piloting of the Local Innovation Support Funds

In the three newly involved countries, this will focus on:

- Setting up the LISF in terms of organisational context, criteria development and selection procedures in close collaboration with farmer groups and/or CBOs
- Organising office facilities and information management system for processing applications
- Disseminating information on the existence of the LISF to mobilise applications
- Running the LISF on a pilot basis, including processing applications, disbursing funds, receiving and processing grant reports, and monitoring completion of the proposed projects.

In the five countries where initial pilots have been established, the main activities will comprise:

- Improving procedures for application mobilisation, review and selection
- Strengthening the information management system for handling applications to the fund
- Improving dissemination of information about the existence of the fund, the activities supported by it and the results achieved
- Enhancing good governance and transparency in fund disbursement and replenishment.

During the entire programme period, each newly established LISF will operate with a capital of USD 35,000–45,000, depending on the specific conditions in the country. Each of the five already established LISFs will operate with a capital of USD 85,000–95,000 per country, depending on the specific conditions in that country. In the case of these LISFs, a considerable part of this capital (33% on average) will be mobilised from local sources and will not be claimed to the funds provided by Rockefeller Foundation. The mobilisation of local funds to complement capital provided through the programme is an important step towards mainstreaming and attaining longer-term sustainability of the LISFs (see C3).

*Outputs: In eight countries, LISFs are functioning and effectively disbursing funds to farmers and land-users for PID-type innovation activities. Resources for the LISFs are increasingly mobilised locally making the 5 initial LISFs independent from external grants in year 4.*

### A4. M&E and the facilitation of learning at country level

M&E of the performance of the LISF pilots and their impact is the most critical activity in the proposed action research. This will generate detailed insight into the practical operation of the funding mechanisms and their capacity to promote local innovation and sustainable processes of development. The M&E activities will build on the detailed M&E framework and tools already developed by the PROLINNOVA International Support Team (IST) and the CPs that have been piloting LISFs over the past year (see Annex 1). At country level it has two main components:

- Systematic data collection by each CP of functioning of the LISF making use, among others, of a registration tool based on MsAccess. This tool allows the monitoring of selected key indicators from the framework. In each country, a research/ educational organisation will partner in the programme and work alongside the implementing organisations in realising effective M&E and in drawing relevant lessons. The IST will provide overall technical support to coordinate their M&E systems and tools, and to share the M&E results with stakeholders within the country as well as in other countries involved in the LISF pilots (see Component C below).

- Specific impact studies in selected areas to assess whether the activities funded by the LISF have led to improved agricultural practices, their spread and resulting changes in livelihoods. Impact in terms of increased capacities to innovate at the level of farmers and support agencies will also be studied. This may include a comparison between LISF farmers and so called ‘control’ farmers.

Annex 1 provides further details on these two components. The National Steering Committees and Core Teams of the PROLINNOVA Country Programme involved will review the outcome of M&E *at country level* during their meetings - usually twice a year - and assist the implementing teams in drawing conclusions, and adapt strategies when necessary.

The decentralised set-up of the FAIR programme creates space for diversity and variation among the pilots *across the 8 countries*. The experiences generated form an important source for learning. The programme therefore includes a number of systematic mechanisms, at international level, for countries to share, compare and learn from each other’s experiences and to adapt programme strategies accordingly. These are detailed under activities C4 and D3 below.

*Outputs: Coherent sets of data and information on the functioning, feasibility and impact of the LISF for each of the 8 countries, comparable across countries; Regular review and modification of approaches and strategies per country.*

## Component B: Capacity building

### B1. Staff of partner organisations

Capacity building of the staff of partner organisations in the countries will tackle issues related to operating and monitoring the LISFs. The three main areas covered are in Table 2:

**Table 2: Capacity building focus and expected outcome**

Content/skill area	Expected outcome	Relevance for FAIR
Participatory Innovation Development <sup>2</sup>	Understanding the type and rationale of activities that could be funded by LISF	Staff able to guide all actors in making relevant applications referring to real farmer-led experimentation and learning
Local Innovation Support Funds	Understanding the principles, main features and objectives of LISFs	Staff able to direct the local design and piloting process of the LISF leading to realistic pilots
Monitoring and evaluation	Understanding the logic of the M&E framework and capable of using the proposed tools and related software	Staff able to generate required information and data on LISF functioning and impact

Capacity-building will be provided mostly by PROLINNOVA international resource persons. In view of the high costs involved in bringing staff from all countries together for this specific purpose alone, capacity building will often be tailor made, job related, while making use of existing mechanisms within PROLINNOVA:

1. Focused, often one-day, face-to-face training and exchange sessions tacked on to the annual international partner meetings of PROLINNOVA.
2. On-the-job coaching, where needed as part of specific LISF-focused backstopping visits complemented by regular annual PROLINNOVA backstopping visits; field interaction with farmer groups involved could be included in such visits.
3. Two virtual “meetings” per year by teleconference.

<sup>2</sup> Part of the regular PROLINNOVA country programmes, not included therefore in the FAIR budget

4. Long distance support by E-mail, or guiding staff in use of M&E tools through Skype calls. This support is complemented by preparing and making available documents such as practical guidelines on the overall set-up of LISFs (initially based on review of experiences with related initiatives elsewhere) and on the use of the MsAccess-based register (manual).

*Outputs: Partner staff involved understands the relevant dimensions of LISF implementation and are fully capable of designing, implementing, monitoring and evaluating the pilots.*

## B2. Farmers and other land-users

Partner organisations of CPS that are currently piloting LISFs have, during on-going M&E, given high priority to capacity building of farmers and other land-users and their organisations/CBOs, referring to two main areas:

- their capacities in generating and formulating and forwarding good proposals to LISFs
- their capacities in (co-) managing LISFs: in most countries LISFs at the local level are managed by CBOs or farmer groups/organisations, which calls for skills in the process of screening and deciding on applications. In addition, they may need support to strengthen the organisation itself in order to be able to handle LISF funds well (legal status, opening and handling bank accounts, improve governance and transparency and handling of funds).

Given the great diversity of situations, each country programme will design the locally most appropriate set of capacity building activities. This will always combine structured group training events on the above topics with on the job coaching and advice.

