

Support to the Vi Agroforestry Program

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**Department for Natural
Resources and the
Environment**

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Sida Evaluation 00/32

**Department for Natural
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Environment**

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List of Acronyms

ADC	Agroforestry Demonstration Centre
AIDS	Acquired Immuno-Deficiency Syndrome
AOC	Areas of Concentration
CAP	Community Action Plan
DFO	District Forestry Officer
EAC	East African Community
GAP	Group Action Plan
GDP	Gross Domestic Product
GEF	Global Environment Facility
GTZ	Gesellschaft für Technisches Zusammenarbeit
ICRAF	International Centre for Research in Agroforestry
LFA	Logical Framework Approach
LVI	Lake Victoria Initiative
M&E	Monitoring and Evaluation
NAASP	National Agricultural Advisory Services Programme
NGO	Non-Governmental Organisation
NORAD	Norwegian Agency for Development Co-operation
PMA	Plan for the Modernisation of Agriculture
PRA	Participatory Rural Appraisal
RELMA	Regional Land Management Unit
Sida	Swedish International Development Cooperation Agency
SNV	Stichting Nederlande Vrywilligers (Dutch Volunteer Service)

1 Executive Summary

1.1 Background

The Foundation Vi Planterar Träd (“We Plant Trees”) “Vi-Skogen”, is a major Swedish Non-Governmental Organisation (NGO) with its Head Office in Stockholm. Vi-Skogen has been promoting tree planting and soil conservation activities in the West Pokot District in Kenya since 1983. Three years later the District of Trans Nzoia was added to the project, which currently operates from Kitale.

In 1992 Vi-Skogen expanded into Uganda, adding the Masaka and Rakai Districts to its activities. Further expansion took place in 1994 and 1999 when the Musoma and Magu Districts were added to the Vi-Program on the Tanzanian side of Lake Victoria. There are thus four project areas operating from Masaka, Kitale, Musoma and Mwanza.

In the mid-1990s the approach of the Vi-Program underwent a radical transformation.

Consequently, by 1997/98 the Vi-Program abandoned its tree planting strategy based on tree seedling distribution from central nurseries and embarked on the promotion of a wider range of agroforestry techniques to small-scale farmers supported by intensive extension activities.

Presently the Vi-Program covers a total of 8 Districts, about 100 000 households and employs about 410 field extensionists.

The activities of the Vi-Program are financed by a combination of gifts, grants and donations (about SEK 9 million p.a) and grants provided by Sida (SEK 15 million p.a through Forum Syd), NORAD (about SEK 4 million p.a) and the Norwegian Cooperative Union (SEK 1 million p.a.). In 1999 the total costs were about SEK 30 million, out of which about SEK 20 million were costs directly related to the Vi-Program, excluding the costs for Swedish personnel. The Sida contribution has increased from SEK 8 million in 1992 to SEK 15 million in 1999.

In 1998 Sida and the East African Cooperation (EAC) initiated a process which aims to address the poverty and environmental problems in the Lake Victoria Basin in a coordinated manner. The process has been named the Lake Victoria Initiative (LVI). NORAD also supports LVI.

Recognising the Vi-Program as a potential instrument for tackling the problems in the Lake Victoria Basin, Sida required an assessment of the relevance and capacity of the Program, especially with a view to a possible expansion of the Program within the Lake Victoria Initiative.

LTS International was contracted to carry out the assessment. An international three-member Team visited Sweden, Uganda, Tanzania and Kenya during four weeks in August/September 2000 to study the Program. The assessment focuses on the period after the shift in approach in 1997/98



Sesbania and maize intercropping

1.2 Main findings of the Assessment Study

During its 17-year life span the Vi-Agroforestry Program has evolved from a minor and idealistic tree planting operation to a large-scale, professionally managed agroforestry program. All four projects are currently staffed with experienced managers as well as qualified, motivated and reasonably trained local personnel. The projects are managed, to some degree, in a company-like spirit. The performance of the staff is monitored regularly and bad performers are replaced.

- With a view to improving cost efficiency and local participation the Assessment Team does not fully endorse the practice of having two expatriates in each and every project.

The Team was impressed by the methodologies and organisational structures developed within the Program. The practice of dividing the project area into Zones, Areas of Concentration (AOC) and Farmer Groups with Zonal Managers supervising the extensionists enhances an efficient penetration of the agroforestry messages to the Farmer Groups. As an exception, the Mwanza project follows the existing governmental administrative levels.

The Team estimated that with the present organisational set up the Program has the capacity to deal with an absolute maximum of 150 extension workers per project. Based on this capacity limit the projects in Masaka, Musoma and Kitale still have the potential to gradually increase their extension capacity by about 30%, while Mwanza can double its capacity during the next three years.

The introduction of Participatory Rural Appraisal (PRA), Monitoring and Evaluation (M&E), the Logical Framework Approach (LFA), up to date budget procedures, auditing and an improved reporting system has considerably improved the Program's potential to achieve its objectives. The Program is, however, still in the process of developing and streamlining its methodologies, organisation and administrative procedures.

The Team noticed that some of the projects have a tendency to inflate their organisation by creating too many specialised Units. Furthermore, there are signs that some Units tend to unnecessarily demarcate and build their own small "empires" within the main organisation. This is particularly the case of the M&E activities, which in most of the projects have developed into unnecessarily heavy and complicated exercises.

- According to the Assessment Team the M&E as well as PRA activities need to be refined to become more relevant and cost-efficient.

Compared to most bilateral projects the Vi-projects are allowed a high degree of flexibility with regard to the use of the budget and the implementation of the projects. Forming partnerships with other aid organisations and Government institutions is made easy. An excellent example of Vi-cooperation is the joint effort in the Sigor Zone of West Pokot, where the Dutch volunteer organisation SNV finances and implements its Natural Resource Management Project through Vi. A similar arrangement is under development between Vi and GEF in Masaka.

- Joint training with Government officers and coordinated action in the field is widely practised by all Vi-projects. The overall cooperation with Government authorities is excellent.

Flexibility in implementation is a noteworthy strength of the Program. On the other hand, flexibility without proper control and co-ordination may also invite double efforts and unnecessary mistakes. The Regional Co-ordinator plays an increasingly important role in keeping the various projects on the right track.

- The Team is of the opinion that the role of the Regional Co-ordinator as a co-ordinator and a program developer needs further strengthening.

The Vi-Program has been criticised for creating an unsustainable extension network parallel to the Government system. It is a fact however that the extension system operated by the Government is more or less defunct in all concerned countries. As a result, extension authorities in Uganda, Tanzania and Kenya are presently seriously discussing the introduction of a privatised extension system on a larger scale.

- The Team found the vision and activities of the Program fully compatible with the developing ideas for extension of the concerned Governments.

While there is ample flexibility in the implementation of the Program the Team found limited flexibility in the technical approach of the Program. The Vi-activities are presently focused on core agroforestry activities such as intercropping with nitrogen fixing trees and agricultural crops, provision of tree seeds, direct sowing, establishment of homestead nurseries, introduction of water harvesting methods and introduction of compost and mulching techniques.

In order to solve the problems of the farmers and to achieve the objectives of the Program there is an obvious need to widen the sectoral scope of the technical services. The Team noticed that most of the Vi-projects are already tilting towards a more liberal approach by providing services for e.g. banana plantation management and the establishment of fishponds. The Team recognises the importance of concentrating on the core agroforestry messages and suggests that other farmer priorities should be catered for mainly through active cooperation with other aid partners.

Presently, the implementation of the Program is open-ended. The Team found that insufficient thought has been given to issues related to phasing out as well as focusing effort on farmers and groups that are most likely to respond. While recognising that the Program is involved in a typical development process, the Team noticed that the open-ended approach has had less desired effects on capacity use as well as farmers' motivation. The open-ended nature of the Program is very much due to the one-year long budget period, which does not encourage long term planning.

1.3 Main conclusion

Problems related to water availability, health and education often receive higher rankings than agroforestry on farmers' list of needs. Many of these problems cannot be tackled directly through the intervention of the Vi-Agroforestry Program.

However, the Assessment Team is convinced that a further streamlined and time-bound Vi-Program, properly linked with other development efforts, has the potential to successfully contribute to the alleviation of poverty in the Lake Victoria Basin.

1.4 Main Recommendations

1.4.1 Technical Approach

The Program should continue to focus its efforts on the promotion of core agroforestry techniques, such as intercropping of nitrogen fixing trees and agricultural crops, initial provision of tree seeds, establishment of homestead nurseries, direct tree seed sowing, planting of trees with different rotation, introduction of simple composting, mulching, water harvesting and soil erosion fighting techniques. These techniques should be introduced in a step by step manner.

The Program should improve its readiness and capacity to provide a broader and more flexible scope of technical services related to land management and livelihood improvement, such as beekeeping, livestock and agricultural crop management. The scope of technical services can be improved partly through a more selective recruitment of extension personnel, but mainly through active linkages with other aid organisations and Government agencies providing the required services.

A flexible approach towards the 5-acre rule is also required: the availability of labour is frequently a more critical factor determining poverty than the actual size of landholding.

1.4.2 Organisation and Administration

The Team believes that the Program can perform well as a “leaner” organisation. Due to the close working relationship between training and PRA activities the Team suggests these two activities be merged into one Unit. The seed procurement and distribution activities could also be fitted into the same Unit.

An external short-term consultancy is required to refine the M&E and PRA efforts within the Program into more focussed and cost-efficient exercises.

Locals should staff the four Assistant Project Manager positions currently held by expatriates after the expiry of the ongoing contracts. During annual holidays or other absence, secondment of expatriate Project Managers is proposed through short term backstopping arrangements.

Bi-annual, rotating co-ordination meetings for streamlining of administrative procedures and experience sharing should be introduced jointly for Project Managers and Assistant Project Managers under the Chairmanship of the Regional Co-ordinator.

For the best Zonal Managers an annual experience-sharing meeting should be arranged as an incentive.

The open-ended contracts for the local staff (except for the Regional Co-ordinator) should be replaced by initial 2-year contracts followed by annually renewable contracts in order to avoid costly compensations in the event of a sudden termination of a project.

1.4.3 Financing

In the event of the Vi-Program being included as an expanded core program within the framework of the Lake Victoria Initiative the current financing arrangement through Forum Syd may not be appropriate. In such a situation Vi-Skogen requires the status of a Frame Organisation.

1.4.4 Timeframe of Projects

The project activities should be based on a 10-year project cycle with an initial, intensive 5-year period of technical services free of charge and a successive, low intensity and demand driven 5-year period providing follow up services against a nominal annual fee.

1.4.5 Pulling Out and Expansion

The projects should pull out from current project areas by the end of 2003 and move into new areas, primarily within the same districts, using as far as possible the same trained office staff, extension workers and the same head office. The project areas covered up to 2003 receive follow up services during an additional 5-year period.

During 2001 the projects should consolidate their activities and start developing a withdrawal strategy.

Since West Pokot District is situated mainly outside the Lake Victoria catchment area, all activities within this district should be terminated by 2003.

The number of extension workers per project should not exceed 150.

2 Program Context

2.1 Development Context

2.1.1 Economic and social development

Uganda is one of the few countries in sub-Saharan Africa that is making real progress in economic development and the assurance of social equity. This is reflected in its selection as one of the first beneficiaries of the highly indebted poor countries (HIPC) initiative for debt relief. The past 15 years has seen national economic growth averaging 5% but the country is still dependent to a large degree on donor assistance.

Tanzania's Ujamaa policy and the overall socialist-oriented economic policies and drought during the mid-1980s caused stagnation in the Tanzanian economy. At the end of the 1980s Tanzania was forced to liberalise its economy as part of the IMF structural adjustment program. Only towards the end of the 1990s did Tanzania manage to reach economic growth of more than 4% and forecasts for 2000 and beyond place Tanzania in the category of the fastest growing economies in sub-Saharan Africa.

Despite economic advances, per capita GDP in these countries remains low, with USD 330 for Uganda and USD 250 in Tanzania; Kenya has a similar figure. With over 80% of the Ugandan and Tanzanian populations still located in the rural areas and depending on subsistence farming for a living, poverty levels are believed to be higher than 40 and 50% respectively.

Kenya enjoyed stable albeit moderate economic growth rates during the 1970s and 1980s to the extent that at the beginning of the 1990s the Kenyan economy and subsequent poverty levels were better than in the other two countries. But largely due to political reasons, the 1990s saw a steady decline in the performance of the Kenyan economy. The country had numerous clashes with the IMF and the donor community about real progress in economic and political development and the assurance of social equity. A prolonged drought over the last two years has weakened the Kenyan economy even further. Scarcity of water, electricity and for example sugar are currently hampering economic activities in Kenya.

Presently, the Kenyan population living in the Lake Victoria Basin is estimated to be about 11 million, a third of the entire population. Over 50% of the population are women. Findings from the 1989 population census indicate that women head 35% of the households. Women are actively engaged in agricultural activities, but the returns from their labour usually go to men who traditionally control assets and income. The national AIDS control programme estimates that about 10% of the women are HIV positive.

Malnutrition and associated malnutrition disorders, particularly among children and women of child-bearing age, are among the ten leading causes of mortality in the region (RELMA 1999). AIDS has had and is still having a devastating effect although Uganda is one of the few countries that has managed to halt and even reverse HIV infection trends through a highly effective aware-

ness and sensitisation program. Current HIV infection level in Uganda is believed to be around 8%, down from 15% a decade ago. Although AIDS in Tanzania has not had the same devastating effect on the country as in Uganda, levels of HIV infection are believed to be still rising.

2.1.2 Natural resources and farming systems

Uganda's rainfall ranges between 500mm p.a. in the semi-arid areas to 2000mm p.a. in the highlands and Lake Victoria basin. The Lakeshore area is warm and humid, and is believed to have been completely covered by lowland forests prior the introduction of agriculture. In the recent decade, lack of political stability, an increase in a population dependent on agriculture and weak institutional capacity, has resulted in the degradation of these areas.

Soils in Uganda are of predominantly volcanic origin and are known to be very fertile. Nevertheless, due to human activity, continuous cropping cycles, failure to replenish soil fertility and constant burning of vegetation cover as a means to clear the land for crop production has resulted in declines in soil fertility. Soil erosion is a common phenomenon and is largely attributed to heavy rainfall and lack of vegetation cover.

After independence in *Tanzania*, large areas of previously unused land were cleared for agriculture due to growing populations across the country. The Ujamaa policy initiated in the mid-1970s meant that previously scattered populations were settled (often against their will) in predetermined settlements. The impact of previously scattered populations into concentrated settlements led to increased levels of environmental degradation. This was compounded by the fact that the site for the settlement was rarely selected in ways that minimised environmental impacts. Typically, the demand for building, energy and agricultural land led to concentric circles of deforestation and degradation around village sites.

According to the project baseline surveys conducted in Tanzania, the Government had put in place efforts to address the environmental impacts of the villagisation process through the introduction of a massive tree planting programme started in the early 1980s. This was achieved through the distribution of seedlings to schoolchildren for planting at home. A large number of *Senna siamea* trees were planted during this period, along the main streets of major settlements and around homesteads.

In *Kenya*, Trans Nzoia has high and fairly reliable rainfall patterns of up to 1200 mm p.a. and moderate to fertile soils. The majority of the District is at an altitude of over 1500m. The project areas in West Pokot are located mainly between 1500–1700m, with a rainfall of 400 to 600mm p.a. Although Trans Nzoia has not been affected by the drought in 2000, West Pokot received only 123mm of rain during this year.

In *Uganda* 97% of the population uses fuelwood and charcoal as their main source of energy for cooking as well as heating. This, coupled with the expansion of agricultural land for food production into previously forested areas, accounts for the decline and degradation of forest cover over the last 25 years.

The agricultural sectors of Uganda and Tanzania have recorded growth of over 4% per year for the last decade but despite this performance, real agricultural GDP – and rural household incomes – have fallen. The main reason for this low productivity is that the vast majority of the rural households are still engaged in subsistence agriculture, characterised by a low technology input level, low fluctuating output levels and the inability to maintain soil fertility over a prolonged period of time.

Production is predominantly aimed at food security at household level with the surplus, if any, being marketed. Productivity is also hampered by limited access to technical advice, poor transportation and communication, lack of access to credit and insecure land tenure rights.

The main farming system in the Vi Program areas in *Uganda* is based on banana production with a number of other crops such as maize, beans, cassava, vegetables, etc. grown as secondary crops. Intercropping and crop rotation, including fallow periods, is practised wherever possible and feasible. Population density is relatively high, typically more than 200 people per km².

The target farmers of the Vi Program in *Tanzania* are predominantly cattle keepers cum subsistence farmers. Due to increased population growth traditional pastoralist economies have slowly turned into a mixed subsistence farming system. The regions bordering Lake Victoria on the Tanzanian side are much drier and have poorer soils than the Ugandan side. Combined with on and off drought spells during the past 10 years and population growth, cattle herds and grazing areas have declined in favour of cropping. Cattle are still kept as security and still determine to a large extent the socio-economic position of individual households. The main crop is cassava with sorghum, maize, beans, etc. as secondary crops. Crop rotation and intercropping is practised where and when possible and feasible.

