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Enabling poor rural people  
to overcome poverty

## **President's report on proposed grants under the global/regional grants window to non- CGIAR-supported international centres**

### **Note to Executive Board representatives**

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**For: Approval**

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## Abbreviations and acronyms

CCT	conditional cash transfer
CPM	country programme manager
DBM	diamondback moth
FFS	farmer field school
<i>icipe</i>	International Centre of Insect Physiology and Ecology
IPM	integrated pest management
LAC	Latin America and the Caribbean
PGRFA	plant genetic resources for food and agriculture
PRONEA	National Programme for Agriculture Extension (Mozambique)

## Recommendation for approval

The Executive Board is invited to approve the recommendation for grants under the global/regional grants window to non-CGIAR-supported international centres as contained in paragraph 7.

## President's report on proposed grants under the global/regional grants window to non-CGIAR-supported international centres

I submit the following report and recommendation on five proposed grants for agricultural research and training to non-Consultative Group on International Agricultural Research (CGIAR)-supported international centres in the amount of US\$7.0 million.

### Part I – Introduction

1. This report recommends the provision of IFAD support to the research and training programmes of the following non-CGIAR-supported international centres: Fundación ACUA; International Centre of Insect Physiology and Ecology (*icipe*); Stichting Oxfam Novib; PhytoTrade Africa; and the University of the Andes.
2. The documents of the grants for approval by the Executive Board are contained in the annexes to this report:
  - (i) Fundación ACUA: Programme to Increase the Visibility and Strengthen the Entrepreneurship of Rural Afro-descendant Communities in Latin America;
  - (ii) International Centre of Insect Physiology and Ecology (*icipe*): Programme for Scaling up Biological Control of the Diamondback Moth on Crucifers in East Africa to Other African Countries;
  - (iii) Stichting Oxfam Novib: Programme for Scaling up Peoples' Biodiversity Management for Food Security;
  - (iv) PhytoTrade Africa: Programme for Alleviating Poverty and Protecting Biodiversity through BioTrade; and
  - (v) University of the Andes: Programme for Conditional Cash Transfers and Rural Development in Latin America.
3. The objectives and content of these applied research programmes are in line with the evolving strategic objectives of IFAD and the Fund's policy for grant financing.
4. The overarching strategic goal that drives the revised IFAD Policy for Grant Financing, which was approved by the Executive Board in December 2009, is to promote successful and/or innovative approaches and technologies, together with enabling policies and institutions, that will support agricultural and rural development, empowering poor rural women and men in developing countries to achieve higher incomes and improved food security.
5. The policy aims to achieve the following outputs: (a) innovative activities promoted and innovative technologies and approaches developed in support of IFAD's target group; (b) awareness, advocacy and policy dialogue on issues of importance to poor rural people promoted by, and on behalf of, this target group; (c) capacity of partner institutions strengthened to deliver a range of services in support of poor rural people; and (d) lesson learning, knowledge management and dissemination of information on issues related to rural poverty reduction promoted among stakeholders within and across regions.

6. The proposed programmes are in line with the goal and outputs of the revised IFAD grant policy.
- (i) Fundación ACUA's Programme to Increase the Visibility and Strengthen the Entrepreneurship of Rural Afro-descendant Communities in Latin America will contribute directly to outputs (a), (b) and (d) of the grant policy. It promotes innovative processes that empower IFAD's target groups; fosters policy dialogue, raises awareness on issues relating to Afro-descendants, and supports effective knowledge-sharing with key players in the rural development arena. The programme is consistent with IFAD's Strategic Framework 2011-2015 as it will support local and national policy processes, while ensuring direct and effective participation of rural poor people, and strengthening their organizations and institutions.
  - (ii) The *icipe* Programme for Scaling up Biological Control of the Diamondback Moth on Crucifers in East Africa to Other African Countries supports all four outputs of IFAD's grant policy. It covers the innovative technologies and environmental concerns (reduced pesticides and natural enemies), and food safety. It supports smallholder farmers through enhanced advisory services and provides countries with institutional capacity-building by establishing facilities and developing human capacities for biological control services. The programme also incorporates lessons learned and knowledge products in technical and policy awareness and activity planning. The proposed programme will mainly address the following IFAD strategic objectives: strengthened natural resources and economic base; and enhanced access to services to reduce poverty, improve nutrition, raise incomes and build resilience in a changing environment.
  - (iii) Stichting Oxfam Novib's Programme for Scaling up Peoples' Biodiversity Management for Food Security is relevant to IFAD's priority theme of food security under climate change conditions with focuses on environmental sustainability, social equity and women. The programme will address the interconnectedness of global and local food systems, and the active participation of poor people for inclusive policy governance.
  - (iv) The PhytoTrade Africa Programme for Alleviating Poverty and Protecting Biodiversity through BioTrade will work directly with rural people in southern Africa, particularly those living in dry and more marginal areas. It is based on the recognition that poor rural communities need greater knowledge of and control over their environment to realize the potential of their land and become instrumental in reducing poverty. It will develop communities' capacity to manage and use resources effectively, including through training and access to new technologies and markets.
  - (v) The University of the Andes Programme for Conditional Cash Transfers and Rural Development in Latin America contributes directly to outputs (a), (b) and (d) of the the revised grant financing policy. It will enhance the impact of IFAD-supported operations in Latin America and the Caribbean by building synergies with conditional cash transfer (CCT) programmes reaching tens of millions of poor rural people throughout the region, and facilitate scaling up of interventions. The programme directly contributes to the objectives of IFAD's strategic framework; in particular, it supports access to services to reduce poverty, improve nutrition, raise incomes and build resilience; enabling institutional and policy environments to support agricultural production and the full range of related non-farm activities.

## Part II – Recommendation

7. I recommend that the Executive Board approve the proposed grants in terms of the following resolutions:

RESOLVED: that the Fund, in order to finance, in part, the Programme to Increase the Visibility and Strengthen the Entrepreneurship of Rural Afro-descendant Communities in Latin America, shall make a grant not exceeding one million seven hundred and fifty thousand United States dollars (US\$1,750,000) to the Fundación ACUA for a two-and-a-half year programme upon such terms and conditions as shall be substantially in accordance with the terms and conditions presented to the Executive Board herein.

FURTHER RESOLVED: that the Fund, in order to finance, in part, the Programme for Scaling up Biological Control of the Diamondback Moth on Crucifers in East Africa to Other African Countries, shall make a grant not exceeding one million United States dollars (US\$1,000,000) to the International Centre of Insect Physiology and Ecology (*icipe*) for a three-year programme upon such terms and conditions as shall be substantially in accordance with the terms and conditions presented to the Executive Board herein.

FURTHER RESOLVED: that the Fund, in order to finance, in part, the Programme for Scaling up Peoples' Biodiversity Management for Food Security, shall make a grant not exceeding one million United States dollars (US\$1,000,000) to Stichting Oxfam Novib for a three-year programme upon such terms and conditions as shall be substantially in accordance with the terms and conditions presented to the Executive Board herein.

FURTHER RESOLVED: that the Fund, in order to finance, in part, the Programme for Alleviating Poverty and Protecting Biodiversity through BioTrade, shall make a grant not exceeding one million and five hundred thousand United States dollars (US\$1,500,000) to the PhytoTrade Africa for a three-year programme upon such terms and conditions as shall be substantially in accordance with the terms and conditions presented to the Executive Board herein.

FURTHER RESOLVED: that the Fund, in order to finance, in part, the Programme for Conditional Cash Transfers and Rural Development in Latin America, shall make a grant not exceeding one million seven hundred fifty thousand United States dollars (US\$1,750,000) to the University of the Andes for a three-year programme upon such terms and conditions as shall be substantially in accordance with the terms and conditions presented to the Executive Board herein.

Kanayo F. Nwanze  
President

# **Fundación ACUA: Programme to Increase the Visibility and Strengthen the Entrepreneurship of Rural Afro-descendant Communities in Latin America**

## **I. Background**

1. The persistent poverty of communities of African descent (30 per cent of the population of Latin America) remains a major constraint to the achievement of the region's poverty reduction goals. Fundación ACUA offers a specialized methodology that builds on the cultural assets of Afro-descent communities. It has shown that valuing culture-based rural enterprises and investing in their development has a positive impact on rural economies as a whole, including farming, manufacturing, tourism and various types of services. In its methodology, the foundation adopts a new approach, viewing people of African descent as motors of their own development who can improve their livelihoods by capitalizing on their rich cultural heritage.
2. By the end of 2011, the foundation had financed 22 economic initiatives involving rural populations of African descent. Of these, 17 have been evaluated as being successful and sustainable. In addition, it had designed the Afro-descendant bilateral cooperation agenda between Colombia and Brazil, and promoted and supervised implementation of the land restitution law for Afro-Colombian communities, the law giving legal recognition to midwives in Colombia, and the laws against racial discrimination in Bolivia and Colombia. The foundation has also helped ensure that the traditional xylophone and songs of the South Pacific were featured in some of the most important music and commercial venues in Latin America and the Caribbean.
3. The foundation has learned a number of lessons in its work, on which this programme builds. These include the need to (i) cofinance all ventures with a mix of private and public funds; (ii) capture and organize experiences as the basis for knowledge-sharing and advocacy; and (iii) link policy dialogue to real-life examples taken from actual work experience.
4. Based on the lessons learned, the programme proposes to scale up the results achieved so far in financing Afro enterprises by replicating the methodology in similar contexts elsewhere, involving new partners, and expanding networks for political dialogue. The overall objective is to strengthen rural communities of African descent – which have a wealth of knowledge and practices on which to draw – while developing learning processes that can help development agencies such as IFAD tailor approaches to the specific characteristics of the Afro-descendant populations in the region.