*Outputs: Training reports in local languages; CBO/farmer organisations capable of effectively operating local level LISFs.*

## Component C: Sharing and mainstreaming lessons learnt

Ultimately, the success of this programme will depend on the extent to which research and development actors accept the findings of the action research and become interested in supporting LISF operation in the years to come. This communication component is therefore an essential part of the programme. In general terms, the anticipated central messages will cover the functioning of the LISF (it works, is efficient and effective, if you take into consideration X, Y, and Z) and its impact (it does accelerate innovation, strengthens actors capacities in joint R&D and leads to improved livelihoods<sup>3</sup>). This can be specified as follows for the four main groups of actors FAIR is targeting in its communication:

- A. *Key actors and decision makers in Agricultural Research and Development (ARD) management in each of the countries.* The main objective here is to convince them that LISF is one useful instrument to accelerate local innovation and make research more relevant, and to achieve formal recognition of the LISFs as well as financial support from regular ARD resources in the country. Emphasis in the communication will be on the impact of LISF and the relative advantages/disadvantages (costs/benefits) of investing in LISF as compared to other ARD funding models.
- B. *Farmers and other Implementers of ARD programmes in each of the countries.* The main objective here is to raise their interest in the LISF approach and its principles, and to *encourage* them to adapt or adopt relevant parts of it in their own work. Communication will need to be more practice oriented and emphasise in more detail how the LISF can be set-up, the way it functions, and the conditions under which it can be effective.

<sup>3</sup> It is fair to note that in case the pilots show that the LISF approach is not (in all cases) feasible or not leading to the anticipated results this will be reflected in the central messages

- C. *Key actors and decision makers in ARD policy making, management and funding at international level such as within GFAR and its (sub) regional fora.* The main objective here is to create good understanding of the advantages of the LISF approach so that they support *future* proposals for (co-) funding from the respective countries. Main emphases in the message will be generally as under category A.
- D. *Implementers of ARD programmes in other countries.* Here again, the main purpose would be to raise their interest in the LISF approach and the principles behind it, and to encourage them to adapt or adopt relevant parts of it in their own work.

Specific activities in keeping with these strategic choices are worked out in C1-C6. Each country will be asked to prepare its operational communication strategy singling out specific target groups or people within the above-mentioned categories, showing how the below-activities will be combined, expanded if needed and implemented. Care will be taken to ensure that communication tools and means at the country levels and those at the international level are coordinated and mutually supportive.

### C1. Documentation and spread of case experiences and evidence in the countries

Each of the eight CPs will synthesise its experiences in operating the LISF pilot and present these in an appropriate format, also to feed into the analysis across countries. The documentation will include

- One report with a synthesis of main lessons learnt in the pilots to feed into the international analysis and as a basis for other country-specific publications.
- Locally appropriate forms of documentation to spread hands-on information on how the LISF work, such as an easy-to-read manual in a predominant local language, a short video, or one or more papers prepared with the support of local researchers (Target category B).
- A summary statement on the relevance of the LISF approach and its impact to support the policy dialogue (Target category A); this linked to the LISF Policy brief at the international level (C6).

*Outputs: One synthesis report on findings and lessons learnt, one practice oriented document (print/audio/video) on LISF experiences and a policy summary statement from each of the eight countries.*

### C2. Stakeholder events for sharing and assessing experiences

Each CP will organise at least one event in which results of the LISF pilots will be shared and discussed with stakeholders in agricultural R&D. Farmers and land-users involved in the LISFs will present their views and experiences and suggestions for ways forward

*Output: Increased understanding of the LISF among stakeholders; one workshop report per country (Target category B).*

### C3. Mainstreaming and policy dialogue

Country-specific activities will target key agricultural R&D authorities and stakeholders in each country with research findings to gain their acceptance of the LISFs as an effective mechanism to accelerate innovation processes. These efforts will aim at generating regular local financial support to replenish the LISFs, e.g. through the government budget for R&D or through development funds available at district and local level. These activities will build on, and be co-funded by, DGIS- supported PROLINNOVA general policy dialogue activities for farmer-led R&D in the countries. The fact that PROLINNOVA partnerships in many countries already include key R&D organisations increases the chances for success. In support of these lobbying activities, each CP will prepare a longer-term plan indicating how the LISFs will function beyond the duration of this action research programme.

*Outputs: Wider support from the formal ARD system for LISF based on longer-term operational plan for LISF in each country (Target category A).*

#### C4. Exchange and assessment of experiences across countries

In view of the novel character of the LISF, the CPs involved can and need to learn continuously from experiences of their peers in other countries. This will be realised by the following mechanisms:

- throughout the implementation of the programme 2 times a year a web-based telephony conference/discussion facilitated by the international resource persons;
- three international meetings of people involved to exchange experiences and adapt strategies if needed, to reduce costs if possible to coincide with the annual international meetings of all PROLINNOVA partners;
- regular bilateral Email consultations with the international resource persons

*Outputs: Documentation of progress and lessons learnt in the notes of tele-conferences and in the proceedings of the international meetings (Own learning and target category D above).*

#### C5. Preparation and dissemination of LISF synthesis publications

The main findings of the action research across the LISF pilots in the eight countries will be documented and disseminated through a number of well-targeted publications, including:

- a synthesis paper with main strategic and conceptual lessons learnt, a/o to be presented at an international conference;
- a book focusing on the practice of setting up and managing the LISFs, based on the eight case studies.

Information on progress of the LISF activities will also be made available on the worldwide web through the PROLINNOVA website. The interim findings of this action-research programme and the lessons learnt, as well as the final publications, will all be posted on this website, in which one section is dedicated to piloting LISFs. Links will be made to other relevant websites and e-discussion lists.

*Outputs: One synthesis paper or presentation to international conference, one book and regular updates on progress and lessons learnt on [www.prolinnova.net](http://www.prolinnova.net) (all target category D).*

#### C6. LISF international policy brief

Based on the above-mentioned documentation of the action research, a 6-page policy brief will be prepared that will outline the findings of the pilots, present the main policy implications and define appropriate strategies at the level of policy and management of agricultural R&D in terms of formal recognition and inclusion of LISF in regular ARD funding schemes.

*Output: One policy brief (Target category C above).*

### D. International technical support, programme management and M&E

Experiences in the initial pilot activities co-funded by DURAS show a need for more proactive support by international resource staff to the CPs piloting LISFs because of the novelty of the LISF approach and the need for careful M&E. Three groups of activities are proposed:

#### D1. Regular international technical support

This will be provided through the PROLINNOVA-FAIR international resource people (see under implementation below) who have been providing technical support on the LISF pilots to date. It will be done in two ways:

- Long-distance support via email and web-based teleconferencing and telephony.
- On-the-job support in the countries, where and when needed, linked wherever possible to regular PROLINNOVA backstopping visits to the respective countries.

This support is closely linked to and integrated in the capacity building activities described under component B. The budget line D1 covers just the costs for the international resource persons to support or facilitate these activities.