The Vi Programme in *Kenya* operates in two distinctly different areas. The majority of the target population in Trans Nzoia is engaged in the commercial production of maize and some other crops, whereas people in West Pokot are traditionally cattle keepers. Due to a variety of reasons they are now in the process of changing to a more sedentary lifestyle, growing some food crops like sorghum and beans for household consumption.

Currently, the size of land holdings continues to decrease in all three countries. It is common to find that family members are forced to offer their labour for wages. This is often the male heads of households, and leaves behind a labour shortage, which in turn means that land is used sub-optimally and food production is below reasonable levels. In such situations, women have adapted coping strategies of selling firewood, charcoal and other primary products harvested directly from the few remaining forested areas.

2.1.3 Lake Victoria Initiative (LVI)

Lake Victoria is one of the largest fresh water reservoirs in the world with a catchment area of about 195 000 km². Increasing population pressure and poor land management practices in the countries bordering the Lake, i.e. Uganda, Tanzania and Kenya, significantly affect the flow of water to the Lake. Agricultural activities and livestock keeping increase the transport of silt and nutrients into the Lake, while the actual inflow of water is expected to decrease over the coming years.

The areas surrounding the Lake are heavily populated. Kenya's contribution to the population in the Lake Basin is 11 million, Tanzania contributes 5 million, Uganda 5 million and Burundi and Rwanda add a further 5 million.

Despite an ongoing rapid urbanization process the majority of the concerned population still live in the rural areas, where poverty is widespread. Lack of water is common. The health of the population is poor, with frequent occurrence of malaria, schistosomiasis and HIV/AIDS. Recently, rains have been irregular in some parts of the Lake basin resulting in food shortages.

An intergovernmental organisation, the East African Community (EAC), has been established to promote the new cooperation efforts between the governments of Uganda, Tanzania and Kenya¹.

¹ The EAC was established to facilitate broad co-operation between the East African states. In the EAC strategy 1997-2000 the Lake Visotira region was designated an economic growth zone of regional importance. In the treaty establishing the EAC partner states have agreed to co-operate on the "joint and efficient management and sustainable use of natural resources" and to "establish a body for co-ordinated management of the Lake Victoria Basin".

Using the umbrella of the EAC, the countries have initiated a number of activities to address the problems around and in the Lake.

The areas of cooperation identified by EAC include infrastructure development, environmental protection and socio-economic development. In 1996 a Secretariat was set up in Arusha to coordinate the work of the EAC and later a Committee on the Lake Victoria Development Program was established. A number of national and international projects already operate in the region.

Sida has been involved in funding projects in Uganda, Tanzania and Kenya in the fields of water, health, and sanitation and soil conservation for many years. However, these projects have, so far, not been focussed on the development of the Lake Victoria Basin.

After inviting Sida to support the EAC in its development efforts, the potential areas of cooperation were elaborated in a seminar held in Arusha in 1998. As a result, investigations have been conducted to find out the potential of “tilting” ongoing bilateral as well as NGO programs towards the Lake Victoria development framework. This Assessment Study of the Vi-Agroforestry Program is part of this investigation.

A Strategy Paper for Sweden’s participation in the Lake Victoria Basin was prepared in December 1999. According to the Strategy the development objective for Sweden’s involvement in the Lake Victoria Basin is:

”To contribute to equitable and sustainable development – economic, social and environmental – to the benefit of the people living in the area”.

The Strategy emphasizes the linkages between environmental degradation and poverty and gives highest priority to environmental activities with the potential to alleviate poverty in the region. Furthermore, the Strategy stresses the need for a participatory approach, consultation of stakeholders on their priorities, the sustainable use of natural resources, democratic working procedures, clarification of impact of interventions on gender, the importance of partnerships and win-win situations.

2.2 Program History

Vi-Skogen started in 1983 with an article in the weekly magazine “Vi” published by the Swedish Cooperative Union. The article introduced the idea of planting trees instead of wasting money on anniversaries. The response from the Swedish people was overwhelming. Money started pouring into the magazine’s tree planting account and early 1983 the first tree planting activities started in Kainuk at the border between West Pokot and Turkana Districts.

With the availability of more funds the emphasis shifted from the low potential areas of West Pokot to Trans Nzoia District. In 1987 three million seedlings were produced in 30 nurseries. Gradually, the number of nurseries rose to 41 with the capacity to produce five million seedlings per year. The Project Office was established in Kitale.

Until 1987 the project activities were entirely financed through private contributions. From the same year Vi-Skogen started receiving Sida support in addition to the funds collected by the Vi-Magazine. Also the same year, Vi-Skogen was registered as a Swedish foundation named “Stiftelsen Vi Planterar Träd” (The Foundation We Plant Trees). Since 1992 the Sida support is channeled through Forum Syd, the Swedish NGO Center for Development Cooperation.

In 1992 the project conducted an survey around Lake Victoria. This survey was the beginning of the “Vi-vision” of a green belt around the Lake.

In 1992 the Foundation moved into the Masaka District in Uganda and in 1995 to Rakai District. By 1995 the Masaka project had established 32 nurseries producing about three million seedlings.

By 1994/95 it became obvious that the Program’s approach required adjustment. Consequently, the Foundation embarked upon a three-year long and sometimes painful transformation process aiming to wind up the central nurseries and introducing more comprehensive agroforestry techniques backed up by PRA activities, improved monitoring and evaluation and large-scale extension services. The new approach became operational in 1997/98 and the name of the Program was changed to the Vi Agroforestry Program.

The field activities in Musoma, Tanzania, started in 1994, when the transformation process was still in its early stage. Consequently, the activities in Musoma developed more or less along with the new approach. After a baseline study conducted in Magu District in 1998 the Mwanza project was added to the Program.

In 1997 the Norwegian Consumer Cooperative Association as well as the Norwegian Agency for Development Cooperation (NORAD) joined in financing the Program. The NORAD funds are channeled through Det KGL Selskap for Norges Vel.

2.3 Program Description

2.3.1 Organisation and administration

The Vi Agroforestry Program consists of four separate projects, which promote agroforestry practices with a similar organisation and a more or less common approach in three countries around Lake Victoria. The Kitale and Masaka projects in particular have experienced the effects of the change in approach, which was introduced fully in 1997/98. The Musoma project started when the new ideas were already under development, while the Mwanza project joined the Program directly based on the new approach.

The highest executive power of the Program is vested in the Board of the Vi Planterar Träd Foundation. The Board has ten ordinary members appointed by the Board of the Swedish Cooperative Union. Today, the Board includes three Norwegian representatives. The Board elects an executive Managing Director for the Vi Agroforestry Program. The Managing Director/Co-ordinator works in the premises of the Vi Magazine in Stockholm. He visits the Program on average four times a year. He is aided by one full time assistant and three part time staff members.

The budget for the Program administration in Stockholm for 2000 is SEK 1.214 million, of which Sida provides SEK 1.024 million. The rest is covered by the Foundation. SEK 0.5 million of the total administrative cost of the Head Office in Stockholm is labelled “costs for Central Management (Central lending)”. These costs, which are directly attached to the management of the Programme are separated from the general administration costs (Administration i Sverige). According to the Assessment Team the Head Office costs of Vi-Skogen compare favourably to the Head Office costs of most “ordinary” consultancy companies.

The Deputy/Regional Co-ordinator resides for the time being in Mwanza. The Deputy Co-ordinator represents the Board on policy issues in the region. He participates in the development of Program policies, recruitment of expatriates, administrative procedures and agroforestry methodologies.

A Project Manager assisted by an Assistant Manager represent the management in the respective projects. Both managers are expatriates.

Presently, the Program annually reaches about 100 000 households with more than half a million people through about 410 extension workers. Target farmers are selected based on the size of land holding: an average of less than five acres. The Program expects to cover 80% of all such farmers in the project area by the end of the Program. The Vi Agroforestry Program is locally registered in each of the three target countries as an international NGO.

The project workplans are prepared within the projects by the various units and compiled by the Project Manager into a Project Budget. The Deputy/Regional Co-ordinator compiles the project budgets into a Program Budget and submits it to the Head Office in Stockholm.

Due to the fact that the Sida contribution is not known in advance, every project has to spend time and effort on adjusting the activities and budget figures once the final budget is available. This practice constitutes an additional burden on the Project Management.

The accounting system is up to date. The same accounting system based on Pastel software is used by every project. Financial reports are sent to Stockholm every month. KPMG of Nairobi performs two audits per year. One of the audits is a surprise audit.

The annual financial report of Vi-Skogen is audited by the auditor of Forum Syd. The Foundation, again, is audited by Bohlins redovisning in Lindköping.

2.3.2 The structure of the four projects

	Project Office	Districts	Units	Zones	Staff per zone	Farmers/ households	Total staff	Operating budget in 2000 (million SEK)
Uganda	Masaka	Masaka Rakai	Administration M&E PRA Training and education Seed	7	1 zonal manager 15 extension workers (1 for each AOC)	250-300 farmers per extension worker 15 per Farmers Group 153	(109 extension workers)	6.8
	Mwanza	Magu	Tree management/ seeds Administration Training PRA M&E	3 Divisions; 3-4 Wards per Division	5 Area Managers; 5-10 extension workers per ward	250 households per extension worker	85 (67 extension workers)	3.4
Tanzania	Musoma	Musoma Tarime Bunda	Administration and services M&E Human Resources Management Extension and Participation Demonstration / Co-operation Promotion / tree seed facilitation	8	1 zonal manager 16-17 extension workers	250 households per extension worker	(115 extension workers)	5.5
	Kitale	West Pokot Trans Nzoia	Personnel and accounts M&E Training and Seeds PRA Olof Palme Agroforestry Centre	6 3	1 zonal manager 10-15 extension workers	150-250 households per extension worker	178 (117 extension workers)	7.6
Kenya								

2.3.3 Uganda

Land shortage, low food security and extensive banana growing characterize the Ugandan project areas. The seven Zones in the project area, together with the Agroforestry Demonstration Centre, are directly connected with the Project Management. The extension workers live in the villages and travel by bicycle and the Zonal Manager travels by motorbike.

Each extension worker usually deals with about 20 Farmers Groups that prepare a Group Action Plan (GAP) together with the extension worker and individual farmers implement the GAP. All farmers in the Group have the chance to participate – 'contact farmers' (individuals) are not the focus.

Every extension worker prepares an annual workplan. The extension focuses on the integration of trees, crops and livestock on farm. The subjects range from tree planting, homestead nursery and vegetable garden establishment to compost making and mulching techniques, pest control and soil conservation. PRA exercises and M&E activities support the extension activities. The first Baseline Study was prepared in March 2000 for Masaka Central Zone.

2.3.4 Tanzania

The Tanzanian project areas along the Lake are prone to suffer from erratic rainfall. As a result, the areas are characterized by periodically very dry weather conditions, low land fertility and food security and widespread cultivation of cassava.

Starting early in 1999 the *Mwanza* project is the most recent and smallest member of the Vi Program. It was included in the Program based on the recommendation of a Baseline Study conducted in 1998 in Magu District.

Contrary to the other projects within the Program, the Mwanza project has decided to organize its field activities based on existing local administrative units. The project has decided not to establish an Agroforestry Demonstration Center and the Bujora Cultural Center is hired for training purposes.

The extensionists work according to an annual workplan with set targets. The main extension messages relate to awareness creation, soil conservation, homestead nursery establishment and direct sowing. The Mwanza project is still in the process of consolidating the organisation and field activities. Further expansion within the current Divisions will not take place until 2002.

The *Musoma* project in Mara Region was initiated in 1994. The project operates an Agricultural Demonstration Center (ADC) near Musoma Town. A new ADC including office facilities is being planned.

The extensionists' work is based on an annual workplan, joint PRA (since 1997), Group Action Plans (since 1999) and target setting. The project has recently prepared its first Baseline Study for the Suguti Zone.

2.3.5 Kenya

Vi-Skogen started its activities in Kenya in 1983 in the West Pokot District in the Rift Valley Province. In 1986 the Trans Nzoia District was added to the project. West Pokot is a dry area inhabited mainly by pastoralists. Widespread grazing puts heavy pressure on the vegetation cover. Consequently, in this district the project activities have been focused on fighting soil erosion through the restoration of the vegetation cover, mainly by the use of exclosures. Trans Nzoia is at a higher altitude with a cooler climate. The district is characterized by extensive growing of maize.

One of the project Zones (Sigor) is managed and funded through the Natural Resource Management Project by SNV (Stichting Nederlandse Vrijwilligers), the Dutch Volunteer Service.

The interaction between the extensionist and the farmer is based on an annual workplan, a group approach and the preparation of Group Action Plans including target setting. The targets of the workplan cover establishment of homestead nurseries, direct sowing, compost preparation, tree planting, zero-grazing, seed collection and poultry development.

3 Purpose of the Assessment Study

3.1 General

Population pressure, in combination with inappropriate land use practices and loss of vegetation cover in the water catchment areas of Lake Victoria, increasingly threatens a balanced future development in the region. During recent years the governments of Uganda, Tanzania and Kenya have initiated a range of actions in order to create the necessary institutional framework to coordinate and streamline the development efforts.

Sida has a long tradition of supporting development cooperation projects in the fields of health and sanitation, water and soil conservation in the Lake Victoria drainage basin. In response to the worsening ecological situation around and in the Lake, Sida has reached an understanding with the East African Cooperation (EAC) to explore the possibility of making ongoing bilateral as well as NGO efforts more supportive to the development of the Lake Basin.

The fact that the Program radically changed its approach only 2–3 years ago makes the need to assess the viability of the current approach even more urgent. This Assessment Study is an attempt to clarify whether the Vi Agroforestry Program contains development solutions suitable for use in land management interventions in general and, in particular, within the framework of the Lake Victoria Initiative.

3.2 Methodology

The Assessment Team consisted of three members specialising in general development cooperation issues, agriculture and forestry. The Study was done in a two-pronged effort. First, the Team Leader made a 4-day fact-finding visit to Sweden to discuss the Assessment with Vi-Skogen, Forum Syd and Sida in Stockholm. Second, the whole Team undertook a 3-week field visit to study the various Vi-projects in Uganda, Tanzania and Kenya. In addition, one of the Team members paid a fact-finding visit to the Sida funded Regional Land Management Unit (RELMA) in Nairobi. The main field visit took place during August 18 to September 6.

The Team started and finished the field visit by having lengthy discussions with the Deputy/Regional Co-ordinator in Kampala as well as Kitale. Detailed consultations were held with the Management of the Vi-projects in the Project Offices. In addition, the support staff presented the activities and work of their respective Units.

The Team spent altogether 8 days visiting, questioning and discussing with farmer and women Groups, Group Committee members and individual male and female headed household representatives in their shambas. Most of the discussions with the farmers were conducted through the concerned extensionist. On occasions the two Team members mastering the local language held discussions separately from the visiting group for checking purposes. Farmers outside the Pro-

gramme were visited in order to establish reference points. The Team requested the Program management to be shown also so called “worst case farmers” to have a better understanding of the problems facing the extensionists in the field as well as to establish weaknesses in the working methods of the extensionists.

The Team was transported in project vehicles and accompanied by project staff on the field visits; the Team’s role was clearly explained to each person met. Instead of working “under cover” the Team decided that working together with the project staff was necessary to avoid misunderstandings and confusion and not to undermine the confidence that the farmers clearly had in the Vi-staff. The Team members were satisfied with the professional attitude of the staff.

Meetings were arranged with local district authorities in all visited districts. The Team consulted District Commissioners, District Planning Officers, District Agriculture Officers and District Forest Officers on the relationship and cooperation between the Government authorities and the Program.

3.3 Limitations

There exist a number of uncertainties associated with the Program. The new Program approach has been implemented effectively only since 1997/98 and much time has been spent on systems development. Especially the Mwanza project, which only started in early 1999 has, naturally, spent most of its time on practical issues related to project establishment.

Furthermore, it is claimed that the full agricultural production boost expected from the nitrogen absorbed in the roots of the *Sesbania* shrubs will not take place until the shrubs are harvested and the roots have decomposed. Usually, the *Sesbania* is clear-cut after 2–3 years. Unfavorable weather conditions may also have a significant effect on tree planting as well as crop production. For example, the Tanzanian side of the Lake has suffered from prolonged drought.

Lastly, it is sometimes difficult to establish to what extent a certain impact is the result of the Program intervention solely and/or to what degree the impact originates from spontaneous development in general taking place in the region.

Due to these uncertainties, it was an almost impossible task for the Assessment Team to establish the real impact of the project activities, at this early stage. Much of the future impact can, so far, only be based on speculation.