## **II. Rationale and relevance to IFAD**

5. Fundación ACUA has shown that the chronic poverty affecting nine out of every ten Afro-descendants in Latin America and the Caribbean can be overcome by creating and strengthening culture-driven enterprises, while at the same time increasing communities' visibility and political participation. The proposed programme will build on the knowledge gained by the foundation to promote new and broader economic initiatives. In parallel, it will enhance the new enterprises' sustainability by ensuring that they are socially, politically and economically viable and that they open up decision-making opportunities to Afro-descendant groups.
6. Work with rural Afro-descendant communities requires an understanding of their culture, including forms of association, leadership and participation, land management, customs and productive practices. Over the years, Fundación ACUA has built an important body of knowledge about this culture as a result of its hands-

on approach. Today, the foundation is well known for having enabled the financial empowerment of some of the most remote Afro-descendant communities in the region, and for having succeeded in placing Afro-descendant issues prominently on political agendas. The foundation also has an excellent network of partners, and is constantly broadening its basis for political dialogue.

7. In most countries of the region, the territories pertaining to rural Afro-descendant populations are already targeted by projects supported by international cooperation agencies. Their activities, however, tend to be sporadic and inconsistent. To overcome this, and thereby improve the impact of international cooperation (including IFAD-funded operations) in rural Afro-descendant communities, the foundation will share its methodology and expertise about Afro-descendant entrepreneurship in the region.

### III. The proposed programme

8. The overall programme goal is that rural Afro-descendants in the targeted communities have made progress in overcoming historical inequality, and are exercising their rights to participation and economic and social inclusion.
9. The programme's objective is that the targeted Afro-descendant communities have improved their entrepreneurial and productive capacities, and that they have a greater say on public policies.
10. The target group consists of rural Afro-descendant communities that develop ongoing cultural enterprises. Women will comprise no less than 65 per cent of the programme beneficiaries and young people (15-25 years) no less than 30 per cent. The programme expects to benefit 10,000 people directly, and an additional 50,000 indirectly.
11. Since 73 per cent of Afro-descendant people in the region live in Brazil and Colombia, the foundation has concentrated most of its activities in these two countries. In this programme, it will build on its work in these two countries while also making its methodology and best practices available to projects funded by IFAD and other cooperation agencies in Ecuador, Panama and Peru.
12. The programme will have three main components:
  - **Finance leveraging for Afro enterprises.** The programme will cofinance various Afro-descendant communities' economic and cultural ventures, leveraging funds from both the private sector and cooperation agencies. Activities under this component include:
    - Financing specialized market research for Afro products with a cultural identity;
    - Cofinancing community initiatives with private actors and cooperation agencies; and
    - Co-organizing fairs and business forums, and promoting the participation of Afro-descendant ventures in strategic forums.
  - **Capacity-building and knowledge management.** This component will focus on capturing the lessons learned from the foundation's past activities, and feeding these into its work both with Afro-descendant communities and with other important stakeholders. The main activities will be:
    - Mapping of the demands for information and lessons learned;
    - Identification, systematization and sharing of best practices and new experiences;
    - Contests and competitions;

- Knowledge exchanges; organization of capacity-building through partners; and
- Systematization of information on Afro-descendant entrepreneurship for advocacy and policy dialogue.
- **Visibility and impact.** The aim of this component is to increase the visibility and acceptance of Afro-descendant culture in society in general, and to transform this visibility into economic opportunities for rural communities. The information generated under the knowledge management activities will enable the foundation to offer empirical data and real-life examples to back up policy proposals, which can be further promoted through the foundation's extensive partnership network.

In close collaboration with strategic partners, the programme will carry out the following activities under this component:

- An Afro heritage contest to identify representative, but not yet officially recognized sites;
- Creation and use of territorial brands;
- Policy dialogue to place Afro-descendant community issues high on public agendas and to overcome obstacles; and
- Advocacy carried out with cooperation partners to channel resources to cultural entrepreneurship and to apply the foundation's methodology in the Afro-descendant communities.

#### **IV. Expected outputs and benefits**

13. The expected outputs and benefits of the programme include:
  - The economic and cultural enterprises of the targeted communities have benefited from access to financing leveraged from various sources.
  - The targeted communities exchange knowledge and best practices, contributing to enhanced cooperation in cultural and advocacy issues, and greater sustainability of cofinanced initiatives.
  - The interests, skills and cultural heritage of Afro-descendants (especially in the targeted communities) have gained attention and visibility at local and national levels.

#### **V. Implementation arrangements**

14. Fundación ACUA will be responsible for coordinating the programme's activities and for handling funds from IFAD and from other programme contributors. It will be supported on specific issues by experts from the Latin American Centre for Rural Development/Rural Territorial Development with Cultural Identity Programme, and the Regional Programme for Rural Development Training.
15. Institutional partners, including the Colombian and the Brazilian embassies and their Ministries of Foreign Affairs, will be used as platforms for political dialogue and South-South cooperation. Moreover, agreements signed with Colombia's Ministries of Culture and Agriculture will enable the programme to increase its advocacy in public policies relating to poor rural Afro-descendants.
16. Most joint activities will be cofinanced, resulting in additional resources from partners of approximately US\$0.7 million.



## VI. Indicative programme costs and financing

17. The total programme cost is US\$2.76 million. Of this total, Fundación ACUA will contribute US\$1.01 million of its own funds derived from other projects and strategic partners, while IFAD will contribute US\$1.75 million.

### Summary of budget and financing plan

(Thousands of United States dollars)

<i>Number</i>	<i>Type of expenditure</i>	<i>IFAD</i>	<i>Cofinancing</i>
1	Meetings and workshops	280	250
2	Contracts	542	165
3	Competitive funds	500	390
4	Operational costs directly linked to programme implementation	105	205
5	Staff costs	224	-
6	Management costs (overhead): office space, use of Fundación ACUA's financial and administrative system	99	
	<b>Total</b>	<b>1 750</b>	<b>1 010</b>

## Results-based logical framework

	Objectives-hierarchy	Objectively verifiable indicators	Means of verification	Assumptions
<b>Goal</b>	Rural Afro-descendants in the targeted communities have progressed in overcoming historical inequality, and are exercising their rights.	Income; educational level; Access to social security; unemployment rate; unsatisfied basic needs index.	Reports from UNDP about Afro descendants and MDG	
<b>Development Objective</b>	The targeted Afro-descendant communities have improved their entrepreneurial and productive capacities, as well as their say on public policies.	<ul style="list-style-type: none"> <li>a. By 2014, the income generated by business has increased by 50% to 100%</li> <li>b. The number of workers of productive businesses has increased between 20% and 50% by 2014.</li> <li>c. After two years of implementation, 80% of entrepreneurship are sustainable.</li> <li>d. More than 10 products with cultural identity have positioned in national markets on 2014</li> </ul>	<ul style="list-style-type: none"> <li>- Information from Chambers of Commerce.</li> <li>- Performance reports from the beneficiaries and from the programme.</li> <li>- Market surveys.</li> </ul>	<ul style="list-style-type: none"> <li>- Growing social acceptance of Afro descendant culture and identity.</li> <li>- Lack of political will and institutional capacity to implement further initiatives that may contribute to strengthen ACUA programme.</li> </ul>
<b>Outputs</b>	<ul style="list-style-type: none"> <li>1. Access of the economic-cultural enterprises to financing leveraged from new and various sources.</li> <li>2. Exchange knowledge and best practices, contributing to enhanced cooperation in cultural and advocacy issues.</li> <li>3. To acquire attention and visibility at the local and national level in the interests, of Afro peoples.</li> </ul> <p><b>Components:</b></p> <ul style="list-style-type: none"> <li>1. Finance leveraging for Afro enterprises</li> <li>2. Capacity building and Know. Manag.</li> <li>3. Visibility and Impact.</li> </ul>	<ul style="list-style-type: none"> <li>a. US\$0.8 million finance ventures for 2014.</li> <li>b. 20 contracts between community businesses and private enterprises in the first two years.</li> <li>c. 5 corporate social responsibility programmes are ongoing by 2014.</li> <li>d. 30 sustainable cultural entrepreneurship and 4 cooperation agencies apply the methodology</li> <li>e. 5 Afro-descendant cultural expressions proposed as intangible heritage by 2014.</li> <li>f. 5 public policy processes promoted, 3 approved for 2014.</li> </ul>	<ul style="list-style-type: none"> <li>- Institutional and community mapping done by ACUA, scans and polls applied to grass roots organizations.</li> <li>- Reports in Chamber of Commerce.</li> <li>- Implementing and monitoring reports of the organizations and programme.</li> <li>- Market research on prices, quantities, supply and demand of products with cultural identity.</li> <li>- Monitoring report in mass media.</li> </ul>	<ul style="list-style-type: none"> <li>- Support on behalf of the government and cooperation agencies for the development of Afro descendant communities.</li> <li>- The private sector recognizes the great market (demand) and the productive potential of rural Afro descendant communities.</li> </ul>
<b>Key Activities</b>	<ul style="list-style-type: none"> <li>1. Knowledge exchanges and networking;</li> <li>2. Scaling up and co-financing of innovative businesses based on local assets;</li> <li>3. Generation of best practices with Afro-descendant communities, and their dissemination within development agencies (including IFAD)</li> </ul>	<ul style="list-style-type: none"> <li>- 15 enterprises co-financed with the private sector and 10 co-financed with public and cooperation institutions</li> <li>- 3 bi- national and multilateral cooperation agreements in the Afro agenda</li> <li>- 5 projects promoting the declaration of patrimony - 5 programmes of corporate social responsibility - 5 projects supporting Afro descendant ventures</li> </ul>	<ul style="list-style-type: none"> <li>- Monitoring reports of the programme</li> <li>- Minutes of the events</li> <li>- Results in diverse media.</li> <li>- Visibility in all sorts of media.</li> <li>- Market evidence of impact.</li> </ul>	<ul style="list-style-type: none"> <li>- Commitment from strategic partners and co-financers of the project.</li> </ul>