*Outputs: Increased capacities of CP staff involved to strategise, implement, monitor and evaluate the LISF pilots.*

## D2. Programme management

Programme management will be the responsibility of the lead proponent, ETC EcoCulture, in the Netherlands. This will ensure that funds are distributed fairly among relevant partners, that annual workplans and budgets are prepared, and that progress reports are prepared and commented on as agreed. Cooperation agreements will be signed between ETC EcoCulture and the coordinating organisations in the countries receiving funds. To the extent possible these programme management procedures will follow the existing, well-functioning procedures in the PROLINNOVA network. The latter allow ETC, under the supervision of the PROLINNOVA board, to intervene in low-performing country programmes and, if found necessary, advise, revise or terminate collaboration.

*Outputs: Efficient management of the programme as evident from regular flow of the planning, budgeting and reporting cycles.*

## D3. Overall M&E facilitation

While actual M&E of the LISF pilots and their impact is the responsibility of partners at country level (Activity A4) there are two sets of M&E activities envisaged at the international level.

Firstly, these are the activities needed to coordinate and facilitate the design of a coherent M&E framework and strategy across all countries. The very nature of this action-research programme demands this. Activities foreseen include:

- Review and fine-tuning of draft M&E framework developed under the initial pilots (Annex 1) based on a critical assessment of its use in practice;
- Improvement of the M&E tool “LISF Register”, the MsAccess-based data-format capturing key parameters of the LISF pilots; review of other M&E tools used;
- Finalise the user manual for the Register;
- Update the Register and user manual based on their use in the new pilots throughout the programme period.

Secondly it is the responsibility of the international team to ensure that information drawn from various M&E activities in each country is discussed and assessed regularly with all partners involved as a basis for possible review and modification of programme strategies. The main mechanisms for this are the 3 annual meetings linked to the international PROLINNOVA meeting mentioned under component C4. Budget line D3 covers the costs of the international resource staff to support these activities.

*Outputs: Improved M&E framework, Register, user manual and other M&E tools for use by CP partners; regular assessment of overall programme strategies and their revision if required.*

## Implementation

### Timeframe

The programme is designed to run for four years (2008–11). This time frame is needed in order to arrive at effective and well-functioning mechanisms for LISF operations (first 3 years), well-founded analysis and formulation of lessons learnt from the action research on the longer-term feasibility of LISF (second half year 3), and a reasonable dissemination of findings and awareness of, and possible support from, the formal sector to ensure sustainability of the LISFs (year 4).

### Countries of operation

CPs included in this proposal are those in Cambodia, Ethiopia, Nepal, South Africa and Uganda (with ongoing LISF pilots) and Ghana, Kenya and Tanzania (new LISF pilots). As mentioned, these new CPs have been selected on the basis of expressed interest, well-formulated vision on how to handle the LISF pilots, and relative strength of the key partners and their partnership in PROLINNOVA.

### Organisational set-up

ETC EcoCulture is the lead proponent of this action-research proposal. It forms part of ETC Foundation, an NGO registered in the Netherlands. It hosts the PROLINNOVA International Secretariat and plays a key role in coordination and, as part of the PROLINNOVA International Support Team (IST), in providing technical support within the network. ETC EcoCulture will be responsible for programme management and overall coordination of support and other activities proposed at the international level. To this end it will mobilise and sub-contract the current LISF expert, Anton Krone, from South Africa, who successfully coordinated the first round of pilots with DURAS funding and is a member of the IST. Anton Krone and three ETC EcoCulture staff members will form the core international support group for FAIR and be responsible for most capacity building activities (brief bio-sketches in Annex 4) mentioned herein.

Implementation of activities at country level takes place within the framework of the relevant PROLINNOVA CPs. PROLINNOVA is structured in a decentralised and flexible way, allowing each CP to design its strategy and activities according to the particular history, experiences and culture in each country. These principles will also apply in the present programme. Each CP has identified an experienced NGO partner organisation to coordinate the pilot activities in the country. These NGOs have a proven track record in agricultural research and development as well as demonstrated impact at the level of R&D policy development and management. The Nepalese lead NGO, for instance, has succeeded in gaining formal policy recognition for farmers' own crop-breeding efforts and the varieties thus created. This has been achieved through a strategic combination of quality work at field level and systematic interaction with R&D managers and policy makers, similar to that proposed for FAIR. In Ethiopia, the lead NGO and its PROLINNOVA partners have created acceptance of the PID approach within the Ministry of Agriculture. They are now working with the ministry to incorporate PID aspects into the regular curriculum of the national farmer training centres.

Apart from the lead NGO, each country has identified one or more local partner organisation that will assist in piloting the LISF in specific geographical areas. Finally, in each country, a local partner organisation with a research orientation (e.g. research institute, university) has been identified to support the M&E component. In the countries where the LISFs will be newly piloted, the division of tasks and responsibilities among key partners will be given focused attention during the start-up phase.

The existing multi-stakeholder PROLINNOVA National Steering Committee (NSC) in each country, made up of people from government research, extension and education, other

NGOs and farmer groups, will oversee the programme activities, have overall responsibility, review M&E information and provide policy guidance. At international level, the PROLINNOVA Oversight Group (POG) serves as governance mechanism to ensure accountability of the international programme to the CPs, their constituencies and donors. In this capacity, it will also oversee the overall functioning of this programme.

An overview of key partners is given in Annex 2 while Annex 5 gives brief bio-sketches for key people involved at the country level.

### Budget and funding strategies

A detailed budget breakdown for the proposed four years along the main components foreseen is given in Annex 3, based on information from envisaged partners in the CPs concerned. The total budget for implementing the proposed programme of activities in eight countries over four years amounts to Euro 1,351,000 (USD 1,972,460). 32% of the costs are expected to be covered by other donors or own contribution of partners as detailed below, leading to a request for funding support from Rockefeller Foundation of Euro 913,000 (USD 1,332,980). The Rockefeller Foundation funds are scheduled to cover costs only in the first 3 years.

The status of funding support from other donors can be summarised as follows:

- Co-funding confirmed for activities at international and country level DGIS, through its grant to PROLINNOVA for the years 1,2, and 3 of FAIR to a total of Euro 134,000 or USD 195,640.
- Mobilisation of resources per country to directly feed into the LISFs and replenish these. This is foreseen for year 3 and 4 and will be the result of the communication and policy dialogue activities in each country (total volume expected Euro 154,000 or USD 224,840). It is an essential step toward making the LISF sustainable.
- Co-funding to be obtained for country and international support activities in year 4 from various donors (total volume Euro 150,000 or USD 219,000). The mostly likely source will be the next four year grant from DGIS that is expected to start in 2011. At the same time the PROLINNOVA IST will continue its fund raising activities for PROLINNOVA in general and FAIR. It has found considerable interest in the LISF approach with the Mandaleo Technology Development Fund based in Nairobi (LISF functioning in East Africa) and the new EU Thematic Food Security Programme in Africa and will pursue these and other opportunities.

