

Project SN-3

**Participatory Research Approaches to
Reduce Poverty and Natural Resource
Degradation through the Creation of
Market Links and Social Control of
Community Projects**

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Project SN-3: Participatory Research Approaches to Reduce Poverty and Natural Resource Degradation through the Creation of Market Links and Social Control of Community Projects

Project Description

Objective

To develop and disseminate participatory research (PR) principles, approaches, analytical tools, indigenous knowledge and organizational principles that strengthen the capacity of R&D institutions to respond to the demands of stakeholder groups for improved levels of human well-being and agro ecosystem health

Outputs

1. Participatory approaches and methodologies for strengthening farmers' organizations and rural innovation systems to accelerate and institutionalize demand-driven innovation in production systems, researched and disseminated
2. Organizational procedures, institutional mechanisms and policies for using participatory methodology in the co-development of technologies, designed and tested with national and local innovation systems in Latin America (LA) and Africa
3. The resource-to-consumption (ERI) framework developed, tested and applied to strengthen farmer organizations and rural women's capacity allowing transition from semisubsistence to competitive market-oriented production in Africa and LA
4. Methodologies for establishing community-managed participatory monitoring and evaluation systems (PM&E) tested, applied and widely disseminated
5. Institutional and organizational capacity of R&D partners in development and adaptation of PR methodologies, strengthened

Gains

- Users involved at early stages in decisions about innovation development
- New and better links between farmers' groups and local markets
- Adaptation of PM&E systems in Bolivia and incorporated in their technological innovation projects (PITAs), enabling the farmers to exercise greater control over their projects and then give feedback on their execution to the project suppliers
- Online tool based on database development with information input from our partners based on results from different CIALs and second-order organizations in five LA countries
- The knowledge management approach to extension work tested in 10 different sites in 4 agroecological regions of Bolivia with 9 different crops and species, and proven to be highly effective in technology appropriation by farmers
- First volume on the Bolivian experiences in applying PR methodologies and tools, delivered to various suppliers and farmer-technicians
- Manual to train knowledge managers validated with 40 professionals and farmers in 8 training courses

- A 22-minute video that shows how knowledge management is practiced in Bolivia, including principles, methodological processes and testimonies of farming communities
- Over 500 people trained or influenced by the Pro-poor Knowledge Management Methods project in Bolivia
- A capacity-development program agreed upon with the Centers for Learning and Knowledge Sharing (CAIS), focusing on five technological components
- A first course on five technological components carried out for 30 representatives of CAIS from 8 LA countries
- A methodological platform to evaluate (CIP) initiative for the W.K. Kellogg Foundation, established and agreed upon with users throughout Latin America
- A complete set of analytical tables and charts to collect and synthesize information coming from CIP partners
- A small seed enterprises manual validated with Haitian professionals and tested on farms with several groups
- A French version of the small seed enterprises manual published and distributed among NGO partners in Haiti
- A cassava production manual tested, published and distributed among NGO partners
- A collaborative project proposal approved by FAO to carry out trials in cassava and beans
- Over 200 R&D personnel trained on establishing and implementing PM&E systems; 20 projects in 5 Kenya Agricultural Research Institute (KARI) centers with PM&E systems; over 37 farmer groups (approx. 700 farmers) trained on implementing community based PM&E systems, who have developed indicators, collected data on the indicators, analyzed and use them for their decision-making
- Two videos produced, documenting experiences with Kasungu farmers in Malawi and Katwemukye group in Masindi, Uganda, and giving them voice to share their experiences with a much wider audience
- Two handbooks published based on the progressive field experiences, results and lessons accumulated in implementing the “Enabling Rural Innovation” (ERI) with several partners in Uganda, Malawi and Tanzania: “The Power of Visioning: A Handbook for Facilitating the Development of Community Action Plans” and “A Market Facilitator’s Guide to Participatory Agroenterprise Development.”
- Scientific publications, briefs, a brochure and a Website developed and applied to raise visibility of ERI in Africa in a broad research strategy implemented with 7 PhD and 5 MA students, who are analyzing various aspects of farmer-market linkages across diverse social organizational levels and their effect on rural livelihoods, HIV/AIDS, empowerment and gender equity, and investment in natural resource management (NRM)
- Evidence of scaling up and institutionalization of ERI approaches and methods: partnerships increased from 3 to 13 R&D partners in 3 countries and expanded to 7 new ones (Mozambique, Zimbabwe, Rwanda, Kenya, DR Congo, Zambia, Ethiopia)
- The effectiveness of the CIAL methodology, the extent to which the problems addressed by the CIAL are relevant to the community, and the benefits of the CIAL to its members as well as to the community, assessed in terms of developing appropriate technologies and who benefits from the innovations in Colombia and Honduras
- Prototype methodology developed for mapping, strengthening and monitoring networks of small rural groups