# **International Centre of Insect Physiology and Ecology (*icipe*): Programme for Scaling up Biological Control of the Diamondback Moth on Crucifers in East Africa to Other African Countries**

## **I. Background**

1. The diamondback moth (DBM) is among the most important pests of cruciferous crops. Field assessments in east, central and southern Africa indicated that DBM, together with aphids, are the most damaging insect pests of brassica in the region. Pesticides have been used extensively for DBM control, resulting in the development of moth populations that are resistant to many commonly used insecticides. The use of natural enemies on DBM, mainly the specialized parasitoids, has proven highly effective for the control of the pest in various countries in Asia and Africa.
2. Field surveys in cabbage-growing areas in east African countries revealed that the efficacy of the native parasitoids was relatively low. Accordingly, two highly effective parasitoid species applied in other regions of the world were introduced to Kenya in 2001 and tested for their adaptation to local conditions. The first of these, *diadegma semiclausum*, originating from Taiwan and suitable to cooler climatic conditions, was released in all highland cabbage- and kale-growing areas of Kenya, the United Republic of Tanzania and Uganda with outstanding results; the technology is currently being promoted in Ethiopia and Cameroon. The second parasitoid, *cotesia plutellae* from South Africa, is adapted to warmer and dryer conditions and was released in the Lake Victoria region of Uganda in 2003; it has since spread to western Kenya with very promising control results, indicating its good potential for further distribution to other semi-arid areas in Africa. The impact of the released parasitoids in Kenya and the United Republic of Tanzania was assessed over several years. Results showed that introduced parasitoids eliminated DBM as an economic pest and led to reductions of up to 75 per cent in pesticide use and 20 per cent in health-related problems in all areas where the parasitoids were established.
3. However, the reductions in insecticide use resulting from the successful biological control of DBM caused an increase in aphid problems as these had been kept under control by the insecticide sprays directed against DBM. Considering the high sensitivity of the natural enemies of DBM to insecticides, their release should be coupled with the introduction of alternatives to insecticide control of aphids and other crucifer pests as well as other crops grown in association with crucifer vegetables, such as tomatoes. The International Centre of Insect Physiology and Ecology (*icipe*) has tested and successfully introduced biological control-compatible insecticides and application methods for the control of aphids and other pests within integrated pest management (IPM) training projects for farmers, mainly through farmer field schools (FFSs) in Kenya and the United Republic of Tanzania. This resulted in a 50 per cent reduction in spraying on tomatoes and the complete elimination of spraying on cabbages for the control of DBM.

## **II. Rationale and relevance to IFAD**

4. The programme will provide improved and innovative mechanisms in vegetable pest management through the use of biological control and the reduction of pesticide application; it will accordingly support farmers in reducing production costs and the negative effects of pesticide use on the environment and human health. This is also critical for increasing farmers' market and income-generation opportunities and for diversifying crop production, resulting in improvements in small farmers' nutrition, incomes and resilience. The programme supports the provision of advisory services

to poor farmers through enhanced interaction between research, extension and farmers.

5. The programme will provide technical training to researchers and technicians working in laboratories rearing natural enemies and will improve their facilities to be used for other pests and crops. It will provide plant protection and extension agents with training in IPM, and farmers with training in support of improved production and reduced pesticide application. The programme will also build institutional capacities by establishing facilities and developing human capacities able to further scale up activities to other areas and also replicate successful experiences with other pests and/or crops.
6. The proposed programme will link up where possible to ongoing food security/environment-related projects funded by IFAD and other development agencies and donors in the countries to add value to ongoing national projects and promote complementarity. In Mozambique, it will work closely with the National Programme for Agricultural Extension (PRONEA) mainly in the province of Manica where PRONEA currently has 300 FFSs, which will serve as the foundation for the programme's farmer outreach activities. In Malawi, although no IFAD-financed project in the country covers crucifer-producing farmers, the Ministry of Agriculture, Irrigation and Water Development has other ongoing biological control projects, with the Food and Agriculture Organization of the United Nations and other development agencies, and has expressed (in writing) its interest in being part of the proposed programme activities and its full support of them. The Ministry sees the programme as complementing other ongoing biological control initiatives on other crops as well as its efforts to improve vegetable productivity and reduce pesticide application and the resulting residues in vegetables.
7. Furthermore, the programme, through *icipe*, will work closely with the European Commission/African Union Commission initiative on regional integration in rules, standards, control and procedures, Better Training for Safer Foods in Africa, launched in April 2009.

### **III. The proposed programme**

8. The programme's overall goal is to increase the income of smallholder vegetable producers through improved quality of vegetables produced for domestic markets and reduced pesticide application.
9. The programme's objective is to scale up technologies and successful experiences in biological control of DBM in cruciferous crops in some east, central and southern African countries (namely Malawi, Mozambique, Rwanda and Zambia, with a pilot study in Kenya).
10. The target group consists of smallholder vegetable farmers, mainly women and young farmers, extension agents and researchers in Malawi and Mozambique who will be trained on the rearing, release, and monitoring of biological control agents in the field, and on the integrated management of biological control systems in vegetable crops. Other programme beneficiaries are researchers in Rwanda and Zambia, policymakers in the ministries of agriculture, and the general public.
11. The programme will be of a three-year duration and will comprise two main components:
  - National institutional and farmers' capacities enhanced in pest biological control; and
  - Knowledge management in support to scaling up.

## IV. Expected outputs and benefits

12. These are the following:
- (a) Establishment in targeted countries of DBM biocontrol functional structures:
    - Surveys conducted of DBM and its natural enemies; and
    - Effective and functional rearing facilities and systems for biocontrol agents of DBM established.
  - (b) Promotion of locally adapted biological control IPM technologies in Malawi and Mozambique:
    - Extension agents and farmers trained in locally adapted biological control IPM methodologies for crucifer pests; and
    - Policymakers and the general public sensitized on vegetable IPM methodologies.
  - (c) Knowledge enhancement for further scaling up of DBM biological control in new areas of targeted countries:
    - Impact of *cotesia plutellae* in the semi-arid Eastern Province of Kenya assessed and disseminated to other countries;
    - Knowledge products developed from field experience in Malawi and Mozambique; and
    - Preparatory planning for the scaling up of the activities in all four programme countries with IFAD-funded projects and concerned ministries based on the lessons learned.
13. The programme's likely benefits include: (i) increased incomes for smallholder vegetable growers through reduced use of insecticides; (ii) improved vegetable production and quality due to reduced damage by DBM and other pests; (iii) improved food safety for domestic and regional markets through reduced pesticides application; (iv) improved food security through increased production (quantity and quality) of vegetables; and (v) lessons learned in scaling up innovative technologies to other African countries.

## V. Implementation arrangements

14. *Icipe* will be the main implementing organization. A lead technical officer from *icipe* will be the programme coordinator. Within three months of programme effectiveness, a memorandum of understanding between *icipe* and each Government (Malawi, Mozambique, Rwanda and Zambia) will be prepared and signed.
15. A steering committee will be established at the start of the programme and will be composed of the designated national coordinator in programme countries, representatives of the concerned departments of the countries' Ministries of Agriculture, IFAD focal points at the relevant ministries in Kenya, Malawi, Mozambique, Rwanda and Zambia and the *icipe* programme coordinator, representatives of the relevant IFAD in-country project managers and the designated IFAD grant task manager at headquarters. The steering committee will meet annually to review progress and approve annual workplans and budgets as seen necessary. Other IFAD country programme managers or coordinators of relevant IFAD-funded projects will be invited to participate in the meetings of the steering committee, when appropriate.
16. The Governments of Malawi and Mozambique will each assign a national coordinator responsible for coordination and follow-up of programme implementation with the field coordination unit and the *icipe* programme coordinator. The national

coordinators will also be responsible for compiling monitoring reports of the FFSs. In Mozambique, where programme activities will be incorporated into the ongoing IFAD-funded PRONEA, the national coordinator is expected to be an IFAD project staff member and the field activities will be synchronized with those of PRONEA.

17. To ensure proper coordination among the implementing organizations in the field, a field coordination unit will be established composed of the officially designated national coordinator, a representative from each of the research, advisory services/extension units and the crop production or protection unit at the Ministry of Agriculture. The field coordination unit will meet regularly and support the national coordinator in reporting and further planning exercises.
18. The Malawi and Mozambique national coordinators will be responsible for supervising local implementation and appropriate use of programme finances and will report on work progress to the programme coordinator. They will also be responsible for organizing national stakeholders' workshops and preparing and distributing workshop reports.