The budget in Annex 3 shows that 65% of the Rockefeller Foundation Grant (61% of total budget) is allocated for country level activities while the remaining 35% (29% for total budget) will be used for international support, cross country learning and analysis, M&E coordination and general programme management.

On average, each of the eight CPs will have a budget of Euro 74,000 (USD 109,000) over four years. In practice, country-level budgets will differ, depending a/o on the level of their current work with LISFs and taking into account local cost structures. All CPs are now in the process of detailing their specific activities and budgets for the 4-year period, within the above parameters.

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## Annex 1: The initial LISF M&E system

### Introduction

In FAIR, M&E is focused at three levels: First of all and central to the action-research objective, we focus on the actual functioning of the new funding mechanisms, the LISFs. Secondly, we look at how the LISF and the activities it supports have an impact, on farmers involved as well as on others stakeholders, on land management agricultural productivity and on the livelihoods of the local people. Finally, we monitor overall programme implementation and main strategies used to achieve programme objectives as basis for redesign if necessary. Obviously, these three levels are close interlinked.

### 1. Monitoring and evaluating the functioning of the pilot LISFs

#### The framework and indicators

The central question that the M&E of the actual LISF pilots aims to answer is: To what extent is this funding mechanism feasible, effective and efficient? In other words: can it function well in supporting farmer-led local innovation processes with acceptable overhead/management costs? Initial work in the five countries currently piloting LISFs has helped subdivide this question into six sub-questions or “performance areas”. For each of these, one or more practical indicators and tools or methods have been developed to determine these, as shown in Table 1.

**Table 1: Detailed M&E indicators for the LISF pilots**

Criteria / performance area	Possible indicators	Relevant M&E tools / methods
1. Adequate awareness among farmers (and other land-users) and support agencies on LISF opportunities and mechanisms to access the fund	1. No. of applications received per round of calls for proposals	• Register
	2. Percentage of applications which passed first screening on LISF criteria	• Register
	3. Percentage of proposals reviewed that meet the selection criteria	• Register
	4. Percentage of proposals from women and youth	• Register (currently for women's participation; age characteristics still need to be included to identify youth)
2. Effective mechanisms to process applications	5. Number of proposals processed after screening and finally approved	• Register
	6. Time period between receipt of application, screening, processing and communicating final results of selection process	• Register
	7. Time taken to improve proposals (remedial)	• Register
	8. Transaction cost relative to grant value – staff time involved and other resources used	• Time sheets for writing time worked • Financial reports/accounts
3. Effective disbursement	9. Number of approved vs. number of disbursed grants	• Register

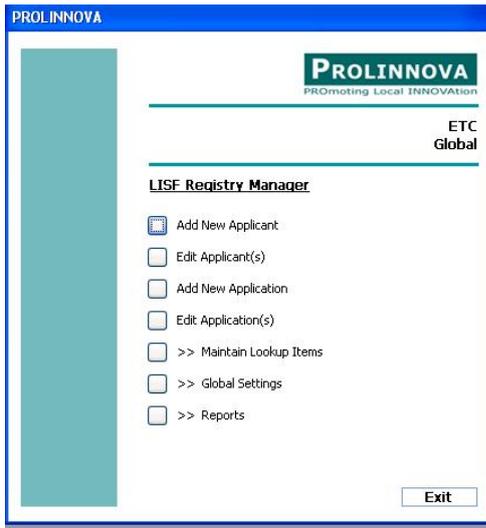
<b>Criteria / performance area</b>	<b>Possible indicators</b>	<b>Relevant M&amp;E tools / methods</b>
mechanisms	10. Timeliness of disbursement in relation to fund needs (e.g. seasonal imperatives)	<ul style="list-style-type: none"> <li>• Register</li> <li>• Feedback on grantees' satisfaction through internal evaluation</li> </ul>
	11. Banking and other costs incurred in disbursement, at both country and international level	<ul style="list-style-type: none"> <li>• Financial reports/accounts</li> </ul>
4. Utilisation of the funds	12. Expenditure in line with agreed terms for use	<ul style="list-style-type: none"> <li>• Grant reports</li> <li>• Random field inspection</li> <li>• Grantees' feedback through annual assessment meeting</li> </ul>
	13. Necessary changes/adaptations in initial plans quickly and effectively implemented	<ul style="list-style-type: none"> <li>• Grant reports</li> <li>• Random <i>in situ</i> inspection of research/experimentation work</li> <li>• Feedback from grantees and other stakeholders through internal evaluation</li> </ul>
5. M&E of whether LISF grant system is in place (existing and functioning)	14. Financial and narrative grant reports received by agreed deadlines	<ul style="list-style-type: none"> <li>• Register</li> </ul>
	15. Quality of grant reports received (clarity and completeness of information); undertaken (by whom, when, costs); lessons learned; analyses of stakeholders' participation	<ul style="list-style-type: none"> <li>• Register</li> </ul>
	16. Implementation of annual assessment meeting	<ul style="list-style-type: none"> <li>• Reports on annual assessment meetings</li> </ul>
	17. Information from grant reports processed and used in further LISF planning and implementation	<ul style="list-style-type: none"> <li>• Minutes of country LISF committee meetings</li> <li>• Minutes of international FAIR meetings (checking that action points were followed up)</li> <li>• Reports on annual assessment meetings</li> </ul>
	18. Dissemination of findings from M&E	<ul style="list-style-type: none"> <li>• Distribution or mailing list for relevant M&amp;E reports</li> </ul>
6. LISF has a strong, farmer co-managed, sustainable institutional framework	19. Relevant stakeholders, including small-scale farmers and other land-users (men, women) endorse and support institutional setting	<ul style="list-style-type: none"> <li>• Minutes of LISF committee meetings</li> <li>• Annual narrative reports</li> </ul>
	20. Institutional setting of LISF is clarified and formalised	<ul style="list-style-type: none"> <li>• Terms of Reference for LISF institution</li> </ul>
	21. Strong involvement of farmers and other land-users in LISF management (at least "x" farmers/land-users participating in the LISF committee, critical incidents)	<ul style="list-style-type: none"> <li>• Minutes of LISF committee meetings</li> <li>• Critical incidents on farmer/land-user influence in LISF noted in minutes</li> </ul>
	22. Adequate resource mobilisation to replenish pilot capital expenditure, both at local (community) and country level; amount (and percentage) of resources mobilised for replenishing the LISF, e.g. own contributions, amount of revolving funds mobilised from selling produce, contributions from other donors, stakeholders with significant long-term research funding stream are co-driving project etc.	<ul style="list-style-type: none"> <li>• Financial report</li> <li>• Long-term operational plan for LISF</li> <li>• Secured funding commitments</li> </ul>

## The register as central M&E tool

Table 1 shows that we are looking at 22 indicators to monitor all aspects of the functioning of the LISF, many of which are relatively simple and easily determined. It also shows that a database, referred to here as the “register”, plays a key role as means of validating a large number of the indicators. The register is the heart of the M&E system.