The cost-efficiency and sustainability of the results of the Program “in comparison to similar actors/projects” is equally difficult to assess accurately. Neither did the time available for the field assessment allow the Team to physically study other projects in the region, nor are there any closely “similar” projects operating in the same areas and conditions. Consequently, the Team decided to rely on the accumulated experience of the Team members to judge cost-efficiency issues.

4 Assessment Issues

4.1 Relevance of the Program Goal (Development Objective)

The Goal of the Program presented in the Program Matrix is:

- To contribute towards better living standards (improved livelihoods) of small scale farmers in 5–10 years.

The Objectively Verifiable Indicators of improved livelihood are better housing and health, low child mortality and the number of children in school.

Uganda, Tanzania and Kenya are all low-income countries with a per capita GNP ranging between USD 150–300 per year. The growth rate of the population in the Lake Victoria Basin is estimated at 3% on average. In some of the urban areas the population growth rate exceeds 6%. Currently, more than 25 million people are living in the Lake basin.

Most of these people usually depend on a mix of livelihood activities, such as farming, fishing, petty trading, livestock husbandry and farm and off-farm labour. Many of them depend solely on a small piece of farmland, the productivity of which cannot be maintained properly due to shortage of labour and other farm inputs. Furthermore, the small-scale farmers in the region suffer from health and sanitation problems and widespread scarcity of affordable energy sources, water and food.

The increasing population pressure in the Lake basin, combined with a sluggish economy, invites unsustainable land management practices. As a result, land productivity will be further reduced and thus any form of sustainable livelihood in the region will be severely threatened.

Against this background the Assessment Team finds the Program Goal very relevant.

4.2 Relevance of Program Purpose (Immediate Objectives)

The Purpose of the Program comprises three Immediate Objectives:

- Increased food and nutritional security at the household level in 1–5 years (1999–2003);
- Increased fuelwood availability at individual households in 1–5 years (1999–2003);
- Increased sources of income at the household level in 1–5 years (1999–2003).

4.2.1 Food and Nutritional Security

In many parts of the Program area the size of land holdings has steadily diminished, primarily due to the increase in population. Food crop production has also been poor due to frequent droughts, decreased soil fertility, soil erosion and lack of farm input capital.

As a rule the farmers rely on a combination of strategies to secure their food supply. The poorer the farmer is the fewer are his/her food supply options. A poor farmer is also often forced to sell part of his crop due to acute need for money or storage difficulties. Consequently, many households in e.g. the Magu District suffer from seasonal hunger (“njaa”).

The Masaka District Baseline Study of March 2000 found that 40% of the households lacked food for the entire year. 60% of the farmers did not have any food in store. Much of the food is also lost due to poor storage facilities and theft. 61% of the farmers had experienced food thefts. In the

same district 70% of the farmers claimed that the banana yields have decreased due to reduced soil fertility, pests and diseases.

According to another recent Baseline Study for the Suguti Zone in Musoma, 45% of the farmers claimed that their farm was not big enough to feed the family. To save the family from starvation the farmers were forced to either buy additional food, get assistance from relatives or hire/borrow more land. Almost 80% of the farmers complained about increasing incidents of food theft, a phenomenon which, in itself, may be a strong indicator of growing food scarcity.

There is sufficient evidence available to indicate that food security in the Lake Victoria Basin is a real problem.

4.2.2 Fuelwood

The energy supply situation displays a rather substantial degree of variation within the Program areas. Traditionally, fuelwood is collected from common woodlands close to the villages. But the vegetation of these woodlands is rapidly disappearing; farmers then find themselves stealing fuelwood from privately owned land and resorting to the use of crop residues.

According to the Baseline Study for the Masaka District about 70% of the farmers maintain that fuelwood scarcity has become worse during the past five years. As a consequence of this, half of the farmers use crop residues of low calorific value to supplement fuelwood.

Still, almost half of the farmers collected fuelwood from off-farm sources. The average distance for wood fuel collection was 1.15 km and the average collection time 2.1 hours.

In Trans Nzoia close to $\frac{3}{4}$ of the households are able to get over 50% of their fuelwood requirements covered on-farm. Off-farm collection takes place within an average radius of 2–3 km.

The Baseline Study for the Suguti Zone in Musoma found that about 90% of the farmers collected their fuelwood from off-farm sources at an average distance of 2 km, spending an average 2 hours in the process. Almost all farmers claimed that the availability of fuelwood has declined substantially during the last five years.

In some of the areas visited by the Team, fuelwood is still readily available. In other areas, availability of fuelwood is definitely a problem. It is also quite evident that without a rapid increase in fuelwood production on private farms and homesteads, the rural energy situation will worsen.

4.2.3 Income Generation

The farmers in the Program areas have limited sources of income. The most usual sources of income on-farm are food crops, vegetables, cash crops, livestock, fruits and fuelwood. Fishing is an important off-farm source of income.

Due to storage problems poor farmers have to sell part of their crop yields soon after the harvest, only to have to purchase the same food later. The market price for e.g. maize in Trans Nzoia is subject to political manipulation and the farmers suffer from very low prices as well as irregular payments.

In Suguti/Musoma the worsening economic situation is attributed mainly to prolonged drought and declining agricultural production. Due to financial as well as labour constraints the small-scale farmers are unable to maintain the fertility of their farmland. Over 80% of the farmers claim that the soil fertility has dropped considerably during the past five years.

It should be noted that male household heads are frequently forced to move out from their farms to urban areas in pursuit of income. This practice further reduces the availability of labour on the farms.

On the basis of field observations and general experience of the region the Team concludes that the three Immediate Objectives of the Program are relevant.

4.3 Program Approach, Strategy and Design

The Vi-Skogen vision, which is the basis for the current approach was developed in 1992 and finally put into practice in 1997/98. Its central aim is that a “green belt” should be established around Lake Victoria to restore the environment and soil fertility, and in the process improve the livelihoods of the population in the Lake Basin. According to this vision, agroforestry is the key solution.

4.3.1 Why Agroforestry?

According to ICRAF the definition of agroforestry is: “All practices that involve a close association of trees/shrubs with crops, animals and/or pasture.”

It is obvious that the maintenance of some degree of tree cover is of utmost importance for ecological and economic sustainability of food production systems. Agroforestry involving the integrated cultivation of woody perennials, crops and animals provides one solution to some of the problems faced by the population in the Lake Victoria Basin. Farming systems that incorporate perennial trees and shrubs have the advantage of producing fuelwood, fodder, fruits and other products along with annual crops. In addition, they decrease the farmer’s exposure to seasonal environmental variations and, over the long term, maintain and improve soil health.

4.3.2 The Targets

The main targets of the Vi-Skogen vision are poor, small-scale farmers owning a maximum of 5 acres of land, and living within a radius of 20 km from the lakeside. The “5-acre rule” was introduced because the extension workers had a tendency to spend most of their time with the bigger farmers.

The Program attempts to reach at least 80% of the households in the Program areas. Special attention is paid to female-headed households. Schools and churches are also targeted. It should be noted that the Program focuses its efforts almost entirely on privately owned land.

The Assessment Team made the observation that the “5 acre rule” is being implemented with a certain degree of flexibility. And rightly so: for example, a female-headed household with 10 acres of land, 7 young children and the mother dying of AIDS, is in a much more precarious situation than an able male-headed household with only 3 acres of land and three children.

The Team questions the introduction of agroforestry to the “poorest of the poor”. A very poor farmer may not have the land nor labour required for practicing agroforestry. For the very poorest it is necessary to develop less labour-intensive solutions with quick returns.

4.3.3 The Technical Package

The Technical Package of the Program focuses on intercropping of preferably nitrogen-fixing trees and shrubs with agricultural crops, such as cassava, bean, potato, maize, finger millet, sorghum and sweet potato. The tree species used for actual intercropping are mainly *Sesbania* and *Calliandra*. Other frequently used species are *Gliricidia sepium*, *Azadirachta indica*, *Tamarindus indica*, *Leucaena palida*, *Albizia lebbek*, *Acacia nilotica*, *Annona muricata*, *Moringa oleifera*, *Moringa stenopetala*, *Balanites aegyptica* and *Cedrela*

odorata. *Grevillea* is also a popular species with farmers, but is not being actively promoted since it is not considered an agroforestry tree and suffers from attacks by termites.

The seeds of these tree species are provided free of charge to the farmers, who either raise seedlings in small backyard nurseries or sow the seeds directly in the crop fields. Also the seeds of a number of timber tree species, ornamentals, hedge species as well as fruit tree species such as *Passiflora edulis*, *Mangifera indica*, *Persea americana*, *Psidium guajava*, *Scerocarya birrea*, *Syzygium cumini* and *Artocarpus heterophyllus* are distributed to the farmers.

The *Sesbania* and *Calliandra* shrubs/trees are usually grown in rows with a spacing of about 3 or 6 meters. The branches as well as the lateral roots are regularly pruned. The bigger branches are used for fuelwood and fodder, while the smaller branches are left on the ground to enrich the soil and to reduce evaporation. The root nodules of the *Sesbania* absorb nitrogen from the air, and when the shrubs/trees are harvested and the stumps uprooted, the roots decompose and the crop can utilize the nitrogen.

As part of the core agroforestry package the Program also promotes the establishment of home-stead nurseries, seed handling, composting and mulching techniques (organic farming), pest control and soil conservation.

The various projects have to some extent diversified and modified their approach based on the local climatic and socio-economic conditions.

In the Masaka area banana growing is the major agricultural activity. Consequently, the project provides technical advice to the farmers also on banana growing. Only 20% of the farmers have cattle with minimal free grazing. Despite the fact that the farmers have a liking for *Eucalyptus*, the project does not promote the use of *Eucalyptus*, since “it is not an agroforestry tree species”.

In Musoma and Mwanza cassava is the staple food and mainstay of the farmers. Hence the project activities are very much centered around issues related to cassava. Free grazing of cattle is very common. Due to dry climatic conditions and poor soils, drought resistant tree species are favored.

In Trans Nzoia the main crop is maize. *Sesbania*, *Calliandra* and certain timber and fruit trees are grown with the crops or along with the borders of the farms. Stall-feeding is common.

West Pokot is a special case with a pastoral community, traditionally free grazing and a hot and dry climate. The Program activities are very much focused on the construction of natural fences around the shambas, enhancement of natural vegetation and erosion control.

4.3.4 Is the Technical Package compatible with farmers' priorities?

The basic technical agroforestry package promoted by the Program is limited in scope. Once implemented, it does improve the availability of fuelwood and fodder. Three kilograms of *Calliandra* fodder equals one kilogram of kraft feed. A 50m row of *Calliandra* feeds one cow.

The Package also contributes to improved food security and income generation through growing and selling of fruit and timber/pole trees, and it may improve food security also by enhancing crop production.

The Technical Package, however, does not directly cater for farmers' priorities related to livestock, availability of water, health and education and lack of infrastructure. Livestock, especially, is intimately connected with the land use practices of the farmer. Is the limited scope a strength or weakness of the Package?

In the introduction stage a limited message facilitates an early step by step adoption by the farmer. Once the basic agroforestry message is established, other priority needs of the farmer usually become more evident.

The Assessment Team took notice of the fact that some of the projects already applied a more liberal approach to the sectoral contents of the Technical Package. The Team supports the importance of improving the flexibility of the Technical Package, but cautions for the dangers of widening the scope excessively.

The flexibility problem should be solved primarily by bringing in outside subject matter specialists from other projects, universities, research organisations and government agencies. This is actually already taking place on a minor scale. The in-house capacity of the Program to provide technical advice based on a wider menu to the farmers could be improved by selecting extensionists with a more diverse educational background and experience. Furthermore, the Program should actively work towards bringing other development projects and agencies working with e.g. health, micro credits, water and sanitation into the Program areas.

4.3.5 Are there any risks with the Technical Package?

Planting trees together with crops is a concept that easily causes an antagonistic reaction in many farmers who have no earlier experience of agroforestry practices. All farmers know that there will always be a certain degree of competition between trees and crops for sunlight, water and nutrients. Most small-scale farmers strive to minimize various risks involved in farming activities. Consequently, the early adopters of new ideas are usually farmers who can afford to take a certain degree of risk, who are a little bit better off and have a little bit more land.

It is questionable whether land-use practices should be changed to accommodate agroforestry in good-quality, fertile, highly productive and resource-rich farms. Introduction of trees into these areas may lead to many management problems. However, the major part of the Program area does not face this risk, because the soil is mostly less fertile and the target farmers are resource-poor.

The *Sesbania* trees produce excess nitrogen, but use other nutrients, such as phosphorous and potassium. The areas around the Lake are poor in phosphorous and few farmers can afford to buy fertilizers from the market. Despite the fact that some of the *Sesbania* biomass is ploughed back into the soil, it is difficult to judge exactly what will be the ultimate effect of intercropping on soil fertility and crop production. To keep some of the land under rotating fallow would help. On a small farm it is usually not feasible to keep fallow land.

Much remains to be known about the possible adverse effect of combining trees with crops. The negative shading effect on millets, sorghum and even maize is well known. Cassava seems to tolerate shade very well. Naturally, trees also reduce the actual cropping area to some degree. Trees also bring in birds, a fact that is not appreciated by e.g. sorghum growing farmers.

The introduction of trees or shrubs into croplands could lead to severe pest problems if trees host the same pest, which can be the case with plant-parasitic nematodes.

The root-knot nematode is, in the worst scenario, a serious threat to *Sesbania* as well as crops grown in the same land (J. Desaegeer and M.R. Rao/ICRAF/1999). Nematodes have been found in abundance especially in farmland where *Sesbania* is intercropped with maize. The nematode problem has been studied in detail in Western Kenya. The Program is aware of the nematode problem and nematode free provenances are already tried out in the field.

Termite damage is also very common. The termites destroy the roots of *Grevillea* and other species. *Leucena* is known to suffer from aphids.

Persistent droughts may kill tree seedlings as well as the motivation of the farmer to plant trees in the future. Naturally, droughts also tend to destroy the crops. If some of the drought resistant tree species get properly rooted, they, however, survive temporary climatic setbacks much better than crops.

4.3.6 Collaboration

Collaboration with other development partners and Government agencies is a prominent feature of the flexible approach of the Program. Many of the PRA exercises are jointly performed with Government staff. In fact, in Trans Nzoia and West Pokot local District Forest Officers report the activities of the Program as activities of the District. In Masaka the Team was informed that the Program already provided 60–70% of all forestry extension in the district!

District Officers are frequently invited to participate in various seminars and training sessions. In Masaka civil servants are invited for a one-day field trip arranged by the Program. District authorities are provided with annual reports and even budgets.

RELMA, the Regional Land Management Unit in Nairobi funded by Sida, is an important collaborating partner with the Program. RELMA provides the Program with training material and other documentation and assists in developing the M&E system. The Program has a memorandum of understanding with ICRAF in Nairobi for the development of agroforestry technologies through on-farm research.

The Team is of the opinion that there is scope for considerable more field cooperation between the Program and both organisations.

The Program also collaborates actively with other development organisations. In Tanzania the Program assists the ECOVIC (a framework organisation for ecological activities in the Lake Victoria Basin) with the establishment of Environmental Committees in the villages.

In West Pokot there is a unique collaboration arrangement between the Program and SNV (Dutch Volunteer Service) under which SNV funds the field activities in Sigor Zone and provides one expatriate Zonal Manager. The funds are channeled through the Kitale project.

The Assessment Team noted with satisfaction that the Vi Agroforestry Program is well established in the respective districts and enjoys a seemingly excellent reputation in Government District Offices.

4.3.7 Major flaws in Program strategy and design

The Program consists of four separate projects. All projects participate in the implementation of the Vi-Skogen “vision”. The projects have a similar technical approach, organisational structure and streamlined administrative procedures. One of the main tasks of the Deputy/Regional Co-ordinator is to ensure the conformity of the projects. He was the key person, for example, when the Logical Framework Approach (LFA) was developed in 1997. The LFA is still in the process of being refined. It is presently applied in all planning and monitoring activities of the Program. Some of the challenges of the LFA relate to the fact that the various projects have developed a few deviating features due to differences in climatic and socio-economic conditions.

The projects have a decentralized organisation (see section on Program Description), which emphasizes participation of the target groups, training, control and continuous monitoring supported by baseline studies and Group Action Plans.

Vi-Skogen has chosen not to work within the Government extension system, but to build its own extension system. An efficient extension system with capable and well-motivated extension workers and an appropriate extension message is the cornerstone of the Vi-Skogen effort.

The funds provided by Sida and NORAD are based on yearly allocations and the Program operates on a short term, annual planning basis. As a result, the operations of the Program are, de facto, open-ended.

The lack of concrete medium and long-term time planning horizons is a major flaw in the strategy and design of the Program.

An open-ended effort invites too many ad hoc solutions, it increases the amount of administrative work, it promotes inefficiency in program implementation and worst of all, it may create wrong expectations and skewed motivation among the target groups.

The Assessment Team is of the strong opinion that the Program needs to develop a time-bound and focussed step by step strategy including a phasing out strategy to be able to address the development problems in the Lake Victoria Basin efficiently. The overall strategy could be called the “5+5 year Program Strategy”.