## VI. Indicative programme costs and financing

19. The estimated total programme cost is US\$1.45 million, of which US\$1.00 million is requested from IFAD. The remaining cost will be covered by *icipe* and by in-kind contributions of the programme countries, mainly through their national agricultural research institutions (see table below). The estimated distribution of the programme cost is as follows:

- Establishment of DBM biocontrol functional structures in targeted countries: 42 per cent;
- Promotion of locally adapted biological control IPM technologies in Malawi and Mozambique: 31 per cent;
- Knowledge enhancement for further scaling up of DBM biological control in new areas of targeted countries: 17 per cent; and
- Overheads: 10 per cent.

### Summary of budget and financing plan (United States dollars)

<i>Number</i>	<i>Type of expenditure</i>	<i>IFAD</i>	<i>Cofinancing</i>
1	<i>icipe</i> personnel	176 556	303 763
2	Capacity-building: researchers, extension and farmer field schools, awareness material and knowledge products	572 400	98 000
3	Operations <i>icipe</i> (including travel and supervision)	122 325	-
4	Stakeholder and planning workshops	28 000	-
5	Overheads <i>icipe</i>	100 719	48 212
	<b>Total</b>	<b>1 000 000</b>	<b>449 975</b>

# Results-based logical framework

	Objectives-hierarchy	Objectively verifiable indicators	Means of verification	Assumptions
<b>Goal</b>	Improve rural income of smallholder vegetable producers (women and youth) through improved quality of vegetables produced for domestic markets and reduced pesticide application.	<ul style="list-style-type: none"> <li>Quality and quantity of vegetables on domestic, regional and international markets improved.</li> </ul>	<ul style="list-style-type: none"> <li>National Horticultural Production Reports.</li> <li>Project Reports.</li> </ul>	<ul style="list-style-type: none"> <li>No external unexpected biotic or abiotic stress factors develop (extreme weather conditions or upsurges of new pests)</li> </ul>
<b>Objectives</b>	Scale-up technologies and successful experiences in biological control of DBM in cruciferous crop in some Eastern, Central and South African countries	<ul style="list-style-type: none"> <li>DBM parasitoid established in the crucifer fields in Malawi and Mozambique</li> <li>Use of synthetic insecticides in vegetable production reduced.</li> <li>Spraying for DBM control decreased</li> </ul>	<ul style="list-style-type: none"> <li>Post-release establishment and impact survey reports</li> <li>Country and project progress reports.</li> <li>Training manuals</li> <li>Peer reviewed publications</li> </ul>	
<b>Outputs</b>	<b>Component 1:</b> National institutional and farmers capacities enhanced in pest biological control	<ul style="list-style-type: none"> <li>Facilities in Malawi and Mozambique refurbished</li> <li>Mass rearing, release and monitoring of parasitoid undertaken</li> <li>Farmers reduce the use of synthetic insecticides and level of DBM reduced project area</li> </ul>	<ul style="list-style-type: none"> <li>Country (NARES) reports</li> <li>Project field reports.</li> <li>Participatory monitoring and evaluation reports from FFS in target countries</li> </ul>	<ul style="list-style-type: none"> <li>No extreme weather changes</li> <li>Minimum staff deployment to other projects.</li> <li>Governments willing to cooperate</li> </ul>
<b>Key Activities</b>	<p><b>Component 1:</b> National institutional and farmers capacities enhanced in pest biological control</p> <ol style="list-style-type: none"> <li>Conduct baseline surveys of DBM and its natural enemies in project countries</li> <li>Train researchers in rearing, release and monitoring of DBM bio-control agents of DBM</li> <li>Furbish and establish running parasitoid rearing facilities</li> <li>Extension agents and farmers trained in locally adapted bio-control IPM methodologies for crucifer pests</li> <li>Policy makers and general public sensitized on vegetable IPM methodologies</li> </ol>	<ul style="list-style-type: none"> <li>2 researchers in each of the 4 countries trained</li> <li>Baseline surveys conducted by local trained</li> <li>Parasitoids imported into country based on legal procedures</li> <li>Trained staff members</li> <li>Functional DBM/parasitoid rearing facility in each target country</li> <li>Parasitoid released and monitored in the field</li> <li>At least 15 master trainers trained in vegetable IPM in each of Mozambique and Malawi</li> <li>At least 2,000 farmers trained through 80 FFSs.</li> <li>Country specific end user friendly IPM information packages.</li> <li>Biological control and locally adapted IPM methodologies improve production and food safety promoted</li> </ul>	<ul style="list-style-type: none"> <li>Country and project reports</li> <li>Reports of the baseline survey data in target countries available</li> <li>Copies of parasitoid import/export permits</li> <li>National DBM/ parasitoid rearing facilities.</li> <li>Consignments and shipment dates document</li> <li>List of parasitoids release sites.</li> <li>Field release dates and sites</li> <li>Number and location of FFSs reports</li> <li>Training and FFS reports</li> <li>IPM information packages developed</li> <li>FFS curriculum documented</li> <li>Field coordination unit report</li> <li>Awareness materials distributed and TV or radio projects transmitted</li> <li>Project reports</li> </ul>	<ul style="list-style-type: none"> <li>Current political stability persists</li> <li>No extreme weather changes</li> <li>Governments willing to cooperate</li> <li>Current political stability persists.</li> <li>No translocation of trained extension staff to other regions</li> </ul>

	Objectives-hierarchy	Objectively verifiable indicators	Means of verification	Assumptions
<b>Key Activities</b>	<p><b>Component 2:</b> Knowledge management in support to scaling-up</p> <p>6. Assess and analyse the impact of <i>C. pluteellae</i> in Kenya and disseminated results to other countries</p> <p>7. Update FFS curriculum and annual workplans based on field experience and lessons learnt</p> <p>8. Incorporate the knowledge packages developed in the annual workplans and the scaling up preparatory action plans</p>	<ul style="list-style-type: none"> <li>• Impact assessment data collected and analysed</li> <li>• Information shared in stakeholder and annual planning meetings</li> <li>• Updated FFS curriculum</li> <li>• Lessons learnt from FFS and field surveys documented \</li> <li>• Updated FFS curriculum</li> <li>• Knowledge products incorporated in mid-term stakeholder meetings conducted in Rwanda and Zambia with policy makers and IFAD country officers</li> <li>• Knowledge products incorporated in the annual planning</li> <li>• Final regional stakeholders meeting for sharing of lessons learnt and planning of scaling-up</li> </ul>	<ul style="list-style-type: none"> <li>• Impact assessment report</li> <li>• Project progress reports.</li> <li>• Stakeholders' workshop reports</li> <li>• FFS curriculum documents</li> <li>• Project progress reports</li> <li>• Project progress and final reports.</li> <li>• Stakeholders' workshop reports</li> <li>• Annual Workplan and budget produced</li> <li>• Final action plans for scaling-up prepared</li> </ul>	<ul style="list-style-type: none"> <li>• Willingness of Governments and IFAD projects to cooperate</li> </ul>



# **Stichting Oxfam Novib: Programme for Scaling up Peoples' Biodiversity Management for Food Security**

## **I. Background**

1. The access, sustainable use and equitable benefit sharing of biodiversity, such as plant genetic resources for food and agriculture (PGRFA), is crucial for food security, economic stability, growth and poverty reduction. Stichting Oxfam Novib allocates the majority of its resources to sustainable rural livelihoods by supporting civil society organizations worldwide, which, in turn, provide support to indigenous peoples and smallholder farmers. This support has included joint management of the Biodiversity Fund over a period of nine years. Stichting Oxfam Novib and the Biodiversity Fund pioneered action research that demonstrated local communities' "conservation through use" of biodiversity for their livelihood strategies. This includes farmer-led participatory plant breeding and farmer field school (FFS) approaches, the latter in close cooperation with Food and Agriculture Organization of the United Nations' FFS originators. It is important to document, systematize and further develop scaling-up concepts, tools and policies on people-led biodiversity management for food security, and apply these to the current challenges of climate change.
2. Small farms play a major role in the global food system. They occupy 60 per cent of the arable land, although 85 per cent of farms worldwide are less than 2 hectares. There are 1.5 billion small food producers within family farms. Smallholder-based production is still responsible for about 60 per cent of the world's food production. In Asia and sub-Saharan Africa, 80 per cent of food consumed is grown by smallholders. Smallholder farmers operate within dynamic and complex livelihood systems where they usually rely on plant and animal diversity, both in the wild and in different stages of domestication. Women usually play a major role in the biodiversity management of these systems. Yet, despite their huge contribution to feeding the world, smallholder farmers remain poor. Poverty disempowers farmers and is a barrier to transforming their agriculture to a robust source of livelihood. A challenge that the world faces today is how to increase agricultural productivity in existing lands to meet the increasing demand for food, while compensating for loss of production as a result of climate change.
3. The proposed programme is geared towards empowering poor local communities and indigenous peoples to develop their technical and organizational capacities to manage their biodiversity for food security in the context of climate change adaptation. With this focus in mind, the aim is to capitalize on the lessons learned from the work carried out by Stichting Oxfam Novib and the Biodiversity Fund, outcomes of which have reached successful scales.