A first version of the register has been developed and is being tested by the five CPs carrying out the first LISF pilots. It is based on MsAccess software. Figure 1 shows the main opening screen.

**Figure 1: LISF register opening screen**



Generally, the data entry and analysis of applications have three main parts (see Figure 2):

- Data from the applications submitted to the LISF (Tabs 1–3 in Figure 2) 0
- Data related to the processing and screening process within the LISF (Tabs 4–5) 0
- Data to capture implementation of the grants and their follow-up/impact 0

**Figure 2: LISF register main application screen**

The report function in the opening screen allows LISF managers to analyse applications received over a certain time period, the process of screening as well as any follow-up information available.

## 2. M&E of LISF impact: accelerated innovation in sustainable agriculture and NRM

Impact M&E, the second level M&E, is concerned with the assessment of the relevance of the LISF and the activities it supports. It will generally look at 4 sub-sets of issues:

1. The extent LISF support has led to development of improved land-husbandry practices and systems;
2. The extent these practices and systems have spread among farmers and their impact on local livelihoods;
3. The change in capacities of farmers and other land-users to access relevant information and to develop technical and socio-organisation innovations.
4. The change in openness and interest of ARD agencies to support and work with local innovators and their groups

The main instrument in M&E at this level will be the LISF impact studies. These are focused studies in areas where a number of grants have been disbursed to research the above issues. They will be ex post evaluations following the relevant grants. Inclusion of the most significant change “tool” will encourage local people to define impact in their own words.

The specific impact studies will benefit from data regularly collected as part of the learning and joint research/ experimentation activities supported by the LISF. M&E at this level is the responsibility of the actors directly involved in each LISF-funded activity. The relevant data need to be included in the brief grant report forwarded to the LISF at the end of the grant period. The above mentioned register has a space to capture these.

It is not possible to identify common indicators for actual changes in people’s livelihoods that are relevant across all countries or even within one country, as the LISFs are funding and will fund a wide range of learning and research/experimentation activities that are not pre-determined. The thematic focus, objectives and features of these activities will determine the specific indicators to be used. Below, examples of possible indicators are given along three main livelihood dimensions.

**Table 2: Some possible impact indicators, depending on activity supported through LISFs**

<b>Dimension</b>	<b>Practical impact indicators</b>
Economics	Disease frequency in animals Yield per surface area Cost of production per surface area Contribution to livelihood security of household
Environment	Volume of pesticides applied Surface area of regenerated bad lands
Social	Location-specific indicators for category of farmers involved (small, medium, large) Contribution to livelihood security of household

### 3. M&E of overall programme performance, strategies and outcomes

M&E at this level hinges in the first place on the regular flow of half yearly progress reports by the country programmes to the secretariat at ETC, as is common practice in PROLINNOVA. These will be used to assess progress of the programme past its main milestones as well as its attainment of the central objectives formulated.

A number of more interactive mechanisms and tools will be used to compliment this, take notice of findings of all M&E activities and review, and redesign if necessary, key programme strategies:

- Annual face to face meeting of all CP involved piggy bagging on the main annual internal PROLINNOVA partner meeting;
- Telephone meetings 3 times a year to discuss progress, formulate bottlenecks and constraints and re-strategize if necessary;
- Bilateral review by international staff of progress in specific countries during annual country visits.

Annex 2: Overview of countries and partners<sup>4</sup>

Country	Lead partner	Partners for M&E	Co-implementers of pilots	Pilot areas
Cambodia	CEDAC	KC National School of Agriculture	Provincial Department Agriculture Takeo, CEDAC, Aphiwath Strey	Takeo, Kampong Thom, Battambang Provinces
Ethiopia	Agri-Service Ethiopia	R-E-F Linkages Department Ethiopian Agri Research Institute (EIAR), Ministry of Agriculture and Rural Development	ASE, IDS, ORDA	Axum (north), Amaro (south), Amhara (central)
Ghana	ACDEP	Animal Research Institute Tamale	n.a.	North East
Kenya	World Neighbors EA	Moi University	World Neighbors EA	Western Province
Nepal	Libird	Practical Action	Ecological Service centre, Department of Agriculture	Pilot sites in each of the 5 Development Areas of Nepal
South Africa	Farmer Support Group	SaveAct, Department of Agriculture KZN	n.a.	Amazine, Potshini (KwaZulu Natal)
Tanzania	Pelum Tanzania		INADES Formation	Central Region
Uganda	Environmental Alert	NARO	n.a.	Central region (Wakiso, Mityana, Luwero, Nakasongola, Mukono)
International	ETC EcoCulture	Anton Krone, South Africa		

<sup>4</sup> Proposed arrangements under final review and decision making in Ghana and Tanzania