- Adaptation of the innovation history method for identifying and communicating policy lessons
- First draft completed of a methodology for the participatory construction of impact pathways in 32 CPWF projects
- Project funded to develop the impact-pathways methodology further and implement it in 3 CPWF basins in Phase I and the remaining 6 basins in Phase II

Milestones

2004

- Capacity of national partners to implement and support PM&E and PR processes established within R&D institutions in at least two countries in LA and another two in East Africa.
- Lessons from R-to-C framework tested and validated in at least two countries in LA
- A methodology for conducting impact assessment of PR methods developed and tested in at least two countries in LA
- Impact assessment analyses to derive lessons and impacts of PR methods on livelihoods, conducted in at least three countries in LA

2005

- Capacity of national partners to implement and support PM&E and PR processes established within R&D institutions in at least 2 countries in LA and another 2 in East Africa.
- Capacity of partners to apply ERI approaches and methods scaled up to at least three new countries
- National team of trainers/facilitators trained and scaling up PM&E and PR processes at national level
- The innovation history method adapted and applied in Africa and Asia

2006

- Local capacity enhanced to identify demands and develop projects that respond to these demands and that feed into Bolivian national agricultural research and technology transfer systems
- Three participatory methodologies researched and tested by at least two national programs in LA and Africa
- Organizations and actors involved in rural innovation processes; e.g., IARCs, NARS, NGOs, private sector companies.
- Rural innovation systems strengthened through institutional learning and change
- Better targeted and more efficient management of rural innovation processes leading to improved sustainable livelihoods
- ERI approaches and methods scaled up and being applied in at least 4 new countries and at least 8 new partners
- Participatory construction of impact pathways of 17 CPWF projects in the Mekong, Volta and Karkheh basins, completed
- Prototype methodology to map, strengthen and monitor networks of projects, NGOs and second-order organizations, developed and tested in Africa, Asia and LA

Users

This work will benefit small-scale, resource-poor farmers, processors, traders and consumers in rural areas, especially in fragile environments. IPRA has a strong focus on supporting rural women and the poor in order to build their capacity to generate and use agricultural technologies to their own advantage. R&D service providers will receive more accurate and timely feedback from users about acceptability of production technologies and conservation practices. R&D planners will profit from methods for conducting adaptive research and implementing policies on natural resource conservation at the micro level. The national agricultural innovation systems are a target of the Project's activities. Strengthening their capacity to link local demands with service providers is being addressed by our Project in Bolivia.

Collaborators

Within CIAT: Inputs to: PE-3; PE-4, IP-2, IP-3, IP-5, SN-1, SN-2, SB-2, SB-3, BP-1. Outputs from: IP-2, IP-5, BP-1, SN-1, SN-4, PE-3, PE-4, TSBF.