## **II. Rationale and relevance to IFAD**

4. This proposal is relevant to IFAD's priority theme of food security under climate change conditions with a focus on environmental sustainability, social equity and women. The proposal also addresses the interconnectedness of food systems at global and local levels, and the active participation of poor people for inclusive policy governance. In terms of target groups, the programme's work will be with indigenous and local communities, with about 60 per cent targeted to women. These target groups are consistent with those of IFAD and with IFAD's view that gender equality and women's empowerment are both objectives and instruments of poverty reduction.
5. This programme focuses on the knowledge and experiences of indigenous peoples and smallholder farming communities as being a decisive element in the "global responses" to climate change. It will capitalize on previous successes on

biodiversity management and apply these to the context of climate change. The grant will be used for documentation, refining and testing gender-sensitive concepts and tools for scaling up. These tools will contribute to appropriate solutions alongside those of governments, scientists, the private sector, donors and United Nations organizations. The data generated by these tools will also help to further explore the value of community-based responses, adaptation methods and solutions.

6. The programme is in line with all five objectives of the IFAD Strategic Framework 2011-2015. In terms of thematic areas, it is particularly relevant to: natural resources (biodiversity); climate change adaptation; technical skills development; and support to rural producers' organizations. The programme will improve agricultural technologies for more climate resilience at the levels of plants, farms and landscape/ecosystems by scaling up participatory technologies – such as seed management, participatory plant breeding and biocultural community protocols. It will enable the flow of biodiverse nutrition by enhancing women's traditional barter and trading practices. The demonstration and scaling up of successful models and approaches are consistent with IFAD's approaches.

### III. The proposed programme

7. The programme's entry point is biodiversity, specifically PGRFA as a natural asset for livelihoods and food security – and working around issues of access, sustainable use and benefit sharing. The programme's exit strategy is geared towards sustainability by scaling up people's capacity to organize, learn and act to continually innovate and engage in corresponding policy changes. This involves strengthening people's capacities to conduct on-farm research, to conserve and improve crop varieties/populations and produce seeds by improving their practical skills, honing their observation skills, strengthening their experimentation techniques, supporting their engagement in policymaking and leveraging their achievement to demand resources and services from their governments.
8. The programme's overall goal is to uphold, strengthen and mainstream the rights and technical capacities of indigenous peoples and smallholder farmers, and to influence local-to-global policies and institutions on the sustainable use of plant genetic resources for food security under conditions of climate change. Its objectives are to: (i) develop locally appropriate adaptation strategies for food security by bridging traditional knowledge and science on plant genetic resources and incorporating local perceptions on climate change; (ii) empower indigenous peoples and smallholder farmers to influence local, national, regional and international food, agriculture and climate change policies toward realizing the right to food; and (iii) strengthen the adaptive capacities of smallholder farmer communities and indigenous peoples in plant genetic resources conservation, access and sustainable use, by scaling up successful and/or innovative models.
9. The target group consists of indigenous peoples and farming communities in Peru, Viet Nam and Zimbabwe. They are selected on the basis of their dwindling access to and use of seed with a sufficiently broad genetic base to withstand the effects of climate change. These indigenous peoples and local farming communities are highly vulnerable to climate change and to food insecurity due to their direct use of biodiversity and the historical discrimination they have been subjected to. The programme will build on the position and agency of women as managers of biodiversity in household and community food security.
10. The programme will be of a three-year duration and will comprise three main components:
  - (a) **Adaptation strategies for food security.** This component includes the following activities:
    - Inception period and awareness-raising;

- Review of baseline results and participatory identification of knowledge gaps;
  - Participatory assessment of traditional adaptation strategies and knowledge on climate change;
  - Joint assessments by farmers and scientists on climate change trends; and
  - Participatory selection and piloting of new innovative adaptation strategies, integrating and synthesizing traditional knowledge and science.
- (b) **Empowering indigenous peoples and smallholder farmers.** The component includes the following activities:
- Participatory identification of relevant policies and policy gaps;
  - Capacity-building of farmer and indigenous peoples' advocates for policy engagement;
  - Local and global policy reflections and engagement;
  - Strengthening of institutional capacities of relevant stakeholders to engage in pro-poor policy development; and
  - Participatory development of factsheets and policy narratives.
- (c) **Strengthening the adaptive capacities of indigenous peoples and smallholder farmers.** The component includes the following activities:
- Participatory development and country-level adaptation and testing of gender-sensitive conceptual frameworks and tools;
  - Development of pathways for scaling up PGRFA conservation, access and sustainable use;
  - Development of a biocultural protocol;
  - Technical capacity-building of indigenous peoples smallholder farmers for management of PGRFA at different scales (genetic, farm and landscape levels);
  - Piloting and scaling up of pathways for enhancing crop diversity and farming practices;
  - Enhancing access to markets, including barter markets and local seed markets; and
  - Enhancing innovation networks and alliances towards a critical mass for scaling up.

#### **IV. Expected outputs and benefits**

11. **Locally appropriate adaptation strategies for food security developed.** The results of the comparison of people's perception of climate change will improve the understanding of how farmers and indigenous peoples perceive and adapt to climate change in relation to their food production. This, combined with people's traditional knowledge and skills acquired in participatory plant breeding and participatory varietal selection, and the pilot-tested strategies, will result in the development of pro-poor adaptation strategies in the three targeted countries, based on a participatory approach. These strategies are intended to have an immediate impact through people's greater access to PGRFA with potential for climate adaptation across diverse agroecological zones both in favourable and marginal areas. Furthermore, the programme will help strengthen the position of women as managers of biodiversity by building understanding and appreciation of women's

roles in food systems, and within households and communities. Also, practitioners and policymakers will be reached through documentation and dissemination of this experience.

12. **Local, national, regional, international food, agriculture and climate change policies influenced.** This outcome will be achieved through further awareness-raising and understanding of the importance of local food systems for food security and the global public goods character of people's PGRFA – at various policy narratives and through the direct participation of local people in policy analysis and recommendations at various levels.
13. **Successful and innovative models scaled up, and capacity strengthened.** The programme will help realize a proof-of-concept that investing in people's innovations is effective. This aims to show the vibrancy of human agency, with people as development actors and as managers of biodiversity and food security. Being able to scale up will help to emphasize the high quality and resilience of the seeds developed by indigenous and local communities, and the communities' corresponding good farm and ecosystems management.

## V. Implementation arrangements

14. The recipient of the grant will be Stichting Oxfam Novib, and as such the contract holder. The key role of the programme team will be overall management of programme implementation. A senior specialist in people-centred biodiversity management and policies will be appointed as programme leader and will be actively engaged in management and implementation. Civil society partners will include: the Community Technology Development Trust in Africa; the South East Asian Regional Initiative for Community Empowerment in Asia; and the Association for Nature and Sustainable Development in Latin America. Even if resources are transferred to implementing partners, Stichting Oxfam Novib will ultimately be responsible and remain accountable to IFAD for ensuring that grant resources are used in accordance with the provisions of the financing agreement and are fully accounted for. This will be reflected when drafting the memorandums of understanding between the grant recipient and its implementing partners. Stichting Oxfam Novib will provide annually (within six months after the end of the financial year): (i) consolidated audited financial statements covering the whole programme, i.e. the recipient and all the subrecipients; and (ii) audited financial statements for each subrecipient.
15. A global programme committee (GPC) will be set up for strategic decisions and supervision/oversight. The GPC will be composed of the three in-country partners, Stichting Oxfam Novib and IFAD representative(s). The GPC will ensure that implementation remains on course; oversee the programme's overall direction and strategy; and check feasibility, progress (content and means), effectiveness and efficiency. The key role will centre on strategy and control. The GPC will select members of the programme's advisory group, composed of seven well-respected individuals who can give advice on strategic themes, communications and alliances.
16. At the country level, the three programme partners will manage and implement the programme in target communities in collaboration with local stakeholders. There will be active collaboration between programme partners and government ministries and departments in the respective countries. Programme partners will coordinate with the relevant IFAD country programme managers.
17. At community levels, assisted by the three programme partners, the organizations of indigenous peoples and local communities will be developed and/or strengthened by the formation of FSSs and use of grass-roots or "barefoot" technicians for horizontal learning. Using their traditional knowledge and decision-making structures, communities will assess, plan and monitor their part of the programme implementation, including technical and policy processes.

## VI. Indicative programme costs and financing

18. This proposal envisages IFAD financing of US\$1.00 million, representing 49 per cent of the total programme cost. Stichting Oxfam Novib will cofinance approximately US\$0.76 million (37 per cent). Bioversity International will contribute US\$0.30 million (15 per cent), in the first programme year.