## Annex 3: Budget breakdown along main components

EURO VERSION				2008			2009			2010			2011		
	TOTAL COSTS	Own contribution, other donors	RF	TOTAL COSTS	Own contribution, other donors	RF	TOTAL COSTS	Own contribution, other donors	RF	TOTAL COSTS	Own contribution, other donors	RF	TOTAL COSTS	Own contribution, other donors	RF
Expenses	(€)	(€)	(€)	(€)	(€)	(€)	(€)	(€)	(€)	(€)	(€)	(€)	(€)	(€)	(€)
<b>A. Implementation and M&amp;E of LISF pilots</b>	<b>659,000</b>	<b>196,000</b>	<b>463,000</b>	<b>154,000</b>	<b>0</b>	<b>154,000</b>	<b>182,000</b>	<b>0</b>	<b>182,000</b>	<b>177,000</b>	<b>50,000</b>	<b>127,000</b>	<b>146,000</b>	<b>146,000</b>	<b>0</b>
A1 Feasibility studies in three new countries	6,000		6,000	6,000		6,000	0		0	0		0	0		0
A2 Stakeholder LISF design/review workshops 8 countries	16,000		16,000	16,000		16,000	0		0	0		0	0		0
A3.1 Funds for disbursement through LISF	454,000	154,000	300,000	90,000		90,000	130,000		130,000	130,000	50,000	80,000	104,000	104,000	
A3.2 Management of the funds at local/regional/national level	128,000	32,000	96,000	32,000		32,000	32,000		32,000	32,000		32,000	32,000	32,000	
A4 M&E country level	55,000	10,000	45,000	10,000		10,000	20,000		20,000	15,000		15,000	10,000	10,000	
<b>B. Capacity building</b>	<b>40,000</b>	<b>0</b>	<b>40,000</b>	<b>20,000</b>	<b>0</b>	<b>20,000</b>	<b>20,000</b>	<b>0</b>	<b>20,000</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>
B1 Capacity building events for partner staff for facilitation and M&E of LISF	16,000		16,000	8,000		8,000	8,000		8,000						
B2 Capacity building events for farmers and CBOs for involvement in LISF	24,000		24,000	12,000		12,000	12,000		12,000						
<b>C. Upscaling and mainstreaming</b>	<b>308,000</b>	<b>96,000</b>	<b>212,000</b>	<b>30,000</b>	<b>10,000</b>	<b>20,000</b>	<b>99,000</b>	<b>20,000</b>	<b>79,000</b>	<b>133,000</b>	<b>20,000</b>	<b>113,000</b>	<b>46,000</b>	<b>46,000</b>	<b>0</b>
C1 Documentation and dissemination of findings at country level: one synthesis report, one practical guide and one summary statement per country	24,000	4,000	20,000	0			14,000		14,000	6,000		6,000	4,000	4,000	
C2 Stakeholder events for sharing and assessing experience in each of the 8 countries	40,000	0	40,000	0			25,000		25,000	15,000		15,000	0		
C3 Country specific policy dialogue activities to mobilize local commitment to fund the LISF through govt. budget	64,000	32,000	32,000	0			30,000	10,000	20,000	22,000	10,000	12,000	12,000	12,000	
on to annual PROInnova international partners meeting	90,000	30,000	60,000	30,000	10,000	20,000	30,000	10,000	20,000	30,000	10,000	20,000	0		
C5 International synthesis paper, 1 booklet/manual and dissemination activities	70,000	10,000	60,000	0			0			60,000		60,000	10,000	10,000	
C6 Preparation of 1 policy brief at international level	20,000	20,000	0	0			0			0			20,000	20,000	
<b>D. International technical support, M&amp;E and management</b>	<b>344,000</b>	<b>146,000</b>	<b>198,000</b>	<b>94,000</b>	<b>14,000</b>	<b>80,000</b>	<b>94,000</b>	<b>14,000</b>	<b>80,000</b>	<b>94,000</b>	<b>56,000</b>	<b>38,000</b>	<b>62,000</b>	<b>62,000</b>	<b>0</b>
D1 International technical support: 1 backstopping and support mission to each of the 8 countries per year	224,000	96,000	128,000	64,000	14,000	50,000	64,000	14,000	50,000	64,000	36,000	28,000	32,000	32,000	
D2 Overall project management	60,000	25,000	35,000	15,000		15,000	15,000		15,000	15,000	10,000	5,000	15,000	15,000	
D3 Coordination of ME design and implementation	60,000	25,000	35,000	15,000		15,000	15,000		15,000	15,000	10,000	5,000	15,000	15,000	
<b>TOTAL COSTS PROGRAMME</b>	<b>1,351,000</b>	<b>438,000</b>	<b>913,000</b>	<b>298,000</b>	<b>24,000</b>	<b>274,000</b>	<b>395,000</b>	<b>34,000</b>	<b>361,000</b>	<b>404,000</b>	<b>126,000</b>	<b>278,000</b>	<b>254,000</b>	<b>254,000</b>	<b>0</b>
Percentage covered by other donors/Own contribution		32%													
Percentage covered by RF funds			68%												
Country level budgets	827,000	232,000	595,000	74,375	(average per country for 4 years)										
Country level budgets (% of total)	61%	53%	65%												
<b>Breakdown of other donors</b>															
Confirmed co-funding DGIS year 1-3 of C3, C4, C5, D1, D2, D3											134,000				
Co-funding DGIS to be confirmed year 4 A3.2, A4, C1, C3, C4, C5, D1, D2, D3											150,000				
Target for country based fund raising to replenish LISF A3.1											154,000				
<b>Total other donors/own contribution</b>											<b>438,000</b>				