Outside CIAT: In Latin America: Honduras: Escuela Agrícola Panamericana-El Zamorano (EAP), Fundación para la Investigación Participativa con Agricultores en Honduras (FIPAH), Programa de Reconstrucción Rural (PRR), Centro Universitario del Atlántico (CURLA); Nicaragua: Instituto Nacional de Investigaciones (INIA), U. Campesina (UNICAM); Ecuador: Instituto Internacional para la Reconstrucción Rural (IIRR), Instituto Nacional de Investigaciones Agropecuarias (INIAP)-Programa FAO, Fundación Antisana, Proyecto MANRECUR; Venezuela: Instituto Nacional de Investigaciones Agropecuarias (INIA). Bolivia: Ministerio de Asuntos Campesinos y Agropecuarios (MACA), U. Mayor de San Simón (UMSS), Fundación PROINPA, Sistema Boliviano de Tecnología Agropecuario (SIBTA), FDTA-Valles, FDTA-Altiplano, FDTA-Chaco, FDTA-Trópico Húmedo, FDTA-Chaco, Proyecto INNOVA, Agua y Tierra Campesina (ATICA), Programa Nacional de Semillas (PNS), Centro de Investigación Agrícola Tropical (CIAT-Bolivia), Servicio de Desarrollo Agropecuario de Tarija (SEDAJ), Coordinadora de Integración de Organizaciones Económicas Campesinas (CIOEC), Programa de Desarrollo Integral Interdisciplinario (PRODII), Centro de Apoyo al Desarrollo (CAD), Comunidad de Estudios Jaina, eight grassroots groups; Colombia: Corporación Colombiana de Investigación Agropecuaria (CORPOICA), organizaciones campesinas, U. Nacional de Colombia, Corporación para el Fomento de los CIAL, CORFOCIAL. **In Africa:** Uganda: National Agricultural Research Organization (NARO), Africare; National Agricultural Advisory Services (NAADS); African Highlands Initiative (AHI); Africa2000 Network, Vision for Rural Development Initiative (VIRUDI); Local government; INSPIRE Consortium; Network of Farmer Field Schools (FFS); Makerere U. Malawi: Dept. of Agricultural Research Services (DARS); Lilongwe Agricultural Development Division (LADD); Plan International Malawi. Tanzania: District Agricultural and Livestock Dept. Office (DALDO), Traditional Irrigation and Environment Protection Program (TIP), World Vision Sanya Agricultural Development Program, Africa Highlands Initiative (AHI); Hai District Council (District Agricultural and Livestock Development Office). Kenya: Kenya Agricultural Research Institute; Community Against Desertification (CMAD); Extension Dept., Ministry of Agriculture; Kenyatta U. DR Congo: Institut National of Research et Etudes Agronomiques (INERA); Innovative Resources Management (IRM). Mozambique: National Agricultural Research Institute (INIA). 21 farmers' groups and communities, Uganda, Tanzania, Malawi, Kenya. ASARECA Network. Ghana: CSIR Water Research Institute. **In Europe:** Austria: Boku University. **In Asia:** India:

Indian Council of Agricultural Research (ICAR) Research Complex for the Eastern Region, India; Sri Lanka: Challenge Program on Water and Food (CPWF) Secretariat.

Regional Networks in Africa: East and Central Africa Program Agricultural Policy Analysis (ECAPAPA), Eastern and Central African Bean Research Network (ECABREN) and Southern Africa Bean Research Network (SABREN) of the Association for Strengthening Agricultural Research in East and Central Africa (ASARECA); African Network for Soil Biology and Fertility (AfNet) of Tropical Soil Biology and Fertility (TSBF) Institute of CIAT; Pan African Bean Research Alliance (PABRA).

CIAT: SN-3 Project Log Frame (2005-2007)

Project: Participatory Research

Project Manager: Carlos A. Quirós (A)

Narrative Summary	Indicators	Means of Verification	Important Assumptions
<p>Goal To contribute to the socioeconomic improvement of rural communities through strengthening local and institutional capacities by means of participatory design, application and dissemination of approaches, methodologies and tools, emphasizing gender and equity issues</p>	<p>Results from the impact study of the interventions by SN-3 show:</p> <ul style="list-style-type: none"> ▪ Better management of resources (e.g., human, economic, natural) in environments where participatory methods and tools have been incorporated ▪ Greater incorporation of the producers' needs in development plans supported by the State ▪ Active participation of community groups in decision-making about endogenous and exogenous initiatives ▪ Participating marginal groups enjoy socioeconomic benefits to a greater extent than similar groups where said decision-making has not been incorporated. 	<p>Projects, plans and reports of national public-sector entities, donors, NGOs and community-based organizations in the three reference sites and CIAT's mandated agroecosystems that refer to their use of project products</p>	
<p>Purpose Participatory research methodologies for organizational and technological innovation in agriculture, co-developed, tested and widely disseminated, to benefit poor farmer groups and their organizations, particularly ethnic minorities and women</p>	<ul style="list-style-type: none"> ▪ Set of at least five participatory decisions taken on technological innovation (PM&E, case histories of innovation, enabling rural innovation, evaluation of impact of technological innovation and knowledge management projects) evaluated and adapted for different contexts and stakeholder groups in marginal environments in Africa and Latin America (LA) ▪ At least three sets of new methods and tools (e.g., analysis of social networks, appreciative inquiry) that incorporate equity and gender developed, applied and disseminated at the level of members and stakeholder groups at the end of the third year (2007) ▪ A set of institutions not previously involved in the SN-3 activities implement, together with the project, co-development processes of decision-making and eco-technologies with a participatory approach. ▪ A set of institutions not previously involved in the SN-3 activities implement processes of integrated incorporation of participatory decision-making (i.e., Agroenterprises + CIALs + InforCom). ▪ The approaches and decision-making developed by SN-3 oriented toward. ▪ Evaluations of the performance of the project and its members show that they are in line with the mission and vision of SN-3 and CIAT. 	<ul style="list-style-type: none"> ▪ Impact study ▪ Institutional reports ▪ Publications ▪ Proceedings 	<ul style="list-style-type: none"> ▪ Institutional economic stability. ▪ Financing for training activities, publication and dissemination of materials. ▪ Institutions willing to prepare and support facilitators and share information. ▪ End-users—above all, farmers—willing to participate.