### Summary of budget and financing plan

(Thousands of United States dollars)

<i>Type of expenditure</i>	<i>IFAD</i>	<i>Cofinancing</i>
Staff	348	378
Consultancies	62	77
Travel	119	158
Research	38	50
Training and workshops	77	76
Conferences and meetings	168	147
Equipment	65	51
Publications	28	23
<b>Subtotal</b>	<b>905</b>	<b>960</b>
Partner programme support (indirect costs)	95	99
<b>Total</b>	<b>1 000</b>	<b>1 059</b>

# Results-based logical framework

	Objectives-hierarchy	Objectively verifiable indicators	Means of verification	Assumptions
<b>Goal</b>	The goal is to uphold, strengthen and mainstream the rights and technical capacities of indigenous peoples and smallholder farmers (IPSHF) in order to influence local to global policies and institutions on the sustainable use of plant genetic resources (PGR) for food security under conditions of climate change (CC).	<ul style="list-style-type: none"> <li>82,300 households serviced, of which:               <ul style="list-style-type: none"> <li>at least 60 percent women;</li> <li>at least 50 percent households use improved seeds;</li> </ul> </li> <li>50 percent households w/ improved food security;</li> <li>Recognition of f IPSHF' role in national and global governance of food systems.</li> </ul>	<ul style="list-style-type: none"> <li>Base line data, progress and evaluation reports;</li> <li>Report on Farmers' Rights (FR) models reflected in The Treaty's resolution;</li> <li>Local or national food insecurity reports.</li> </ul>	
<b>Objectives</b>	<ol style="list-style-type: none"> <li>Develop locally appropriate adaptation strategies for food security by bridging traditional knowledge and science on PGR and incorporating local perceptions on climate change;</li> <li>Empower IPSHF to influence local, national, regional and international food, agriculture and climate change policies toward realising the Right to Food (RtF);</li> <li>Strengthen the adaptive capacities of IPSHF in PGR conservation, access and sustainable use, by scaling up successful and/or innovative models.</li> </ol>	<ul style="list-style-type: none"> <li>Adaptation strategies for food security developed and tested by IPSHF w/ support from scientists;</li> <li>No. of potentially climate resilient PGR tested in IPSFH fields;</li> <li>No. of policy dialogues involving IPSHF; 3 IPSHF priorities elevated to discussions of policy makers at local, national, regional and international levels; resources directly leveraged by the IPSHF.</li> <li>No. of IPSHF trained in PGR management for climate change adaptation; Percentage of communities reached; Scaling up models (3 levels: PGR, farm and ecosystems and at horizontal, vertical, etc.) piloted and adapted.</li> </ul>	<ul style="list-style-type: none"> <li>Baseline data, progress and evaluation and peer review reports;</li> <li>Case studies, evaluation. Process documentation; budget, Submission to e.g. ITPGRFA; National and global policy briefs; learning notes.</li> <li>Project and evaluation reports; peer review, process documentation of scaling up process.</li> </ul>	<p>Potential factors that can affect achievement of objectives include:</p> <ul style="list-style-type: none"> <li>Extreme climatic events;</li> <li>Lack of political will amongst governments, multilateral systems and private sector;</li> <li>Aggressive promotion of monopolistic Intellectual Property Rights;</li> <li>Seed exchanges and seed flow not legally obstructed by seed rules and regulations.</li> </ul>
<b>Outputs</b>	<ul style="list-style-type: none"> <li>Climate Change analysis and its effect on IPSHF farming integrating local perception w/ scientific climate data, including women's perceptions;</li> <li>Tested farming practices and potential climate resilient seeds;</li> <li>Gender sensitive tool for capturing people's climate change perception.</li> <li>Gender sensitive learning modules on sustainable PGRFA management and empowerment approaches;</li> <li>Established Farmer Field Schools (FFS) or community organizations for policy analysis and engagement;</li> <li>Local, national and global policy briefs, including gender approaches to FR and RtF.</li> <li>Gender sensitive concept and tools for scaling</li> </ul>	<ul style="list-style-type: none"> <li>3 in depth case studies comparing people's climate change analysis w/ climate data and how this affects their PGRFA management for food production;</li> <li>Percentage of IPSHF testing farming practices adapted for climate change;</li> <li>No. of potentially climate resilient seeds identified by farmers;</li> <li>Percentage of women's feedback on the outputs;</li> <li>Power and gender analysis integrated in project's policy analysis;</li> <li>40-50 percent of FFS organized to confidently engage in policy analysis and dialogues at community levels, 20-40 percent at national levels and 5-10 percent at global levels;</li> </ul>	<ul style="list-style-type: none"> <li>Baseline data, progress and evaluation and peer review reports;</li> <li>Case studies, evaluation. process documentation; budget, Submission to e.g. ITPGRFA; National and global policy briefs; learning notes.</li> <li>Project and evaluation reports; peer review, process documentation of scaling up process.</li> </ul>	<ul style="list-style-type: none"> <li>Conducive policy and legal frameworks for gender justice, indigenous peoples rights, Farmers Rights and sustainable agriculture are discussed within relevant climate change and agriculture international processes such as UNFCCC, CBD, ITPGRFA;</li> <li>Most countries adopt and implement the United Nations Declaration on the Rights of Indigenous peoples (UNDRIP).</li> </ul>

	Objectives-hierarchy	Objectively verifiable indicators	Means of verification	Assumptions
	<ul style="list-style-type: none"> <li>up PGRFA for food security;</li> <li>Publications of models for scaling up;</li> <li>Policy makers awareness of scale up models.</li> </ul>	<ul style="list-style-type: none"> <li>Policy analysis of project reflected in global policy such as the ITPGRFA;</li> <li>Increased reference to women's role in FR and Rt. FFS and communities' assessments of the concept and tools;</li> <li>Peer reviews of the concept and tools;</li> <li>Evaluation of scale up models;</li> <li>Policy makers participation in dialogues.</li> </ul>		
<b>Key Activities</b>	<ul style="list-style-type: none"> <li>1.a. Inception period (fine tuning/gender sensitizing of tools and work plan, review survey results);</li> <li>1.b. Joint scientific and IPSHF assessment of climate change trends and traditional PGR coping strategies for food security;</li> <li>1.c. Participatory selection and piloting of innovative PGR adaptation strategy integrating traditional and scientific knowledge;</li> <li>2.a. Participatory analysis on policy gaps and training needs analysis using gender lens;</li> <li>2.b. Learning module developed for capacity development for farmer advocates w/in FFS;</li> <li>2.c. Local and global policy reflections and engagement (ordinances, mobilizations, submissions to international bodies); including participatory development of fact sheets and policy narratives;</li> <li>3.a. Technical capacity building of IPSHF for management of PGR at different scales (genetic, farm and landscape);</li> <li>3.b. Development and piloting of pathways for scaling up PGR conservation, access and sustainable use in the 3 countries, including barter trade and market access;</li> <li>3.c. Development of biocultural protocol.</li> </ul>	<ul style="list-style-type: none"> <li>Most stakeholders committed to implementing projects; gender sensitive tools tested and refined;</li> <li>Methodologies developed for participatory assessment, 3 country assessment produced;</li> <li>Assessment and modifications to piloted innovative strategies based on on-ground experiences pilots of innovative strategies;</li> <li>Identified priority areas / focus of policy advocacy (policy agenda);</li> <li>No. farmer advocates/ farmer groups trained and actively engaged in policy advocacy; No. of policy forums conducted, policy recommendations/ position papers drafted and submitted/ presented to international bodies;</li> <li>No. of IPSHF men and women trained and practicing PGR management;</li> <li>Refined strategies and lessons learned for scaling up; Increased availability of IPHSF produce at market and/or barter;</li> <li>Biocultural protocol discussed and adopted by the partners and ready for sharing and higher level discussions.</li> </ul>	<ul style="list-style-type: none"> <li>Minutes of partners and stakeholders meetings; reports from participatory assessments, documentation on pilots w/ feedback from women;</li> <li>Minutes of meetings and workshops; decisions, recommendations and plans; documentation of gender issues included in discussions; training reports; documents of submission/ communications to international bodies;</li> <li>Training, monitoring reports, FFS feedback;</li> <li>Minutes of meetings, case studies, documentation process, baseline survey;</li> <li>Protocol document, minutes of meetings, progress report.</li> </ul>	<ul style="list-style-type: none"> <li>All relevant stakeholders have been included in discussions and planning; stakeholder representatives have adequate clout to enforce/ implement work plans; adequate continuity within the stakeholder institutions;</li> <li>Reviews have been comprehensive and multi-disciplinary; staff commitment and capacity for gender mainstreaming are consistent;</li> <li>Advocates have commitment to sustain advocacy activities, and are able to engage appropriate agencies, individuals, stakeholders in policy discussions;</li> <li>There is adequate commitment among research institutions and CSOs to carry out and sustain pro-poor policy advocacy and development;</li> <li>Stakeholders are committed to implement and sustain plans for scaling up;</li> <li>Access to market creates incentive for farmers to conserve and use indigenous PGR;</li> <li>Demand for local crop varieties and local market systems are susceptible to influence and change.</li> </ul>

# **PhytoTrade Africa: Programme for Alleviating Poverty and Protecting Biodiversity through BioTrade**

## **I. Background**

1. PhytoTrade Africa was established in 2002 as the trade association of the natural products industry in southern Africa. "Natural products" are products derived from plants indigenous to southern Africa; they include foods, drinks, oils and ingredients used by the food and cosmetics industries.
2. Phytotrade Africa is a non-profit, membership-based organization representing private-sector businesses, development agencies, individuals and other interested parties in eight countries: Botswana, Malawi, Mozambique, Namibia, South Africa, Swaziland, Zambia and Zimbabwe. Its purpose is to alleviate poverty and protect biodiversity in the region by developing an industry that is not only economically successful but also ethical and sustainable.
3. PhytoTrade Africa's objective is to reduce poverty and preserve the indigenous environment in southern Africa through trade in natural products. From its inception in 2001 up to 2010, PhytoTrade focused on the supply side and on providing services to communities and members to develop environmentally friendly, certified, traceable and ethically traded supply chains for natural ingredients, and achieving processing standards, quality control and export capacity. Further quality assurance and ingredient processing, and marketing and sales were achieved through strategic and exclusive commercial partnerships with international companies.
4. This partnership approach to commercializing novel indigenous ingredients into export markets worked well in the early years. Benefits included intellectual property rights, regulatory registration and entry of several ingredients into the European Union, and considerable sales growth generating cash incomes for rural harvesters. However, the financial and economic crisis in 2008-2009 highlighted the weaknesses in the approach and the potential for a plateau in trade volumes due to exclusive and few trading partnerships.
5. PhytoTrade, now under new leadership, is transitioning into a third phase that is more focused on business and financial aspects. It intends to broaden the distribution network and localize quality control for the cosmetic ingredients to gain more control and value addition over product positioning, pricing and sales. It will therefore specifically target the development of key species that will generate large demand volumes; increase the inclusion of new harvesters into the supply chain; and focus on the financial capacity and structure of its members to grow to the market demand.