4.3.8 The art of burning grass

The 5+5-year Program strategy can be compared to the process of putting a grass field on fire. First, you look for the dry grass to get the fire burning easily and quickly. Then you concentrate your efforts on the wet grass that smokes, but does not catch fire immediately. Soon this grass may also catch fire, partly as a result of your repeated efforts, and partly as a result of the heating effect from the already burning grass. Here and there you will have some soaking wet grass, which never catches fire, whatever you do. Finally, when you are finished you just leave the unburned grass and move on to burn grass in a new area.

The first five years of the Program can be described as an intensive extension effort covering most of the farmers in the Program area. Based on their response, the targeted farmers can be divided into three broad categories. 10–20 percent of the farmers responds reasonably early (the “dry grass”), about 20 percent are “impossible cases” (the “soaking wet grass”) and the bulk, about 60 percent, prefers to wait and see (the “smoking, wet grass”).

During the initial two years of the 5-year Program period the three broad categories of farmers are identified based on their potential to adopt the agroforestry extension messages. This process could be called “diversification of clients”. Seeds of trees with short rotation should be distributed only once to the farmers. The present buy-back arrangement for seeds needs serious reconsideration.

During the remaining three years the Program concentrates its efforts on “the wait and see” category of farmers.

After the first five years the main activities of the Program are shifted into new areas. The farmers targeted during the first five years will be provided with continued, demand driven but limited services at longer intervals against a nominal annual fee. The duration of the follow-up period is five years. A core team of extensionists will provide the extension services during the follow-up period.

4.3.9 Program expansion and Lake Victoria Initiative

Based on the 5+5-year time-bound Program strategy outlined above the Team proposes that all projects are shifted to new untouched areas within the current districts starting from year 2004. Most likely, the current Project Office facilities as well as Agroforestry Demonstration Centers can be maintained in all projects for the next five-year period.

The Program areas covered to the end of 2003 will receive follow-up extension services for five additional years during 2004–2008.

The 5+5-year Program strategy would vastly improve the potential of the Program to respond to the vast demand for agroforestry development extension services in the Lake Victoria Basin and to accomplish the “green belt” vision. The fact that a fully operational project, with an established organisation and tried out methodologies including most of its staff, can be in more or less full swing the moment the project moves into a new area is a great advantage.

In addition, the implementation of the strategy would certainly increase the Program’s potential role as an important player within the framework of the Lake Victoria Initiative. Subject to funding arrangements, the capacity of the Program could be increased with 2–3 additional projects, based on the current managerial and backstopping set-up. Sufficient funds could probably be found to support such an increase in size. The timing for expansion would have to be determined. If the financiers wish to speed up the spread of agroforestry then sufficient results would be available after 2003 to allow a decision. An impact assessment during 2003 would help assess the viability of expanding into new areas and increasing the number of projects.

4.4 Program Impact

4.4.1 Socio-Economic Impact

Gender

The project has made a conscious effort to work with women and groups of women, recognising that they are the main source of labour in the rural areas and are often the ones left at home while the men go to work in urban centres.

The overall impact of the project on reducing the work of women has been mixed. The improved supply of fuelwood has relieved many women of the burden of much time and effort spent collecting fuelwood. As a result, women have more time to spend on addressing other pressing needs, such as food production. In the short term, however, the introduction of agroforestry practices tends to increase the particular type of work that is traditionally set aside for women.

Food security improvement activities introduced by the Program have also positively affected women, who are largely responsible for sustaining home food supplies. The introduction of home gardens by the Program, in particular, has been well received by women throughout the Program area.

Traditionally, women do not have access to certain tree species and tree products that are associated with monetary income. Notably, timber trees (and often poles) are a man’s responsibility.

While it is common to find women planting and tending trees, harvesting tends to be a strictly male preserve. The Program tries to address this fact by promoting a wider range of tree species having nominal cash value (such as *Sesbania*, *Calliandra* and *Leucaena*).

The Program aims at a 50/50 participation of men and women at Farmers Group meetings. As a rule, men tend to dominate the meetings also in number of participants. The Assessment Team noted that a substantial proportion of the administrative staff is female. Several women are found in leading positions. In Kitale 68% of the extension workers are women. Of all the extension workers in the Masaka project about 25% are women. Tanzania is trailing behind with less than 20% women extensionists.



Growing passion fruit for home consumption and sale

Health and Nutrition

The impact of the Program on health tends to focus on the diversification of diets. The Program promotes vegetable production in home gardens as well as growing of fruit trees such as citrus, papaya, loquat, mangoes and avocados. The increased availability of vegetables and fruits has made many families less dependent on narrow staple foods like cassava, maize and plantains (matoke).

Improved on-farm fodder production also enhances stall-feeding of cows, which may improve the availability of milk, especially for children.

The project is not directly addressing the issue of AIDS and HIV that are prevalent around Lake Victoria. However, it is an established fact that a diverse and healthy diet can reduce suffering and increase life expectancy amongst AIDS sufferers. Also, the emphasis on small-scale poor farming

units will include those households that have lost adults to AIDS. In Rakai, a district particularly hard hit by the disease, the Program has targeted AIDS victims, more specifically orphans and widows. Some of the activities undertaken to alleviate the suffering of AIDS victims are implemented in collaboration with TASO, a Ugandan NGO dedicated to working with AIDS issues.

Awareness raising and education

The sheer fact that the Program reaches about 100 000 households with agroforestry messages using more than 400 extension workers makes it into an important awareness raising machinery. In addition to training its staff, the Programme also aims at reaching the general public. The Masaka project produces regular radio programmes and newsletters on agroforestry issues. The Agroforestry Demonstration Centres in Masaka, Musoma and Kitale are frequently visited not only by Farmer Groups, but also by the general public. The ADC in Masaka had about 10 000 visitors last year. The Olof Palme ADC in Kitale hosts about 2 000 people annually.

The Program has a concrete effect on facilitating education of small-scale farmers' children. The income from the sales of agroforestry products may enable families to pay their children's school fees. A widow woman farmer consulted by the Assessment Team in Masaka serves as a good example. The Assessment Team was told by the woman that by growing *Eucalyptus* (!) in a piece of degraded land unsuitable for crop production, she was able to save enough money to pay for her children's school fees.

Income Generation

The focus on income generation is a promising new approach taken by the Program, in recognition of the fact that income is a high priority issue throughout the Program area.

Income generation is achieved relatively rapidly by selling the surplus of produced agroforestry products, such as fuelwood, fruits, fodder, construction material and later, even timber. Marketing is

not a crucial issue at the moment, as the species used are those known to have a strong local demand. However, access to markets is an important element when determining income-generating activities to support. Marketing should be further investigated from 2004.

While timber tree growing and the income from selling timber is very much a man's business the Program emphasizes many agroforestry products that are known to improve income generation opportunities for women.

The Assessment Team took note of many cases of farmers selling fuelwood and fruits. In Trans Nzoia 47 farmers had established fishponds under advice from the Program. In the same district a Women's Group had been trained by the Program to collect and handle seeds. These women were now involved in a commercial seed business selling seeds and seedlings to individual farmers and projects. In other cases, where strong demand for tree seedlings exist, farmers had developed nurseries and were selling particularly fruit tree seedlings.

The Program still has a restricted capacity to cater for the promotion of various income generation activities. This is due to the fact that many of the extension workers do not possess the skills to train the farmers in the identification, planning and management of these specialized activities. By definition, the target farmers also lack resources to invest in sometimes potentially risky activities.

Conclusions on Socio-Economic Impact

It is evident that agroforestry as a land management tool, can improve the social and economic life of the rural poor. By implementing agroforestry small scale-farmers are in a position to utilise the land better and for longer periods of time without exhausting the soils. Growing of fruit trees, poultry and rabbit keeping, raising of fruit and tree seedlings for sale can easily be incorporated into the agroforestry system to improve the livelihoods of the farmers.

Although investment in tree planting is a long-term process (though *Eucalyptus* can provide a cash crop of fuelwood/poles in 4–5 years), it is already evident that people in the Programme areas have managed to improve their livelihoods to a noticeable degree. Progress can be observed especially amongst farmers who have included income-generating activities in their farming systems. The Assessment Team believes that the promotion of income generating activities needs to be emphasized during coming years.

In West Pokot the entire way of life of the population is changing due to the enclosures promoted by the Program. The pastoralists are now in the process of settling for a more sedentary type of life on land, which used to be common cattle grazing land.

The Assessment Team concludes that the Program has achieved significant levels of social and economic impact as described above. A question remains however, as to who is the primary beneficiary of these benefits. Has the project met its stated objective of working with poorer families (with land area of less than 5 acres)?

Agroforestry is clearly a labour and land intensive process. As has been mentioned above, labour is very often a limiting factor to agricultural production for resource-poor households. This is due to the fact that male household heads (and other younger men in the family) often migrate to urban areas to earn money, leaving girls and women behind as well as the old and sick. It therefore becomes difficult if not impossible for poorer households such as these to invest additional labour in new land management techniques such as agroforestry.

In addition, new agricultural techniques require varying degrees of risk. Poorer households are least likely to be able assume this risk, due to their low levels of livelihood security. Agroforestry is

a medium to long term investment that reaps significant benefits but only after a period after the initial investment of labour and inputs. Again, poor families are very often poor because they lack the capacity to take a longer view of their situation, and are unable to invest in longer-term initiatives such as agroforestry.

The problem is compounded by the fact that performance of the project extension workers is assessed on the basis of target setting (usually numbers of farmers reached during a period). This approach will further bias the ability of the project to meet its stated objective of working with small-scale farmers. Poor farmers require greater investments of time and resources, if their fundamental problems of low productivity are to be addressed.

4.4.2 Environmental Impact

Land Degradation and Soil Fertility

The Victoria Lake Basin covers a wide range of ecological zones, including forested mountain slopes to intensively cultivated and grazed plains around the Lake. The increasing population pressure has resulted in intensified land use in fragile areas causing land degradation through extensive loss of vegetation cover, unstable land cultivation practices and grazing. Most rivers running through the Program areas, except for those in West Pokot, drain into Lake Victoria.

Widespread loss of grass cover is particularly evident in West Pokot, where the soils are highly susceptible to erosion. The Assessment Team was able to confirm the vegetation restoring effect of exclosures in Kongelai Zone. The mere fact that cattle are kept away from the land will restore the grass cover, since the seeds of most dry land grasses have the ability to remain dormant in the soil for years. The preparation of micro catchments and additional direct sowing of tree seeds has further improved the situation.

The Team, however, has strong doubts about the viability of some of the Program's efforts to fight soil erosion and gully formation in areas where natural erosion will prevail with or without human interference.

In Trans Nzoia farmers tend to cultivate the land too close to fragile riverbanks. The Program teaches farmers not to cultivate the last stretch of the riverbank and to protect the river from eroding soil by establishing grass and *Sesbania* barriers between the cropland and the river.

The Program stresses the importance of cultivating crops along the contours. This is particularly important in dry areas and areas with steep slopes. The Team witnessed at least one example where cassava was cultivated on ridges against contours.

Nitrogen is one of the principal nutrients that limit growth of both non-woody and tree crops. It is also the single most costly industrial input to agricultural productivity – the energy needed to obtain one kilogram of nitrogenous fertilizer requires 1.8m³ of natural gas. Consequently, one of the main justifications for introducing e.g. *Sesbania* and *Calliandra* in the crop fields is their nitrogen fixing properties.

The vast majority of the farmers cannot afford to use artificial/chemical fertilizers, which could increase crop production in the short term but would not encourage improvements to soil structure and biology. Emphasis is placed on the sustainable improvement of soil structure, productivity and chemistry by intercropping, composting and mulching.

The Team was, however, not able to verify any visible increase of crop growth/crop production due to the assumed nitrogen boost. Neither could the Program show any concrete proofs on the nitro-

gen effect. The most likely explanation for this observation is that the farmers need 2–3 more years to experience the effect of nitrogen accumulated in the soil. It needs to be mentioned that the Program has not practised soil sampling and analysis, so far.

The roots of *Sesbania* and *Calliandra* also contribute to a better soil texture. The root competition with agricultural crops is probably less than what is generally assumed. This is due to the fact that the roots of the trees tend to penetrate deep into the soil and exploit mineral nutrients from strata below the root zone of most agricultural crops. Eventually, these nutrients are deposited on the surface through decay of leaves and small branches, again improving topsoil.

The introduction of compost and mulching techniques is highly commendable, since these techniques enrich the soil with nutrients, retain moisture and enhance the life of micro-organisms, which are necessary for the well being and structure of the soil. Trees and hedges planted along the borders of the farms protect the crops from wind damages, but may invite birds and pests.



Severe gully erosion on heavily used vulnerable soils

Biodiversity

Even in a small *Sesbania* woodlot growing in a farm along the Lake the microclimatic and biodiversity effects of the “green belt” effect could be felt. The microclimate of the wooded area was clearly cooler and the air moisture higher than in the dry surroundings. Furthermore, many birds and butterflies thrived amongst the trees. Based on this trivial experience, and from ecological principles, it is likely that even a partial restoration of the tree cover around the lake would act as a considerable boost to biodiversity in the Lake basin.

The Program promotes a wide variety of local and exotic tree species. Since the Program works with small-scale farmers, who usually prefer a mix of multipurpose, fruit and timber trees, the risk of having extensive monoculture tree plantations is minimal.

The Program interventions may indirectly improve also the biodiversity situation in remaining woodlands and forest reserves. On-farm fodder production facilitates stall-feeding of livestock and, hence, reduces pressure on vegetation caused by freely grazing animals. It is also assumed that farmers would no longer take the trouble to collect fuelwood from far away areas, if the fuelwood is grown on-farm. Practical experience has, however, shown that this is not always the case.

Conclusions on Environmental Impact

The Assessment Team fully acknowledges the benefits of the composting and mulching techniques introduced by the Program to improve soil fertility. The impact of intercropping practices on soil fertility in various climatic and soil conditions still remains to be fully established. In this regard, the Team requests the Program to further develop its field cooperation program with ICRAF and RELMA.

The actual environmental effects of the Program can be verified only after 10–20 years. The Team is, however, confident that, by and large, the impact of the Program activities on the environment in the Lake Victoria Basin will be positive.

4.5 Program Performance

4.5.1 Training and Extension

Despite the differences in the training approach (formalised six weeks classroom training in Uganda, an initial two week class room training in Tanzania and no formalised classroom training in Kenya), the training and extension performance are good and reasonably cost-efficient. There are a number of issues that stand out:

It is the holistic training and hence extension approach towards farmers' problems that makes the training and extension so successful. Extension is more geared towards land management rather than agroforestry as such. This is a fact that the farmers seem to appreciate the most. Consequently, the extension efforts concerning banana management in Uganda, cassava management in Tanzania, pasture management in West Pokot, Kenya, green manure/compost making, and the inclusion of livestock into the farming system, have all been very well received by the farmers.

The second issue that makes training and especially extension so efficient and effective is the “privatized” manner in which these activities are organized and institutionalized. Extensionists have clear targets and are well managed through the system of the Zonal Managers. Bad performance is punished and good performance is rewarded. The result of this is that in general, the field staff is very well motivated and well prepared for their job.

It is difficult to assess the cost-efficiency of the different training approaches applied within the Program in the different projects. But given the fact that in terms of field performance of staff no big differences seem to appear between the different projects, the heavy investment in formal training in Uganda seems to be the least cost-efficient of all the different projects.

Some development programmes in the past have used so-called contact farmers as a means to disseminate extension messages. This has been tried before during the 1970s and 1980s with little positive result and hence has been more or less abandoned. The Vi Program successfully works with Farmers' Groups to stimulate mutual support and motivation, as well as uptake and replication through exchange of information and visible examples of improvements. Working with Groups also capitalises on the limited extension staff resources.

Target setting for extension workers as part of the personnel management system seems to be rather rigid and creates a potential tension with the desire to conduct a more bottom-up or demand driven approach as advocated by PRA.

The biggest flaw or drawback of the current training and extension performance is its open-ended character (see Chapter 4.3). Although the target setting for extension workers calls for reaching 80% of the farmers in a concentration area, there is no time limit set as to when and how the 80% should be reached. Is this 8 years, 15 or 20 years? Moreover, one could question the figure of 80%. Why not 75% or 70% or even 60%?

As a result of this open-ended character combined with the current target setting extension workers have the tendency to stick to a certain area and to certain farmers in their extension efforts. This tendency might undermine or even defeat the current cost-efficient efforts of the Program.

4.5.2 Participatory Rural Appraisal (PRA)

Of all the activities of the Vi Program the performance of PRA is probably the weakest and the least cost-efficient for a number of reasons.

There is an insufficient understanding among the Program office and field staff alike of what PRA could and should do and especially what it can not and should not do. This has resulted in a rather unclear position of PRA vis-à-vis other activities like administration, training and especially M&E. What can PRA contribute, how, where and when is still a partly unresolved issue within the Program.