Narrative Summary	Indicators	Means of Verification	Important Assumptions
<p>Output 1 Mechanisms, approaches and methodologies developed and disseminated for strengthening farmers' organizations and rural innovation systems to accelerate and institutionalize demand-driven innovation in production systems</p>	<ul style="list-style-type: none"> ▪ Methodology for evaluating the impact on the projects of agricultural and livestock technological innovation (PITAs) developed by the end of 2006 ▪ Impact of the CIAL methodology in Honduras and Colombia established by the end of 2005 ▪ Methodology for doing case histories on innovation developed by the end of 2006 ▪ Method for constructing and learning from innovation histories developed by end of 2005 ▪ Procedure for participatory evaluation of multipurpose forages validated in collaboration with the Forages Project by 2007 ▪ Effect of the CIALs in the communication networks established in pilot sites by 2006 ▪ Methodology for knowledge management at the local level validated and made available to the suppliers of technical assistance and member organizations ▪ At least 7 cases on the methodology of knowledge management systematized and shared with decision-makers by the end of the first quarter of 2006 ▪ Methodology for balancing supply with technological demand at the level of producer groups and suppliers of technical assistance services, ▪ At least 15 CIALs working on food security within the organizational structure of a government organization in Colombia ▪ Participatory methodology for studying and improving social networks prepared in 2007 ▪ At least one NGO using the methodology for improving social networks by the end of 2007 ▪ Participatory methodology developed for constructing project impact pathways by end of 2006 ▪ Participatory construction of the impact pathways of 18 CPWF projects in the Volta, Mekong and Karkheh basins 	<ul style="list-style-type: none"> ▪ Document on impact of the CIALs on communities' development in Cauca and Honduras (2005) ▪ Article submitted for revision and publication ▪ ILAC Brief on innovation history method published in 2005 ▪ At least 4 case histories on innovation published by 2006 ▪ Methodology for preparing case histories on innovation published ▪ Manual describing knowledge management available ▪ Final report of FIT-8 project ▪ Article on procedures for participatory evaluation of forages submitted for evaluation prior to publication ▪ FOCAM progress report ▪ Visits to the communities where CIALs have been established ▪ Records of CIALs established in the Cauca Valley in database (www.enlacecial.org) ▪ Thesis on participatory evaluation of multipurpose forages available ▪ Guide on methodology for studying improvement of social networks, published ▪ Guide to participatory construction of project impact pathways, published ▪ Impact pathway workshop reports, and individual project impact pathways written up 	<ul style="list-style-type: none"> ▪ Good coordination and integration among collaborators. ▪ Minimal conflicts for meeting demands. ▪ Full participation of stakeholder groups. ▪ Field staff fulfilling true facilitator roles. ▪ Data available from reference sites. ▪ Internet system functioning well.
<p>Output 2 Conceptual and methodological frameworks for building institutional and local capacity of resource-poor communities, developed on the basis of an analysis of experiences in co-development in LAC, with emphasis on gender and equity issues; disseminated</p>	<p>Influencing policy:</p> <ul style="list-style-type: none"> ▪ Partnerships with national and international entities for evaluating, adapting and disseminating participative decision-making methodologies ▪ Methodology for the co-development of technologies in an institutional context validated and disseminated by the end of 2007 	<ul style="list-style-type: none"> ▪ Documents on agreements, annual progress reports of the Kellogg-CAIS-IPRA/CIAT Project ▪ Methodological guide for co-development of technologies, published ▪ Technical reports on adaptation of technologies, decision-making and tool ▪ Annual reports of the Kellogg-CAIS-IPRA/CIAT project 	