## **II. Rationale and relevance to IFAD**

6. PhytoTrade's goal is to generate additional sources of cash income for poor rural farmer households living on increasingly marginal lands, especially women, through the commercialization of the natural resources to which indigenous communities have preferential and strategic access. It is expected that the supplemental income thus generated will lead to improved food security. To achieve this goal, PhytoTrade is supporting the development of an equitable and enduring natural product industry in southern Africa. To this end, it adopts an innovative, market-led approach aimed at enabling sustainable economic activity and at giving poor rural people stronger access to world markets than they have had in the past. This approach is consistent with IFAD's key objectives of providing opportunities for rural off-farm employment, facilitating enterprise development and promoting the sustainable management of natural resources.



7. The programme links directly to all outputs of the IFAD Policy for Grant Financing:
- Innovative activities will be promoted and innovative technologies and approaches developed in support of IFAD's target group through the expansion of alternative sources of revenue from harvesting wild natural products, the elaboration of new processing technologies for targeted natural products and the development of new products to respond to increasing international demand for ethical and sustainably harvested cosmetic and food ingredients;
  - Awareness, advocacy and policy dialogue on issues of importance to poor rural people will be promoted by, and on behalf of, this target group through support to responsible natural resource stewardship in appropriate forums;
  - Capacity of partner institutions will be strengthened to deliver a range of services in support of poor rural people through training conducted among PhytoTrade members and harvester cooperatives; and
  - Lesson learning, knowledge management and dissemination of information on issues related to rural poverty reduction will be promoted among stakeholders within and across regions through publications elaborated by the grantee and through knowledge-sharing workshops and seminars.

### **III. The proposed programme**

8. The overall goal of the programme is to contribute to local development by enabling poor rural communities in southern Africa to generate supplementary incomes through the socially and environmentally sustainable trade of natural products. By the end of 2015, it is expected that the programme will have:
- Increased incomes to rural communities in participating southern African countries through trade in indigenous natural products, resulting in a global increase in sales from US\$0.58 million to more than US\$2 million;
  - Increased the number of rural harvesters from 10,700 to 26,500;
  - Developed ingredient and consumer product sales of members from US\$1.34 million to more than US\$10 million; and
  - Demonstrated the effective protection and development of biodiversity by rural communities through the commercialization of indigenous natural products.
9. PhytoTrade adopted a strategy in 2010 based on the provision of services to members through five key pillars: (i) PhytoServices – business, trade and environmental support provided by PhytoTrade to its members; (ii) PhytoTech – a technology platform to commercialize innovative phytoingredients; (iii) PhytoBranding – developing brands, trade marks and logos of PhytoTrade; (iv) PhytoProducts – a framework to develop finished products for members and others; and (v) PhytoInvest – an evergreen or revolving venture capital-type fund to secure capital for members. This project will focus on supporting pillars (i) PhytoServices and (v) PhytoInvest, drawing upon innovative research from pillar (ii) PhytoTech.
10. The programme's strategy will be to:
- Focus on high-volume natural products (baobab powder, mafura, devil's claw) to bring greater numbers of harvesters into the supply chain;
  - Consolidate the current distribution network in Europe and develop new distribution channels for ingredients;
  - Improve market orientation, capitalizing on the mega trends of wellness, health, natural and organic, and fair and ethical trade, with continued

certification progress with members to meet market standards, expectations and demand;

- Strengthen competitive positioning of ingredients through the adoption of new processing and filtration technologies to enable higher productivity and quality and lower costs, and improved business planning, operational control, and financial management by members; and
  - Secure public- and private-sector funding and investment into the southern Africa natural product sector to finance adoption of technology, development of ingredients and finished product brands.
11. The target groups are poor rural communities in southern Africa, particularly those living in dry and more marginal areas, that have strategic access to abundant indigenous natural resources. The resource bases here in respect of land fertility, water availability and resulting food security make these groups among the most vulnerable in the subregion. The programme's aim is to create alternative and additional off-farm income streams, especially for women, through the harvesting and supply of natural raw materials for centralized processing into ingredients for local and export markets.
  12. To achieve this goal, PhytoTrade will work with key industry players along the value chain to create a sustainable natural product trade. This will range from the primary focus on improving members' processing and manufacturing operations and their capacity to meet standards and trade, through to supporting distributors and brand owners in positioning, marketing and developing new products to launch on the market.
  13. The programme will be run for three years and will comprise five main components:
    - (i) Supply chain development;
    - (ii) Community biodiversity training;
    - (iii) Development of mafura sector in Mozambique;
    - (iv) Market expansion; and
    - (v) Increased access to financing.

#### **IV. Expected outputs and benefits**

14. The programme will result in the following outcomes:
  - Reliability and sustainability of the supply chain increased leading to greater market confidence;
  - Communities trained in the beneficial use and protection of biodiversity;
  - Rehabilitation of the mafura sector in Mozambique, which was decimated by civil war;
  - Access for existing and new products in national, regional and international markets improved; and
  - A pipeline of well-documented and -researched investment opportunities developed to raise capital for this growing natural products industry.

#### **V. Implementation arrangements**

15. A programme management team will be established within PhytoTrade for the implementation of this programme. Overall supervision of the programme management team will be through a steering committee to be established and through the PhytoTrade Board. PhytoTrade will also draw on its key in-house experts, its members and external consultants to carry out the activities within these components.

16. PhytoTrade has expertise in monitoring and evaluation (M&E), built up from the organization's inception, that is recognized as among the most advanced in the natural products and biodiversity sector. This has led to others contracting PhytoTrade for assistance in the design of their own M&E systems. This initiative is being expanded in 2012 by the recruitment of new people and the promotion of an M&E programme focus. An initial workplan will be prepared and submitted by the programme manager prior to the first drawdown in June 2012. Subsequent reporting will be timed so as to coincide with PhytoTrade's annual general meeting and associated steering committee meetings.
17. Self-financing will be partially achieved through the commissions on oils and baobab powder sales, and further commissions generated through the commercialization of BioTrade will be pursued. PhytoTrade will receive varied commissions on local and export sales of ingredients – in some cases a percentage (between 2 and 5 per cent) and in other cases a fixed value per kilogram. PhytoTrade intends to have its recurrent costs covered by its own income by the end of 2015. Development activities are expected to be financed both through donor support and through private commercial contracts. A 5 per cent commission on US\$10 million of sales would generate US\$0.5 million of PhytoTrade income to cover recurrent costs.

## VI. Indicative programme costs and financing

18. The table below shows the breakdown of the budget by type of expenditure. It is noted that only staff/consultants directly assigned to the programme may be financed by the grant proceeds.

### Summary of budget and financing plan (United States dollars)

<i>Type of expenditure</i>	<i>IFAD</i>
Staff	557 773
External consultants	492 272
Travel and subsistence	146 182
Training, workshops and meetings	62 500
Marketing, publications, equipment	125 364
Operations and overheads	115 909
<b>Total</b>	<b>1 500 000</b>

## Results-based logical framework

	Objectives-hierarchy	Objectively verifiable indicators	Means of verification	Assumptions
<b>Goal</b>	To enable local development for poor rural communities in southern Africa through generating supplementary incomes from socially and environmentally sustainable trade of natural products.	Increase annual incomes to rural communities in southern Africa through ethical and sustainable trade in selected indigenous natural products. Estimated result is to reach US\$2,000,000 by end of 2014. Number of primary producers deriving supplementary cash incomes from NPs. Estimated to reach 26,500 by end of 2014	Members' annual statistical returns.  External evaluations	
<b>Objectives</b>	Development of an enduring and equitable industry in southern Africa based on natural resources accessible to poor rural communities	Value of ingredient and consumer product sales of members. Estimated result is to reach US\$10,000,000. Number of products developed and marketed. Value added to NPs within the region	Members' statistical returns.	Communities have legal access to primary resources. Communities are willing and able to respond to NP trade opportunities.
<b>Outputs</b>	1. Reach sustainable, diversified, reliable and good quality supply capacity	Trends of supply and demand levels Volume and value of annual trade by primary processors of natural products	Records of orders received and dispatched by members.	Supply of community-sourced NPs is economically viable at prevailing market prices.
	2. Optimize and protect natural resources and ecosystems linked	Numbers and geographical diversity of Baobab products, producers and collectors	Members' statistical returns.	Supply of community-sourced NPs is economically viable at prevailing market prices.
	3. Rehabilitate Mafura oil industry decimated by civil war in Mozambique	Mafura sales and collectors incomes	Members' annual statistics returns	The global trend towards fairly traded Mafura products from Mozambique is sufficiently strong to leverage private sector investment in product R&D.
	4. Support products and markets (local, regional and international) development	Members commercial agreements signed to sale new ingredients	Trade agreements and business plans in place	No adverse events associated with African products occur to provoke restrictive legislation in global markets on African imports.
	5. Facilitate SMEs investments in transformation and commercialization of natural products	Number of investment opportunities amongst PhytoTrade SME members Number of members trainings on trading and business	Records and applications for potential and existing investment partnerships Trainings and training records/ reports	The global trend towards fairly traded Natural products from Africa is sufficiently strong to leverage private sector investment in product R&D.
<b>Key Activities</b>	Training in sustainable harvesting Technical assistance for improved processing Resource inventories and marketing studies Market Outreach	Annual Work Plans and Budgets	Project Reports	Prompt disbursement of funds, grantee compliance with IFAD regulations, availability of funding from co-financiers