It seems that PRA within the Program has been instituted more as a result of financing conditions of Sida than as a tool that management thinks is useful in undertaking its primary activities, extension and training.

Moreover, there are different opinions on what PRA really is all about. Whereas in Uganda and Mwanza PRA means “Participatory Rural Appraisal” (the accepted definition), in Musoma the term PLA or “Participatory Learning and Appraisal” is used. In Kenya PRA is also translated as “Participatory Reflection and Action”(!). These confuse the actual meanings of Participatory Action and Learning and Participatory Action Research. On top of this there exists differences in opinion with regard to PRA as a management tool and/or as an empowerment tool for the beneficiaries.

These differences are reflected, for example, in the position of PRA in the various project organisations. In Musoma PRA is not a separate Unit, it falls under training and extension. In all the other projects it is a separate Unit.

The way PRA is being used is more like a self-fulfilling prophecy of the intermediate objectives than a genuine tool to understand people’s needs and problems upon which the content of an extension approach can be built. For example, because alleviation of the fuelwood problem is a Program objective, PRA has found almost everywhere that fuelwood is indeed a problem, even when it is not.²

A group of farmers in Trans Nzoia claimed that their biggest problem was the very low market prices for maize, which they attributed to price manipulations in Nairobi (importation of cheap maize). Whereas the price of one bag of fertiliser was Kshs 1500 the price for a bag of maize was only Kshs 1200. But this problem did not show up in the PRA results.

PRA is being conducted on community level, resulting in the so-called Community Action Plans (CAP), and on group level, resulting in the so-called Group Action Plans (GAP). The CAPs are very broad, encompassing every need and problem of a community from water to health. This may confuse the role of the Program vis-à-vis communities, as they might hold the Program responsible for not tackling health problems for example.

Moreover, what a CAP represents as a problem and proposed intervention to solve this, is not necessarily the same as what an individual household wants and needs. And as the ultimate loyalty

² As two members of the assessment team were fluent in Kiswahili, they were able to follow the translations of questions and the answers of farmers in Kenya and Tanzania. In Musoma for example a farmer did not mention that fuelwood was a problem and yet the extension worker “translated” that fuelwood was a big problem. There were numerous other instances where translations were (deliberately?) inaccurate just to prove the point that the Program assessment and hence the course of action taken was the correct one. Whereas for example the Program proclaims that Sesbania is a good fuelwood alternative, two women farmers interviewed in Kenya by the team without translators or Program personnel present were not so keen on Sesbania. It burns too fast, gives “cold” fire and is too thin and hence labour intensive compared to for example branches of acacia or eucalyptus.

of individuals is towards their own households and not towards the community where they live in, these CAPs remain more often than not a paper exercise with no real tangible effects on the ground.

The PRA exercise is followed by the institutionalisation of committees from sub-village level to divisional level to “oversee” the implementation of CAPs and GAPs. This is considered not only an unnecessary activity but like in the case of Musoma, these development committees are created next to similar existing Government structures.

In conclusion one might say that PRA within the Program is not cost-efficient, with a lot of time, effort and money invested into this activity whilst the impact or usefulness in its present form does not seem to warrant the investment.

4.5.3 Administration

Capacity of the Vi-Skogen Head Office

As a rule, the more competent and experienced the project leaders are the less backstopping services are required from the Head Office. Ideally, the Head Office only ensures the regular transfer of funds to the various projects, processes the financial and technical reports, liaises with the financiers and handles some of the administrative issues related directly to the expatriates.

In the case of Vi-Skogen, which is a Program consisting of four projects in three countries, the Head Office still plays an important coordinating and controlling role – in addition to the use of the Regional Coordinator. The Assessment Team finds the current set up with the Program Manager, one Assistant and one “in-house” short term consultant (Mr. Henriksson) an adequate backstopping arrangement for the Program. Should the Vi Program such that all projects employ 150 extension workers, then the budget required would be of the order of SEK 32 million. This expansion would also require effective management capacity more at the field level than in Head Office.

The Team agrees with earlier concerns raised about the lack of agroforestry technical skills on the Foundation Board. The addition of one or two persons with solid development cooperation and land management/agriculture/forestry experience to the Board would certainly improve the Board’s ability to guide the Program.

Administration in the field

Administration in general seems to be very efficient and effective. The organisational and managerial set-up of the actual extension work, with Zonal Managers, Concentration Areas and clear Terms of References for field personnel and short and clear lines of communications are contributing towards the high levels of efficiency and effectiveness.

What lowers this efficiency and effectiveness to a certain extent in the opinion of the Assessment Team is the “departmentalisation” of the various projects at office levels. For example, in Uganda every activity is institutionalised in a Unit. In most of the projects PRA, M&E, Training, Extension, Administration, the Demonstration Farm and Seed Procurement have their own neat little box in the Organisation Chart. Each of these Units has a Unit Head and a separate budget. For example, the Masaka project spends about 3% of its budget on M&E.

Such “departmentalisation” is known to give rise to the creation of bureaucratic kingdoms with each separate unit trying to prove its importance and necessity and trying to defend an ever-bigger allocation of the budget. Co-ordination and collaboration between Units or Departments are normally the first victim of “departmentalisation”. This problem has been recognised by the different managers and they try to keep a close watch on what Units want and do. But with an average field staff of 130 people, including Zonal Managers, the creation of so many different, in principle, supporting Units seems to make administration and management top heavy.

The second issue, which presently has improved efficiency and effectiveness but could easily lower the performance of the Vi Program, is the managerial and administrative freedom of the managers. Many of the differences in the operations of the Program in the different countries can be attributed to the differences in managerial “philosophies” of the respective managers as individuals. With the current set of managers this freedom, including a large amount of budgetary freedom, has contributed towards the high levels of efficiency and effectiveness. But the Assessment Team also learned that the same managerial freedom has had rather detrimental effects on the performance of the Program in the past when different managers were present.

The third issue that is a determining factor in the performance of the Vi Program is the financing cycle of one year and the relationship between the field and Vi-Skogen in Sweden. To coordinate the efforts in the different countries the Program has initiated the position of “Deputy/Regional Co-ordinator”.

His task is to ensure that Program activities on the ground are implemented in accordance with overall formulated objectives and the Vi-Skogen vision and that activities in the different countries are as much as possible synchronised, using the same training approaches and extension methodologies. He is reporting directly to the Program Co-ordinator in Sweden.

However, as indicated earlier on there are, in an administrative sense, some distinct differences between the various projects. Even in terms of approaches and methodologies certain differences exist. (Role and function of PRA and M&E for example). The Program suffers from the lack of an institutionalised exchange of ideas and information between the different projects on managerial level. Moreover, despite the managerial freedom on the ground, all the projects have to keep within the limits of the Program ideology as formulated and embodied by the Co-ordinator in Sweden.

The issue of *Eucalyptus* is an example of how this ideology is restraining especially the Masaka project from offering even more comprehensive and holistic land management services to the farmers. As *Eucalyptus* is considered not to be an agroforestry tree and even detrimental for small-scale farmers, the Program on the ground is not allowed to include this tree in their extension package, even when PRA shows that it is a preferred and very sought after species by the beneficiaries. *Eucalyptus* can and will, under certain circumstances contribute significantly towards the three intermediate objectives of the Program and yet can not be considered as a possible solution. This lowers the performance of the Program, fails farmers and contributes towards a lowered performance of for example PRA.

The last administrative issue is the fact that all the projects have an expatriate Project Manager and Assistant Manager. It is debatable, whether it is absolutely necessary to have expatriates as Assistant Managers.

4.5.4 Monitoring and Evaluation (M&E)

In terms of M&E a distinction has to be made between the more administrative oriented M&E, or efficiency and effectiveness matters, and M&E of the impact, or ultimate relevance of the overall Program intervention. In all projects M&E is a separate Unit and considered by management as an important supporting activity. But in terms of efficiency and effectiveness the M&E Units are not very important, their role is more or less confined to M&E of the impact.

M&E of efficiency and effectiveness is carried out by the Administration Unit, by Management and by every other Unit or Department. For example in Kenya the training and Extension Unit monitors and evaluates the efficiency and effectiveness of its own training program, “assisted by the M&E unit” (quote Head training Unit).

Equally in all projects, the Management Units are aided by the Zonal Managers in monitoring efficiency and effectiveness of the extension workers on the ground, with the M&E Unit assisting them.

The lines of the administrative M&E efforts of the different units are very blurred and the Assessment Team has the distinct impression that the role of the M&E units in administrative M&E is rather minimal.

In terms of impact M&E, the different Units have finalised their first Baseline Studies of the intervention areas. Given the fact that the VI program in Tanzania (except Mwanza) Uganda and Kenya is already operating for more than 10 years and that the current approach was initiated during 1995/1997, the effort of establishing a baseline as part of an M&E impact is riddled with technical and theoretical complications.

Furthermore, having seen the results of the Baseline Studies in Uganda and Musoma the Assessment Team has the impression that these studies are too bulky and too descriptive to be of much practical use in terms of impact assessment. It seems that the Baseline Studies suffer from the classical weakness of not knowing exactly what constitutes an impact indicator and hence which data are relevant or irrelevant. The end result resembles more academic socio-economic research than an M&E Baseline Study.

Discussions with the different M&E sections about what constitutes a valid and proper impact indicator reinforced the opinion that personnel involved are not completely conversant with the technical and theoretical aspects of M&E.

Apart from the formulation of valid efficiency, effectiveness and impact indicators, one of the key cornerstones of an M&E system is the reporting or communication system. The different projects have developed more or less different reporting formats but how far the M&E sections have participated in the development of these formats is not known. The current reporting format concentrates on efficiency and effectiveness but not on impact.

If the performance of the M&E sections is to be measured against the principles of a good M&E system, i.e. it should be workable, affordable and measure what it is supposed to measure, then the performance in all projects is rather weak. There does not exist a coherent M&E system as such and to have a separate M&E section that only deals with impact and not with the more administrative-oriented M&E, seems to be rather cost-inefficient.

4.5.5 Cost-efficiency

The task to estimate the cost-efficiency of the Programme turned out to be a difficult one. So far, the various projects lack much of the necessary baseline statistics, which would facilitate a reasonably accurate assessment of overall cost-efficiency. The lack of baseline information and proper impact indicators is likely to be overcome during the next 1–2 years.

The Assessment Team calculated that the overall Program cost to reach one household amounts to a total of about USD 26 per year. In case the recommendation to replace the expatriate Assistant Project Managers with locals is followed, the cost per household is likely to drop to about USD 24 per year.

What tangible benefits does the farmer then get for the USD 26 per year spent by the Program?

The direct, short-term benefits to the farmer are the following:

- Tree seeds and in some cases even some vegetable seeds.
- Fuel wood, available already within a few months.
- Fodder. For example, *Sesbania* and *Calliandra* leaves have a high level of protein content – in the case of *Calliandra* up to 22%. Three kilos of *Calliandra* fodder is equal to one kilo of kraft fodder. A 50-meter long row of *Calliandra* can feed one cow throughout the year.
- Fruits for own consumption or for selling in the market. Passion fruit is particularly favoured in Trans Nzoia. Banana is a staple food in Kitale.
- Fish from fishponds – sold or/and consumed within the household.
- Construction material (poles and branches).

In addition, the concrete long-term benefits to the farmer are the following:

- A continuous (sustainable) supply of a variety of tree seeds.
- Construction material (timber) – used for own purposes and very often sold in the market.
- Improved production of agricultural crops, such as maize, cassava, beans and bananas due to improved soil fertility and water retention capacity.
- Medicines and pesticides from e.g. the Neem tree (*Azadirachta indica*). Bark of Neem is used against parasites and also allegedly successfully used to cure malaria, one of the most common diseases in the area.

Ideally, many of the farmers can gain all these benefits, some of which the Assessment Team could readily confirm, through the introduction of agroforestry techniques promoted by the Program – at the cost of only USD 26 per year!

For the same amount of money the farmer in Trans Nzoia can buy one sack of chemical fertilizer or one sack of maize.

Viewed against this background the cost of reaching one household in comparison to the benefits gained by the farmer appears to be very moderate by any standards.

None of the members of the Assessment Team have come across a bilateral project capable of producing similar results at such low cost.

Consequently, even considering the lack of detailed data the Team's conclusion about the performance and overall cost-efficiency of the Program is positive. However, this is not to say that much still remains to be done to further increase the efficiency.

The potential areas of improvement concern mainly the managerial and organisational realms. M&E, PRA Training, Seed collection are in principle supporting activities and it is in these supporting activities that the cost-efficiency is seemingly at its lowest. The costs of M&E and PRA activities are in the region of 5% of the Program budget.

4.5.6 Efficiency in Comparison to Similar Programs

A proper comparison between the Vi Program and similar programs is a study in itself that could not have been undertaken effectively by the Assessment Team given the limited time available. Such a comparison is also difficult due to the uniqueness of the Vi Program and its approach.

Although individual members of the Assessment Team are familiar with the Tanzanian and Ugandan setting, no other projects/programs could be found that are more or less similar to the Vi

Program. The uniqueness of the Program lies in the “privatized” character of the extension approach, its agroforestry base and the approach towards land management.

But if a comparison has to be made then the Vi effort should be compared with for example NGO/Church agricultural oriented extension efforts in Uganda (Masaka Diocese) and Tanzania (Anglican Church in Musoma) and for example the World Bank National Agriculture and Livestock Extension Program (NALEP) in Tanzania.

Compared to the NGO/Church efforts the Program is more professional and has ample finances at its disposal. Compared with the World Bank effort the Vi Program is much more cost-efficient and has an impact on the ground. With an average expenditure of approximately US\$ 20/household/year (excluding costs of expatriates) the Vi Program can be called very cost efficient.

4.5.7 Conclusions

The overall conclusion about the performance of the Vi Program is positive although the cost efficiency of the Program intervention can be further improved. These improvements concern management and organisation rather than technical extension. M&E, PRA, Training, and Seed collection are in principle supporting activities that are meant to enhance the overall performance of the Program intervention. But it is in these supporting activities, especially PRA and M&E, that the cost-efficiency is seemingly at its lowest.

4.6 Sustainability Issues

4.6.1 Policy Framework and Land Tenure

In terms of policy framework the most important one is the different policies or rather ideas concerning agriculture, livestock and forestry extension in the respective countries. There is, however, a surprising degree of coherence in the thinking in the different countries about extension. The only difference between the countries is the stage of development of the new ideas with regard to extension, with Uganda progressed furthest, Tanzania second and Kenya trailing behind.

In general the “new” thinking about agricultural/livestock extension is based on the fact that traditional Government led extension efforts have more or less failed to assist in the transformation of the agricultural/livestock sector from a more subsistence oriented production to more commercial farming. Instead agricultural/livestock extension services are to be “privatised” in the sense that it should no longer be the Government implementing and managing extension services. Implementation and management is to be left to private sector in the broadest sense of the word, i.e. NGOs, private firms, etc.

Of the three countries Uganda is furthest down the road in formulating this new extension thinking. Under the National Agricultural Advisory Services Programme (NAASP) a draft Pre-Appraisal Document of the Extension Task Force and Joint Donor Group Mission has been formulated (July 2000) that spells out in more detail how this privatization of the extension services should unfold over the next 15 to 20 years.

Having realised that extension is not the only factor that influences this transformation process Uganda also adopted a new land act in 1998 and Tanzania is in the process of changing its Land Act to improve security of tenure. Generally speaking security of tenure is very strong in Kenya and Tanzania but less so in Uganda due to the existence of the so-called Mailo lands (land belonging to the traditional kingdoms), which in some areas and to a certain extent inhibits tree planting by individuals occupying Mailo Land.

Furthermore, it is hoped that the liberalisation of the economy by for example the abolishment of state marketing boards in Tanzania will also contribute towards this modernisation or transformation of the agriculture and livestock sector.

Another set of policies that is important is the ongoing decentralisation and devolution in the different countries which is aimed at and already giving districts more administrative and financial freedom to run their own affairs within the framework of laid down national policies.

The last set of policies, but of far lesser importance to the Program, is the ongoing development of new Forest Policies and Acts. Whereas Tanzania formulated and adopted a new Forest Policy already in 1997 and is currently drafting a new Forest Act, Uganda is in the process of formulating a new forest policy. The drafting of a new Forest Policy and act in Kenya was already finalised around 1996, but it has so far not been adopted by Parliament.

In all three countries the Government wants to promote private sector involvement and investment in the forestry sector through these new Policies and Acts. This also includes a more prominent role of farm forestry or agroforestry in the ongoing struggle to combat deforestation.

All in all, the current developments would evolve into an (ideal) situation in all three countries whereby Districts, based on their development plans, will be able and have the power to “tender” extension services out to private sector (NGOs, private firms, etc.).