Narrative Summary	Indicators	Means of Verification	Important Assumptions
	<ul style="list-style-type: none"> ▪ CIAT technologies, decision-making and tools adapted to the context of the Centers for Learning and Exchange of Knowledge (CAIS) in the second semester of 2007 ▪ Proposal for adjusting policies and/or regulations in a National System of Agriculture and Livestock Technological Innovation ready for presentation to stakeholders ▪ From 30-50% of the women in the communities exposed to the participatory methods and tools leading groups of farmers in technological innovation processes 	<ul style="list-style-type: none"> ▪ Document of proposal for adjusting to SIBTA regulations presented to the system's authorities 	
<p>Output 3 The resource-to-consumption (ERI) framework developed, tested and applied to strengthen farmer organizations and rural women's capacity to make a transition from semisubsistence to competitive, market-oriented production in Africa</p>	<ul style="list-style-type: none"> ▪ Five projects and programs applying the set of R-to-C tools (ERI) by the end of 2007 ▪ At least 30% of the producer groups exposed to new approaches for integrating participatory decision-making will have adopted mixed production schemes (subsistence and commercialization of surpluses) by the end of the third year of the project (2007) ▪ As a result of applying new approaches for local agricultural innovation, at least 30% of the producer groups will have changed their subsistence systems for subsistence and commercialization schemes in the Project's pilot zones in Africa and LA by the end of 2007 ▪ From 20-50% of the women will be participating in the farmer groups and holding positions of leadership ▪ Degree to which men, women and marginal groups are deriving socioeconomic benefits from applying participatory approaches ▪ Degree to which the participatory approaches developed by IPRA have changed gender relations in communities and families: women decision-makers in the communities 	<ul style="list-style-type: none"> ▪ Project progress reports ▪ Set of manuals for orienting the ERI, published and disseminated widely ▪ Two articles accepted for publication in journals 	<p>Institutions willing to prepare and support facilitators; funding available</p>
<p>Output 4 Methodologies for establishing community-managed participatory monitoring and evaluation systems (PM&E) tested, applied and widely disseminated</p>	<ul style="list-style-type: none"> ▪ PM&E systems functioning in at least 10 rural communities in countries of Africa and LA ▪ At least 6 private or public organizations will have incorporated this form of decision-making in their official R&D plans by the end of the third year of the Project. ▪ At least 10 grassroots organizations in Africa and LA have adapted and adopted their own versions of the PM&E system by the end of 2006. ▪ At least three teams of facilitators of participatory methods formed in Africa and LA by the end of 2007. ▪ Methodology for establishing and implementing PM&E processes at the grassroots community group level, validated and disseminated 	<ul style="list-style-type: none"> ▪ Reports on establishment of PM&E in Africa and LA ▪ Databases in which information of the established systems is recorded ▪ PM&E case studies, project reports ▪ Reports of the events held by the facilitators ▪ M&E reports and databases, impact studies ▪ Manual on PM&E available 	<p>Staff has time, suitable methodologies, and sufficient funds available.</p>

Narrative Summary	Indicators	Means of Verification	Important Assumptions
<p>Output 5 Institutional and organizational capacity of R&D partners to develop and adapt community-managed participatory research methodologies in R&D organizations effectively, strengthened</p>	<ul style="list-style-type: none"> ▪ Number of publications increased 50% for each of the three years in this planning period (2005-2007) ▪ A 50% increase in the number of entities trained to incorporate participatory processes in their plans and programs ▪ At least three new initiatives that integrate the three RII projects, terminated ▪ Andean users' network of participatory decision-making, managing tools and procedures generated by SN-3 ▪ Number of training events ▪ Second-order organizations qualified for providing support services to local development ▪ SN-3 information, follow-up and evaluation system, which supports the processes of technological innovation effectively, designed and tested at the end of 2006 	<ul style="list-style-type: none"> ▪ Project reports ▪ Publications of internal projects and other institutions ▪ Training manuals developed ▪ Andean network operating actively ▪ Reports of training activities ▪ Agreements made among second-order organizations and public and/or private entities ▪ Web page, databases, virtual work spaces, internal PM&E and publications 	