## USD VERSION

				2008			2009			2010			2011		
	TOTAL COSTS	Own contribution, other donors	RF	TOTAL COSTS	Own contribution, other donors	RF	TOTAL COSTS	Own contribution, other donors	RF	TOTAL COSTS	Own contribution, other donors	RF	TOTAL COSTS	Own contribution, other donors	RF
Expenses	(USD)	(USD)	(USD)	(USD)	(USD)	(USD)	(USD)	(USD)	(USD)	(USD)	(USD)	(USD)	(USD)	(USD)	(USD)
<b>A. Implementation and M&amp;E of LISF pilots</b>	<b>962,140</b>	<b>286,160</b>	<b>675,980</b>	<b>224,840</b>	<b>0</b>	<b>224,840</b>	<b>265,720</b>	<b>0</b>	<b>265,720</b>	<b>258,420</b>	<b>73,000</b>	<b>185,420</b>	<b>213,160</b>	<b>213,160</b>	<b>0</b>
A1 Feasibility studies in three new countries	8,760		8,760	8,760		8,760	0		0	0	0	0	0	0	0
A2 Stakeholder LISF design/review workshops 8 countries	23,360		23,360	23,360		23,360	0		0	0	0	0	0	0	0
A3.1 Funds for disbursement through LISF	662,840	224,840	438,000	131,400		131,400	189,800		189,800	189,800	73,000	116,800	151,840	151,840	
A3.2 Management of the funds at local/regional/national level	186,880	46,720	140,160	46,720		46,720	46,720		46,720	46,720	0	46,720	46,720	46,720	
A4 M&E country level	80,300	14,600	65,700	14,600		14,600	29,200		29,200	21,900	0	21,900	14,600	14,600	
<b>B. Capacity building</b>	<b>58,400</b>	<b>0</b>	<b>58,400</b>	<b>29,200</b>	<b>0</b>	<b>29,200</b>	<b>29,200</b>	<b>0</b>	<b>29,200</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>
B1 Capacity building events for partner staff for facilitation and M&E of LISF	23,360		23,360	11,680		11,680	11,680		11,680						
B2 Capacity building events for farmers and CBOs for involvement in LISF	35,040		35,040	17,520		17,520	17,520		17,520						
<b>C. Upscaling and mainstreaming</b>	<b>449,680</b>	<b>140,160</b>	<b>309,520</b>	<b>43,800</b>	<b>14,600</b>	<b>29,200</b>	<b>144,540</b>	<b>29,200</b>	<b>115,340</b>	<b>194,180</b>	<b>29,200</b>	<b>164,980</b>	<b>67,160</b>	<b>67,160</b>	<b>0</b>
C1 Documentation and dissemination of findings at country level: one synthesis report, one practical guide and one summary statement per country	35,040	5,840	29,200	0	0	0	20,440	0	20,440	8,760	0	8,760	5,840	5,840	
C2 Stakeholder events for sharing and assessing experience in each of the 8 countries	58,400	0	58,400	0	0	0	36,500	0	36,500	21,900	0	21,900	0	0	
C3 Country specific policy dialogue activities to mobilize local commitment to fund the LISF through govt. budget	93,440	46,720	46,720	0	0	0	43,800	14,600	29,200	32,120	14,600	17,520	17,520	17,520	
C4 Exchange of experiences across countries including 3 international meetings add-on to annual PROInnova international partners meeting	131,400	43,800	87,600	43,800	14,600	29,200	43,800	14,600	29,200	43,800	14,600	29,200	0	0	
C5 International synthesis paper, 1 booklet/manual and dissemination activities	102,200	14,600	87,600	0	0	0	0	0	0	87,600	0	87,600	14,600	14,600	
C6 Preparation of 1 policy brief at international level	29,200	29,200	0	0	0	0	0	0	0	0	0	0	29,200	29,200	
<b>International technical support, M&amp;E and management</b>	<b>502,240</b>	<b>213,160</b>	<b>289,080</b>	<b>137,240</b>	<b>20,440</b>	<b>116,800</b>	<b>137,240</b>	<b>20,440</b>	<b>116,800</b>	<b>137,240</b>	<b>81,760</b>	<b>55,480</b>	<b>90,520</b>	<b>90,520</b>	<b>0</b>
D1 International technical support: 1 support mission to each of the 8 countries per year	327,040	140,160	186,880	93,440	20,440	73,000	93,440	20,440	73,000	93,440	52,560	40,880	46,720	46,720	
D2 Overall project management	87,600	36,500	51,100	21,900	0	21,900	21,900	0	21,900	21,900	14,600	7,300	21,900	21,900	
D3 Coordination of ME design and implementation	87,600	36,500	51,100	21,900	0	21,900	21,900	0	21,900	21,900	14,600	7,300	21,900	21,900	
<b>TOTAL COSTS PROGRAMME</b>	<b>1,972,460</b>	<b>639,480</b>	<b>1,332,980</b>	<b>435,080</b>	<b>35,040</b>	<b>400,040</b>	<b>576,700</b>	<b>49,640</b>	<b>527,060</b>	<b>589,840</b>	<b>183,960</b>	<b>405,880</b>	<b>370,840</b>	<b>370,840</b>	<b>0</b>

Percentage covered by other donors/Own contribution	32%
Percentage covered by RF funds	68%

Country level budgets	1,207,420	338,720	868,700	108,588	(average per country for 4 years)
Country level budgets (% of total)	61%	53%	65%		

## Breakdown of other donors

Confirmed co-funding DGIS year 1-3 of C3, C4, C5, D1, D2, D3	195,640
Co-funding DGIS/others to be confirmed year 4 A3.2. A4, C1, C3, C4, C5, D1, D2, D3	219,000
Target for country based fund raising to replenish LISF year 3 and 4 A3.1	224,840
<b>Total other donors/own contribution</b>	<b>639,480</b>

Conversion rate 1 EURO = USD

1.46

## Annex 4: Bio-sketches of international PROLINNOVA resources persons

### Laurens van Veldhuizen

Laurens van Veldhuizen is a staff member of ETC Foundation in the Netherlands. He has been involved with PROLINNOVA since its inception. Having graduated in 1979 in soil and water management and extension education, his main interest became farmer participatory extension and research in natural resource management, stakeholder interaction and local level institutional development and governance. After eight years of working overseas in Asia (Sri Lanka, Indonesia) he joined ETC in 1990 where he became staff member of the Information Center for Low-external input Agriculture (ILEIA). After his ILEIA period he was involved in a great variety of studies and consultancy assignment around the development of operational methods for participatory development and research and supported the Indigenous Soil and Water Conservation in Africa Project focussing on promoting farmer-led innovation development. Since 2003, after a period of management responsibilities within ETC, he is coordinating member of the International Support Team for PROLINNOVA and has been a resource person and country backstopper for the Local Innovation Support Fund pilot programme FAIR. Laurens van Veldhuizen is an experienced trainer of trainers and the (co-) author of a number of well-known publications on participatory agricultural development and facilitation of multi-stakeholder partnerships

### Ann Waters-Bayer

Ann Waters-Bayer (BA Hon., MA, Dr agr.) is a Canadian/Dutch agricultural sociologist employed since 1989 by ETC Foundation (Netherlands) as senior advisor. She specialises in methods of participatory innovation development by rural people, extensionists and scientists. After studies in Canada, Germany and Australia, she was employed from 1981 to 1985 as socio-economist with the International Livestock Centre for Africa (ILCA, now International Livestock Research Institute, ILRI), working with Fulani agropastoralists in central Nigeria. After completing her doctoral studies at the University of Stuttgart-Hohenheim (Germany), she coordinated a postgraduate programme on agricultural extension at the German Institute for Tropical and Subtropical Agriculture. From 1989 to 1995 she was network facilitator and publications coordinator in the Information Centre for Low-External-Input and Sustainable Agriculture (ILEIA) at ETC. Since the early 1990s, she has advised several organisations in sub-Saharan Africa and Mongolia concerned with pastoral/livestock systems development and participatory research and extension and has evaluated several projects and programmes in these fields. She also has extensive experience in gender issues and participatory monitoring and evaluation (PM&E). She is currently part of the International Support Team for the action-research programme PROLINNOVA. She has co-authored/edited several publications on ecological agriculture, pastoral development and participatory research and extension.

### Mariana Wongtschowski

Mariana Wongtschowski is a Brazilian agronomist, with an MSc in Agricultural Knowledge Systems at Wageningen University, The Netherlands. Mariana has nine years of professional experience covering the fields of management of natural resources, with special attention to forest environments, community-based sustainable genetic resources management, institutional strengthening and public policy development. Throughout her career, she focused on facilitation of multi-stakeholder processes, participatory research methodologies, rural development, sociological and anthropological analysis and technical issues in

agronomy and forestry. Mariana works for ETC since 2001. In 2003 and 2005 she was seconded to the Department of Environment and Water of the Ministry of Foreign Affairs, the Netherlands (DGIS). In this capacity, she managed and supervised several projects on (agro) biodiversity and indigenous peoples. She served as a member of the steering committee of the Biodiversity Fund (managed by HIVOS and NOVIB) and the assessment committee of the Small grants for Dry and Sub-Humid Areas Programme (IUCN). Since joining ETC, she has been involved a/o in the GRPI initiative (Genetic Resources Policy Initiative, coordinated by IPGRI) and PROLINNOVA. Within Mariana coordinates the work on local innovation and climate change adaptation, and is actively engaged in backstopping the implementation and M&E of the Local Innovation Support Funds pilots.