# **University of the Andes: Programme for Conditional Cash Transfers and Rural Development in Latin America**

## **I. Background**

1. About 27 million poor households from countries in Latin America and the Caribbean (LAC) receive conditional cash transfers (CCTs), mobilizing about US\$540 million every month. A considerable share of these households are rural and therefore potential beneficiaries of IFAD-funded rural development projects. Households receiving both CCT funds and project support might find a different way of managing these resources if complementarities between these sources were to emerge. For instance, CCT funds might change the degree of risk aversion of households working with development projects; households might be able to reallocate labour and capital to take advantage of other opportunities; or new economic activities might appear in the communities as a result of the injection of capital. Besides, because CCTs are commonly targeted to women, these combined resources might have a greater gender impact. If these synergies materialize, development projects may be more effective in reducing poverty and promoting rural development, and CCT programmes would have access to new exit or graduation strategies, a challenge for most CCT programmes in LAC. Identifying these opportunities and the way that households use them can provide information for scaling up of IFAD-funded interventions throughout the CCT framework so that resources can be more effective in reducing rural poverty and food scarcity.

## **II. Rationale and relevance to IFAD**

2. This programme will contribute a current IFAD priority, which is to identify and exploit mechanisms for scaling up the results and effects of its work. It will explore ways to build stronger linkages and synergies between IFAD's work and CCTs, which constitute the most widespread and heavily funded poverty reduction strategy in place today in LAC. The programme will contribute to IFAD's mandate of enabling rural women and men to overcome poverty. Specifically, it will contribute to IFAD's strategic objectives of facilitating access to services to reduce poverty, improve nutrition, raise incomes and build resilience in a changing environment; and enabling institutional and policy environments to support agricultural production and the full range of related non-farm activities. The programme will also contribute to the objectives of the revised IFAD Policy for Grant Financing, in particular to its outputs (a), (b), and (d) (see paragraph 5 of the main report).

## **III. The proposed programme**

3. The programme's overall goal is to enhance the impact of IFAD-funded operations in LAC by building synergies with CCT programmes reaching tens of millions of rural poor people throughout the region and by facilitating the scaling up of interventions. The programme's objectives are to: (i) describe and understand the mechanisms through which there exist or could exist synergistic effects between rural development projects, such as those funded by IFAD, and CCT programmes; (ii) inform policymakers at the national level in four countries, and in international organizations that provide financing for CCTs and rural development projects, about the potential for synergistic effects between CCTs and rural development projects such as those financed by IFAD, and about alternative programme designs to enhance and exploit these effects; and (iii) provide feedback and build capacity of IFAD's country programme managers (CPMs) and within country teams to take greater advantage of potential synergistic effects between IFAD-funded projects and CCT programmes.

4. The target group will consist of vulnerable and poor rural households that are beneficiaries of CCT programmes and/or of projects funded by IFAD, multilateral development banks, donors, etc., in four countries in LAC.
5. The programme will have a duration of three years and will be carried out at two levels:
  - **First level.** The programme will conduct an evaluation in four countries (Colombia, El Salvador, Guatemala and Peru) followed by policy advocacy.
  - **Second level.** The programme will work with three countries in the region where CCT programmes are much more consolidated (Brazil, Chile and Mexico), and identify lessons from their experience to share with the first-level countries.

#### **IV. Expected outputs and benefits**

6. The expected programme outcome is that CCT programme and rural development project designs are adapted to promote and take advantage of synergistic effects. The results will be:
  - Seven national reports produced, which analyse the synergies and connections between CCT programmes and IFAD-funded projects in the selected countries, and propose guidelines and recommendations for programme and project designs.
  - Four policy reference groups created with national stakeholders in first-level countries, which will systematically discuss the opportunities and challenges of greater integration and complementarities between CCT programmes and rural development projects.
  - Recommendations provided to CCT and rural development policy decision makers and programme managers, including on integrated strategies that reallocate budget and other resources so that programme and project outcomes and impacts are more sustainable in time, hence providing more and better "exit options" for both types of interventions.
  - Capacity of CPMs in the selected countries strengthened as a result of the lessons learned throughout the programme relating to the design and implementation of activities.
  - A network set up to disseminate programme information (based on a programme website) and informed stakeholders about the results achieved at different stages of the programme.

#### **V. Implementation arrangements**

7. The programme will be administered by the University of the Andes, through its Center of Studies on Economic Development (CEDE). CEDE will be responsible for submitting annual workplans and budgets, and technical and financial reports to IFAD. To ensure quality results, a scientific committee will be created with high-level experts from recognized institutions in the United States and Europe, and in each of the countries selected for analysis, an institution with specific characteristics will be chosen. Within each implementing agency, a designated focal point will monitor the relative subproject, providing information for the annual report of successes and failures that will be produced by CEDE.
8. The programme will be supervised by the Senior Rural Development Specialist for LAC and with the active participation of CPMs.

## VI. Indicative programme costs and financing

9. The total programme cost will be US\$2.10 million, of which US\$1.75 million (82.6 per cent) will be financed by IFAD, and the remaining US\$0.37 million (17.4 per cent) will be cofinanced by the University of the Andes and the implementing agencies in the selected countries.
10. A provision will be made for retroactive financing of up to US\$0.10 million to cover initial expenditures incurred between Executive Board approval and eligibility for disbursement.

### Summary of budget and financing plan

(Thousands of United States dollars)

<i>Type of expenditure</i>	<i>IFAD</i>	<i>Cofinancing</i>
Personnel (including subcontractors)	39.00	-
Professional services/consultancies	1 077.72	327.19
Travel	103.00	-
Equipment	21.94	21.94
Operational costs	280.08	20.25
Overheads	228.26	-
<b>Total</b>	<b>1 750.00</b>	<b>369.37</b>

## Results-based logical framework

	Objectives-hierarchy	Objectively verifiable indicators	Means of verification	Assumptions
<b>Goal</b>	To enhance the impact of IFAD's operations in LAC (and similar projects) by supporting synergies with CCT programs reaching tens of millions of rural poor throughout the region and facilitating scaling up of interventions.	Four programs or projects revised to include formulated recommendations	Reports discussed and submitted to agencies with the recommendations proposed.	
<b>Objectives</b>	<ul style="list-style-type: none"> <li>To identify mechanisms for synergistic effects between IFAD-RD projects and CCT programs.</li> <li>To inform policy makers on these synergistic effects.</li> <li>To provide feedback and build capacity within IFAD's CPMs and country teams, to take greater advantage of synergistic effects.</li> </ul>	<ul style="list-style-type: none"> <li>Four reports from first-level countries and three from second-level countries with the identification of mechanisms for multipliers effects.</li> <li>Three workshops with policy makers and key stakeholders to discuss effects.</li> <li>Four sets of recommendations discussed and submitted to agencies.</li> </ul>	Reports, workshops and recommendations are verifiable through the annual reports submitted by U of Andes.	Policy makers are willing to listen to results and debate policy recommendations. Executing institutions have the technical abilities and the adequate relationship with government agencies.
<b>Outputs</b>	<ul style="list-style-type: none"> <li>National reports identifying the synergies and connections between CCT programs and IFAD-RD projects and recommendations for improving design of these program and projects.</li> <li>Policy reference groups with national stakeholders that will discuss opportunities and challenges of greater integration between CCT programs and RD projects.</li> <li>Recommendations to CCT and rural development policy decision-makers and program managers about integrated strategies that reallocate resources so that program and project outcomes and impacts are more effective in reducing rural poverty</li> </ul>	<ul style="list-style-type: none"> <li>Seven of reports with rigorous analysis and satisfying the objectives of the project.</li> <li>Four policy reference groups consolidated and aware of the opportunities and challenges emerged from the interaction between CCT programs and IFAD-RD projects.</li> <li>Recommendations at country level for policy making and adjustment or re-design of CCT programs at graduation and IFAD-RD projects</li> </ul>	Reports, workshops and recommendations are verifiable through the annual reports submitted by U of Andes.	Policy makers are willing to listen to results and debate policy recommendations. Executing institutions have the technical abilities and the adequate relationship with government agencies.
<b>Key Activities</b>	<ul style="list-style-type: none"> <li>Workshops</li> <li>Policy dialogue and participation of policy makers</li> <li>Consolidation of results and policy recommendations</li> <li>Final document consolidation</li> <li>Dissemination</li> </ul>	<ul style="list-style-type: none"> <li>Three workshop organized and with memories consolidated</li> <li>Four dialogue groups established</li> <li>One international seminar for discussion of final results</li> <li>A web page with information from the project</li> </ul>	Reports, workshops and recommendations are verifiable through the annual reports submitted by U of Andes.	Policy makers are willing to listen to results and debate policy recommendations. Executing institutions have the technical abilities and the adequate relationship with government agencies.