As indicated earlier on this “new” thinking about extension is only at the beginning and it will take at least another three to six years before these ideas will be formulated into new extension policies. In the mean time the current set of agricultural, land, forest and decentralisation policies in all three countries neither promote nor inhibit extension efforts undertaken by other organisations than the Government.

The current set of policies and the ongoing developments especially with regard to extension is of crucial importance for a program like the Vi Program. It can be safely concluded that under the present circumstances the “privatized” extension approach of the Vi Program is not contradicting Government policies. In view of the new thinking it can be said that the Program is in line with and already ahead of developments in all three countries.

4.6.2 Institutionalisation or Privatisation?

The Vi Agroforestry Program has decided not to work within the Government agencies providing extension services. The Program Management is of the opinion that a separate extension organisation can deliver the agroforestry messages more efficiently than the Government agencies.

The view of the Program Management is very valid. Government extension activities in Uganda, Tanzania have more or less come to a standstill. Vacant positions for extensionist are not filled. Fieldwork has stagnated because of shortage of local funds and external support has largely failed to revitalize the systems.

As discussed earlier even the local Governments have realized the precarious situation and are presently actively looking for solutions to the extension problem. In all three countries privatization of the extension activities is being seriously discussed as one option.

Privatised extension is already being provided for e.g. coffee and tobacco growers. The dairy sector will probably follow suit.

Uganda has far-reaching plans for modernizing its agriculture sector. According to the Plan for Modernization of Agriculture (PMA) a National Agricultural Advisory Service Programme

(NAASP) should be established to spearhead a decentralized, farmer-owned and private sector serviced extension system. The farmer groups are the nucleus of NAASP. Farmers Fora shall service extension contracts to be funded by the local Governments. The proposed transition period to the new extension system is five years.

As a sign of the desperate extension situation (and appreciation of Vi!) the Magu District authorities recently approached the Vi Program with a proposal to delegate all extension services in the District to the Program. In the future it may be perfectly viable to have programs like the Vi Program handling District extension services financed through external resources.

Kenya is presently in the process of restructuring its extension system towards a more demand driven approach. Along these lines a pilot private extension service is being tried out with GTZ funding.

4.6.3 Local Participation and Ownership

Despite working outside the local Government extension framework the Program has succeeded in establishing a substantial degree of cooperation with local authorities. As mentioned earlier, Government officers participate on a regular basis in joint training sessions, PRA exercises and field trips arranged by the Program and visa versa. For example, the District Agricultural Planner as well as the District Forest Officer accompanied the Assessment Team during the field visits in West Pokot and Trans Nzoia. The fact that many DFOs and DAOs report Program field activities as Government operations is a good sign of ownership (or desperation?).

The participation of the farmers is enhanced by PRA exercises. The Farmer Groups prepare Group Action Plans, which is the guiding instrument for each individual Group member. The Assessment Team noticed that some of the Vi projects still have a tendency to set targets from top down. Others rely more on the targets set by the Groups in the Group Action Plans. The Team discovered a need to streamline the target setting policy in some of the projects towards a more bottom up approach.

Only the Kitale project has introduced the use of a Group Contract, which is based on the Group Action Plan. The Contract, however, excludes the extensionist.

The Team proposes that all projects should introduce Group Contracts or Agreements in which also the obligations of the extensionist worker towards the Farmer Group is clearly spelled out. Such a two-way Agreement would further improve the motivation of the farmers to implement the Group Action Plan.

4.6.4 Human Resources Development

The Program has significantly contributed to local human resource development and capacity building in its operational areas. There has been a heavy investment by the Program in staff development and training. The majority of the project staff is local people, with a long-term commitment to the immediate area of work.

Following the completion of the various projects, it is probable that most of these staff will remain in the area, either as private farmers, local government staff, or employees of NGOs and other organisations. This is a positive point and will to some degree ensure that skills remain within the community.

4.6.5 Financing

The Vi Agroforestry Program is presently financed by the “Vi planterar träd” Foundation, Sida and NORAD. According to Sida guidelines on support to development cooperation programs implemented by Swedish NGOs, a Swedish organisation that receives a grant from Sida shall normally

finance a minimum of 20 percent of the project cost.ⁿ Consequently, the Foundation's Program contribution has been in the region of 20 percent since 1992, when the first Sida grant was received. In 1999 the Foundation's contribution was SEK 9 million. The contribution is a combination of gifts, grants and donations from Swedish citizens.

From 1997 the Program has received additional funding from NORAD in the form of grants. In 1999 NORAD's contribution was about SEK 4 million and SEK 1 million came from the Norwegian Cooperative Union. The Norwegian funds are channeled through Det KGL Selskap for Norges Vel.

Sida has made the following contributions to the Program since 1992:

Year	Contribution
1992	SEK 8 million
1993	SEK 10 m
1994	SEK 12 m
1995	SEK 11.3 m
1996	SEK 5.4 m
1997	SEK 10 m
1998	SEK 14.4 m
1999	SEK 15 m

Sida co-operates presently with 13 major Swedish NGOs, so-called "frame organisations". There are two main types:

- An organisation that runs its own development programs.
- An "umbrella organisation" that administers and assesses applications and applies for and administers grants on behalf of its member organisations – and in some cases on behalf of non-members, as in the case of Vi-Skogen.

The annual Sida grant to the Program is channeled through the umbrella organisation Forum Syd. Forum Syd receives and screens annually funding applications from a great number of Swedish NGOs, the Vi-Foundation being one of them. After a screening process Forum Syd selects the eligible organisations for Sida grant and submits a joint application to Sida for funding.

Forum Syd receives and administers annually about SEK 100 million of Sida funds. The organisation employs about 40 people and operates from its Head Office in Stockholm. It lacks staff specialized in agroforestry issues. Forum Syd charges 4.5% of the granted contribution to cover its expenses. The Vi Foundation joined Forum Syd in 1992. The Vi-Foundation is by far the biggest of all NGOs receiving funds through the Forum Syd basket and already close to outgrowing the Forum Syd arrangement.

The Assessment Team fears that future development of the Program will be severely hampered by the one-year budget allocation practice. The limitations of the Forum Syd umbrella arrangement are likely to inhibit further expansion of the Vi Program. To give an indication of the most imminent budget requirements the Team estimated that a full-scale operation with a maximum of 150 extensionists in each of the current projects would require a total annual budget of about SKR 32 million, excluding costs for expatriates.

4.6.6 Conclusions on Sustainability

The Program has established an extension system with a cadre of extension workers that is not connected to any Government institution. Thus whenever the Program totally withdraws from an

area or is totally terminated the agroforestry extension services to the farmers are terminated and the extension workers have to find themselves a new job.

This vision paints a rather unsustainable picture of the Program. According to the Vi-Skogen concept, however, the solution to sustainability of the introduced agroforestry practices lies in the farmers themselves, who are expected to continue the activities even without external extension services once the practices have become a deeply rooted tradition. The fact that the Program is very much focused at the farmer and Farmer Group level substantially enhances the rooting process and thus longer-term sustainability.

The pattern is the same as for the rooting of any other tradition. Once the agroforestry practices have proven beneficial to some farmers and are seen to be so, others are likely to follow suit, not so much because of unselfish farmer to farmer extension efforts, but due to farmers picking up, through observation and by word of mouth, profitable practices from their successful neighbours.

The Assessment Team believes that the agroforestry techniques introduced by the Program carry a real potential to become an established tradition. As a matter of fact, there appears to be very few alternative practices for solving the problems of declining soil fertility and fuelwood shortage in the Lake Victoria region.

Although the extension system established by the Program bypasses the local Government structures it would be unfair and unrealistic to brush aside the Program as unsustainable just because of this fact. Sometimes an institutionally detached effort may be justified to reach the objectives of the intervention. This is particularly true in the case of Vi-Skogen, where all of the three target countries are struggling with a more or less immobilised extension system: there are virtually no Government extension activities taking place at field level.

As mentioned earlier in the Report, all three countries are currently looking for various solutions to their extension problem. Uganda has already prepared a Plan for the Modernisation of Agriculture according to which the extension system should be decentralised, farmer-owned and private sector serviced. In Kenya GTZ is trying out privatised extension. In Tanzania Vi-Skogen has been requested by District authorities to take over the entire extension activities in one particular District.

The concerned target countries will most likely continue to suffer from severe economic and managerial problems, a fact which will adversely affect the implementation of development projects for many years to come. According to this rather dismal scenario the Assessment Team feels that at least for the moment there exists a clear demand in the extension sector also for efforts like Vi-Skogen, and it would be a definite mistake by donors to put all the funds in the Government extension basket. As a last, slightly cynical remark one can say that many bilateral projects "institutionalised" by the book end up as non-sustainable, anyway.

5 Summary of Conclusions

The Assessment Team finds the Objectives of the Vi Program very valid. The technical approach is by and large appropriate but needs to be improved in the form of a more flexible sectoral approach.

The various projects are professionally managed and have developed well functioning administrative procedures and an appropriate organisational structure. However, the activities related to M&E as well as PRA lack focus and suffer from cost-inefficiency.

Some of the positive socio-economic and environmental impacts of the Project can already be observed in the field.

The implementation of the Program is inhibited by the current funding arrangements and lack of a long-term pulling out cum expansion strategy.

Finally, the Assessment Team concludes that the VI Program holds the potential to become an increasingly important instrument in the fight against poverty in the Lake Victoria Basin.

6 Recommendations

6.1 Technical Approach

- Focus on current agroforestry core activities (intercropping with nitrogen fixing trees and agricultural crops, provision of tree seeds, establishment of homestead nurseries, direct tree seed sowing, planting of trees with different rotation, introduction of simple water harvesting methods, introduction of compost and mulching techniques)
- Step by step introduction of agroforestry starting with core activities.
- Provision of a flexible scope of technical services to cater for land management as per farmers' requirements, partly through the projects but mainly through establishing links with other organisations or Government agencies providing the necessary services.
- Flexible implementation of 5-acre rule due to availability of labour being a critical factor.
- Distribution of seeds and farm nursery training should be practised for all farmers only during the first year of the project. After the first year seed collection, handling, storage, grafting and nursery training should be concentrated to (e.g. women) groups or households establishing commercial nurseries.

6.2 Timeframe of Projects

- Switch from open ended activities to a 10-year project cycle with an initial 5-year period of technical services free of charge and a successive, low intensity and demand driven 5-year period of follow up services against a nominal fee.

6.3 Phasing Out and Expansion

- Current projects should be phased out by end of 2003 (Mwanza Project by 2004), followed by a 5-year follow up period.
- During 2001 consolidation of activities and development of phasing out strategy.
- Geographical expansion after 2003 (Mwanza 2004) should take place primarily within current Districts, except for West Pokot, which should be terminated.
- The number of extensionists per project should not exceed 150.

6.4 Administration

- Expatriate Assistant Managers to be replaced by locals after expiry of current contracts after which secondment of expatriate Project Managers during annual holidays should be catered for through a short term consultancy as part of the backstopping of the Program.
- Bi-annual, rotating co-ordination meetings for streamlining of administrative procedures and experience sharing should be introduced jointly for Project Managers and Assistant Managers under the chairmanship of the Regional Co-ordinator.
- An annual experience sharing meeting should be arranged as an incentive for the best Zonal Managers.
- Two-year employment contracts should be introduced for all local personnel.

6.5 Budget

- A budget line for unallocated short term consultancies should be included in the budget.

6.6 Training, Monitoring & Evaluation and PRA

- A short term consultancy should be undertaken to streamline the training, M&E and PRA systems used by the Programme.
- PRA exercises should be undertaken at Group Level.
- Extensionists should work directly with Groups. The use of Group Committees in Kenya, as well as Development Committees in Musoma, should be reconsidered.

6.7 Extension

- Groups and extension workers should enter into a written agreement spelling out the obligations of farmers and extensionists as well as expected outputs.

6.8 Organisation

- The projects should consider reducing the number of Units in the project organisation by amalgamating PRA, Training and Seeds in one Unit.

6.9 Program and Lake Victoria Initiative (LVI)

- The Programme is potentially suitable to be included in the LVI.

Appendix 1

Terms of reference for the assessment study of the Vi Agroforestry program and the foundation “Vi planterar träd”

1. Background

Sida is the Swedish government agency dealing with international development cooperation. Sida supports activities in almost 120 different countries including cooperation with Central and Eastern Europe.

A part of Sida funds are channelled through Non-Governmental Organisations, NGOs. The project to be studied in this assignment falls under this vote. Sida funds are channelled through the frame organisation Forum Syd to the Foundation ‘Vi planterar träd’ for their program in East Africa. Norad and the Norwegian consumer’s cooperative, NKL, also support the program through Norges Vel, which also has an advisory role. The total Sida/Forum Syd contribution for 1999 and 2000 is 15 MSEK per year, whereas Norad contributes roughly 5 MSEK (4 MNOK). In addition individual donors contribute roughly 8 MSEK.

The overriding goal for the Vi agroforestry projects in Kenya, Tanzania and Uganda is to contribute towards better living standards of the small-scale farmers (with less than 5 acres of land) in the project areas. This is to be achieved through increased food and nutritional security, increased fuelwood availability and increased sources of income. A long-term objective is to contribute to the reforestation of the area surrounding Lake Victoria.

The Vi magazine has supported tree-planting activities in East Africa since 1983. Initially the activities were implemented by the magazine in collaboration with other NGOs, but from 1986 the program is administered by the Foundation ‘Vi Planterar Träd’ (Vi).

The activities started in the drylands of West Pokot District, Kenya in the early 1980s and expanded some years later into more high potential areas of West Pokot as well as neighbouring Trans Nzoia District. During the 1990s, the project has further extended its activities to Uganda as well as Tanzania. The activities were previously centred around central nurseries from which tree seedlings were distributed. The activities have successively been reorganised and are now concentrating on extension.

All current activities of Vi are implemented in four project areas within the catchment of Lake Victoria. Erosion of top soil is already known as a serious source of nutrients to the lake, and at the same time a grave obstacle to the raising the production of food, fodder and fuel. Initiatives aiming at improvement of land management are likely to be appreciated locally and in time also decrease the nutrient load to the lake. The Vi project, with its focus on promotion of tree planting and agroforestry, may therefore have a potential for up scaling of its activities possibly with increased Sida-support within the LVI framework.

2. Scope of the assessment

The Vi Tree planting project enjoys a relatively high level of Sida/Forum Syd support, which in terms of funding renders it one of the more important agroforestry and tree-planting projects Sida supports. As such, regular in-depth external evaluations are well motivated and have been carried out over the years. Some of the most important review reports are:

- 1985 Erland von Hofsten
- 1989 Erland von Hofsten and Bo Olsson
- 1994 Ulf Rundin et.al.
- 1996 Mary Omosa, University of Nairobi
- 1996 Noel A. Chavangi, RSCU (Projects Impact Study)

Some other reports that have been published are:

- 1988 “We eat trees” Wille Östberg (SLU/FTPP)
- 1995 Boken om Vi-skogen, Lundgren/Boethius/Nyberg
- 1997 “Participatory Planning and implementation”, RSCU technical report No 18
- 1999 “We work together” RELMA technical report No 22

Vi has changed its approach and activities quite considerably, especially during 1997/1998. The central nursery concept is now abandoned in favour of a more integrated and extension intensive concept with focus on sustainability and farmers own activities. Vi has intensified its work targeting farmers’ groups and organisations as well as individuals/households. The program has not been evaluated since this gradual shift of operations, which was completed in 1997/98.

In the ongoing process of identifying suitable subject matter areas for intervention within the frame work of the so called Lake Victoria Initiative (LVI), which both Sida and Norad stand behind, Sida is keen to assess the activities supported by Sweden and implemented in the region. This applies both to activities directly supported by Sida and to activities supported through NGOs. One of Sida’s aims is to solicit information for discussion of intensification and/or adjustments of already on-going activities. Vi has approached Sida with the hope of increasing their presence in the Lake basin with enlarged operations, and increased funding. Vi also proposed an evaluation in the application for support via Forum Syd.

This assessment shall focus on the period since the shift of approach in 1997/98 and appraise the relevance and efficiency of activities (Vi’s technical progress, capacity and cost-efficiency) as well as the organisation and capacity for possible expansion under Sida’s Strategy for the Lake Victoria Region (LVI).