### Anton Krone

Anton Krone has been responsible for coordinating the FAIR Programme across the countries under DURAS funding. He conducted one of the country LISF feasibilities in South Africa and has worked with the South Africa partners in their implementation. He interacts on a regular basis with the LISF country pilots, providing ad hoc advice and support. Anton has 17 years experience in community-based development and associated institutional arrangements. He has led several initiatives aimed at empowering poor and vulnerable groups including in: public-private partnerships for the urban environment, community-driven upgrading of informal settlements, mutual help housing, savings and credit schemes, and community-based micro-finance. He has participated in many fora aimed at developing pro-poor post-apartheid policy and programmes and has worked with several donors within an NGO environment. He directs SaveAct, a South African NGO established with support from the Ford Foundation. This work is aimed at empowering women through savings groups, enterprise training and life skills connected with HIV/AIDS and economic literacy ([www.saveact.org.za](http://www.saveact.org.za)).

## Annex 5: Bio-sketches of selected PROLINNOVA/FAIR country

### Ronald Lutalo (Uganda)

Ronald Lutalo is a staff of Environmental Alert a Ugandan NGO that has 20 years of experience in working with communities in Uganda on food security and natural resource management. After graduating from Makerere University, Kampala where he majored in Agricultural Economics, Ronald worked in Malawi Central Africa as a programme manager of food security and HIV AIDS projects before returning to Uganda. He returned to Uganda in 2003 before taking on the assignment of coordinating the PROLINNOVA programme in Uganda in 2004 bringing together and linking various stakeholders. He has been organizing and facilitating PID trainings for partners in Uganda and also supervised various students who have done their research around Participatory Innovation Development in Uganda. He has been the focal person of M& E in Uganda country programme since 2004. Ronald has been coordinating the Farmers Access to Innovation Resources sub-programme and has been instrumental in setting-up the first LISF pilots in Uganda.

### Sam Vitou (Cambodia)

Sam Vitou has a bachelor degree in Forestry (1995) and an DEA (Diplôme d'Etude Approfondies en Sciences Agronomiques, et Ingenierie Biologiques, equivalent to Master of Sciences in Agriculture and Biology, 2006) In 1998, he joined CEDAC, a national organization working in 15 provinces of Cambodia in the area of sustainable agriculture and rural development. Having been project assistant for 2 years, he became Program Coordinator of Field Programs and managed and supervised all CEDAC programs at the community level. Since 2005, he is the CEDAC Training Director and responsible for the Young Graduate Training program of CEDAC and training of development workers and NGO staff. He also supervises students and young graduates of the International University in Pnhom Penh in their field studies on issues related to farming system assessment, rural socio-economics, project evaluation, and community based farmer organization. He has been involved in PROLINNOVA Cambodia since its start in 2005 and is PROLINNOVA country coordinator since 2006. In this capacity he also has been the main mover of the LISF pilots under the FAIR Cambodia.

### Pamela Marinda (Kenya)

Pamela Marinda holds a PhD in Agricultural Economics, specializing in food security and nutrition from the University of Hohenheim-Stuttgart, Germany. Between 2001 and 2002, she did her Master of Science in Agricultural Sciences, Food Security and Natural Resource Management in the Tropics and Sub-tropics at the University of Hohenheim. Ms Marinda is currently a lecturer at Moi University – School of Agriculture and Bio-Technology. Before taking up a full time teaching and research position at the university, Ms Marinda was a staff member at the Sustainable Agriculture Centre for Research, Extension and Development in Africa (SACRED Africa) where she worked as the coordinator of the academic programme at the SACRED Training Institute (training offered in collaboration with Moi University) and also taught at the campus. Since the inception of PROLINNOVA Kenya, Ms Marinda has worked as the coordinator of this network (part-time). Ms Marinda has working experience with both local and international NGO's. Her research interests have been in agriculture, food security and nutrition with gender as a cross cutting issue. She has published several papers in peer reviewed journals and made several presentations at international workshops. At the moment, Ms Marinda is also involved in a project that seeks to establish the status of the tertiary agricultural education, research and extension institutions in sub Sahara Africa and their link to small holder farmers.

## Annex 6: Donor contributions/grants to PROLINNOVA

Overview January 2003 – January 2008

<b>Donor</b>	<b>Component</b>	<b>Contribution EUR</b>	<b>Period</b> <i>(italics = current)</i>
IFAD	Inception planning, start 3 country programmes	88,000	01/2003-12/2003
Directorate-General for International Cooperation (DGIS), Ministry of Foreign Affairs, The Netherlands	Core programme funding	1,400,000	01/2004-12/2007
Directorate-General for International Cooperation (DGIS), Ministry of Foreign Affairs, The Netherlands	Core programme funding	3,250,000	01/2008-12/2010
Own contribution (all partners at country and international level)	All activities	800,000	Estimated for 01/2003-12/2006
DURAS	LISF pilot phase 1 in 5 countries	150,000	10/2005-03/2008
Ford Foundation South Africa	Co-funding LISF pilot in SA	85,000	12/07-12/09
EED	Co-funding PROLINNOVA Tanzania	117,200	01/2005-12/2007
Action Aid	Funding sub-programme PROLINNOVA Ethiopia	150,000	01/2007-12/2009
CIAT, IFPRI, ILRI, Rockefeller Foundation, Ford Foundation	Co-funding Innovation Africa Symposium 2006	Data being compiled	10/2006-04/2008
Oxfam-NOVIB NL	Co-funding Farmer-led Documentation phase 1	50,000	06/2006-06/2007
Technical Centre for Agricultural and Rural Cooperation – ACP-EU (CTA)	Co funding Inception book; support to international meetings	68,000	01/2003-12/2008
World Bank IK Programme	Support international meeting Ethiopia 2004	24,000	03/2004-07/2004
Global Forum for Agricultural Research (GFAR)	Support international meetings	24,143	01/2004-12/2006
Misereor1	Support international meeting Ethiopia 2004	20,000	03/2004
Misereor2	Co-funding country programmes in Mali and Senegal	250,000	11/2006-11/2009
IDRC	Co-funding country programmes in Mali, Niger, Burkina Faso, Senegal	500,000	For 3 years, Under final negotiations