3. The Assignment (issues to be covered in the assessment)

The focus of the assessment should be the relevance and cost-effectiveness of the technical recommendations/extension packages offered by Vi and activities implemented by Vi, in relation to the program’s goals and objectives (set in the workplan and budget proposals) and those of Sida and the LVI. The assessment study should further appraise the following aspects and circumstances and where deemed suitable give recommendations on how the operations or organisation could be improved:

- the vision of the Foundation and how it corresponds to the vision of Sida, including the four action programs and LVI,
- cost-efficiency and sustainability of results of the program in comparison to other similar actors/projects (including assessment of concrete outcome of extension efforts),
- the socio-economic impact, both long term and short term, of activities with regard to gender and income generation and improved livelihoods for the poor,
- the technical adaptability of the projects to different local conditions (for example, microclimatic conditions, available markets, the presence of HIV/Aids etc), the degree to which local ideas/knowledge are taken into account

- the ecological impact of activities/recommendations for example on soil erosion,
- the governance of the project, including the institutional arrangement and capacity building; the roles of the different parties, and the administrative arrangements; their capacity, cost efficiency, and sustainability,
- local participation in planning and the co-operation and/or links to authorities (at central, district and local levels) as well as relevant key actors/institutions/projects in the region, such as general extension, schools, research institutions such as ICRAF, and other Sida/Norad supported activities of relevance
- the systems for economic and administrative follow-up, reporting and auditing,
- the efficiency and relevance of the Vi zonal monitoring and evaluation system,
- the sources of financing and sustainability

4. Methodology, assesment Team and Time Schedule

The assessment study should be completed as soon as possible but no later than September 30, 2000.

The assessment study team shall visit a representative number of Vi-activities and farmers as well as relevant authorities, NGO's and other collaborators, in all the three East African countries.

Fact-finding with regard to administrative issues mentioned in this Terms of Reference should be accomplished prior to the field visits. This should be carried out through interviews with the Foundation, representatives of the financiers, program officers and resource persons with relevant experience, as well as by studying background material.

A team of two external consultants is envisaged to carry out this assessment study. The competence required in the team is: an agro-forester/ecologist and a socio-economist/or equivalent, with documented competence in the area of management and organisation as well as of fieldwork. In addition there could be need for local consultants.

The work of international consultants is estimated to 5 weeks (a maximum of 10 person weeks), distributed as follows:

- one week in Sweden prior to the field visits,
- 3 weeks of field visits in Kenya, Uganda and Tanzania,
- and one week for analysis, report writing and presentation of conclusions.

5. Reporting

The assessment study report shall be written in English. Format and outline of the report shall generally follow the guidelines in Sida Evaluation Report – a Standardised Format (see Annex 1). 10 copies of the draft report shall be submitted to Sida no later than August 30, 2000. Within 2 (two) weeks after receiving Sida's comments on the draft report, a final version in 10 copies and on diskette shall be submitted to Sida. Subject to decision by Sida, the report will be published and distributed as a publication within the Sida Evaluations series. The report shall be written in Word 6.0 for Windows (or in a compatible format) and should be presented in a way that enables publication without further editing.

The main findings and recommendations shall be discussed with personnel responsible within the program before leaving the region – and with Sida. Subsequently the final report shall be presented at a seminar arranged by Sida as part of the overall assignment.

The assignment includes the completion of Sida Evaluations Data Work Sheet (Annex 2). The separate summary and a completed Data Work Sheet shall be submitted to Sida along with the (final) draft report.

6. Specification of qualifications

A. *Qualifications that **shall** be met by the tenderer:*

- The tenderer shall specify as concretely and clearly as possible the methods and approach which he will employ in carrying out the Services,
- A detailed time- and workplan shall be presented by the tenderer,
- The tenderer shall have documented knowledge and professional background/experience of similar assignments within the requested fields of expertise (agro-ecology, socio-economy, organisation and management),
- The tenderer shall have experience of working with issues related to the methodology development for the small-scale farmer, as well as knowledge and experience of the East-African rural sector including knowledge of smallholder's economy,
- The tenderer shall have knowledge and experience in the field of evaluating and assessing projects and programmes,
- The tenderer shall have knowledge and experience in work related to development of competence, transfer of knowledge, institutional and organisational building and management,
- A draft report shall be submitted before the end of August 2000,
- The final study shall be completed before the end of September 2000.
- The study shall be carried out by a team of no less than two consultants. The tender should specify the qualifications of each of the proposed consultants and attach Curriculum vitae for each one of them.
- The tenderer's consultants selected for the study shall have documented excellent knowledge of the English language,
- At least one of the consultants has to master the Swedish language,
- The tenderer shall state earlier experience from similar assignments during the past three years and specify at least two references for these (including names and telephone numbers),
- The tenderer shall have experience in the field of development cooperation as well as fieldwork, verifiable upon request,
- The tenderer shall indicate the estimated total cost of the assignment in relation to the time plan, specified as remuneration per hour for each category of staffing, any reimbursable costs, any other costs and any discounts (all costs in SEK, VAT excluded),
- The tenderer shall state and specify any reservations against the draft contract and Sida's standard conditions and propose alternative wording. The proposed changes must not include significant changes in the existing draft contract or Sida's standard conditions.

B. *Qualifications that **should** be met by the tenderer*

- The consultant should be ready to start in June 2000,
- The study team could include a local consultant,
- The team should include at least one female participant.

APPENDICES:

Annex 1: Sida Evaluation Report – a Standardised Format

Annex 2: Sida Evaluations Data Work Sheet

Appendix 2

Itinerary

8–11.8	2000	Stockholm (Göran Haldin)
17.8		Nairobi (Bert Koppers)
18.8		Arrival in Entebbe/Kampala/ Internal discussions.
19.8		Kampala/Discussions with Norman Kimanzu
20.8		Travel to Masaka
21.8		Masaka Project Office/Field visit to Lyantonde Zone
22.8		Field visit to Karangara
23.8		Masaka Project Office/Travel to Kampala
24.8		Flight from Entebbe to Mwanza/Mwanza Project Office
25.8		Field visit/Magu District
26.8		Travel to Musoma/Musoma Project Office
27.8		Musoma Project Office/Govt. offices
28.8		Field visit/Musoma rural
29.8		Travel from Musoma to Kitale
30.8		Kitale Project Office/Govt. offices
31.8		Field visit/West Pokot District
1.9		Field Visit/Trans Nzoia District
2.9		Travel to Kampala
3.9		Kampala/Internal discussions
4.9		Kampala/Internal discussions/Report writing
5.9		Kampala/Report writing
6.9		Flight to Europe/Team Leader

Appendix 3

Persons consulted

UGANDA, TANZANIA, KENYA

1. Farmers in Program areas.
2. Local Government Representatives:
District Commissioners
District Planners
District Agricultural Officers
District Forest Officers
2. Vi Program Staff:
Extension Workers
Zonal Managers
Heads of Units
Project Management: Elisabeth Johansson and Nils Fagerberg (Masaka), Ole Pettersson and Lars-Gösta Nordén (Mwanza), Karl-Erik Johansson and Monica Lindén (Musoma), Jorge Suazo-Toro and Björn Horvåth (Kitale)
Deputy/Regional Co-ordinator (Norman Kimanzu)
3. Other persons consulted in Uganda and Kenya:
Hans Andersson, Ambassador of Sweden (Kampala)
Bill Farmer, Technical Adviser/Uganda Forest Sector Co-ordination Secretariat (Kampala)
Åke Barklund, Director/RELMA (Nairobi)
Alex Odour, Information Officer/RELMA

SWEDEN

Bengt Johansson, Head of Africa Division/Sida
Finn Forsberg, Program Manager/Sida/SEKA
Johan Brisman, Program Manager/Sida
Carol Bäckman, Program Manager/Sida

Ing-Britt Östlund, Head of Africa Division/Forum Syd
Kenneth Larsson, Program Manager/Forum Syd

Göran Axell, Chairman of the Vi-Skogen Board
Tor Nyberg, Program Manager/Vi-Skogen
Sven Göran Henriksson, Adviser/Vi-Skogen
Lars Marcusson, Managing Director/Bohlins Auditing

Appendix 4

Documentation

1. A modified approach to Multi-Sectoral Area Development/L-E. Birkegård/1987/SLU
2. Annual and Monthly Reports/Work Plans/Budgets/ Vi Agroforestry Program
3. Annual Reports/Vi Planterar Träd Foundation
4. Boken om Vi-Skogen
5. Calliandra/1983/National Academy Press
6. Capacity Study of Vi Tree Planting Foundation/1995/SPM Consultants
7. Evaluation of the Vi-Forest/1989/Hofsten
8. Evaluation of the Vi Project's Agroforestry Activities in Trans Nzoia District/1996/Mary Omosa/University of Nairobi
9. Firewood Crops/1980/National Academy of Sciences
10. Lake Victoria Basin/Main Report + Annexes/1997/Sida
11. Looking Back on 1999/Forum Syd
12. Magu District Vi Agroforestry Project Baseline Study/1998/Agrisystems Ltd
13. Paths for Change/RIPS/Tanzania/Ministry for Foreign Affairs/Helsinki
14. Patterns of Farmer Tree Growing in Eastern Africa: A Socioeconomic Analysis/1993/K.Warner
15. Projects Impact Study/1996
16. Pre-Appraisal of Extension Task Force and Joint Donor Group Mission/2000/NAASP
17. SIDAS PLICY Booklets/1998/Sida
18. Strategy for Support to Sustainable Development in the Lake Victoria Region/1999/Sida
19. Social and Economic Incentives for Smallholder Tree Growing/P.Deweese/FTP/FAO
20. Suguti Zone Baseline Study/2000/ Vi
21. The Potential of Agroforestry/1987/ICRAF
22. Training Needs Assessment of the Field Extension Staff/1997
23. Trees and Shrubs of the Sahel/1986/H.-J. Maydell/GTZ
24. We Eat Trees Baseline Study/1988/W.Östberg
25. We work together/1999/RELMA/Vi
26. Workshop on Forest Land Management/2000/National Forestry Programme/Tanzania
27. Masaka Central Zone Baseline Survey Report/2000/Vi

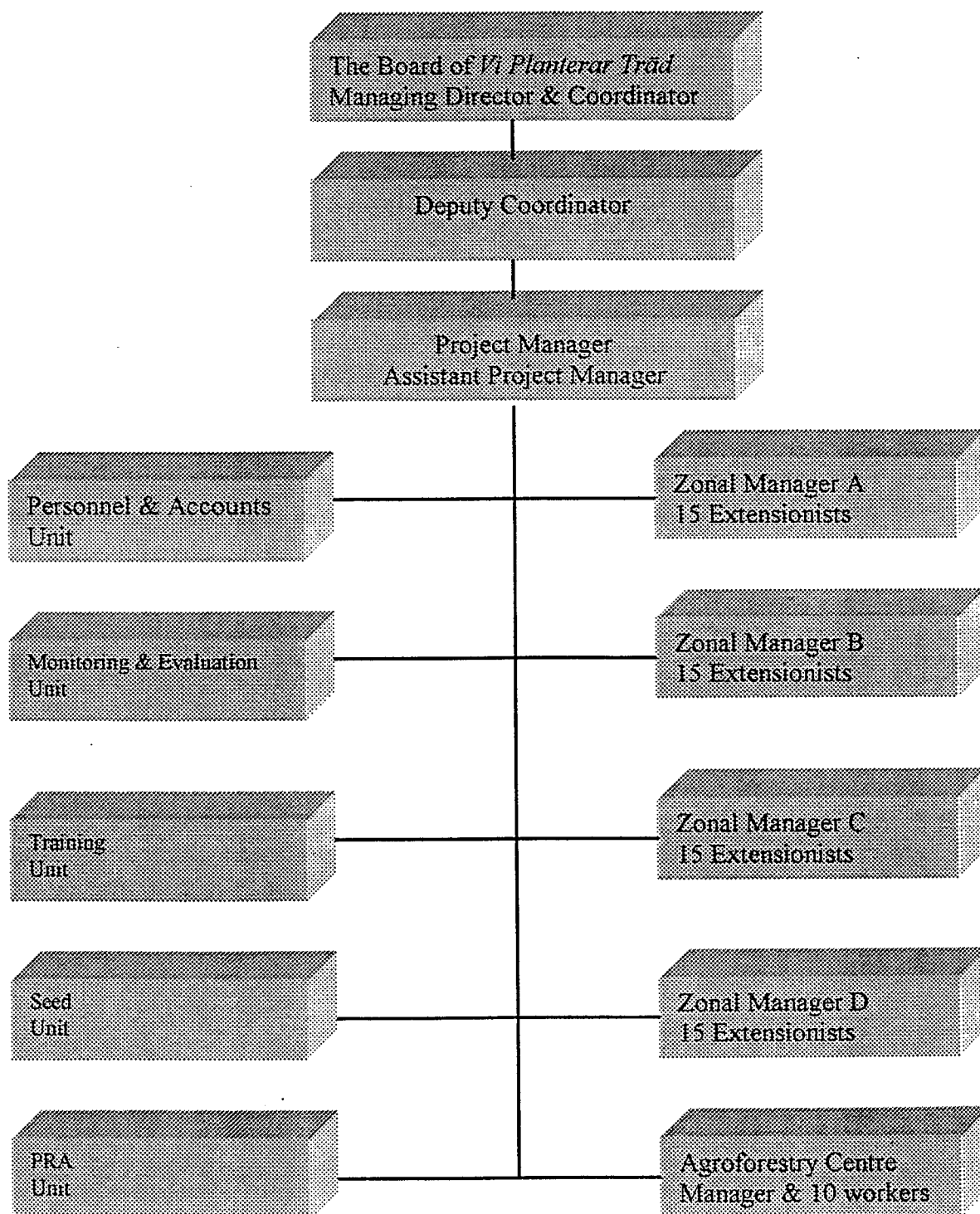
The following **Programme Matrix (PM)** shows the programme in a nutshell, including relevant indicators and external factors influencing the programme.

<u>Goal (Development objective)</u>	<u>Objectively Verifiable Indicators</u>	<u>Means of Verification</u>	<u>External factors</u>
Contribute towards better living standards (improved livelihoods) of small-scale farmers in 5 – 10 years).	Better Housing. Better health. Lower child mortality. Number of children in school.	Monitoring & evaluation surveys. Existing national surveys data. Hospital records. National health survey records. PRA/GAPs reports	Continued national priority to environmental protection and rural development. Political stability, maintenance of law and order. Sound policies and legislation on forestry, agriculture, land use and environment.
<u>Purpose) Immediate objectives:</u> Increased food and nutritional security at the household level in 1-5 years (1999-2003). Increased fuel wood availability at individual households in 1-5 years (1999-2003) Increased sources of income at the household level in 1-5 years (1999-2003)	<u>Objectively Verifiable Indicators</u> Area of land under crop. Diversity of fruit trees planted and growing at each household. Food in store during off-season period. Fuel wood stored in stacks/stores at each household. Crop sales, including wood products.	<u>Means of verification</u> Monitoring and Evaluation surveys and reports. PRA/GAPs reports Selected case studies Monitoring and Evaluation surveys and reports. Monitoring and Evaluation surveys and reports.	<u>External factors</u> Peace and security Positive, progressive and efficient attitude of people and administrators. Long term donor commitment
<u>Outputs:</u> One quarter of participating households increase food production by 15% each year. (1999-2003). 5 fruit trees planted in one third of participating households in the first year. 70% of the households to have 10 fruit trees after 5 years. One third of participating households have sufficient firewood in 2 years and two thirds in the remaining three years. A quarter of participating household have more than one source of income in 2 years. 60% of all households to have more than one source of income in 5 years.	<u>Objectively Verifiable Indicators</u> Crop yields per unit area. Number of fruit trees at individual households. Number of households with fuel wood stacks/stores households Number of households with more than one source of income	<u>Means of verification</u> Monitoring and Evaluation surveys and reports. Zonal Managers reports. Reports from units Monitoring and Evaluation surveys and reports. Zonal Managers reports. Reports from units Monitoring and Evaluation surveys and reports. Zonal Managers reports. Reports from units Monitoring and Evaluation surveys and reports. Zonal Managers reports. Reports from units	<u>External factors</u> Rate of exchange Peace and security Commitment of both extension staff and participating farmers Active participation and commitment of local administration at village level.

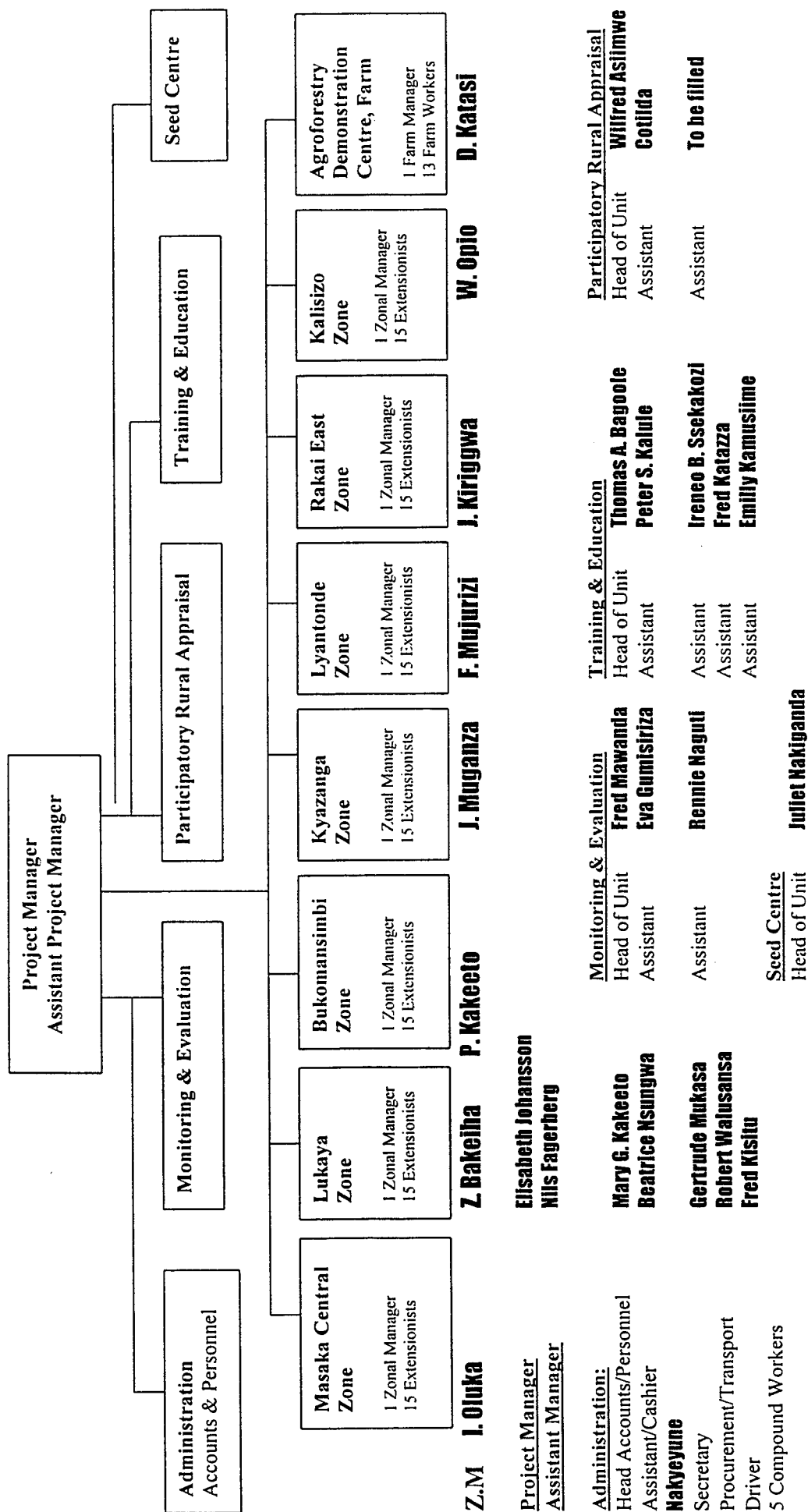
APPENDIX 5

<u>Activities</u>	<u>Inputs</u>	<u>Means of verification</u>	<u>External factors</u>
Conduct PRAs/GAPs in all target villages	Long-term financial support from Sida and NORAD	Monitoring and Evaluation surveys and reports.	Stability of donor budgets and a long term donor commitment
Conduct and encourage farmer to farmer extension and use of group approaches.	Technical assistance from top quality experts and scientists	PM&E with selected villages	Bureaucracy or undue interference in project activities
Train all extensionists on participatory extension methodologies	An established and efficient project organisation with infrastructure, field and office equipment of high quality	Monitoring and Evaluation surveys and reports.	Commitment of local farmers and extension staff.
Train participating farmers on techniques of establishing on farm nurseries	Necessary updating/upgrading of all equipment	PM&E with selected villages	Stability of donor budgets and a long term donor commitment
Train participating farmers on techniques of direct seeding	Technical assistance from qualified extension agents	Monitoring and Evaluation surveys and reports.	Bureaucracy or undue interference in project activities
To train participating farmers techniques of on-farm seed production.		PM&E with selected villages	Commitment of local farmers and extension staff.
Training of trainer's courses for Zonal managers to be done externally.		Monitoring and Evaluation surveys and reports.	Stability of donor budgets and a long term donor commitment
2 annual 2 week agroforestry courses for extensionists		PM&E with selected villages	Bureaucracy or undue interference in project activities
To conduct Monitoring and evaluation surveys		Monitoring and Evaluation surveys and reports.	Commitment of local farmers and extension staff.
		PM&E with selected villages	

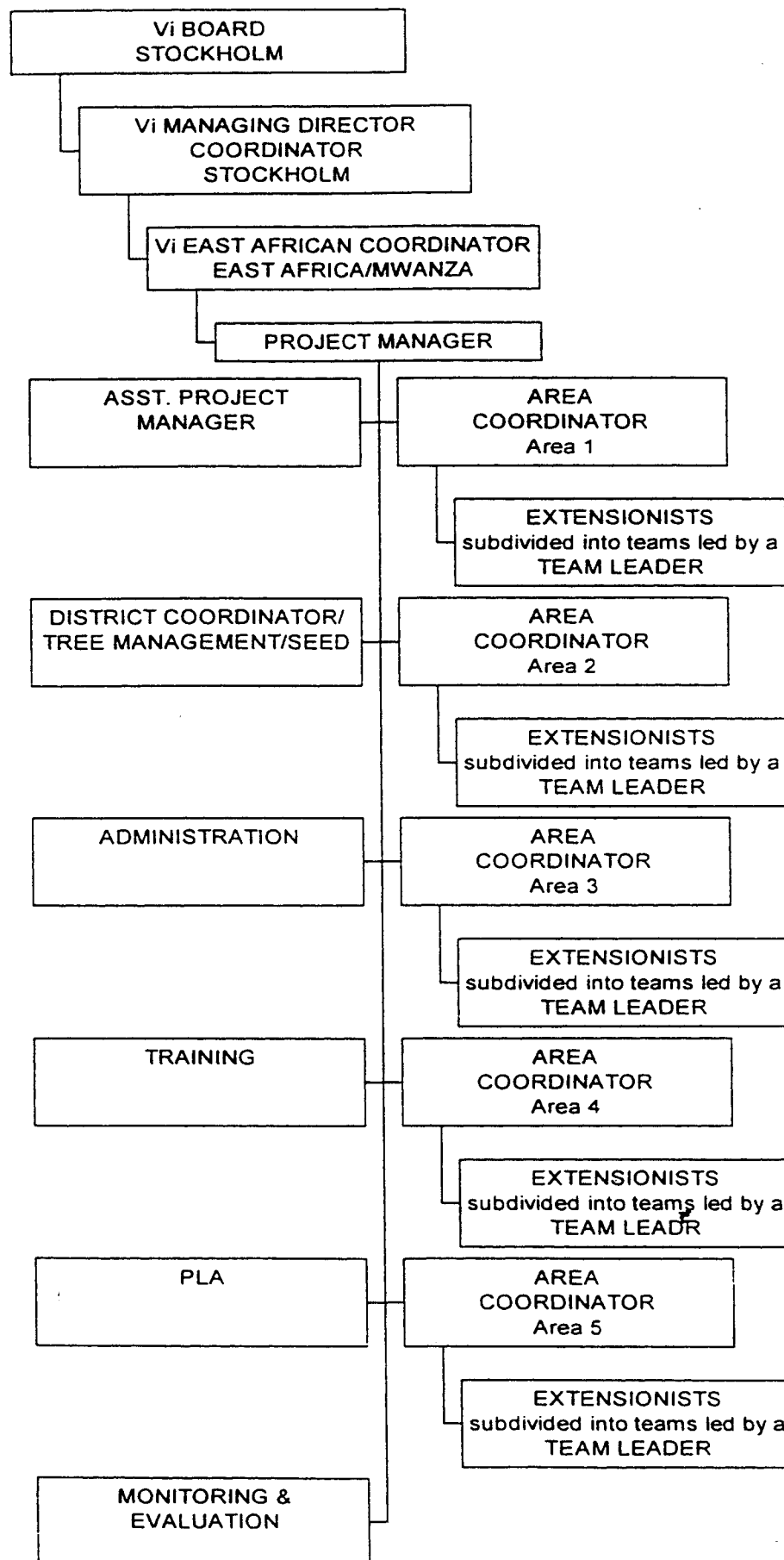
- More detailed indicators have been identified and are part of the monitoring and evaluation system

Vi Agroforestry Programme- Organisational Chart

Organisational Chart: Vi Agroforestry Project, Uganda.



APPENDIX 8 ORGANISATION AND STRUCTURE CHART FOR Vi AFP.
MWANZA FOR THE YEAR 2000.



**The Board of *Vi Planter Träd*
Managing Director & Coordinator**

Coordinator For East Africa

**Project Manager &
Assistant Project Manager**

Administration & Services

Monitoring & Evaluation

Human Resources Management

Extension & Participation

Demonstration, Cooperation &
Promotion

Tree Seed Facilitation

Musoma Urban Zone

Shirati Zone

Kinesi Zone

Musoma Zone

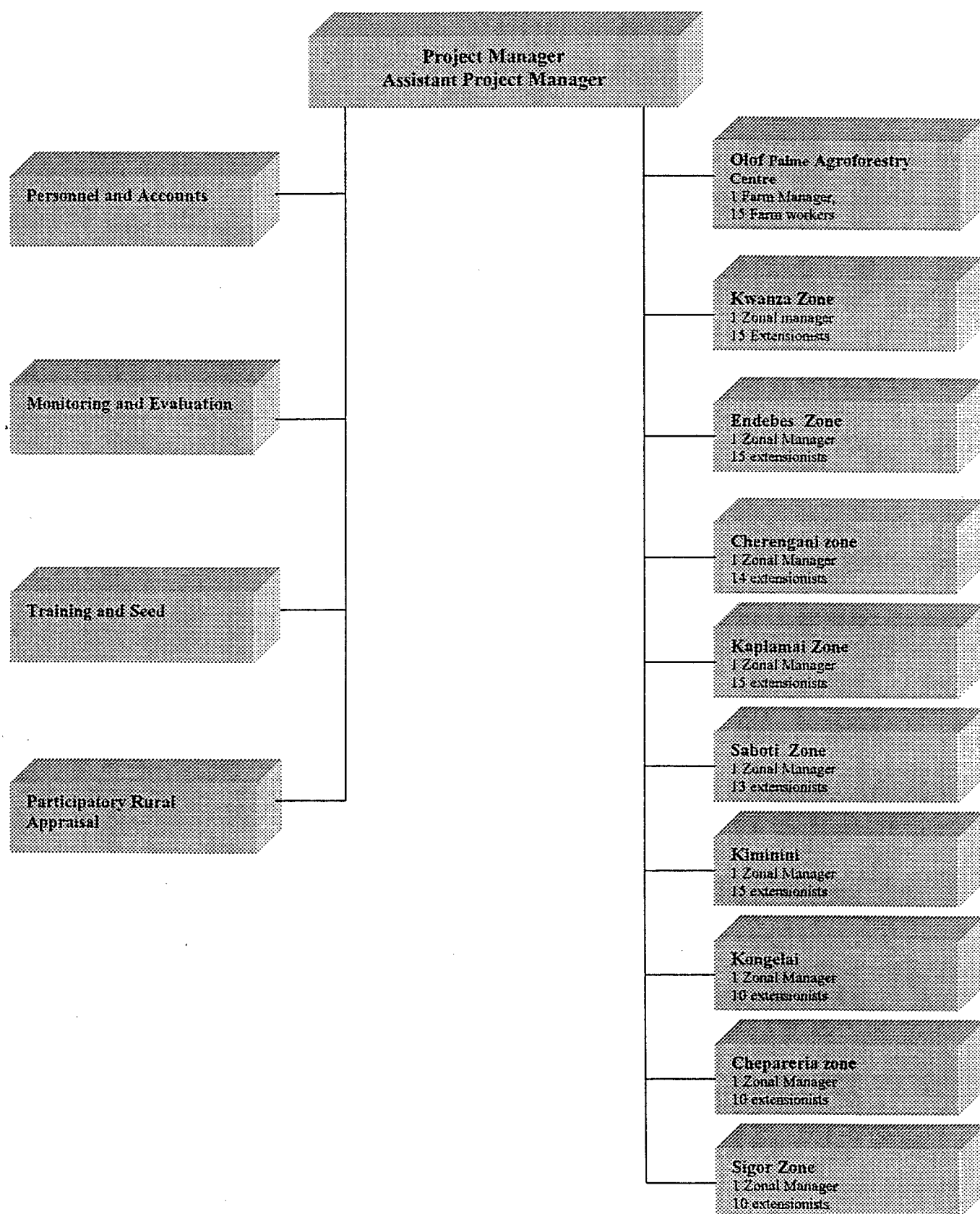
Suguti Zone

Majita A Zone

Nansimo Zone

Kenkombyo Zone

Vi Agroforestry Project, Kitale-Kenya- Organisational Chart



Årsbidrag till Vi planterar Träd (Vi-skogen)

(Sida-bidrag förvaltade av BIFO/Forum Syd)

Bekopp i TSEK

	92-93	93-94	94-95	95-96	H 96	1997	1998	1999	2000	2001
Sökt	9850	13348	15322	18900	9949	17567	14889	17833	19824	23940
Beviljat	8000	10000	12000	11255	5445	10000	14395	15000	15000	
Utnyttjat	8000	10000	12000	11255	5445	10000	13275	15000	15000	

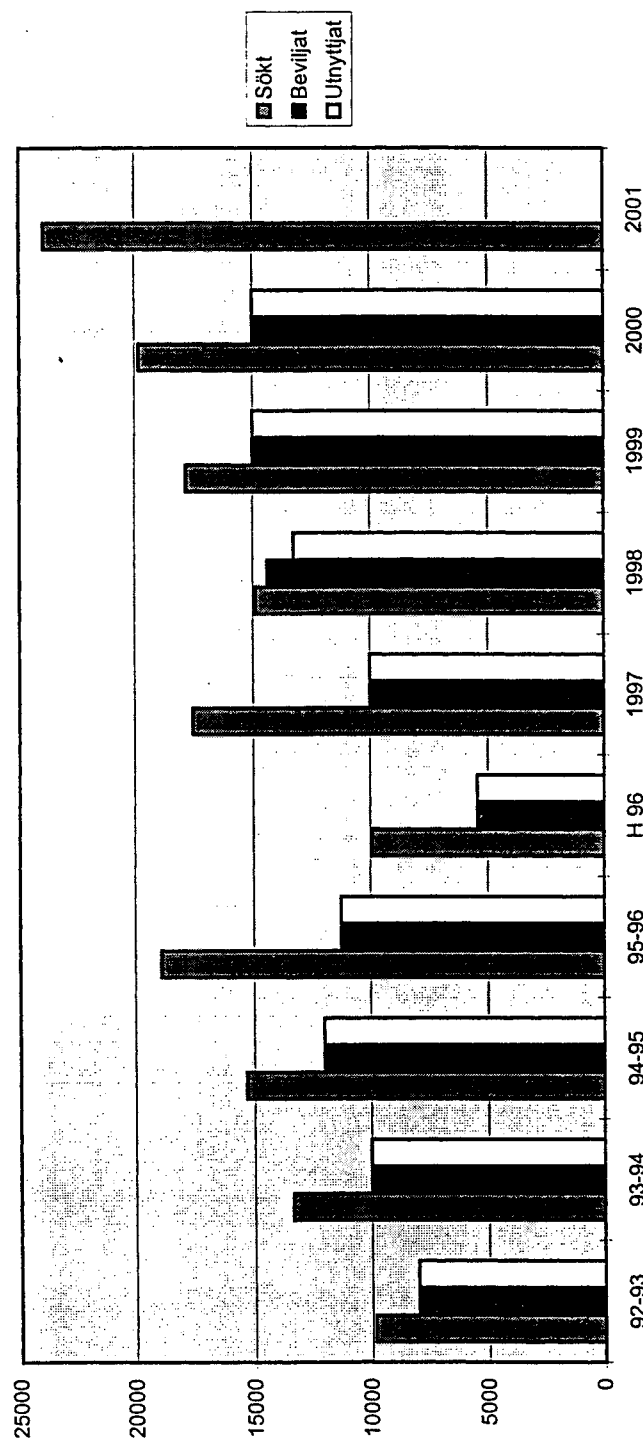
Ett halvår

1995-96 gjordes en

kraftig nedbantning pga
minskat svenskt bistånd.

Förvaltningsåret övergick
1997 till kalenderår.

Sökta, beviljade resp utnyttjade bidrag



En reservation för start
av nytt projekt 1998
utnyttjades inte.

Från 2000 ingår inte
bidrag för information i
Sverige. Det kan sökas
separat.

Kenneth Larson
2000-08-10

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Byte är förestånd de	1 år	Torger Dahl Det KGL Selskap for Norges Vel	PB 115, N 2026 Skjetten	hem 47-69883546 arbete 47-64832000	47-64832001	
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VD		Tor Håkan Nyberg	Charlottenborg, Väversunda 599 93 Ödeshög	hem 0143-21156 arbete 08 - 743 2410	0143-21184	371106-6450
	2 år	Sigbrit Inger Reinsert	Sveavägen 118 113 50 Stockholm	hem 08-612 63 95 arbete 08-685 30 32		360620-0503
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